UPDATE 17: ADDITIONS, CHANGES, DELETIONS

Update 17 of the *CONSER Editing Guide* includes preliminary revision of instructions relating to LC decision to discontinue series authority control effective June 1, 2006. Because PCC series policy remains status quo, changes were made to indicate LC new cataloging practice and its reduced level of participation in supporting PCC series authority work. The update also includes addition of new MARC values approved since the last update as well as removal of obsolete values. In addition, some subfield delimiters, form of names, etc. were also updated.

Field, etc.	Page	Addition, Change, Deletion	Filing instructions
B4	1, 4, 6	Added footnote referring to new LC series policy; removed instruction relating to sending surrogate to LC; changed "NLC;" to "LAC"	replace all pages
B6	2, 4-6	Changed "NLC;" to"LAC;" updated footnote 1 to reflect LC series policy; corrected a typo	replace pages: 1-6
C2	1-2, 4-5, 8	Removed instruction requiring sending surrogates for records with a series that has not been established or for headings in Chinese, Japanese, or Korean; removed "LC" as creator of SAR; changed "National Library of Canada" to "Library and Archives Canada;" "NLC" to "LAC"	replace all pages
C3	2	Changes to field 4XX in LC-authenticated (042=lc) records may be made without first notifying LC.	1-2
C4	1, 3	Added footnote referring to new LC series policy; revised instructions relating to support from NACO liaisons for series authority work; changed "NLC;" to"LAC"	replace all pages
C8	1, 3-4, 6	Changed reference to NLC with its new initials "LAC;" updated record consolidation steps on p. 4	replace all pages
C11	1	Updated no. 2-3 under when to send a surrogate to LC; changed "name authority file" to its official name "LC/NACO Authority File"	replace all pages
C12	2, 6-7	Changed "name authority file" to its official name "LC/NACO Authority File"	1-8

1XX	7	Removed reference to subfield $h	7-8
100	1	Marked subfields $h and $s obsolete	replace all pages
110	1	Marked subfields $h and $s obsolete	replace all pages
111	1	Marked subfields $h and $s obsolete	replace all pages
260	1	Marked subfields $e, $f as repeatable, formerly they were non-repeatable	1-2
300	1-3	Marked subfield $d obsolete, existing subfields have been converted to subfield $e; corrected a typo	replace all pages
506	1-2	Added subfield $2, subfield $f, and first indicator values as MARC proposal no. 2006-03 was approved in 03/07/06	replace all pages
538	1-2	Added newly defined subfields for 538, $i, $u, and $3; added serial example showing these fields.	replace all pages
583	1-2; 4	Added new indicator value definitions; changed example on page 4	replace all pages
655	1-3	Added new values approved for the second indicator	replace all pages
730	1-2	Added subfield $8; corrected a typo; removed example 7 (this is still an option but was never required by cataloging rule); changed "blank" spaces in examples to "#," "≠" to "$"	replace all pages
LINKS	14	Added statement encouraging catalogers to record multiple subfields $w's when known based on recommendation from PCC SCA Task Group on Linking Entries; clarified that there is no change in CONSER policy regarding the order of subfields $w's in linking fields	replace: 13-18
App. P	12	Added footnote clarifying that "Books" denotes "Printed works;" changed "blank" spaces in examples to "#," "≠" to "$"	replace all pages

B4. RECORD MAINTENANCE

Record maintenance is the process of ensuring the continued authoritativeness of a CONSER record through additions, changes, or deletions:

> 1)　　　To correct obvious errors;
>
> 2)　　　To reflect changes in the publication, or;
>
> 3)　　　To reflect changes to policies and practices used within CONSER for the bibliographic control of the publication.

Record maintenance may occur during first-time cataloging of the title, when a CONSER record is found on OCLC, during the cataloging of records for related titles, when changes are noted during check-in of pieces, and so forth. For instructions on when to claim maintenance credits, consult C13.

The degree to which a record is changed may depend on the activity that the cataloger is performing, the availability of information, and the record's encoding level. The action taken may involve making the change on the CONSER database or notifying LC or LAC of the desired change, as instructed in Section C.

In the instructions that follow, particular actions are identified as:

> **[M]**　**MANDATORY**　　Action must be performed in the given situation.
>
> **[R]**　**REQUIRED IF**　Action is performed when the information is readily
> 　　**AVAILABLE**　　in hand.
>
> **[O]**　**OPTIONAL**　　Action is performed at the discretion of the CONSER institution. Instructions are provided for institutions that opt to perform the necessary actions.

B4.1. <u>Correcting obvious errors</u> **[M]**

Members are responsible for correcting typographical errors and errors in content designation whenever they are encountered in a record that is or is about to be authenticated. Correct these errors wherever they occur; however, bear in mind that what appears to be an error is not always so.

> *245 00 Enrolment in community colleges.*
> [In the example, "enrolment" represents a variant spelling of "enrollment." The title
> is not in error.]

Members should make corrections to related unauthenticated records, particularly when not
correcting the record would hinder access to that record (e.g., adding a missing $t to a linking
field, correcting the second indicator value in the title to omit searching on the initial article).

Possible errors in 050 fields input by LC (second indicator = 0) should not be corrected but
instead should be reported to the appropriate cataloging section of the Serial Record Division.

B4.2. Changes in the publication

Changes in this category require maintenance to ensure that the CONSER record continues to
reflect accurately the bibliographic details of a serial. Following the general instructions below is
a list of MARC fields that should be added, changed, or deleted as appropriate to the situation.
Specific instructions for making changes are found in Sections C and E of the *CEG*.

B4.2.1.   Changes affecting main entry heading and/or title proper **[M]**

Changes of this type may or may not result in the creation of a new record. For conditions under
which changes of this type do not result in the creation of a successive record, see *AACR2* rules
and related rule interpretations for 12.3G, 21.2, 21.2A2, 21.2C, 25.5B.

  1)   Changes resulting in the creation of a new record [**M**]

        When a change in main entry heading and/or title proper results in the creation of a
        new record, the existing record must be closed off by making changes to the
        following data elements, as appropriate:

008/6	Publication status code **[M]**
008/11-14	Ending date of publication[1] **[M]**
260 $c	Date of publication of last issue **[R]**
300 $a	Extent of item **[O]**
362	Designation of last issue or note relating to last issue **[R]**
500/936	Remove "latest issue consulted" note when closing a record with the last issue recorded in field 362 (formatted field) (See AACR2

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[1]Code "u" may be given for any portion of the date that is unknown.

12.7B23)
580/785   Linking entry (and, when available, control numbers) of later
               record(s) [**M]**

Refer to *CCM* 21.3 for more information on closing serial records.

2)   Changes resulting in revision of the existing record **[M]**

When a change in the publication pertains to data in the main entry heading and/or
title proper, but the change does not result in the creation of a successive record,
revise the existing record as follows:

a. Changes pertaining to uniform title main entry heading:

When a serial is entered under a uniform title heading qualified by **place of
publication**, and the place of publication changes, record the new place of
publication in a note (500). Change the fixed field Country of Publication code
(008/15-17) to reflect the new place of publication. (For instructions on
changing the place of publication when "backing-up" records, refer to *CCM*
21.11.)

When a serial is entered under a uniform title heading qualified by **corporate
name**, and the corporate name changes, create a new successive record and
close-off the existing record as in 1) above.

b. Changes pertaining to the title proper:

Make a general or specific note (fields 246 or 500), as appropriate, about
changes in the title proper that do not result in the creation of a successive
record. If important for access, make an added entry (field 246) for the later
title(s).

    500 ## Order of titles varies.
    [No new added entry needed]

    500 ## English title precedes German title, 1986-
    [No new added entry needed]

    245 00 Year-book / $c the Royal Society.
    246 1# $i Vols. for 1981- have title: $a Year-book of the Royal Society

> *245 00 Archiv fuer Bibliothekswissenschaft.*
> *246 1# $i Some issues have the title: $a Archive für*
> *Bibliothekswissenschaft*

B4.2.2. <u>Changes affecting other access points</u>

1) Title variations other than title proper (246) **[R]**

Record any significant additional titles (other than title proper) found on earlier/later issues.

2) Series (4XX/8XX) **[R]**[2]

Record any addition, deletion, or change in series information on earlier/later issues. If there is no series authority record in the authority file, complete the necessary authority work.

3) Responsible entities (7XX/550) **[R]**

Trace any bibliographically significant entities associated with earlier/later issues (710-711, 730), and describe their significance in a note (550). If there is no name authority record for the new heading in the authority file, and the bibliographic record contains authentication codes "lc", "lcd", or "nlc" in field 042, complete the authority work or a surrogate with appropriate documentation for establishing the heading to the Library of Congress.

4) Preceding/succeeding entries (780/785) **[M]**

Make links both to and from preceding/succeeding records (780/785/580).

5) Other linking entries (765-777/787/580) **[O]**

Record all changes in bibliographically significant relationships to other publications as required by the applicable *AACR2* rules and rule interpretations. Make links both to

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[2]As of June 1, 2006, LC series bibliographic maintenance will be restricted to adding or correcting series statements (490 0#); controlled access points (440/8XX fields) won't be added or modified. (SERIES AT THE LIBRARY OF CONGRESS: JUNE 1, 2006. URL: http://www.loc.gov/catdir/cpso/series.html). PCC series policy remains status quo. (PCC Series Statement, June 9, 2006. URL: http://www.loc.gov/catdir/pcc/seriesPCC.html).

and from related records (765-787/580) and give added entries when appropriate (700-730).

6) Subject fields (600-651, 043, 008/24-27) **[R]**

Expand or modify subject headings, geographic area codes, and fixed field contents codes to reflect obvious changes in the scope of a publication. (See also *CCM* 15.6, "Modifying Subject Headings.")

B4.2.3.   Other changes

1) Subscription data (037) **[O]**

If the subscription data is no longer valid, it may be updated or deleted.

2) Frequency data (310 **[R]**, 321 **[O]**, 008/18-19 **[R]**)

If current frequency is known to differ from data in fields 310 and 008/18-19, change tag 310 to 321, add a new 310 field, and update fixed field 008/18-19 to reflect the new 310. Add relationship dates, when known, in subfield $b of both fields 310 and 321. Note: fields 310 and 321 are optional in core records.

3) Add publication patterns data, as appropriate (Publication Pattern Initiative participants only)

B4.2.4.   Changes to pre-*AACR2* records

With the exception of updating headings to currently valid forms, changes to pre-*AACR2* records should be made only in the context of the cataloging code under which the record was created. If it is not possible to make the changes without creating a "hybrid" record, then the record should be converted to *AACR2* (see also specific circumstances described below, as well as 3.3. above).

It should be noted especially that, for pre-*AACR2* records, the bibliographic description is based on the latest available issue rather than on the earliest.

B4.3. Changes in cataloging codes, LCRIs, subject analysis, or CONSER practice

One of the central innovations of CONSER as a cooperative program has been the authentication procedure, whereby the bibliographic description and access points in a catalog record are verified as being in conformity with CONSER bibliographic conventions and agreed-upon

practices. **In general, an authenticated record should not be updated merely to reflect changes in cataloging codes or CONSER practice.** Usually, an authenticated record will continue to serve the purposes of CONSER even though the rules and/or rule interpretations according to which it was constructed have been superseded. The instructions below (B4.3.1 through B4.3.5) address some of the instances where this is not the case.

The 2002 AACR2 rule revision and accompanying LCRIs introduced the concept of major and minor changes for deciding when to create a new record. These include new rules for changes in title, edition statement, and numbering that affect the number of records needed. They also include revised rules for the transcription of the title proper. Generally, CONSER libraries do not modify the title or consolidate CONSER authenticated records that were created under the provisions in place before the 2002 revisions were adopted. Other changes introduced by the 2002 revision that are a matter of style or punctuation may be made at the discretion of the cataloger. (For changes to unauthenticated records, see B3.)

B4.3.1.   Pre-*AACR2* vs. *AACR2* rules of entry

The criteria according to which a serial is determined to have changed its title (or main entry/title) differ between *AACR2* and earlier cataloging codes. When a change occurs in a serial represented by a pre-*AACR2* record, and that change would necessitate a successive entry as cataloged under pre-*AACR2* rules, but not as cataloged under *AACR2* rules, update the record to *AACR2*.

B4.3.2.   Consolidating multiple pre-*AACR2* records into a single *AACR2* record

When a serial entered under a name heading according to earlier rules must be updated because the responsible entity has changed (while the title proper has remained the same), if *AACR2* rules call for title main entry (or uniform title main entry with place of publication as qualifier), update the record to *AACR2*.

If other pre-*AACR2* successive records exist for earlier changes in the main entry heading, and the title proper has stayed the same, then these records should be consolidated with the revised *AACR2* record. (See C8.2)

For restrictions on consolidating LAC or ISSN Canada records, refer to C8.1.2.

B4.3.3.   Revising the choice/form of entry of *AACR2* records to reflect revised *AACR2* practices

In most instances it should not be necessary to alter substantially the description of *AACR2* records to reflect changes in *AACR2* practice. If, however, the change involves main entry, and it would necessitate successive entries according to the rules and rule interpretations under which the record was created, but not according to current *AACR2* practice, update the description to reflect current *AACR2* practice.

> *130 0# International relations (Central Connecticut State College)*
> [Name of college changes to Central Connecticut State University]

This record was created under an earlier version of LCRI 25.5B, by which titles consisting solely of subject terms were qualified by corporate body. The current version of the RI does not include this requirement. To avoid making a new record, change the qualifier to place of publication.

> *130 0# International relations (New Britain, Conn.)*
> *550 ## Vols. for <1968-> issued by: Central Connecticut State College; <1987->*
> *by: Central Connecticut State University.*

B4.3.4.   Revising the description of *AACR2* records based on the issue in hand

When an *AACR2* CONSER record contains a "Description based on" note and a CONSER member has the first issue in hand, the member "backs-up" the record to reflect the first issue and deletes the "Description based on" note. This may also be done when an earlier issue, but not the first, is in hand and the issue reflects information that is different from that given on the CONSER record (but that would not result in the creation of a new record). (See also C3.) In general, do not "back up" records solely to record an earlier issue in the "Description based on" note. (See also *CCM* 21.10. For first time authentication, see B3.)

If a CONSER AACR2 record is based on an earlier issue and another CONSER member performing first time cataloging has only a later issue, the serial should not be redescribed. Any changes appearing on the later issue should be noted in the record, as appropriate. (For first time authentication, see B3.)

B4.3.5.   Revising subject analysis fields to reflect current practice

CONSER members may make changes to subject analysis fields that clearly do not correlate with the subject matter of the publication. Data should be removed from records only when clearly incorrect, not just when a matter of judgment on predominant subject emphasis. When there is doubt, fields should not be changed.

    1) Subject headings.

The cataloger adds, changes, or deletes subject headings to reflect vocabulary changes in standard subject heading lists as well as heading and subdivision assignment practices in such source documents as *Subject Cataloging Manual: Subject Headings*, etc. Redundant, largely duplicate fields should be removed from a record.

2) Classification.

The cataloger adds, changes, or deletes classification fields to reflect additions and changes to standard classification schemes. A clear exception to this is a call number assignment by a national library; in this case, an updated class number may be added to the record in a separate field according to the guidelines in Section E.

B4.4. Changes to MARC21 coding

Changes to MARC21 coding are issued in the *MARC21 Format for Bibliographic Data* and may have resulted from the implementation of format integration or from the ongoing revision of MARC21. Some changes to records are automatically generated by OCLC or RLIN as part of implementation of the new coding while others are left to catalogers to make when revisiting the records. CONSER policies for maintaining specific fields are noted at the end of the field in a section labeled "CONSER maintenance."

In general, making changes to variable fields is optional. For example, a 500 note that now could be recorded as 246 $i can be converted if desired, but this is not required. Similarly, in some of the linking fields, $i could be used instead of 580/530 notes for displaying text. However, CONSER catalogers are encouraged to retag notes in non-print serial records that were coded as 500 before the implementation of format integration. Additionally catalogers should move the latest issue consulted citation in the 936 to a 500 note when making changes to a record (but be careful not to delete other data that might be recorded in the 936).

Making changes to fixed fields is necessary, at least in some cases. For example, a record for a non-print serial that was not converted by OCLC and still remains with a Leader/06 type of record code of "a" and a serial 008 field should be changed. The record may be reported to OCLC or the fixed fields may be changed by the cataloger. In addition, in records that have been converted by OCLC to the appropriate non-print format, some bytes in field 008 may be incorrectly coded because the default codes were supplied at the time of conversion when the appropriate code could not be determined. Fixed fields in non-print CONSER records created prior to format integration should be carefully checked and the appropriate codes supplied when necessary.

B6. CONSER RECORD REQUIREMENTS FOR FULL, CORE, AND MINIMAL LEVEL RECORDS

B6.1. Background on CONSER Record Requirements

B6.1.1. Reevaluation of CONSER Record Requirements

At the end of 1992, the CONSER Policy Committee charged the Core Elements Task Force to evaluate the nature of the CONSER record; to determine the core elements of the record, with an emphasis on the identification of the publication; and to reevaluate the bibliographic requirements for CONSER cataloging. In Spring 1993, the CONSER Operations Committee endorsed this review of the bibliographic requirements.

