

Update Information
2016 Update Number 1

No 2015 Update Number 4 was issued.

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	Introduction – Revised to reflect PCC series practices under RDA. Replace.
Z1	Name and Series Authority Records	022 – International Standard Serial Number. Updated to add practice for recording ISSN for separate formats. Replace.
Z1	Name and Series Authority Records	336 – Content Type. Revised to remove the prohibition on supplying field. Replace.
Z1	Name and Series Authority Records	380 – Form of work. Updated to add series authority records practice. Replace.
Z1	Name and Series Authority Records	4XX – See from Tracings. Updated to add new section on subfield \$w. Replace.
Z1	Name and Series Authority Records	64X – Series Treatment – General Information. Revised to reflect PCC series practices under RDA. Replace.
Z1	Name and Series Authority Records	642 – Series Numbering Example. Revised to reflect PCC series practices under RDA. Replace.
Z1	Name and Series Authority Records	643 – Series Place and Publisher/Issuing Body. Revised to change instruction on multiple 643 fields. Replace.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	644 – Series Analysis Practice. Replace.
Z1	Name and Series Authority Records	645 – Series Tracing Practice. Revised to reflect PCC series practices under RDA. Replace.
Z1	Name and Series Authority Records	646 – Series Classification Practice. Replace.
Z1	Name and Series Authority Records	667