In late 1993, the Cooperative Cataloging Council (CCC) defined a core level record for monographs to serve as an intermediate level between full- and minimal-level records. While the CCC has undertaken supplementary initiatives to define core record standards for other types of material (e.g., JACKPHY, Music) it left the definition of such a standard for serials to CONSER. In February 1994, the CONSER At-Large group indicated its interest in exploring the utility of a core record for serials and the Core Elements Task Force was asked to draft the CONSER "Core Record for Serials" proposal.

In 1994 the CONSER Policy and Operations committees considered the proposal for a "Core Record for Serials" at their annual meetings. The committees endorsed retaining modified versions of minimal- and full-level records and establishing a third core-level record for CONSER.

These new requirements support several of the goals listed in the CONSER Plan: CONSER members are committed to creating and maintaining high-quality, authoritative records for serials; providing identification, bibliographic description and access, and subject analysis; without limitation to subject, language, script, format, or source. CONSER recognizes the need for individual members to retain flexibility in determining the level of fullness needed in describing collections and titles understanding that, ideally, the fuller the information, the more useful it is for others.

B6.1.2. Change in the Listing and Description of CONSER Record Requirements

The previous edition of the *CONSER Editing Guide* included record requirement codes in tables at the beginning of each field listed in Part II. Additional explanations of requirements for specific fields were indicated in the description of the field. The preparation of the 1994 edition coincided with the reevaluation of CONSER record requirements and Program members decided

not to have codes listed in tables as before. This section on record requirements, including lists of fields, replaces the tabular indications of record requirements previously followed by CONSER catalogers. Where more specific details concerning requirements are needed, these are incorporated into the text of the field. Record requirements for non-print serials will be included in Appendix N, once defined.

B6.2. Description of Record Levels

The levels of CONSER records are characterized briefly as follows:

> **Full** level records contain a full complement of elements that are applicable to the serial and all elements contained are fully authoritative.

> **Core** level records contain those elements essential to the description and access of the serial and all elements contained are fully authoritative.

> **Minimal** level records contain the essential (i.e., core) elements for description but subject elements may not be present and one or more headings may not be authoritative.

Specific details concerning the description, subject elements, and authoritativeness of headings are given below. Classification, however, is not required at any level, with one exception: field 086, Government Document Classification Number, is input as supplied by the U.S. Government Printing Office. Many libraries do not classify a portion of their serial collection and a number of different classification schemes are used.

Computer-generated fields are also part of all CONSER records but are not specifically stated here because there is no conscious decision to include or exclude them. These fields are specifically labeled in Part II. For more information about LAC levels of cataloging, see C1.2.

CONSER RECORD REQUIREMENTS

FIXED LENGTH FIELDS	Full	Core	Minimal
Type of record (Leader/6)	M	M	M
Bibliographic level (Leader/7)	M	M	M
Encoding level (Leader/17)	M	M	M
Descriptive cat. form (Leader/18)	M	M	M
Publication status (008/6)	M	M	M
Beginning/ending dates (008/7-14)	M	M	M
Place of publication (008/15-17)	M	M	M
Frequency (008/18)	M	M	M
Regularity (008/19)	M	M	M
Type of continuing resource (008/21)	M	M	M
Form of original item (008/22)	M	M	M
Form of item (008/23)	M	M	M
Nature of entire work/contents (008/24, 25-27) . . .	MA	O	O
Conference publication (008/29)	M	O	O
Entry convention (008/34)	M	M	M
Language (008/35-37)	M	M	M
Modified record (008/38)	M	M	M
Cataloging source (008/39)	M	M	M
CONTROL FIELDS--0XX			
010 LC control no.	M	M	M
022 ISSN	R	R	R
041 Language code	MA	O	O
042 Authentication code	M	M	M
043 Geographic area code	MA	O	O
074 GPO item no.	R	R	R
086 Gov't doc. class. no.	R	R	R
VARIABLE FIELDS--1XX-9XX			
1XX Main entry	MA	MA	MA
240 Uniform title	MA	MA	MA
245 Title statement	M	M	M
246 Varying form of title	MA[*]	MA[*]	MA
250 Edition statement	MA	MA	MA
260 Publication, etc. (Imprint)	M	M	M
300 Physical description	M	O	O
310 Current publication frequency	R	O	O
362 Dates of pub., vol. designation	MA	MA	MA
4XX Series statement	MA	MA	MA
500 Source of title, DBO note	MA	MA	MA
5XX Notes	MA	O[*]	O[*]
6XX Subject added entries	MA	MA[*]	O
700-730 Name/title added entries	MA	MA[*]	MA[*]
780/785 Preceding/Succeeding entry	MA	MA	MA
7XX Other linking entries	MA	O[*]	O[*]
850 Holding institution	M[*]	M[*]	M[*]
8XX Series added entries	MA	MA	MA
936 CONSER variable length field	MA	MA	MA

Codes: M - mandatory, MA - mandatory if applicable, O - optional, R - required if available
[*]See text for more information on the requirements for notes, added entries, linking title entries, and *NST* fields.

B6.2.1. Full record elements

- **Description:** Descriptive elements coded above "as M or MA for full level and appropriate per *AACR 2* and the *Library of Congress Rule Interpretations (LCRIs)* are included in the record.

- **Name/series headings:** Name/series headings are checked in the authority file. If the name/series is established, the authorized form is used. If it is not established, an authority record is created and added to the authority file[1]. Field 042 is coded as "lcd."

- **Subject headings:** All appropriate subject headings are included in new records, according to the relevant standard. Subject headings found in non-CONSER records are checked for current validity and appropriateness. Construction and tagging are also checked to conform with the existing standard.

- **Classification:** Classification is not required but is encouraged in full-level records.

B6.2.2. Core record elements

- **Description:** Descriptive data elements coded above as M or MA for core records are included as appropriate per *AACR2* and the *LCRIs*.

- **Name/series headings:** Name and series headings are checked in the authority file. If the name or series is established, the authorized form is used. If it is not established, an authority record is created and added to the authority file. Field 042 is coded as "lcd." (For LC series policy, see footnote 1).

- **Subject headings:** In new records, only subject headings most essential to the identification/access of the serial are supplied. In adapted records, subject headings are checked for current validity and appropriateness; construction and tagging are also checked.

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[1]On June 1, 2006, the Library of Congress implemented its decision not to create/update series authority records and not to provide controlled series access points in its bibliographic records for resources in series. (SERIES AT THE LIBRARY OF CONGRESS: JUNE 1, 2006. URL: http://www.loc.gov/catdir/cpso/series.html). PCC series policy remains status quo. (PCC Series Statement, June 9, 2006. URL: http://www.loc.gov/catdir/pcc/seriesPCC.html).

- **Classification:** Classification is not required.

Core record requirements are intentionally flexible to allow for local interpretation and rely heavily on cataloger's judgment. Cataloger's judgment is based on a knowledge of serials, the cataloging rules and interpretations, and the needs of one's institution. For example, notes are given in core records if the information is "essential" to adequately identify the serial and/or its relationships, or to clarify access points. What is "essential" is left to the cataloger to determine. Name and title added entries are also required if they are essential for record access or to adequately identify the serial or its relationships.[2]

A certain amount of local interpretation or cataloger judgment may also be in order when determining the extent of subject headings generally assigned in a core record. The core level states that only subject headings *most essential* to the identification/access of the serial are supplied. It is up to the cataloger to decide what is "most essential."

A general principle to be followed is that once a field is determined to be appropriate for the serial, the contents are given according to *AACR2* and the *LCRIs* or a standard thesaurus in the case of subject elements. Catalogers cannot arbitrarily choose to ignore rules or leave out information because they are creating core records. In this way, other catalogers wishing to upgrade the record to "full" can add additional data without having to reevaluate the data already present in the record.

B6.2.3. Minimal record elements

- **Description:** Descriptive elements that are coded above as M or MA for "minimal" are included as appropriate per *AACR2* and the *LCRIs*.

- **Name/series headings:** Name headings are checked in the NAF. If present, the authorized heading is used. If not present, the heading is constructed according to *AACR2*, but an authority record need not be submitted to the NAF. Series headings are checked in the NAF. If present, the authorized heading is used. If not present, the series is coded as 490 0 (series not traced). Field 042 is coded as "lcd" or "msc", as appropriate (see field 042). (For LC series policy, see footnote 1).

- **Subject headings:** Subject headings are not required in new records. In adapted records, subject headings may be left as found.

- **Classification:** Classification is not required.

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[2]The core record for monographs, established by the CCC Task Group on Standards, requires "a complement of added entries that cover at least the primary relationships associated with a work."

The primary difference between core and minimal is that name authority work and subject analysis are not required. The same principle that applies to core records also applies to minimal, that once a field is determined to be applicable, the contents are given according to *AACR2* and the *LCRIs*.

B6.3. Maintaining and Upgrading Three Levels of CONSER Records

B6.3.1. Maintaining CONSER records

Maintaining records involves updating the record when changes have occurred to the serial, the cataloging rules/interpretations, or the USMARC format.

Maintenance of records assures that elements contained in the records are up-to-date, as instructed in B4. If elements are added to records in the process of routine maintenance, this does not generally constitute an upgrading of the record.

B6.3.2. Upgrading CONSER records

Upgrading CONSER records involves reassessing the record to determine whether additional notes, added entries, links, subject headings, or coded fields are applicable that would have been added if the record were originally cataloged at the higher level. It may also require that headings be made authoritative.

Minimal level records may be upgraded to core or full level; core level records may be upgraded to full level. A minimal level record that is upgraded to core will likely require the addition of subject elements and/or the addition of names to the Name Authority File. A core record that is upgraded to the full level might require additional name or subject added entries, notes, links, or coded fields.

Upgrading the record involves a change in encoding level. If a minimal record is upgraded to full or core, the encoding level is changed from "7" to "blank" or "4," as appropriate.

B6.3.3. First-time Authentication of Non-CONSER Records

CONSER catalogers should keep in mind that the core record was introduced primarily as a time-savings for the creation of new records. Existing non-CONSER records that are to be authenticated for the first time will be found in OCLC coded as full (I) or minimal (K). If a quick perusal of the record indicates that a record coded as full is really minimal or core and you are not upgrading the level, you may assign the appropriate USMARC code for that level in the Encoding level. For the most part, however, accept the level as found. If you had planned to do core cataloging for an item and a record is found at the full level, keep it as such. Do not spend time trying to determine whether it really is full or not! Also, do not go back and recode CONSER records created before the definition of a core record.

C2. PARTICIPANT AUTHENTICATION

C2.1. General Procedures

CONSER members[1] have been authenticating their own records since 1984. Participant authentication begins with the review of the contents of a record. All essential elements must be present in the record (as determined by the level of cataloging expressed in the encoding level). These elements must be technically correct, adhering to the appropriate rules, interpretations, and coding guidelines. The record as a whole must also conform to the agreed-upon practices outlined in this manual.

CONSER authenticated records currently consist only of serial records. While both BIBCO and CONSER libraries create and maintain records for integrating resources, records for them cannot be authenticated until bibliographic level "i" is implemented by OCLC (see CEG B7).

All National and Full members must also verify the authoritativeness of all name and series[2] headings used in the record. While authoritative headings are not mandatory for minimal level records, all headings must be searched against the LC/NACO Name Authority File on OCLC and must be used in AACR2 form.

Once the review of the record is complete, certain data elements which are required to identify the record as a CONSER record for purposes of record selection and distribution are added and/or changed. The identifying elements are an LC control number (field 010)[3] and a CONSER authentication code (field 042) of "lcd" or "msc".

Participant authentication does not preclude the possibility of subsequent authentication. However, once a record has been authenticated by LC or LAC with an authentication code of "lc" or "nlc", it is not further <u>authenticated</u> by a CONSER member. For online modifications that

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[1] While all participants in the Program are "CONSER members", for purposes of this document, "CONSER member" refers to an institution other than the Library of Congress or the Library and Archives Canada. Likewise, "participant authentication" refers to that performed by institutions other than LC and LAC.

[2] On June 1, 2006, the Library of Congress implemented its decision not to create/update series authority records and not to provide controlled series access points in its bibliographic records for resources in series. (SERIES AT THE LIBRARY OF CONGRESS: JUNE 1, 2006. URL: http://www.loc.gov/catdir/cpso/series.html). PCC series policy remains status quo. (PCC Series Statement, June 9, 2006. URL: http://www.loc.gov/catdir/pcc/seriesPCC.html).

[3] Prior to January 2000, CONSER participants used "sn"-prefixed numbers in CONSER records.

| may be made to LC-authenticated records, see C3 or for LAC-authenticated records, see C12.

New members begin authenticating their own records once the review period is complete. For details, see A4.

CONSER members do not have to authenticate every record they create. They may exclude certain records from CONSER, or they may request additional assistance in order that the record be properly authenticated (e.g., the necessary language expertise is not resident within the institution). In such cases, surrogates are sent to LC or another CONSER member, as appropriate.

Surrogates are also sent to LC to substantiate requests for revision or corrections that cannot be | made by CONSER members (see C3). For instructions on submitting surrogates, see C11.

C2.2. CONSER ID Elements

C2.2.1. <u>Encoding level</u>

When authenticating records, CONSER members use MARC 21 encoding levels of # (full level), 4 (core), or 7 (minimal level) rather than the OCLC-defined codes (I and K). This applies to original input and authentication of existing records.

C2.2.2. <u>Record control number</u>

All full and associate CONSER members add an LC control number in subfield $a of field 010 if an LCCN is not already present and the record is not previously authenticated. Cancelled, invalid, or unverified LCCNs are carried in 010 $z.   The content of the 010 $a is especially important because it becomes the record control number (field 001) upon processing by LC. The OCLC control number is moved to the 035 field when the record is converted to MARC 21. For an incoming record to replace an existing MARC 21 record in LC's local database, the records must match on both the LCCN and the OCLC Control Number.   For an incoming record to replace an existing non-LC CONSER record in the CDS serials file, the records must match the LCCN and Date Entered on File (fixed field 008/00-05).

If an incorrectly input LCCN is detected in a CONSER-authenticated record, the CONSER member can consult with LC to determine how to correct field 010 so that the correct LCCN is recorded in both the OCLC, LC and /or CONSER databases. CONSER members may need to delete the incorrect record from the CONSER database prior to correcting the 010 in OCLC. It must be clear, however, which OCLC control number is paired with which LCCN in the CONSER database system before the record deletion is processed. The following information

must be verified before changing the LCCN in the CONSER database:

    OCLC Record   LC/CONSER Record
    OCLC control number =   Field 035
    Field 010 $a   =   Field 001

Once it is clear that a new LCCN needs to be assigned to a CONSER record and that the control numbers match in OCLC and LC/CONSER, then the following steps are performed to delete the incorrect record from the LC/CONSER database and to add the record with the correct number.

     1. Lock the record in OCLC.
     2. Add field 012 $z d.[4]
     3. Replace and relock the record.
     4. Add the correct LCCN to field 010 subfield $a.[5]
     5. Remove $z d from the 012 field.
     6. Replace and update the record.

Once the correct LCCN has been assigned to the CONSER record in OCLC, a cataloger can then make additional changes, as needed.

CONSER members may also receive an emailed error report from the Automated Operations Coordinator, LC Serial Record Division, that indicates an LCCN was input in field 010 in OCLC that is already assigned to a different OCLC control number in LC/CONSER. This situation does not generally require the deletion of a record, but may be resolved by inputting a new LCCN in field 010 subfield $a of the record in error.[6]

CONSER members should consult with LC if there are any questions about assigning LCCN to CONSER records, or any other problems with the distribution or conversion of the record.

C2.2.3. Authentication code

Two authentication codes are defined for use by CONSER members:

Code "lcd" is used in records in which all name headings and series are established, i.e., backed

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[4] If field 012 is already present, add only $z d. If subfield $b is also present in field 012, set the value to "3."

[5] The incorrect LCCN may be moved to subfield $z of the 010 field.

[6] It should first be determined which OCLC control number is, or is not present in LC/CONSER.

by AACR2-coded records in the Name Authority File, and in records for which no name/series headings are appropriate.[7]

Code "msc" is used in records for which one or more name headings are not established; all headings in the records, nonetheless, must be constructed in accordance with AACR2 provisions.

CONSER members **may** add an 042 code to the following records:

1) Records originally input.

2) Existing unauthenticated records

3) Existing records authenticated by NSDP that have only a code of "nsdp" and prepublication records with only a code of "msc." (See C6.1 for instructions regarding NSDP prepublication records).

4) Existing records authenticated as "msc" when the institution is establishing the headings and changing the code to "lcd".

5) Records with an 042 code of "xlc". In some cases, especially with conference publications, a CONSER member may wish to authenticate a serial record on which LC has added xlc to the 042.

6) Records with code "xnlc" may be authenticated by CONSER members by adding "lcd" or "msc" before the "xnlc" code.

CONSER Participants **may not** add an 042 code to the following records:

All records authenticated with an 042 code of "lc", "lcd", or "nlc". (These records are already authenticated at the highest level; "lc" and "lcd" records may, however, be modified per C3.)

C2.2.4. Holding institution code

When authenticating records, CONSER members also report whether they hold the publication by recording their institution symbol in field 850. The reporting symbols are given in the form of the MARC 21 codes found in *MARC Code List for Organizations,* maintained by the Library of

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[7] Prior to 1990, code "msc" was used when no headings were appropriate. For further information, see field 042.

Congress. Prior to 2000, these holding institutions were also listed in *New Serial Titles*. Since the publication *New Serial Titles* ceased with the 1999 subscription year, CONSER members are no longer required to add 850 codes.

For more information, see fields 850 and 012 $i.

C2.3. Name Authority Procedures Relative to Participant Authentication

CONSER libraries submitting name authority records should code the bibliographic record "lcd" even though there will be a slight lag before their submissions appear in the Name Authority File. If the suggested form of name is not accepted, the CONSER Participant will be so informed and must make corrections to the respective bibliographic records. For further instructions, see C4.

| Due to LC's policy for series in bibliographic records, as of June 1, 2006, LC catalogers will no
| longer perform the authority work for series headings without an authoritative form in the Name
| Authority File on behalf of CONSER members.

C2.4 Summary guidelines

C2.4.1. <u>Full or core level cataloging is being performed</u>

    1) Assumptions

        a.   Records will contain all necessary fields required for a full or core level record as stated in the *CEG*

        b.   Records will contain all necessary name/series headings

| c.   Name/series[8] headings are or will be established in the Name Authority File (042 = lcd), or not established but in AACR2 form (042 = msc); or no headings required (042 = lcd)

        d.   Subject headings will appear in the record when appropriate and have been verified as to validity and construction

    2) When creating original records:

| [8] On June 1, 2006, the Library of Congress implemented its decision not to create/update series authority
| records and not to provide controlled series access points in its bibliographic records for resources in series.
| (SERIES AT THE LIBRARY OF CONGRESS: JUNE 1, 2006. URL: http://www.loc.gov/catdir/cpso/series.html).

    a.   Encoding level = # or 4

    b.   010 = LC control number

    c.   042 = "lcd" or "msc" (as appropriate)

3) When adapting existing unauthenticated records:

    a.   Encoding level: change I, K, L, or M to # or 4

    b.   010 = LC control number. If an unverified 010 field is
           present in the record, move the number to subfield $z.

    c.   042 = "lcd" or "msc" (as appropriate)

4)   When further authenticating already authenticated records (permissible only for NSDP records or minimal level records)

    a. Encoding level:

        1 - Upgrade to # or 4 if modifying cataloging based on piece in hand
        7 - Upgrade to # or 4
        8 - See C6.1. If update is permissible, upgrade to # or 4. If update is not
        permissible, do not change record in any way; notify NSDP.

    b.   010:   A control number should already appear in the 010 field; do not
                         change or add another number.

    c.   042:   Code "lcd" or "msc" should be present in NSDP records; change
                         "msc" to "lcd" in NSDP or minimal records

    d.   050:   If present in the record, do not change or remove

5) If record already authenticated by LC is found:

These records are **not** further authenticated by CONSER Participants. However, changes can be made to the record to reflect changes in the publication itself (cf. C3). No changes are made to fields 010, 042, 050, or the encoding level. See these fields for additional instructions.

C2.4.2. <u>Minimal level cataloging is being performed:</u>

1) Assumptions

    a.   Records will contain all necessary fields required for a minimal level record as stated in the CEG.

    b.   Record may or may not contain name/series headings.

    c.   Name/series headings used may be established in Name Authority File (042 = lcd) or not established but in AACR2 form (042 = msc); or no headings (042 = lcd).

    d.   Subject headings may or may not appear in the record; for records created after 1994, subject headings have been verified as to validity and construction.

2) When creating original records:

    a.   Encoding level = 7

    b.   010 = LC control number

    c.   042 = "lcd" or "msc" (as appropriate)

3) When adapting existing unauthenticated records:

    a. Encoding level: K, L, M - Change to 7; I - Change to 4 or #.

    b.   010 = LC control number. If an unverified 010 field is present in the record, move the number to subfield $z.

    c.   042:   Use "lcd" or "msc" (as appropriate)

    d.   050:   If present in the record, do not change or remove

4) When further authenticating an already authenticated record (permissible only for NSDP records or minimal level records):

    a.   Encoding level: change as follows:

        1 - Upgrade to 4 or # if modifying cataloging, based on piece in hand
        7 - Leave as is
        8 - See C6.1. If update is permissible, upgrade to # or 4. If update is not permissible, do not change record in any way; notify NSDP.

    b.   010:   An LC control number should already be in the record; do not change or add another number

    c.   042:   A code of "lcd" or "msc" should be present in NSDP records; if minimal level work is being done, no change should be necessary

    d.   050:   Do not change or remove

| **Related fields, etc.** A4, C1, C6.1, Leader/17, 010, 042, 050

C3. MODIFICATIONS TO RECORDS WITH AUTHENTICATION CODE OF "lc"

CONSER members may modify records with authentication code of "lc" to maintain accuracy and to describe significant changes (e.g., ceased publication).

Upon completion of the initial review period, a Full or Associate participant may obtain from OCLC a CONSER national level ("CON") log-on authorization that permits making updates to all CONSER records.

In general, necessary changes to LC-authenticated (042=lc) records may be made without first notifying LC. Certain categories of change that alter the scope of the record, however, may require notification. For examples of such changes, see C8, C9, and C10.

The chart on the following pages specifies the additions, changes, and deletions to LC-authenticated (042=lc) records that may or may not be made by CONSER members and the situations in which LC must be notified.

ADDITIONS, CHANGES, AND DELETIONS
TO LC-AUTHENTICATED RECORDS
(042=lc)

Data element	Add/change/delete?	Notify LC?
Encoding level	May change 1 to blank if issue in hand May not change 5 to blank	No
010	Do not change or delete	N/A
012	Change $b 0 or 7 to 3 Delete $c x when making **any** change	No No
042	Do not add, change, or delete	N/A
050, 060, 082	May add using 2nd indicator 4	No
070, 074, 086	May add when found on the piece, or as assigned (NAL and GPO)	No
022	Add for unauthenticated or foreign records; do not change if "ndsp" or "isds/c" in 042	No
210, 222	Add for foreign records; do not change if "nsdp" or "isds/c" in record	No
1XX	May change to authoritative form May change choice of entry in pre-AA2 record if converting to AA2	No No
240, 245, 250	May correct obvious errors but not choice of title, etc. May change when converting pre-AA2 to AA2	Yes Yes
246, 300, 310, 321	May add or change as necessary	No
362	May add or change to reflect first/last issue or successive numbering scheme May add or change when converting to AA2	No No
4XX	OK to add or change **490 0** OK to add or change **490 1** if adding or changing 8XX OK to add or change **440** when authoritative form available Any series added or changed = collected in LC	No No No No

C4. AUTHORITY RECORDS

The Library of Congress realized some time ago that it was unable to catalog all items and to establish all headings needed by libraries in the United States. As a result, the Name Authority Cooperative (NACO) Program was begun in 1977 to foster development of the LC/NACO Authority File through cooperative contributions of name and series authority records. Cooperative Subject Cataloging Projects (CSCP) was begun in 1983 to foster development of *LCSH* through cooperative contributions of proposals for new subject headings and changes to existing subject headings. Both programs are currently carried out within the Cooperative Cataloging Team at the Library of Congress.

This chapter addresses procedures related to authority records to be followed by national,[1] full, and associate CONSER participants that have completed the initial training and review period for CONSER, during which period all bibliographic and authority records contributed by the new participant are monitored (see A4.6).

All new CONSER records carry AACR2 forms of name or series[2], whether or not that form of name has an equivalent authority record. The authentication code will indicate whether authority records are available for all headings in a record (see C1, C2, and 042).

Bibliographic records containing names or series for which the authority work is being provided by the CONSER participant are authenticated with the code "lcd".

C4.1. Name Authority Records

C4.1.1. Background and Scope

CONSER cooperation in the area of name authority records (NARs) began in the summer of 1981, with three CONSER participants submitting NARs as part of the NACO Project.

As more CONSER participants started to submit NARs, the Serial Record Division took over responsibility for reviewing and monitoring the records of most participants.

Since April 1988, the technical responsibility for the NARs contributed by participants has been assigned to the NACO Office.

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[1]   The Library and Archives Canada has different authority requirements (see C12).

[2]   The Library of Congress has different policy for series (see SERIES AT THE LIBRARY OF CONGRESS: JUNE 1, 2006. URL: http://www.loc.gov/catdir/cpso/series.html).

C4.1.2. Establishing an authoritative form of name

CONSER participants apply *AACR2* and *LC Rule Interpretations* in the formulation of name headings and cross references. The participants follow the procedures in the *Descriptive Cataloging Manual* (DCM Z1) to prepare the associated NARs.

As part of establishing a name, the LC/NACO Authority File and LC bibliographic files, as found on OCLC or the LC ILS, must be searched to determine whether the name has already been established.

Participants also identify LC monograph records or CONSER records that contain the name being established and, if necessary, change the name on the CONSER records. The monograph records are reported to NACO for modification by LC.

C4.1.3. Canadian Headings [See also C12.5]

When creating NARs for Canadian headings, the CONSER participant may check the Library and Archives Canada authority file in AMICUS (http://www.collectionscanada.ca/amicus/). If the heading is found, a citation to LAC authority file is given. If the heading is not found, or if AMICUS is not available for searching, the CONSER participant:

1.   Creates an NAR for the heading.
2.   Asks the Coop liaison at LC to request verification from LAC (cf. DCM Z1, Appendix for Canadian Headings).
3.   After receiving the verification, adds a 670 to the NAR to show LAC was consulted.

If a heading is in the LC/NACO Authority File, the CONSER participant may add cross references to the NAR. CONSER participants may add Canadian headings to LAC-authenticated records if the heading has been established by LAC or if NACO is contacted.

C4.1.4. Difficult and Problem Name Headings

If a participant has difficulty in establishing or updating a name heading due to complexities having to do with the language or related established headings, the participant may create or update the record and ask the Serial Record Division to review it. When necessary the appropriate surrogates are sent along with the request.

Alternatively, the institution can input a minimal level bibliographic record authenticated as "msc", and not attempt to make a name authority record.   The participant may not, however,

code as "msc" any record with a heading that conflicts with an existing NAR. If a heading appears in a 410 field on a NAR and the heading is also a valid form of the name, the heading is separately established, the cross reference removed, and the record coded as "lcd." NARs that contain such cross references may also contain a note in field 667 that indicates that the headings are legitimate AACR2 headings; however, the note does not always appear and its absence does not mean that the heading might not be legitimate. If the heading cannot be established by the cataloging institution, the NAR may be referred to LC along with all available documentation.

C4.1.5. <u>NARs Review and Verification</u>

Independent NACO status is required prior to joining CONSER. A designated trainer reviews all or a sampling of NARs submitted by the CONSER participant during their initial training period. Once in independent status, a participant may ask the Serial Record Division to review NARs when having difficulty in establishing or updating a name heading. (See C4.1.4.)

C4.2. Series Authorities

CONSER participants create SARs online under the technical direction of NACO liaison. PCC participants should send questions about creating, updating SARs and report duplicates to their NACO liaisons. Other libraries should report duplicates to the Cataloging Policy and Support Office (cpso@loc.gov).[3]

The participant may authenticate the bibliographic record as "lcd" at the time the inquiries are sent.

C4.3. Subject Authorities

Optionally, CONSER participants submit new subject headings and revisions to subject headings for *LCSH*.

C4.3.1. <u>Background</u>

CONSER libraries have had the opportunity to contribute to *LCSH* since the Library of Congress issued an invitation in the Summer 1988 *Cataloging Service Bulletin* for interested individuals to begin submitting proposals. CONSER libraries were further encouraged to contribute proposals at the 1993 Subject Seminar.

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[3]   See PCC Series FAQ. URL: http://www.loc.gov/catdir/pcc/bibco/seriesfaq.html#11.

C4.3.2. Establishing Subject Headings

Libraries interested in contributing proposals for new subject headings and changes to existing subject headings for *LCSH* may submit a Subject Authority Proposal Form online at http://www.loc.gov/catdir/pcc/prop/proposal.html or complete the proposal form (http://www.loc.gov/catdir/pcc/saco/sacopropform.html) and mail to the Internet address: saco@loc.gov or print, complete, and fax to: (202) 707-2824. For more information, contact:

> John N. Mitchell
> SACO Coordinator
> Voice: (202) 707-5772
> Email: jmit@loc.gov
> Fax: (202) 707-2824

C4.4. Communication

Participants may communicate with LC via electronic mail, telephone, or fax.

Cooperative Cataloging Team	Serial Cataloging Sections
Regional and Cooperative Cataloging Division	Serial Record Division
Library of Congress	Library of Congress

Team Leader: Voice: (202) 707-2822
Email: afra@loc.gov
Fax: (202) 707-2824

Sec. I, Head: Voice: (202) 707-0116
                Email: lgei@loc.gov
Sec. II, Head: Voice: (202) 707-6326
                Email: luba@loc.gov
Sec. III, Head: Voice: (202) 707-3331
                Email: gbus@loc.gov
Fax: (202) 707-1778

Problems that are difficult to resolve via the phone are mailed or faxed with appropriate documentation to the participants. Responses can be through whatever means is preferred by the participant.

C4.5. Documentation

NACO supplies CONSER/NACO participants with a single set of *DCMs* and *RIs.* For additional documentation, tools, rules, etc, consult the NACO Web site at http://www.loc.gov/catdir/pcc/naco/naco.html.

C8. RECORD CONSOLIDATION/SEPARATION

C8.1 Background

Differences between pre-AACR2 and AACR2 cataloging rules as well as Library of Congress Rule Interpretations for AACR2 have, in some instances, reduced or expanded the number of bibliographic records currently needed to describe a serial. The procedures in C8. describe record consolidation and separation. The 2002 revisions in AACR2 rules and LCRIs have in some cases reduced the number of AACR2 records needed; but existing authenticated records and series authority records generally should not be consolidated because of these changes (see CEG B4.3). Do, however, consolidate authenticated AACR2 records when separate records were created in error.

C8.1.1. <u>General guidelines</u>

Modify the selected record to conform to AACR2, remembering that this can be done only with a piece in hand. If already AACR2, modify to reflect the application of the appropriate rule or rule interpretation.

Record consolidation must not result in the loss of cataloging information. CONSER catalogers should evaluate data elements appearing in the superseded record but not appearing in the selected record and, if necessary, add or suggest that those data elements be added to the selected record. The amount of editing to be done on the retained record is determined by the available information in hand and/or issue consulted.

C8.1.2. <u>Restrictions on processing</u>

CONSER members may consolidate or separate any sets of records regardless of whether the records are authenticated or unauthenticated (unless one or more has been authenticated by LAC or ISDS/C). Members **do not delete** records that are not selected to be retained, however. If all of the records are unauthenticated, the CONSER cataloger notifies OCLC to delete the record(s). If one or more of the records to be deleted is authenticated, the cataloger notifies LC which handles the deletion of the record(s) from the LC and OCLC databases.

1) LAC **or ISSN Canada authenticated records**

CONSER members may not consolidate records authenticated by LAC or ISSN Canada. LAC will not consolidate records in order to apply current rules and rule interpretations which were not in effect at the time of the original cataloging. For more information, see C12.4.2.

2) **NSDP authenticated records for which there is more than one ISSN**

Because of the importance of the ISSN, which is printed on serials and used for control in many files, LC generally will not consolidate records that have more than one NSDP validated ISSN. CONSER members must consult first with NSDP before consolidating records with valid ISSNs, to know if NSDP is willing to cancel one or more ISSN and to find out which ISSN to keep. To expedite processing, notify NSDP via fax (202-707-6333).

3) **CONSER authenticated records**

All work to amend the records may be done by the CONSER member but cancellation of records must be done by LC to clear the records from the LC data base, as well as the distributed CONSER file. See C8.2.4. Generally do not consolidate authenticated AACR2 records only because of changes in AACR2 cataloging rules or LC rule interpretations regarding instances that require a new record.

4) **LC cataloged records**

Records that have been given full, core, or minimal level cataloging by LC catalogers may also be consolidated by CONSER members; however, LC requires additional information so that the cataloging can be verified and internal files maintained. LC must cancel the superseded records. See C8.2.5.

5. **Unauthenticated OCLC records** CONSER libraries may for various reasons consolidate unauthenticated records. See CEG B3.2 for further information.

C8.2. Record Consolidation

C8.2.1. <u>Definition</u>

Record consolidation is the merging of information from multiple serial records into fewer records, and the deletion of records no longer needed to describe a serial. The records to be deleted are called superseded records. Record consolidation involves selecting a record to retain, modifying that record, and reporting superseded records for deletion.

C8.2.2. <u>Selection</u>

Record consolidation requires the selection for modification of one among several existing records and the consequent identification of the superseded records for deletion. A new record is <u>not</u> input to circumvent record sets in need of consolidation.

1)   Select the record with the highest level of authentication.

   a. lc ǂa nsdp
   b. lc
   c. lcd
   d. nsdp
   e. msc <u>or</u> nst

2)   In all other cases, and if ties result in applying item 1. (e.g. 2 records with lcd in field 042), select the record with the earliest date of coverage given in the fixed field.

C8.2.3. <u>All candidate records unauthenticated</u>

CONSER cataloger:

1)   Make all necessary changes to the bibliographic fields of the selected record, transferring all pertinent data that might be found in the duplicate (non-selected) record(s). Do not add or delete local fields for which OCLC is responsible (C8.2.7).

    If questions arise concerning the transfer of data elements, contact the participant that is responsible for the field. Contact NSDP for questions concerning the 510 field.

2)   Authenticate the record to be retained and replace the master record.

3)   Report superseded records to OCLC using the CON/SEP report form. Add in field 936 on the superseded records:

     936 RECORD REPORTED FOR DELETION--USE OCLC # ...

C8.2.4. <u>One or more candidate records to be deleted is authenticated (none cataloged by LC)</u>

Attributes: 042 = lc, lcd, msc, nsdp; 010 = sc or sn prefix, if the records were created before 2000. After 2000, the only CONSER institutions that use an sn prefix are US Newspaper Program participants and LC newspaper catalogers.

CONSER cataloger:

1)   Make all corrections online to the record selected to be retained, except for fields that are maintained by OCLC (C8.2.7) or by LC or LAC (C8.2.8).

2)   Add a note in field 936 in the superseded record(s):

>   *936 RECORD REPORTED FOR DELETION--USE OCLC # ...*

3)   Update and replace the records.

| 4)   Transfer necessary data elements from the list below (C8.2.8)

| 5)   Take the necessary steps to delete the superseded records from the LC and OCLC
     databases.

C8.2.5. <u>One or more records cataloged and authenticated by LC (title is in LC's
collection)</u>

Attributes: 042 = lc, lcd, msc; 010 = unprefixed or non-CONSER prefixed, or sf
prefixed; 050 = call no., WMLC shelf no., IN PROCESS, etc.; second indicator = value
"0"

CONSER cataloger:

1)   Select the record to be retained and make a printout of the record **before** any modifications
     are made.

2)   Make all necessary changes to the retained record, including converting pre-
     AACR2 cataloging to AACR2 and transferring appropriate information from the records
     being reported for deletion. **Do not change field 010 or field 042.**

3)   Add in field 936 on superseded record(s):

>   *936 RECORD REPORTED FOR DELETION--USE OCLC # ...*

4)   Send to LC by fax (202-707-1778) :

     a. the CON/SEP report form (note consultation with NSDP if appropriate)
     b. a copy of the original retained record (i.e., before modification)
     c. a surrogate of the chief source for the issue upon which the description of the
          retained record is based.

LC cataloger:

1) Review the modified record and surrogate.

2) If consolidation is considered **appropriate**, transfer necessary data elements from the list in 8.2.6.3 below and take the necessary steps to delete the superseded records from the LC and OCLC data bases, as well as from LC internal files such as SERLOC, the serial record, and the shelf list.

3) If consolidation is considered **not appropriate**, return the request to the CONSER Participant with instruction that the records be returned to their original state.

C8.2.6. Fields that are transferred by **CONSER catalogers**

CONSER catalogers transfer all fields that would be appropriate to the retained record, with the exception of proprietary fields listed below.

Several CONSER members input data elements that are considered optional by the NLBR-S but that are unique to the records of these participants. These elements should be added, by the CONSER cataloger performing the consolidation editing, to the selected record if they appear in the superseded records but not in the selected record. These data elements include the following:

| GPO | 074 | GPO Item No. |
| | 086 | GPO Class No. |

NAL	070	NAL Call No.
	072	NAL Subject Category Code
	6XX X3	NAL Subject Heading

NLM	060	NLM Call No.
	069	NLM CATLINE No. and Serials Control No.
	6XX X2	NLM Subject Heading

| A&I | 510 | Citation note (The code "AIP" will often appear in the 040 field of records authenticated as part of the Abstracting & Indexing Coverage Project. These records are maintained by NSDP, ISDS/C, NLM, NAL, and Affiliate CONSER members.) |

C8.2.7. Fields that are transferred by **OCLC:**

019	OCLC Control Number Cross Reference
035	Local System Number
090	Locally Assigned LC Number

092	Locally Assigned DDC Number
096	Locally Assigned NLM Call Number

| C8.2.8. <u>Fields that are transferred by **LC or** <u>LAC</u></u>

Alphabet	Original Alphabet of Title
ISDS	ISDS Center Code
010	LCCN
012	Terminal Display
016	LAC bibliographic record control number
022	ISSN
032	Postal Registration No.
042	Authentication Agency Code
050 X0	LC Call Number
051	LC Copy, Issue, Offprint Statement
055	Call/class numbers assigned by LAC
082 X0	DDC Number
086 1X	Government document number
210	Abbreviated Title
222	Key Title
6XX-5	LAC English subject headings
6XX-6	LAC French subject headings
850	Holdings
890	LC Visible File Entry
901	Numbered Copy Information
911	LC X-copy Information

C8.3. Record Separation

C8.3.1. <u>Definition</u>

In a few instances, differences between AACR2 and earlier cataloging rules may require breaking up one record into more records. Most often, this would result in retaining and modifying the initial successive record and creating an additional record, with some information from the initial record being transferred to the new record. This process is called record separation, or simply "breaking-up" a record.

C8.3.2. <u>Selection</u>

For record separation, there is usually only one record from which to select. Use this record to reflect the earliest chronological cataloging for the set of records, entering new records for the later portions of the publication.

If there is more than one record already online, apply the selection criteria given in C8.2.2., combined with the guidance in the paragraph above as appropriate.

C8.3.3. Record is unauthenticated or CONSER authenticated (not cataloged by LC)

Attributes: 042 = lc, lcd, msc, nsdp, nst; 010 = sc, sn

CONSER cataloger:

1) Edit, authenticate, and replace record.

2) Input, authenticate, and update additional records. Add CONSER-specific fields to new record as appropriate.

3) Complete a CON/SEP report form and send to OCLC for transfer of holdings and other fields as necessary.

C8.3.4. Record is cataloged and authenticated by LC

Attributes: 010 = unprefixed or non-CONSER prefix, or sf-prefixed; 042 = lc, lcd, msc

CONSER cataloger:

1) Make a printout of the existing record.

2) Edit and update record. Input and authenticate additional record(s) as above.

3) Report records to LC via fax (202-707-1778), including:

a. CON/SEP report form
b. Record before modification
c. Surrogate of chief source on which description was based

LC cataloger:

1)   Review modifications.

2)   Take steps necessary to correct internal files (serial record, SERLOC, shelf list, etc.)

3)   Forward CON/SEP report form to OCLC for transfer of fields and holdings.

CONSER   **CON/SEP REPORT**

1. Use this form to request processing of record consolidations or separations by CONSER Centers of Responsibility or OCLC. Use one form per type of request.	Reported by: (OCLC symbol)_____
2. If no records were previously authenticated, send completed form to OCLC. If one or more records previously authenticated, send by fax to LC (202-707-1778), LAC, or NSDP (202-707-6333).	Prep. by: _____ Date:
3. For further instructions, see CONSER Editing Guide, C8.	

CONSOLIDATION REQUEST

Retained Record   Superseded Records

Comments:

SEPARATION REQUEST

Original Record   Newly Input Records

Comments:

C11. SURROGATES

C11.1. Definition and Purpose

A surrogate is a substitute for the issue on which a cataloged entry is based. The purpose of a surrogate is to provide documentation for use in authenticating and modifying CONSER member records and should, therefore, include pages that support the bibliographic description of the item and that show the presentation of names used as headings in the cataloged entry. Surrogates are, generally, photocopies of a serial issue's title page, cover, masthead, etc., but actual pages or issues of serials may be submitted in lieu of a surrogate.

C11.2. When To Send a Surrogate

Send a surrogate to LC:

1) When requesting assistance with the authentication of a title;

2) When requesting changes to LC-authenticated records that are not permitted to CONSER members;

3) When requesting reconciliation of conflicting, erroneous, or overlapping bibliographic records when LC has holdings (Cf. C7.5);

4) When sending questions about creating and updating SARs or reporting duplicate series authority records to NACO liaisons;

5) When submitting a NACO name authority record for a heading in Chinese, Japanese, or Korean;

6) When requesting an ISSN assignment from NSDP or ISSN Canada (Cf. C6.) or when reporting to NSDP an incorrect ISSN on the issue.

C11.3. What To Send

A surrogate must always include the chief source of information on which the description of the cataloged entry is based (i.e., the title page or title page substitute). In addition, a surrogate should include any other pages needed to document areas 1-4 and 6 of the description (i.e., Title and statement of responsibility, Edition, Numeric and/or chronologic designation, Publication/distribution, and Series), and name headings not found in the LC/NACO Authority File.

For microforms, a photocopy printed from a microreader-printer is preferred, but a surrogate made from a printed issue may be substituted if there is no difference between the two. In addition, include a photocopy of the fiche or container if they include eye-readable supplemental information (e.g., a different title on header, additional numbering, or manufacturer of the microreproduction).

Photocopies of letters from publishers, subscription agents, etc. may be used as supporting evidence of ceased publications, title changes, etc.

C11.4. How to send surrogates

In the upper right corner of each surrogate write your OCLC institution symbol and the OCLC control number of the record represented by the surrogate.

C11.4.1. Send requests for authentication, modification, or assistance for U.S. imprints to:

> Serials Cataloging Sections
> Serial Record Division
> Library of Congress
> Washington, DC 20540-4160

C11.4.2. Send requests for ISSN and key title assignments (for U.S. imprints only) to:

> National Serials Data Program
> Serial Record Division
> Library of Congress
> Washington, DC 20540-4160

NOTE: See C6 for details.

C12. CANADIAN/LAC RECORDS

This chapter explains major differences in practice between the Library and Archives Canada and other CONSER participants and outlines the modifications CONSER catalogers may or may not make to LAC authenticated records.

"LAC-authenticated records" are records for Canadian imprints that have been authenticated by the Library and Archives Canada or ISSN Canada. "Canadian imprint records" are records for Canadian imprint publications that have not been authenticated by LAC. LAC-authenticated records are identified by the presence of nlc or isds/c in field 042 and may be modified by CONSER catalogers, subject to the restrictions cited in the Modification Chart below, and without notification to LAC. Canadian imprint records may be modified and authenticated by CONSER catalogers without any notification to LAC. LAC will further authenticate the record when the publication is processed.

C12.1. Background

The Library and Archives Canada, as a Center of Responsibility, authenticates its own and other CONSER participants' records for Canadian imprints and serials of Canadian interest. ISSN-related elements (e.g., ISSN, key title) are supplied by ISSN Canada for Canadian imprints and any foreign imprints for which ISSN Canada has taken responsibility after agreement with another national center (e.g., Acta Press). Most ISSN Canada records are also LAC-authenticated.

LAC uses *AACR2* and has its own set of rule interpretations, which to a great extent parallel LC rule interpretations. LAC follows the *CEG* in terms of system requirements when inputting and revising Canadian records online in CONSER.

LAC catalogs on AMICUS (LAC automated system) and contributes records to the CONSER database by sending MARC 21 tapes to OCLC (see A3.3.2.). For this reason, CONSER Participants are restricted from making certain changes to LAC authenticated records, as noted below (C12.2.3.).

LAC-authenticated records are identified by the presence of code "nlc" in field 042. Those which have also been authenticated by ISSN Canada will also have code "isds/c" in the 042 field. Records with just the latter code are rare but are to be considered LAC-authenticated for CONSER purposes.

C12.2. Summary of What CONSER Participants May or May Not Do

C12.2.1. <u>CONSER cataloguers may:</u>

1).   Authenticate Canadian imprint records not authenticated by LAC.

2).   Convert pre-AACR2 Canadian imprint records to AACR2 as long as this does not result in the consolidation and/or deletion of 1 or more LAC authenticated records. [C12.4.3.]

3).   Modify LAC authenticated records subject to the restrictions cited in the Modification Chart below. [C12.2.3.]

4).   Create an English record when the only record online is a LAC French record. [C12.3.1.]

5).   Create a microform record when the only record online is a LAC microform record. [C12.3.2.]

6).   Change the heading for a name or series in pre-AACR2 LAC authenticated records that conflict with the established form in the LC/NACO Authority File.

7).   Add or delete subject headings to/from LAC authenticated records.

C12.2.2. <u>CONSER cataloguers may not:</u>

1).   Further authenticate LAC authenticated records (except the Library of Congress).

2).   Consolidate LAC authenticated records. [C12.4.3, C8]

3).   Change a French record to English. [C12.3.1.]

4).   Use LAC microform reproduction records. [C12.3.2.]

5).   Establish headings for Canadian bodies without first going through NACO [C12.5, see also C4.1.3.]

CONSER participants MAY add to, change, or delete fields and/or data elements according to the following chart without notifying LAC.

C12.2.3. Modification Chart

ADDITIONS, CHANGES, AND DELETIONS TO LAC-AUTHENTICATED RECORDS

Data element	**Add/Change/Delete?**
Leader c.p.17 (encoding level)	May change
008	May change
010	Do not add (except LC), change or delete
016	Do not add, change or delete
022	Do not add, change or delete
041	May add, change or delete
042	Do not add **(except LC)**, change or delete
043	May add, change or delete
055	May add, change or delete
082	May add, change or delete
1XX	May add, change or delete
210, 222	Do not add, change or delete
240	May add, change or delete
245	May change

246	May add, change or delete
250	May add, change or delete
260	May change
300	May change
310, 321, 362	May add, change or delete
4XX	May add change or delete (may require 8XX change or addition)
5XX (except 510)	May add, change or delete
510	May add
6XX	May add, change or delete
700-740	May add, change or delete
760-787	May add, change or delete
800-830	May add, change or delete (may require 4XX change or addition)
856	May add, change, or delete
886	Delete fields corresponding to 110 or 1st 710 if additions, changes or deletions are made to headings. All 886 fields may be deleted if a "too many variable fields" error occurs.

C12.3. Differences Between LAC Records and Other CONSER Records

LAC records may contain certain fields and data elements that are assigned only by LAC. In addition, cataloging practices vary because of rule interpretations and system requirements. Major differences occur in two categories of serials--bilingual serials and microforms--described below.

12.3.1. Bilingual serial records

English and French are both recognized legally as official languages in Canada. If a serial is bilingual (i.e., contains substantive portions of text in English and French), LAC creates two separate records, one in English and the other in French. Unilingual English and French serials are described only in English or French, respectively.

Aside from the presence of notes in French, French records can be identified by the presence of "fre" in subfield $b of field 040. If the French record represents a bilingual serial, the LC control number (010 subfield $a or $z) will have a "cf" prefix. If, however, the French record represents a serial that is only in French, the control number will have a "cn" prefix. If the serial begins as a French only publication and later becomes bilingual, an English record is created but the 010 and 016 do not change in the French record (i.e., they are not changed to "cf").

CONSER practice:

> French language records (040 $b fre) are **not** used by CONSER participants because the notes appear in French. If a French language record is the only record found for a serial that is all in French, the CONSER participant inputs a second record using English notes, subject headings, etc. These are considered permissible parallel duplicates (see C7).

12.3.2. Microreproductions

LAC catalogs microreproductions according to the provisions of AACR2 chapter 11 and LAC's rule interpretations (rather than according to LCRI 11.0A). LAC reproduction microform records can be recognized by the presence of field 534 which contains details of the original (other CONSER records include field 533 which contains details of the reproduction).

CONSER practice:

> LAC microform records are considered permissible duplicates. If the LAC record is the only record on OCLC, the CONSER participant inputs a record created according to the provisions of LCRI Chapter 11 (i.e., description based on original with details of the microform given in field 533).

C12.4. CONSER Cataloger Actions Relating to LAC Authenticated Records

12.4.1. <u>AACR2 records</u>. LC and CONSER catalogers may add, change, or delete data to LAC authenticated AACR2 records, according to the modification chart above (C12.2.3.).

12.4.2. <u>Pre-AACR2 records</u>. LC and CONSER catalogers use pre-AACR2 LAC-authenticated records or convert such records to AACR2 when considered necessary, provided that the conversion does not result in the consolidation of one or more LAC-authenticated records (see below). LAC will not convert records to AACR2 nor consolidate them to conform to current standards. Name or series headings that conflict with the established form in the LC/NACO Authority File may be changed to the established AACR2 form by CONSER catalogers.

12.4.3. <u>Consolidation of records (pre-AACR2 and/or AACR2)</u>. LAC will not retrospectively recatalog in order to consolidate AACR2 or pre-AACR2 records by applying current rules and rule interpretations which were not in effect at the time the records were created. LAC will also not change the main entries of records from name to title, or change the qualifying terms in a uniform title from name to place, in order to consolidate a series of linked records.

When a serial whose title has not changed has been cataloged under a succession of corporate bodies according to pre-AACR2 rules, and an issue is in hand with a different body for which there is no record, CONSER practice would normally be to consolidate the records and convert to AACR2 with entry under title (when appropriate). Rather than consolidating the records in such situations, LAC creates a new AACR2 record entered under a uniform title qualified by the corporate body. CONSER catalogers may also follow this practice.

C12.5. Name Headings

12.5.1. <u>Background</u> (see also C4.1.3.)

LAC is the authoritative agency for the establishment of Canadian corporate bodies. These include both government bodies and non-government bodies located in Canada. Non-Canadian bodies that are found on Canadian imprints are not considered to be Canadian headings.

| LAC does not input name authorities to the LC/NACO Authority File (NAF). Therefore, **headings found in LAC records may not be found in the NAF.** Once LC has used the heading, however, it will appear in the NAF. LAC's authority records are available on the microfiche, *Canadiana Authorities* and on AMICUS (LAC automated system).

LAC establishes all Canadian corporate bodies (except Quebec government bodies) in English or French, or both when both forms exist or when a qualifier is different in English and French.

> *University of Toronto* (English form only)
> *Library and Archives Canada = Bibliothèque et Archives Canada* (both forms exist)
> *D.O.A. (Musical group) = D.O.A. (Groupe musical)* (Qualifier necessitates both headings)

12.5.2. <u>Quebec headings</u>

LAC establishes Quebec corporate headings, except those for provincial government bodies, in English or French, or both when both forms exist or when a qualifier is different in English and French. Quebec government headings are established only in French. (Some of them have been established in both English and French in the past.)

Examples:

1. Source: A unilingual English serial with a corporate body existing in <u>English form only</u>.

   Transcription:

> *245 04   The news spreader.*
> *710 2   Quebec Young Farmers.*

2. Source: A unilingual French serial with a corporate body existing in <u>French form only.</u>

>   245 03   *Le producteur de lait québécois.*
>   710 2   *Office des producteurs de lait du Québec.*

3. Source: A bilingual serial with a corporate body existing in both <u>English and French</u>:

   Transcription of an English version record (a record cataloged in English):

>   130 0   *Guide Montréal (Hotel Association of Greater Montréal)*
>   710 2   *Hotel Association of Greater Montréal.*

   Transcription of a French version record (a record cataloged in French):

>   130 0   *Guide Montréal (Association des hôtels du Grand Montréal)*
>   710 2   *Association des hôtels du Grand Montréal.*

4. Source: A unilingual English serial with a corporate body existing in both English and French forms because the <u>qualifier differs in English and French (i.e., (Firm) and (Firme))</u>.

   Transcription of a record cataloged in English:

>   130 0   *Investment news (Montréal, Quebec)*
>   245 00   *Investment news.*
>   710 2   *Lévesque, Beaubien, Geoffrion (Firm)*

   Note: The French form of the name of the body which is Lévesque, Beaubien,
   Geoffrion (Firme) will be used on a record cataloged in French if such a record is
   ever created. The uniform title would be qualified with (Montréal, Québec). In
   this case, LAC does not need a French version record.

5. Source: A unilingual French serial with a corporate body qualified by a place name that has
both an English and a French form because the <u>qualifier differs in both English and French (e.g.,
(Quebec) and (Québec)) or (B.C.) and (C.-B.)</u>.

   Transcription of a record cataloged in French:

>   110 2   *Montréal-Nord (Québec)*
>   245 00   *Bulletin spécial sur le budget / $c Ville de Montréal-Nord.*

3) Rare serials cataloging: The Rare Books and Manuscripts Section of the Association of College and Research Libraries has developed a list of standard relator terms for use with rare materials. Subfield $4 (relator code) is used to identify the standard list from which the term is taken. When the term pertains to a "copy-specific" added entry, subfield $5 (copy-specific institution) is also used.

Subordinate unit (X11). Subfield $e contains a subordinate subheading used with the name of a conference.

111 2# International American Conference. $e Delegation from Haiti.

$f   **Date of a work** [Pre-AACR2 in 1XX fields]. Used with AACR2 only after subfield $t in 6XX, 7XX, and 8XX fields when subfield $t is derived from field 240 on the related record.

700 1# Hills, John, $c surveyor. $t Sketch of Allens town, June 1778. $f 1976.

$g   **Miscellaneous information** [Pre-AACR2 in fields 110, 111, and 711]. Subfield $g is used for any miscellaneous data element that occurs in a heading and which cannot be identified by any other subfield code.

110 1# Minnesota. $b Constitutional Convention $d (1857 : $g Republican)

$k   **Form subheading.** Subfield $k contains standardized phrases added to a heading to gather together in a file the records for certain kinds of materials. Under AACR2 these phrases are used to form the uniform title (field 240) and are not included in name headings; thus, this subfield is rarely used for serials. The only form subheadings valid for AACR2 are: Manuscript; Protocols, etc.; Selections.

110 2# British Library. $k Manuscript. $n Arundel 384.
710 1# France. $t Treaties, etc. $g Poland, $d 1948 Mar. 2. $k Protocols, etc. $d 1951 Mar. 6.

$l   **Language of a work.** Subfield $l is used in uniform title fields 130 and 240. It is

also used following the subfield $t in the title portion of a name/title entry when the title is derived from field 240 on the related record. It contains the language of a translation used in conjunction with the title of the original work.

$m   Medium of performance for music. This subfield is applicable only to music.

> *100 1# Debussy, Claude, $d 1862-1918. $t Images, $m piano.*

$n   Number of part/section of a work. (X00) Subfield $n contains the number of a part or section used in the title portion of a name/title entry. [Pre-AACR2 for field 100.]

Number of part/section/meeting. (X10 and X11) 1) Used for the number of a part or section in the title portion of a name/title entry. 2) Used for the number of a conference. Subfield $n is rarely used with serials in conference headings since numbering information is generally recorded with an institution's holdings.

> *111 2# Vatican Council $n (1st : $d 1869-1870)*

$o   Arranged statement for music. This subfield is applicable only to music.

$p   Name of part/section of a work. [Pre-AACR2 for fields 1XX.] Subfield $p contains the name of a part or section following subfield $t in the title portion of a name/title heading.

$q   Fuller form of name. (X00) Subfield $q contains parenthetical qualifiers which are expansions of initials in personal names. It may also contain an unused forename (i.e., a forename not represented by an initial).

> *100 1# Smith, Elizabeth $q (Ann Elizabeth)*

Name of meeting following jurisdiction name entry element. (111) [Pre-AACR2]

$r   Key for music. This subfield is applicable only to music.

$s   Version. Subfield $s is used only following subfield $t in the title portion of a name/title heading when the title is derived from field 240 on the related record.

100 MAIN ENTRY--PERSONAL NAME (NR)

First indicator--Type of personal name entry element

Second indicator

0 Forename only
1 Surname
3 Family name [Pre-AACR2]

Undefined

Subfield codes

a Personal name (NR)
b Numeration (NR)
c Titles and other words associated with the name (R)
d Dates associated with a name (NR)
e Relator term (NR)
f Date of a work (NR) [Pre-AACR2]
g Miscellaneous information (NR) [NLC use only]
| **h** Medium (NR) [Obsolete]
k Form subheading (NR) [Pre-AACR2]

l Language of a work (NR) [Pre-AACR2]
n Number of part/section of a work (R) [Pre-AACR2]
p Name of part/section (R) [Pre-AACR2]
q Fuller form of name (NR)
| **s** Version (NR) [Obsolete]
t Title of a work (NR) [Pre-AACR2]
u Affiliation [Not used]
4 Relator code
6 Linkage (NR)

Description/Instructions

Field 100 contains personal names used as main entries. Words, phrases, initials or symbols used by an author to conceal his identity are considered to be personal names.

The use of personal name main entry for serials is greatly restricted under AACR2 and thus, this field is infrequently used.

First indicator

The first indicator describes the form of the name. For detailed instructions and additional examples see Headings--General Information.

0 - Forename only

> *100 0#   Norodom Sihanouk, $c Prince, $d 1922-*

1 - Surname

> *100 1#   VanCleemput, W.M. $q (William Madga), $d 1945-*
> *100 1#   Rousseau-Darnell, Lyse.*

Subfields

For serials, the most commonly used subfields, in input order, are: $a, $q, $d. For a description and examples of other subfields defined for this field see Headings--General Information.

$a Personal name.

> *100 1#   Williams, Martha E.*
> *100 1#   St. John, Edward P.*

$q Fuller form of name

> *100 1#   Gresham, G.A. $q (Geoffrey Austin)*
> *100 1#   Huggins, Kenneth $q (Kenneth Royce), $d 1949-*

$d Dates associated with a name

> *100 1#   Crosby, Everett Uberto, $d 1871-1960.*
> *100 1#   Kim, In-sik, $d fl. 1972-*

Related fields, etc. Headings--General Information, 600, 700, 800.

110 MAIN ENTRY--CORPORATE NAME (NR)

First indicator--Type of corporate name entry element

Second indicator

Undefined

0 Inverted name [Pre-AACR2]
1 Jurisdiction name
2 Name in direct order

Subfield codes

a Corporate name (NR)
b Subordinate unit   (R)
c Location of meeting (NR)
d Date of meeting or treaty signing (R)
e Relator term (NR)
f Date of a work (NR) [Pre-AACR2]
g Miscellaneous information (NR) [Pre-AACR2]
| **h** Medium (NR) [Obsolete]
k Form subheading (R)

l Language of a work (NR) [Pre-AACR2]
n Number of part/section/meeting (R)
p Name of part/section of a work (R) [Pre-AACR2]
| **s** Version (R) [Obsolete]
t Title of a work (NR) [Pre-AACR2]
u Affiliation [Not used]
4 Relator code
6 Linkage (NR)

Description/Instructions

Field 110 contains a corporate body heading used as main entry. A corporate body is defined as any organization or group of persons that is identified by a name and that acts or may act as an entity. Included in this definition are: associations, institutions, business firms, governments and their agencies, ships, churches, and programs. Conferences that are entered subordinate to a corporate body are also recorded in field 110.

First indicator

The first indicator signals the type of corporate body name heading. Value "1" is used when the corporate body is a place or a place followed by a name. Value "2" is used with all other names.

Subfields

For serials, the most commonly used subfields, in input order, are: $a, $b. For a description of other subfields defined for this field see Headings--General Information.

$a Name. Input the first unit of the name in subfield $a. Qualifiers that are given in parentheses following a corporate name that are not part of the name are included in subfield $a.

> *110 1# Birmingham (Ala.)*
> *110 2# Bell and Howell.*
> *110 2# Friedrich Witte (Firm)*
> *110 2# Scientific Society of San Antonio (1892-1894)*
> *110 1# Berlin (Germany)*

$b Each subordinate unit in hierarchy

> *110 1# United States. $b Congress.*
> *110 2# American Medical Association. $b Meeting.*
> *110 1# Minnesota. $b* Dept. of Natural Resources. *$b* Hydroelectric Power Division.

Related fields, etc. Headings--General Information, 111, 610, 710, 810.

111 MAIN ENTRY--MEETING NAME (NR)

First indicator--Type of meeting name entry element

0 Inverted name [Pre-AACR2]
1 Jurisdiction name [Pre-AACR2]
2 Name in direct order

Second indicator

Undefined

Subfield codes

a Meeting name or jurisdiction name as entry element (NR)
c Location of meeting (NR)
d Date of meeting (NR)
e Subordinate unit (R)
f Date of a work (NR) [Pre-AACR2]
g Miscellaneous information (NR) [Pre-AACR2]
h Medium (NR) [Obsolete]
k Form subheading (NR) [Pre-AACR2]

l Language of a work (NR) [Pre-AACR2]
n Number of part/section/meeting (NR)
p Name of part/section of a work (R) [Pre-AACR2]
q Name of meeting following jurisdication name entry element (NR) [Pre-AACR2]
s Version (NR) [Obsolete]
t Title of a work (NR) [Pre-AACR2]
u Affiliation [Not used]
4 Relator code
6 Linkage (NR)

Description/Instructions

Field 111 contains named conferences, meetings, and events (exhibitions, expositions, athletic events, fairs, festivals, etc.) used as main entries.

For names of conferences or meetings entered as subheadings under the names of corporate bodies (e.g., American Library Association. Conference), use field 110.

Before tagging a name as 111, be certain that it represents a meeting or an event rather than an organization. For example, Congress of Neurological Surgeons, a professional society, should be tagged 110, not 111.

The coding of fixed field element 008/29, Conference publication indicator, is **not** determined by the presence or absence of field 111 in the record. For example, the main entry for publications which consist of conference proceedings may be tagged 110. Likewise, while a serial with a main entry tagged 111 will usually have a "1" in 008/29, there could be instances where the "1" would be inappropriate.

First indicator

The first indicator signals the form of the name. According to *AACR2*, all conference headings are entered directly under their own name. Thus, always set the first indicator to value "2."

Subfields

For serials, the most commonly used subfield is: $a, and occasionally, $c. For a description of other subfields defined for this field, see Headings--General Information.

$a Meeting name or jurisdiction name as entry element. (The subfield code is not input in OCLC.)

> *111 2# International Conference on Lead.*
> *111 2# Symposia on Frontiers of Pharmacology.*
> *111 2# Shakespeare Seminar.*
> *111 2# Lindauer Psychotherapiewoche.*

$c Location of meeting. The location may be given in subfield $c when the conference or meeting is continually held in the same place.

> *111 2# Biennale internationale de l'image $c (Nancy, France)*

Related fields, etc. 008/29, 110, Headings--General Information, 611, 711, 811.

260 PUBLICATION, DISTRIBUTION, ETC. (IMPRINT) (NR)[1]

First indicator–
Sequence of publishing statements

Second indicator

Not applicable/
Earliest available publisher

Undefined

2 Intervening publisher [Not yet implemented][1]
3 Current/latest publisher [Not yet implemented]

Subfields

a Place of publication, distribution, etc. (R) | e Place of manufacture (R)
b Name of publisher, distributor, etc. (R) | f Manufacturer (R)
c Date of publication, distribution, etc. (R) | g Date of manufacture (R)
                                               3 Materials specified [Not yet implemented]
                                               6 Linkage (NR)

Description/Instructions

Field 260 contains the place of publication, publisher and/or distributor, date of publication, as well as the place, name, and date of manufacture when necessary.

Editing instructions

1. Input a terminal period only when the field includes an ending date and no other terminal punctuation, such as a closing bracket, is present.

   260 ## New York, N.Y. : $b E. Steiger, $c 1878-1879.
   260 ## London : $b Howard League for Penal Reform, $c [c1965-c1983]

2. Use closed brackets around supplied information whether or not the 260 field is complete:

   260 ## Moose Jaw : $b [s.n.]
   260 ## Chur [Switzerland : $b s.n.]
   260 ## Berkeley : $b Auditor's Office, $c -[1997]

---

[1] Changes to field 260, including its repeatability and indicators 2 and 3 have been approved by MARBI but not implemented by OCLC as of December 2005.

If a date is not being recorded, do not input a comma after the publisher name.

260 ## [New York] : $b American Statistical Association

Stylistic conventions for brackets and the comma in the publication area were changed with the 2002 revision of AACR2. Many records in the CONSER database therefore follow earlier conventions of open brackets around supplied information if the field was not complete or a comma after a publisher date if a date is not supplied. Generally do not modify a record input according to the earlier conventions only for the purpose of deleting a comma or closing a bracket. However, if a record is being modified for other reasons, these changes can be made.

3. The 2002 revision also included the deletion of former rule 1.4D4, which allowed for shortening of the publisher name if it appeared in a recognizable form in the title and statement of responsibility area. Note that in certain examples below, where the publisher previous to 2002 was given as "$b The Society," "$b The Board," "$b The Committee," etc., the name has been changed to show the form in an un-shortened form in the 260: "$b Society for Utopian Studies," etc.

Indicators

The first indicator contains a value that chronologically sequences multiple publishing statements for a resource. Repeatability of the 260 field, indicator value 2 (intervening publisher), and indicator value 3 (current/latest publisher), have not yet been implemented by OCLC. Until repeatability is implemented, the first indicator should be coded #.

The second indicator is undefined and contains a blank (#).

Subfields

Input subfields in the following order: $a, $b, $c, $e, $f, $g, $6.

Apply the following conventions for the subfielding of data in field 260:

1. Enter each place name or publisher in a separate subfield.

2. Enter multiple occurrences of other elements, such as dates, in separate subfields only when a different type of element intervenes.

3. When adding true publication information to a fictitious publisher's statement (*AACR2* 1.4B6), input the true data in brackets preceded by "i.e.". Give separate subfields only when a different type of element intervenes. The following monograph examples from *AACR2* are given to illustrate the subfielding.

260 ## Belfast [i.e. Dublin : $b s.n.], $c 1982.

300 PHYSICAL DESCRIPTION (R)

First and second indicator

Undefined

Subfields

a	Extent (R)	**|**	**d**	Accompanying material (NR) [Obsolete]
b	Other physical details (NR)		**e**	Accompanying material (NR)
c	Dimensions (R)		**6**	Linkage (NR)

Description/Instructions

Field 300 contains the physical attributes of an item as specified by the rules for the type of item. For printed serials, field 300 contains the number of parts, the presence of illustrations, the dimensions, and any regularly accompanying material. For non-print serials, other physical attributes, such as the presence of color, sound, or playing speed, may be given. For remote access computer file serials (e.g., electronic journals), no 300 field is given.

Subfields

$a   Extent. When describing a serial that is not yet complete, provide the specific material designation in subfield $a. It is not necessary to provide three spaces preceding the designation, since print programs may provide them. For printed serials, the specific material designation is "v.". For sound and videorecordings, the extent of item may also include the playing time, if consistent from issue to issue.

> *300 ##   v.*
> *300 ##   atlases*
> *300 ##   microfiches*
> *300 ##   sound cassettes*
> *300 ##   computer disks*
> *300 ##   computer optical discs*
> *300 ##   videocassettes (ca. 90 min.)*

When describing a completed serial, indicate the number of parts in arabic numerals.

300 ##   6 v.
300 ##   5 computer optical discs
300 ##   15 microfilm reels
300 ##   88 microfiches
300 ##   7 videocassettes

$b Other physical details. Subfield $b contains information that further specifies other physical characteristics of an item, such as identification of illustrative matter, coloration, playing speed, groove characteristics, presence and kind of sound, number of channels, etc. The description of other physical details is preceded by a space-colon-space (:).

300 ##   v. : $b ill.
300 ##   sound cassettes : $b analog, mono.
300 ##   sound tape reels : $b analog, 19 cm/s, mono.
300 ##   videocassettes (ca. 90 min.) : $b sd., col.
300 ##   computer disks : $b col.

For printed serials, when recording illustrations of more than one type, input "ill." as the first abbreviation when this abbreviation is used.

300 ##   v. : $b ill., maps ; $c 27 cm.

$c Dimensions. The dimensions of the item are preceded by a space-semicolon-space (;). For printed serials, give the height of the item (based on the bound edge) in centimeters to the next highest whole centimeter.

300 ##   v. ; $c 31 cm.

When both height and width are given, supply a space on each side of the multiplication sign (x) that separates height and width.

300 ##   v. ; $c 20 x 25 cm.

If a range of heights is given, do not supply spaces before or after the hyphen.

300 ##   v. : $b ill. ; $c 22-36 cm.

Dimensions for non-print serials may be given in centimeters, millimeters, or inches, as appropriate. In some cases, dimensions are given only when they are other than the standard.

300 ##   computer optical discs ; $c 4 3/4 in.
300 ##   computer disks ; $c 5 1/4 in.
300 ##   videodiscs (30 min.) ; $c 12 in.
300 ##   videocassettes : $b sd., col. ; $c 1/2 in.
300 ##   sound cassettes : $b analog

$e Accompanying material. Subfield $e describes any regularly accompanying material and associated physical description statements. The subfield is preceded by a space-plus sign-space (+). If multiple accompanying materials are recorded in one statement, precede each with a space-plus sign-space but do not repeat the subfield code.

300 ##   v. : $b ill. ; $c 21 cm. + $e   slides
300 ##   computer disks ; $c 5 1/4 in. + $e   guides
300 ##   sound cassettes (60 min.) : $b 3 3/4 ips, mono. + $e   contents and self-study quizzes
300 ##   computer optical discs ; $c 4 3/4 in. + $e   magnetic disks (5 1/4 in.) + user's manuals + quick reference guides + quick reference cards

Supply the physical description of accompanying material only when considered important. For serials this information is not often given.

300 ##   wall charts : $b col. ; $c 125 x 66 cm. + $e   indexes and supplements (v. : ill. (some col.) ; 23 cm.)

| Prior to 2006, some LAC records contained accompanying material in subfield $d. When the
| subfield was made obsolete, OCLC converted all data in 300 $d to $e.

$6 Linkage. For instructions on the use of subfield $6, see field 880.

506 RESTRICTIONS ON ACCESS NOTE (R)

| First indicator–Access restrictions   Second indicator
|
| # No information provided | # Undefined
| 0 No restrictions
| 1 Restrictions apply

Subfields

a Terms governing access (NR) | **f** Standardized terminology for access
b Jurisdiction [Not applicable] | restriction (NR)
c Physical access provisions (R) | **2** Source of term (NR)
    [Not applicable] | **3** Materials specified
d Authorized users [Not applicable] | **5** Institution to which field applies (NR)
e Authorization [Not applicable]   **6** Linkage (NR)

Description/Instructions

Field 506 contains information about restrictions imposed on access to the serial. For
published works, this field is used to record information on limited distribution.

| **First indicator**

| The first indicator defines a restriction flag as follows:

| **# No information provided.** Value # indicates that no information is provided about whether
| the note states that materials are restricted or unrestricted.

| **0 No restrictions.** Value 0 indicates that the field affirms an absence of access restrictions.

| **1 Restrictions apply.** Value 1 indicates that the field defines access restrictions to some or
| all of the material described.

Subfields

$a Terms governing access. The terms governing access identify legal, physical, or
procedural restrictions imposed on individuals wishing to see the described materials. These
restrictions must apply to all copies of a serial. Local restrictions may be input in a 590 field.

---

506 ## For official use.
506 ## For official University and Alumni Council use, and also for individual
       communication of a personal nature between those listed therein.
506 ## For restricted circulation--not for publication.
506 ## Prior to 1981, distribution was limited to federal judicial personnel.
506 ## Not available for commercial use, sale, or reproduction.
506 ## Restricted to institutions with a print subscription and a site/user ID
       and password.
506 ## Subscription and registration required for access.

If a note addresses the intended audience of a publication and does not imply restrictions on access, it should be tagged 521.

$f Standardized terminology for access restriction. Subfield $f contains data from a standardized list of terms indicating the level or type of restriction.

$2 Source of term. Subfield $2 contains a MARC code that identifies the source of the term used to record the restriction in subfield $f. The source of the MARC code is *MARC Code List for Relators, Sources, Description Conventions* that is maintained by the Library of Congress. If different sources are recorded, separated fields should be used.

$6 Linkage. For instructions on the use of subfield **$6**, see Field 880.

Related fields, etc. Notes--General Information, 521.

538 SYSTEM DETAILS NOTE (R)

First and second indicator

\# Undefined

Subfields

a System details note (NR)
| **i** Display text (NR)
| **u** Uniform Resource Identifier (R)
| **3** Materials specified (NR)
6 Linkage (NR)

Description/Instructions

Record system information in field 538 for the following types of serials:

- Direct access computer files
- Remote access computer files
- Videorecordings

"System requirements" information for computer files, such as software programming language, computer requirements (e.g., computer manufacturer and model, operating system, or memory requirements), and peripheral requirements (e.g., number of disks, support software, or related equipment) can be included for computer file serials. System requirements for "electronic serials," in addition to those necessary for standard Internet access, may also be specified.

> *538 ## System requirements: MS-DOS compatible system with CD-ROM drive.*
> *538 ## System requirements: IBM 360 and 370; 9K bytes of internal memory; OS SVS and OS MVS.*
> *538 ## System requirements: NEC 9801, IBM PC or compatible; 640K RAM; DOS 3.1 or higher; hard and floppy disk drives.*
> *538 ## System requirements: Adobe Acrobat reader or PostScript printer.*

"Mode of access" information for computer file serials available by remote access should also be recorded in field 538. It may be appropriate to include different types of information specified by *AACR2* 9.7B1 (Nature and scope and system requirements) in a single note.

538 ## Mode of access: Internet email, FTP, and World Wide Web.
*538 ## Mode of access: Internet email and World Wide Web. For online subscription,
mail to listserv@mitmva.mit.edu, with the message: subscribe mini-air
[firstname lastname].*
*538 ## Electronic journal in ASCII text available via Internet email and World Wide
Web. Browser software required for World Wide Web access.*

For serial videorecordings, information about the trade name or recording system(s) (VHS, Beta,
etc.), number of lines of resolution, and modulation frequency may be recorded.

538 ## Videocassettes in Beta II format.
538 ## Available in both Beta and VHS formats.

Subfields

$a System details note. Input in subfield $a the entire text of the note.
$i Display text (NR) Subfield $i contains text intended to be displayed preceding the other data
contained in the field.

$u Uniform Resource Identifier (R) Subfield $u contains the Uniform Resource Identifier (URI),
for example a URL or URN, which provides electronic access data in a standard syntax. This
data can be used for automated access to an electronic item using one of the Internet protocols.

 $3 Materials specified (NR) Subfield $3 contains information that indicates the part of the
described material to which the field applies.

$6 Linkage. For instructions on the use of subfield $6, see Field 880.

538 ## $3 1889:Dec 3-7 $i Digital master conforms to: $a Benchmark for Faithful

*Digital Reproductions of Monographs and Serials. Version 1. Digital Library
Federation, December 2002. $u http://www.diglib.org/standards/bmarkfin.htm*

Related fields, etc. Notes--General Information, 753, 856.

583 ACTION NOTE (R)

First Indicator--Privacy		Second indicator
# No information provided		
0 Private		# Undefined
1 Not private		

Subfields

a Action (NR)	**k** Action agent (R)
b Action identification (R)	**l** Status (R)
c Time of action (R)	**n** Extent (R)
d Action interval (R)	**o** Type of unit (R)
e Contingency for action (R)	**u** Uniform Resource Identifier (R)
f Authorization (R)	**x** Nonpublic note (R)
h Jurisdiction (R)	**z** Public note (R)
i Method of action (R)	**2** Source of term (NR)
j Site of action	**3** Materials specified (NR)
	5 Institution to which field applies (NR)
	6 Linkage (NR)

Description/Instructions

Field 583 may be used in serial records to provide information about preservation actions relating to an item, such as review of condition, queuing for preservation, and replacement of the printed copy with a microform. Field 583 is added to the record for the printed serial.

For those using the field to record preservation activities, a *Standard Terminology for MARC 21 Field 583* list is available.

Editing instructions

1. Do not input a period at the end of the field.

2. Input a semicolon between subfields, except between $3 and $n.

| **First Indicator - Privacy**

| The first indicator position contains a value that specifies whether the contents of the field are
| private or not. The state of being private includes information that institutions do not want to
| display to the public.

| **# - No information provided**

| Value # indicates that no information is provided as to the privacy of the field contents.

| 583 ## $a filmed $f NEH project (SCH) $c 2001

| **0 - Private**

| Value 0 indicates that the field contains private information.

| 583 0# $a appraised $c197508 $l $25,000 $k Karl Schach

| **1 - Not private**

| Value 1 indicates that there is no private information in the field.

      583 1# $a digitized $c 2006 $h University of Chicago Library $l committed to preserve $2
|
| pda $5 ICU
|

Subfields

Subfields are input in alphabetic order, but subfields $3 and $n, when used, precede other
subfields. Subfield $z may precede the remaining subfields.

$2 Source of term. Subfield $2 contains a MARC code that identifies the source of the term
used to record the action information. The source of the MARC code is *MARC Code List for
Relators, Sources, Description Conventions* that is maintained by the Library of Congress. If
different sources are recorded, separated fields should be used.

$3 Materials specified. Subfield $3 contains information that indicates the part of the described
material to which the field applies.

   *583 ## $3 v.1-50 $a condition reviewed; $c 19860207; $k Preservation Dept.; $l
    Paper brittle*

$n Extent. Subfield $n contains the extent, defined as the number of items involved.

> *583 ## $3 v.1-8 (1887-1895) $n 8; $a Preserve; ...*
> *583 ##   Replace; $ n no. 3-5; $z Some numbers of LC copy sent to Delhi Field Office for*
> *preservation microfilm replacement 10-19-97. $5 DLC*

$a Action. Input in subfield $a a description of the action (e.g., condition reviewed, queued for preservation, preservation interim treatment, preservation completed).

> *583 ##   Preserve*
> *583 ##   Queued for preservation*
> *583 ##   Replace; $z LC copy replaced by preservation microfilm 1998 $5 DLC*

$b Action identification. Subfield $b contains a code or designation assigned to identify a specific action. It may be a future or a past time. In conjunction with the appropriate action this may indicate date or accessioning, acquisition, classification, transfer, or description.

> *583 ##   Preserve; $b PA-061; $c 12/4/1983*

$c Time of action. Subfield $c contains the concrete time or date of an action. It may be a future or a past time. In conjunction with the appropriate action this may indicate date of accessioning, acquisition, classification, transfer, or description.

> *583 ##   Queued for preservation; $c 19861010*
> *583 ##   Preserve; $b PA-061; $c 12/4/1983*

$d Action interval. Subfield $d contains a statement defining a time period which cannot be expressed as a specific date (e.g., at end of academic term or every six months).

> *583 ##   Appraise; $b OPR 80/144; $d Quinquennial*

$e Contingency for action. Subfield $e contains a designation of a time or time period in terms of an unpredictable event (e.g., at conclusion of court case, after death of daughter, or upon receipt).

> *583 ##   Queued for preservation; $c 19861010; $e Priority*

$f Authorization. Subfield $f contains the text of, or citation to, a statute, action order, report, rationale, or rule governing a particular action.

> *583 ##   Queued for preservation; $c 19861010; $e Priority; $f Title IIC project*

$h Jurisdiction. Subfield $h contains the name of a person, an institution, or a position or function within an institution, in whom or in which responsibility for an action is vested.

$i Method of action. Subfield $i refers to the means or technique by which an action was performed (e.g., by mail, in person by phone for reference services, or scrap, incinerate, shred for disposition).

$j Site of action. Subfield $j contains the location at which the described materials are acted upon, including the site at which they are consulted by users.

$k Action agent. Subfield $k contains the person or organization which performs the action.

$l Status. Subfield $l contains the condition or state of the described materials, sometimes but not always resulting from an action (e.g., physical condition, insurance value, or description status). For preservation activities, this subfield contains information about the condition of the item when the action is *condition reviewed.* This subfield may also contain information about the status of the item that caused preservation to be rejected (i.e., action is *preservation rejected*) or information about the disposition of the original item (i.e., action if reformatted).

$o Type of unit. Subfield $o contains the type of unit, defined as the name of the unit of measurement. If subfield $n and $o are repeated in one 583 field, each subfield $o follows its associated subfield $n.

$u Uniform Resource Identifier
Subfield $u contains the Uniform Resource Identifier (URI), for example a URL or URN, which provides electronic access data in a standard syntax.   In field 583, subfield $u is used to record the location of external or supplemental information accessible electronically.

| 583 1# $a conserved $c 2004 $u
| http://www.uflib.ufl.edu/pres/repro/db/r=aaa0123$2pda$5FU

$x Nonpublic note. Subfield $x contains a note pertaining to an action on an item that is not displayed to the public.

$z Public note. Subfield $z contains a note pertaining to an action on an item that is displayed to the public.

> *583 ##   Replace; $z LC copy has been replaced by preservation microfilm $5 DLC*

$5 Institution to which field applies. Subfield $5 contains the National Union Catalog (NUC) symbol of the institution or organization that holds the copy to which the field applies. It is used in a note that does not apply to the universal description of the item. The source of the MARC code is *MARC Code List for Organizations* that is maintained by the Library of Congress.

> *583 ##   Queued for preservation; $c 19861010; $e Priority; $f Title IIC project $5 DLC*

$6 Linkage. For instructions on the use of subfield $6, see field 880.

655 INDEX TERM--GENRE/FORM (R)

| **First indicator**--Type of heading

| # Basic
| 0 Faceted

| **Second indicator**--Thesaurus

| **0** Library of Congress Subject Headings
| **1** LC subject headings for children's literature
| **2** Medical Subject Headings
| **3** National Agricultural Library subject
| authority file
| **4** Source not specified
| **5** Canadian Subject Headings
| **6** Répertoire de vedettes-matière
| **7** Source specified in $2

Subfields

a Genre/form (NR)
b Non-focus term (R)
c Facet/hierarchy designation (R)
v Form subdivision [Not used]
x General subdivision (R)

y Chronological subdivision (R)
z Geographical subdivision (R)
2 Source of term (NR)
3 Materials specified (NR)
5 Institution to which field applies (NR)
6 Linkage (NR)

Description/Instructions

Field 655 contains terms indicating the genre, form, and/or physical characteristics of a work. Genre terms for textual materials designate specific kinds of materials distinguished by the style or technique of their intellectual contents; for example, biographies, catechisms, essays, hymns, or reviews. Form and physical characteristic terms designate historically and functionally specific kinds of materials as distinguished by an examination of their physical character, subject of their intellectual content, or the order of information within them; for example, daybooks, diaries, directories, journals, memoranda, questionnaires, syllabi, or time sheets. In the context of graphic materials, genre headings denote categories of material distinguished by vantage point, intended purpose, characteristics of the creator, publication status, or method of representation.

The genre and form terms used in this field are taken from standard lists. Both indicator 7 and subfield $2 must be used in this field. Subfield $2 contains a coded value designating the list used to select the term. A list of codes to be used in subfield $2 appears in *MARC Code List for Relators, Sources, Description Conventions*.

655 #7 Keepsakes. $2 rbgenr
| *655 #0 Women's periodicals, European $y 20th century.*

Editing Instructions

1. The subfield preceding subfield $2 in field 655 ends with a mark of punctuation or a closing parenthesis.

    655 #7 Diaries $z Belgium. $2 <thesaurus code>

2. A term followed by a subject subdivision does not end with a mark of punctuation unless the preceding term ends with an abbreviation, initial/letter, open date, or other data that end in a mark of punctuation.

    655 #7 Prayer books $z Rhode Island $y 18th century. $2 <thesaurus code>

3. No spaces are used in initialisms, acronyms, or abbreviations. A data element that contains an open-ended date ends with one space when it is followed by a subject subdivision.

4. The imprint date (i.e., the date found in 260 $c) may be used in subfield $y of field 655. In subfield $y, the date data are recorded following LCRI 21.30M. Brackets are not used even though they may be present in 260 $c.
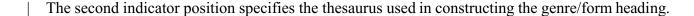
    260 ##   <place of publication> : $b <publisher> , $c [1885]-
    655 #7 Addresses $z Massachusetts $z Boston $y 1885- . $2 rbgenr

First Indicator

| The first indicator position specifies the type of genre/form heading in the field.

Use value # to indicate that the genre/form data is recorded in a single occurrence of subfield $a.

0 Use value 0 to indicate that each genre/form term is recorded in a separate subfield $a or $b. A subfield $c (Facet/hierarchy designation) precedes each term in subfields $a and $b; it denotes the facet/hierarchy of each term in a particular thesaurus.

Second Indicator

| The second indicator position specifies the thesaurus used in constructing the genre/form heading.

| **0 Library of Congress Subject Headings.** Value 0 indicates that the formulation of the index term
| conforms to the Library of Congress Subject Headings (LCSH) that is maintained by the Library of
| Congress. Use of value 0 requires that the heading is appropriate for use in LCSH.

| **1 LC subject headings for children's literature.** Value 1 indicates that the formulation of the
| index term conforms to the "AC Subject Headings" section of Library of Congress Subject Headings
| that is maintained by the Library of Congress. Use of value 1 requires that the field is appropriate
| for the LC Annotated Card Program.

| **2 Medical Subject Headings**. Value 2 indicates that the formulation of the index term conforms
| to the National Library of Medicine authority files. Use of value 2 requires that the field is
| appropriate for use in the NLM authority files.

| **3 National Agricultural Library subject authority file**. Value 3 indicates that the formulation of
| the index term conforms to the National Agricultural Library subject authority file. Use of value 3
| requires that the field is appropriate for National Agricultural Library genre/form heading purposes.

| **4 Source not specified**. Value 4 indicates that the formulation of the index term conforms to a
| controlled list but the source cannot be specified by one of the thesauri covered by second indicator
| values 0-3, 5-6 or by a code for a specific thesaurus in subfield $2. Field 653 (Index
| Term-Uncontrolled) is used to record terms that are not derived from controlled thesauri.

| **5 Canadian Subject Headings**. Value 5 indicates that the formulation of the index term conforms
| to Canadian Subject Headings that is maintained by Library and Archives Canada.

| **6 Répertoire de vedettes-matière**. Value 6 indicates that the formulation of the index term
| conforms to the Répertoire de vedettes-matière that is maintained by the Bibliothèque de l'Université
| de Laval.

| **7 Source specified in subfield $2**. Value 7 indicates that the formulation of the index term
| conforms to a set of thesaurus building rules other than that specified by one of the other defined
| values and for which identifying codes are given in subfield $2. The codes to be used are given in
| *MARC Code List for Relators, Sources, Description Conventions*.

Subfield

$a Genre/form. Input in subfield $a all genre, form, or physical characteristics data when the first indicator is #. For faceted headings (first indicator is value 0), it consists of the focus term. A focus term is the concrete thing forming the basis of the expression.

> 655 #7   *Bird's-eye views. $2 gmgpc*
> 655 #7   *Cartoons. $2 mgpc*
> 655 #7   *Gampi fibers (Papers) $z Japan. $2 rbpap*

Heading: Laminated marblewood bust

> 655 07   *$c k $b Laminated $c m $b marblewood $c v $a bust. $2 aat*

$b Non-focus term. Use subfield $b for a term other than that considered the focus in a faceted heading (first indicator is value 0).

Heading: Black Hmong cotton courtship balls

> 655 07   *$c d $a Black $c f $b Hmong $c m $b cotton $c k $b courtship $c t $a balls. $2 aat*

$c Facet/hierarchy designation.   Use subfield $c to record a designation identifying the facet/hierarchy for each term found in subfields $a and $b in faceted headings (first indicator is value 0). The designations differ, depending on the thesaurus used (as specified by the code found in subfield $2). The designations and their associated facets/hierarchies can be found in the thesaurus identified by subfield $2. Subfield $c always precedes the data to which it is associated.

See the examples under the descriptions of subfields $a and $b.

$v Form subdivision. Use subfield $v to record a form subdivision that designates a specific kind or genre of material as defined by the thesaurus being used. Subfield $v is appropriate only when a form subject subdivision is added to a genre/form term.

$x General subdivision. Use subfield $x to record a subject subdivision that is not more appropriately contained in subfield $v (Form subdivision), subfield $y (Chronological subdivision) or subfield $z (Geographic subdivision). Subfield $x is appropriate only when a topical subdivision is added to a term with a first indicator of # (Basic).

655 #7   Dictionaries $x French $y 18th century. $2 rbgenr
655 #7   Photoprints $x Color $z Panama Canal Zone $y 1990-1950. $2 gmgpc

$y Chronological subdivision. Use subfield $y to record a subject subdivision that represents a period of time. Subfield $y is appropriate only when a chronological subject subdivision is added to a term.

655 #7   Competition drawings $y 1984. $2 gmgpc

$z Geographic subdivision. Use subfield $z to record a geographic subject subdivision. Subfield $z is appropriate only when a geographic subject subdivision is added to a term.

655 #7   Hymnals $z Massachusetts. $2 rbgenr
655 #7   Signing patterns (Printing) $z Germany $y 18th century. $2 rbpri

$2 Source of term. Use subfield $2 to record the MARC 21 code that identifies the source list from which the index term was assigned. The source of the MARC 21 code is MARC 21 Code List for Relators, Sources, Description Conventions that is maintained by the Library of Congress.

655 #7   Emblem books $z Germany $y 17th century. $2 rbgenr

$3 Materials specified. Use subfield $3 to record information which indicates the part of the described materials to which the field applies.

655 #7 $3 Municipal Fire Station records $a Fire incident reports $z Atlanta, Georgia $y 1978. $2 <thesaurus code>

$5 Institution to which field applies. Use subfield $5 to record the MARC 21 code of the institution or organization that holds the copy to which the subject added entry applies. Use this for subject added entries that do not apply to the universal description of the item. The source of the MARC 21 code is *MARC 21 Code List for Organizations* that is maintained by the Library of Congress.

$6 Linkage. Use subfield $6 to record data that link pairs of fields that are alternate graphic representations of each other. The subfield contains the tag number of an associated field and an occurrence number. A complete description of subfield $6 and guidelines for applying it are provided in the 880 Alternate Graphic Representation section.

Related fields etc. Subject Headings--General Information.

	787]	*Annual report (1977)*
Related record:	*110 2#*	*Norges teknisk-naturvitenskapelige forskningsråd.*
	240 10	*Årsberetning. $l English*
	245 10	*Annual report*
Linking entry:	*[765-*	*Norges teknisk-naturvitenskapelige forskningsråd. $s*
	787]	*Årsberetning. English. $t Annual report*

$t Title. Contains the title from field 130 (Uniform title heading) or field 245, subfields $a, $n, and $p. Both fields may be included for translations and other language editions. All individual components of the title are in a single subfield $t. Prior to AACR2, subfield $t was derived from field 222 subfield $a when the key title was present on the record. The key title is no longer used for linking entries.

Related record:	*130 0#*	*Army-Navy-Air Force register (1961)*
Linking entry:	*[765-*	*$t Army-Navy-Air Force register (1961)*
	787]	

Related record:	*245 00*	*Journal of polymer science. $n Part C, $p Polymer symposia.*
Linking entry:	*[765-*	*$t Journal of polymer science. Part C, Polymer*
	787]	*symposia*

A pre-AACR2 record may contain a 245 subfield $a that includes the name of the body separated from the title by space-hyphen-space. Remember to include the entire 245 $a in $t of the linking entry.

Related record:	*245 00*	*Expenditure report - Department of Highways.*
Linking entry:	*[765-*	*$t Expenditure report - Department of Highways*
	787]	

Include other title information from subfield $b in the linking entry when the title proper consists solely of the name of a corporate body or conference and the other title information has been supplied in brackets.

Related record:	*110 1#*	*Workmen's Compensation Commission.*
	245 10	*Workmen's Compensation Commission : $b [annual report].*
Linking entry:	*780 00*	*Workmen's Compensation Commission. $t Workmen's Compensation Commission : [annual report]*

$u Standard Technical Report Number (STRN). Contains the STRN from field 027 of the related record.

$v Source contribution [Field 786 only]. Subfield $v contains a brief statement identifying the information contributed by a source to a data set. It is used primarily with linking field 786 (Data Source Entry).

Subfields $w, $x, $y, and $z

Subfields $w, $x, $y, and $z include standard numbers associated with the resource title or its online record. Subfields $w and $x are critical for searching and retrieval. When linking to an existing record, supply all pertinent record control numbers in order to best serve users of any system that is capable of utilizing linking entry field control numbers to construct hard links. The more linking numbers a record contains, the greater the probability that a computer system would be able to find matching records in a local database and create links.

$w Record control number. This subfield is used to include a control number in the linking field. Subfield $w may be used in any linking entry field and is repeatable. The control numbers are taken from the following fields of the related record: 001, 010, or 016. The control number should always be preceded by the MARC code of the library or system to which the control number applies. The MARC code must be enclosed in parentheses.

Per recommendation from the final report submitted by the PCC Standing Committee on Automation, Task Group on Linking Entries, "Final Report" (http://www.loc.gov/catdir/pcc/archive/tglnkentr-rpt05.pdf) catalogers should record multiple linking entry numbers in linking entry fields, when known, in order to facilitate the goal of true hyperlinking. Record control numbers are given only when the related record appears on OCLC. (Exception: record control numbers are not input when the linking entry is made for a print title that preceded a later online version. See example in *CCM* 31.20.4.) If the related record is authenticated, the LCCN (field 010, MARC code DLC) must be given. The OCLC control number (field 001, MARC code OCoLC) is always given since OCLC control numbers in the Connexion browser are "hot linked" to retrieve related records. The Canadiana control number (field 016, MARC code CaOONL) may also given. When more than one control number is given in a link, the order is not prescribed. (Note: When OCLC runs a macro to check the structure of elements in 760-787 subfield $w's, as part of this quality control check, the (DLC) $w is place before the (OCoLC) $w.)

1. Instructions for inputting the LCCN (from field 010 of related record).

The LCCN in subfield $w of a linking entry field corresponds to that in field 010 subfield $a of the related record; but the form input in subfield $w is not the one used in OCLC field 010.

Instead, it is, approximately, the machine-readable form of the LCCN. Accordingly, there are differences in how the post-2000 and pre-2001 formats of LCCN are recorded in subfield $w. (See *CEG* 010 for guidelines on OCLC field 010. See Appendix P for information on formats of the machine-readable LCCN.)

Post-2000 LCCN format:

a) Always input the MARC code "DLC" enclosed within parentheses.
b) Input **two** leading blank spaces between the symbol "(DLC)" and the year information if the LCCN has no prefix. If the LCCN has a two-character prefix, input no blank spaces between the prefix and the year numbers.
c) Input the four-digit year information.
d) Do not input a hyphen.
e) Input the six-digit number. Input leading zeros where necessary.

> *776 1# $t ESAIM**. Control, optimisation and calculus of variations $x 1292-8119*
>   *$w (DLC)##2001203401 $w (OCoLC)45723846*
> *780 00 $t Greater Niles Center news $w (DLC)sn2001061303*
>   *$w (OCoLC)45762825*
> *785 00 Public Utilities Commission of Nevada. $t Biennial report*
>   *$w (OCoLC)42671476 $w (DLC)##2001202263*
> *785 00 $t Freedom watch (Toronto, Ont.) $w (DLC)cn2001390000 $w*
> *(OCoLC)45400852*

Pre-2001 LCCN format:

a) Always input the MARC code "DLC" enclosed within parentheses.
b) Input **three** leading blank spaces between the symbol "(DLC)" and the year numbers if the LCCN has no prefix. If the LCCN has a prefix of fewer than three characters, leave the appropriate number of blank spaces following the prefix.
c) Input the two-digit year information.
d) Do not input a hyphen.
e) Input the six-digit number. Input leading zeros where necessary.
f) Do not input trailing blank following the number. (If trailing blank is input, the OCLC system removes it.)
g) Do not input alphabetic identifiers and/or revision dates.

> *780 00 $t Techniques of biochemical and biophysical morphology $w*
>   *(DLC)###72000153*
> *780 00 $t Review of existential psychology & psychiatry $w (DLC)sf#77000170*
> *780 00 $t Journal of neurosurgery $w (DLC)med47001541*

> *785 00 $t Bread and other bakery products. $x 0575-7967 $w (DLC)ce#84079118*
> *$w (CaOONL)840791186E*

2. Instructions for inputting the Canadiana number (from field 016 of related record).

| a) Input the number preceded by the MARC code "CaOONL" enclosed within
       parentheses.
      b) Do not input any spaces between the closing parentheses and the number.

> *775 1# $t Décormag $g hiver 1978/79- $x 0707-1698 $w (DLC)cn#79031036 $w*
> *(CaOONL)79031068*

Note: A ce-, cf-, or cn-prefixed control number in field 010 is an LCCN and is also given
with MARC code "DLC."

3. Instructions for inputting the OCLC control number (from field 001 of related record).

| a) Input the MARC code "OCoLC" enclosed within parentheses.
      b) Input the OCLC control number of the related record. Leave no spaces between
       the symbol "(OCoLC)" and the control number.

> *780 00 $t Institute report (Letterman Army Institute of Research)*
> *$w (OCoLC)3067999*

Linking to latest entry records (See C10)

Linking to LAC French-language records

CONSER members should not link LAC French-language cataloging records to English-
language cataloging records, or vice versa. Only LAC may provide links between French-
language cataloging records, or between French-language and English-language cataloging
records that are authenticated by LAC only. Links to LAC French-language cataloging records
will be deleted from records subsequently authenticated by LC or NSDP.

$x International Standard Serial Number. Contains the ISSN from field 022 of the related
record.

1. For U.S. or Canadian titles, the ISSN should be included only when the related record has
been authenticated by NSDP or ISSN Canada.

2. For foreign titles, the ISSN should be included when it is available either in the related record

or the ISSN Register.

Related record:	*022 ## 0002-2756*
	130 0# Airman (Washington, D.C.)
	222 04 The Airman
Linking entry:	*[765- $t Airman (Washington, D.C.) $x 0002-2756*
	787]

Do not input the term "ISSN" in subfield $x. It can be generated on output via a user's display program.

$y Coden designation. Contains the CODEN from field 030 of the related record. Do not input the term "CODEN" in subfield $y. It can be generated on output via a user's display program.

   a) Input the first five characters plus the check digit in uppercase, if available.
   b) Delete any hyphen between the 4th and 5th characters.
   c) Omit any spacing between characters.

   780 00 $t Illinois journal of mathematics $y IJMTAW $w (DLC) 59003745

$z International Standard Book Number. Contains the ISBN from field 020 of the related record. Do not input the term "ISBN" in subfield $z; the term may be generated on output via a user's display program.

$6 Linkage. For instructions on the use of subfield $6, see Field 880.

$7 Control subfield. The control subfield contains up to four, one-character codes that may include:

   a) Type of main entry name given in subfield $a;
   b) Form of name given in subfield $a;
   c) The type of bibliographic record from Leader/06 of the related record, and;
   d) The bibliographic level from Leader/07 of the related record.

Subfield $7 is an optional subfield and is not currently used for CONSER input.

Special instructions--Numerous related records

In cases where numerous titles are related to the resource, each cataloged separately, it may be

impractical to list each in a separate linking field. When this occurs, the following method may be applied.

a) Create a 580 note providing an explanation of the related titles associated with the resource.
b) If each related title has the same common title, give the common title in the linking field. Use the mark of omission for the section title. Add the LC control number (or the OCLC control if there is no LC number) of each related title in separate subfields $w.
c) If the related titles do not have a common title, give as much information as possible in the 580 field and omit the linking fields.

245 00   World agriculture outlook & situation.

580 ##   Vols. for 1982- have numerous supplements covering various geographic world areas: Western Europe, Eastern Europe, USSR, Asia, South Asia, China, Middle East and North Africa, Sub-Saharan Africa, Western Hemisphere, North America and Oceania, Latin America, etc. Supplements have common title: Review of agriculture in ... and outlook for ..., 1982; World agriculture regional supplement, 1983-

770 1# $t Review of agriculture in ... and outlook for ... $w (DLC)   82645567 $w (DLC) 83641501 $w (DLC)   84644070 $w (DLC)sc 83002053 $w (DLC)   83641487 $w (DLC)sc 83007067 $w (DLC)   8347862 $w (OCoLC)9476625

770 1# $t World agriculture regional supplement ... $w (DLC)   84644204 $w (DLC) 84642744 $w (DLC)   84644205 $w (DLC)   83647919 $w (DLC)   84642701 $w (OCoLC)10196053 $w (OCoLC)10191180 $w (OCoLC)10216626 $w (OCoLC)6559094

APPENDIX P

**LIBRARY OF CONGRESS CONTROL NUMBER AND
LIBRARY OF CONGRESS CARD NUMBERING SYSTEM[1]**

LIBRARY OF CONGRESS CONTROL NUMBER

1. Basic Structures of the LC Control Number

Library of Congress control numbers assigned beginning in 2001 have a new structure defined in the MARC 21 Format for Bibliographic Data. The new format includes a four-digit representation of the year the LCCN was assigned. This enables easier distinction of years in the nineteenth, twentieth, and twenty-first centuries, during which LCCNs have been used. Like the previously defined MARC LCCN format, the restructured LC control number has twelve character positions; but some other portions of the format have been changed to make room for the four-digit year. The structure of the new, post-2000 LCCN is as follows:

Post-2000 LCCN

Name of Element	Number of Characters	Character Positions
Alphabetic prefix	2	00-01
Year	4	02-05
Number	6	06-11

In the machine-readable LCCN, blank spaces fill the alphabetic prefix positions not used by alphabetic characters. If no prefix is given, the LCCN begins with two blank spaces. If a two-character prefix (such as "sn") is given, the LCCN begins with the prefix and no blank spaces are input.

The number portion of the LCCN may be one to six characters in length. If the number has fewer than six characters, leading zeroes fill in the positions not used by the number.

The machine-readable LC control number does not include a hyphen, though some

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[1]This appendix is based on information given in appendices M and N of the *MARC Serials Editing Guide. 2nd CONSER edition,* the *USMARC Format for Bibliographic Data*, and the *MARC 21 Format for Bibliographic Data*.

representations of the LCCN (such as in field 010 of OCLC records) may use one to separate the year portion from the following number.

The following are examples of LCCNs in the post-2000 machine-readable format:

> *##2001204501*
> *sn2001058201*

LCCNs assigned from 1898 to 2000 and defined in the USMARC Format for Bibliographic Data have the following structure:

LCCN 1898-2000

Name of Element	*Number of Characters*	*Character Positions*
Alphabetic prefix	3	00-02
Year	2	03-04
Number	6	05-10
Supplement number	1	11

(As is explained below, under Library of Congress Card Numbering, the "year" portion of LCCNs assigned from December 1968 to January 1972 did not represent a year but consisted of an initial digit "7" followed by a check digit.)

In this format, the alphabetic prefix is left-justified and blank spaces fill the prefix positions not used by alphabetic characters. If no prefix is given, the LCCN begins with three blank spaces. A two-character prefix is followed by one blank space; a one-character prefix has two trailing blanks. The number portion in this format has the same properties (e.g., the use of leading blanks) as in the post-2000 structure. Likewise, this LCCN format also does not include a hyphen, though other representations may use one.

The supplement number portion of this LCCN structure was defined but never used. This position is filled by a blank space.

The following are examples of LCCNs in this pre-2001 machine-readable format:

> *###85645325#*
> *###68004897#*
> *a##62002407#*
> *agr17001177#*
> *sn#99048001#*

Because the restructured LCCN could not be implemented before 2001, LCCNs with two-digit years were assigned in 1998, 1999, and 2000, using only numbers not previously used in 1898, 1899, and 1900. Specific years of assignment may be determined as follows:

2-digit year in LCCN	*with serial number*	*represents year:*
98	Less than 003000	1898
98	003000 or greater	1998
99	Less than 006000	1899
99	006000 or greater	1999
00	Less than 008000	1900
00	008000 or greater	2000

Both formats, post-2000 and pre-2001, are valid in MARC; and both are used in CONSER records, according to the format in use when the LCCN was assigned. LCCNs constructed in one format are never "converted" into the other. It is possible and correct for LCCNs of different formats to be used in different parts of the same record. For example, a record may have an LCCN with a four-digit year in subfield $a and LCCNs with two-digit years in subfields $z of the same 010 field.

Earlier forms of LCCN, such as those found on LC printed cards or in the National Union Catalog, are also still valid for retrospective input. In MARC records, those forms are all represented by the pre-2001 machine-readable LCCN structure shown above. Different LC card number systems that have been used and may be transcribed retrospectively are described below (see Library of Congress Card Numbering).

2. Display/Input Form of the LC Control Number in OCLC Field 010

For either format, the form used for display and inputting of LC control numbers in field 010 of records on the OCLC system differs in specific ways from the machine-readable LCCN structures described above.

- In OCLC field 010, the LCCN is left-justified. If no prefix is given, there are no leading blanks at the beginning of the LCCN. If a prefix shorter than the prefix portion of the LCCN is given, no trailing blanks are input between the prefix and the year.

- In OCLC field 010, a hyphen is input separating the year from the following number in an LCCN.

- In OCLC field 010, no leading blanks are included in the number portion of the LCCN. The number occupies as many positions as it has digits.

- In OCLC field 010, no trailing blank is displayed in an LCCN. If one is input, the OCLC system removes it.

Compare the MARC-defined LCCN structure with the OCLC field 010 display/input form in the following examples:

MARC-defined: *###85645325#*	OCLC: *010 ## 85-645325*
MARC-defined: *###68004897#*	OCLC: *010 ## 68-4897*
MARC-defined: *a##62002407#*	OCLC: *010 ## a62-2407*
MARC-defined: *agr17001177#*	OCLC: *010 ## agr17-1177*
MARC-defined: *sn#99048001#*	OCLC: *010 ## sn99-48001*
MARC-defined: *##2001204501*	OCLC: *010 ## 2001-204501*
MARC-defined: *sn2001058201*	OCLC: *010 ## sn2001-58201*
MARC-defined: *##2001003292*	OCLC: *010 ## 2001-3292*

3. Suffixes/Alphabetic Identifiers and Revision Dates [Discontinued]

Suffixes/Alphabetic Identifiers. Prior to January 1999, special symbols, called alphabetic identifiers, were appended to control numbers of categories of materials to control the distribution of records and cards to various LC book and card catalogs. These were input as suffixes, following the control number. Suffixes and alphabetic identifiers did not affect the uniqueness of the LCCN.

The inclusion of suffixes has been discontinued. LC has stripped suffixes from field 010 in all records in the LC database; and OCLC will do the same in 2000-2001. Do not input suffix information in LCCNs anywhere in CONSER records.

Because LCCNs with alphabetic identifier suffixes survive in copies of CONSER and LC records in local databases and in LCCNs in printed sources, there remains some need to be able

to recognize such data. The following identifiers were previously used:

AM	Amharic
ACN	Chinese
AJ	Japanese
AK	Korean
HE	Hebrew
NE	Armenian, Arabic, Georgian, Persian, Pushto, and Turkish, as well as non-slavic languages of Central Asia written in the Cyrillic alphabet.
MAP	Atlases
F	Filmstrips
M	Music, classed in M
MN	Music, classed in ML, MT
R	Sound recordings

A slash separated the alphabetic identifier from the number portion of the LCCN.

010 ##	*81-645856/MN*	*[No longer valid for input]*
010 ##	*85-651836/NE*	*[No longer valid for input]*
010 ##	*82-646687/ACN/V*	*[No longer valid for input]*

Revision dates. Prior to January 1999, when LC added, changed, or deleted an access point in an LC authenticated record, an indication that a revision was made was given by the addition of a lowercase "r" and the last two digits of the year of the last revision. If a record was revised more than once, the number of the revision was given after the date of last revision. The revision date/number was separated from the LCCN by two slashes (one slash if it followed an alphabetic identifier). Revision dates did not affect the uniqueness of the LCCN. CONSER members added revision dates to non-pseudo LCCNs when changing pre-AACR2 records to AACR2.

010 ##	*79-649719//r83*	*[No longer valid for input]*
010 ##	*77-641351//r862*	*[No longer valid for input]*
010 ##	*91-964545/NE/r97*	*[No longer valid for input]*
010 ##	*94-645760/ACN/V/r972*	*[No longer valid for input]*

The inclusion of revision data was discontinued in 1999. Revision information has been deleted from field 010 in all records in the LC database; and OCLC will do the same in 2000-2001. Do not input revision data in LCCNs anywhere in CONSER records.

LIBRARY OF CONGRESS CARD NUMBERING

The Library of Congress employed different LC card numbering systems from 1898 to November 1968, from December 1968 to January 1972, and after January 1972. The length of the LC card number was fixed at twelve characters in all these systems, but the constituent data elements varied. Details of each are summarized below.

1. LC Card Numbering System 1898-November 1968

Name of Element	*Number of Characters*
Alphabetic prefix	3
Year	2
Number	6
Supplement number	1
Suffix and/or revision date	Variable

Examples:

On printed card	**Input in field 010 as:**
A66-11	a66-11
AC66-111	ac66-111
68-4897	68-4897
66-23167/MN	66-23167
66-23167/MN rev 3 (r67 appears as printing symbol)	66-23167
sa68-99 (70r69 appears as printing symbol)	sa68-88

Prefixes. Numbers in the 1898-1968 system may contain an alphabetic prefix, which is carried in the machine-readable record as lowercase alphabetic characters. Prefixes can be from one to three characters in length. Prefixes containing more than three characters have been redefined for use in the machine-readable record as follows:

Prefix as it appears on printed card	3-char. equivalent input to MARC record
MicA	mid
Micp	mie
MicpA	mif
PhoM	php

Suffixes. Numbers in the 1898-1968 system may contain suffixes and/or a revision date. Such data are carried as variable length data and **do not affect the uniqueness of the LC card number.**

Suffixes appear below the card number on a printed card on the same slug as the "Library of Congress" legend. When formerly input into machine-readable form, suffixes were separated from the last numeral of the card number by a slash. If multiple suffixes occurred, they were separated from one another by a slash. Suffixes were formerly carried in the MARC record as uppercase characters.

Revision dates. The revision date always consists of at least three characters: a lowercase "r" followed by two numbers which stand for the last two digits of the year of latest revision (e.g., r69). The revision date is found in the printing symbol area on the printed card; an area to the right of the hole on the card enclosed in brackets. When formerly input into MARC format, a revision date, when occurring alone, immediately followed the card number, separated from the last numeral of the number by two slashes. When occurring in conjunction with suffixes, a revision date immediately followed any suffixes, separated from them by one slash.

2. LC Card Numbering System December 1968-January 1972

Name of Element	*Number of Characters*
Unused	3
Initial digit	1
Check digit	1
Number	6
Supplement number	1
Alphabetic identifier and/or revision date	Variable

Examples:

Number on printed card	Input in field 010 as:
78-657093	78-657093
78-650793 rev 2 (revision date r70)	78-650793
78-657093 ("AC" printed below card number)	78-657093
78-657093 ("AC" printed below card number; revision date (r70) printed as part of printing symbol)	78-657093

Prefixes. No alphabetic prefixes are used in the 1968-1972 numbering system. Numbers in the interim numbering system are distinguished by the initial digit "7", which is followed by a check digit (these two digits take the place of the year portion of the card number in the old system. The year is not part of the card number but may be determined from the "Date Entered on File" in the MARC record (008/0-5).

Alphabetic identifiers. Information that was expressed by prefixes and suffixes to the card number in the 1898-1968 system is expressed by symbols called "alphabetic identifiers" in the 1968-1972 system. For example, A (cooperative copy); AC (annotated card); NE (Near East); MAP (map); SA (South Asian). Such data **do not affect the uniqueness of the number** and were formerly carried as variable length elements, separated from the last numeral of the card number by a slash. If multiple alphabetic identifiers occurred, they were separated from one another by a slash. A revision data, when occurring alone, immediately followed the card number, separated from the last numeral of the number by two slashes. When occurring in conjunction with any alphabetic identifiers, the revision date was separated by one slash. Alphabetic identifiers were formerly carried in the MARC record as uppercase characters. Alphabetic identifiers appear below the card number on a printed card on the same slug as the "Library of Congress" legend.

3. LC Card Numbering System After January 1972

Name of Element	Number of Characters
Unused	3
Year	2
Number	6
Supplement number	1
Alphabetic identifier and/or revision date	Variable

The structure of the regular LC card numbers in the system after January 1972 is the same as in the 1968-1972 system, with the exception that the last two digits of the year are given as in the 1898-1968 system.

Prefixes. Under the system after January 1972, pseudo LC card numbers, containing a specific two-digit alphabetic prefix, were used on CONSER records authenticated by various CONSER participants. For more information and examples, see field 010.

LC CARD NUMBER PREFIXES AND AN EXPLANATION OF THE PREFIXES	
Prefix	**Explanation**
"Regular" (year of letter only)	Books in the general classified collections of LC: received by copyright since July 15, 1898; other accessions since January 1901 and books since January 1901
a	Copy supplied by other American libraries, 1909-
ac	New foreign books and analytical entries in series for which copy was prepared by cooperating libraries under the auspices of the ALA Committee on Cooperative Cataloging, 1932-1942
ac	Annotated cards for juvenile books, 1966-
af	Foreign acquisitions for which copy was supplied by other American libraries, 1946-1950
agr	Copy supplied by the Library of the U.S. Dept. of Agriculture, 1902-
bs	Copy supplied by the Library of U.S. National Bureau of Standards, 1913-1938
c	Copy supplied by the Library of the U.S. Interstate Commerce Commission, 1915-1916
c	Chinese entries cataloged by LC 1949-
ca cad	Temporary entries for books in the general classified collections of LC, 1905-1937
cd	Analytical entries for sets and series in LC prepared by the Card Division, 1916-1940
cd	Cards printed for card sales. Copy prepared by LC

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Prefix	**Explanation**
cs	Copy prepared by the Cooperative Cataloging and Classification Service, LC, 1934-1939
cx	Cross reference cards used in LC catalogs for Chinese entries, 1958-
do	Copy supplied by the Library of the U.S. Superintendent of Documents, 1913-1916
e	Copy supplied by the Library of the U.S. Office of Education, 1908-1958
es	Copy supplied by the Library of the U.S. Engineers School, 1913-1935
f	Copy supplied by the Library of the U.S. Bureau of Fisheries, 1910-1940
fi	Films cataloged by LC, 1951
fia	Films for which cataloging data was supplied by film producers, 1951
fie	Films for which cataloging data was supplied by the Visual Education Service of the Office of Education, and other government agencies, 1951-
gs	Copy supplied by the Library of U.S. Geological Survey, 1904-
h	Copy supplied by the Library of the U.S. National Institute of Health, 1914-1921
ha	Copy supplied by the Library of the U.S. Housing Authority, 1940
he	Hebrew entries cataloged by LC, 1964-
hew	Copy supplied by the Dept. of Health, Education, and Welfare, 1958-
hex	Cross reference cards used in LC for Hebrew entries, 1964-
int	Copy supplied by the Dept. of the Interior, 1959
j	Japanese entries cataloged by LC, 1949

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Prefix	**Explanation**
ja	Japanese entries for which copy was supplied by other American libraries, 1951
jx	Cross reference cards used in LC for Japanese entries, 1958-
k	Korean entries cataloged by LC, 1951
kx	Cross reference cards used in LC for Korean entries, 1958
l	Copy supplied by the Library of the U.S. Dept. of Labor, 1911-
m	Sheet music cataloged by LC, 1953-1962
ma	Sheet music for which copy was supplied by other American libraries, 1953-1961
map	Atlases in the Maps Division of LC, 1901-
med	Copy supplied by the Armed Forces Medical Library, 1946-1948
mic	Microfilms cataloged by LC, 1949
mid	Microfilms for which copy was supplied by other American libraries, 1946-
mie	Microcards and microprints cataloged by LC, 1953
mif	Microcards and microprints for which copy was supplied by other American libraries, 1953
mpa	Sheet music for which copy was supplied by the Pan American Union, 1956-
ms	Manuscripts cataloged by LC, 1959-
ne	Books published in the Near East or in the languages of those countries, 1961-
nex	Cross reference cards used in LC for books published in the Near East or in the languages of those countries, 1961-
no	Copy supplied by the Library of the U.S. Naval Observatory, 1930-1940

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Prefix	**Explanation**
pa	Copy supplied by the Library of the Pan American Union, 1930-
pho	Photographic reproductions of books; copy supplied by other libraries, 1927
php	"Collections of Photographic Facsimiles" issued by the Modern Language Association of America; copy prepared by Card Division, 1927-1938
phq	Copy supplied by other libraries for Modern Language Association photographic facsimiles
po	Copy supplied by the Library of the U.S. Patent Office, 1917-1953
r	Phonograph records cataloged by LC, 1953-
ra	Phonograph records for which copy was supplied by other American libraries, 1955-
s	Copy submitted by the Library of the Smithsonian Institution, 1913-1959
sa	Books[2] published in Southeast Asia or in the languages of those countries, 1961-
sax	Cross reference cards used in LC for books published in Southeast Asia or in the languages or those countries, 1961-
sd	Copy supplied by the Library of the U.S. Dept. of State, 1914-
sg	Copy supplied by the Surgeon General's Library, U.S. Army, 1916-1946
ss	Copy supplied by the Social Security Administration, 1944-1958
tb	Talking Books
w	Copy supplied by the District of Columbia Public Library, 1905-1942

[2] "Books" here denotes "printed works."

LC CARD NUMBER PREFIXES AND AN EXPLANATION OF THE PREFIXES	
Prefix	**Explanation**
war	Copy supplied by the Library of the U.S. Army War College, 1907-1932
x	Cross reference cards used in LC catalogs, Jan. 1941-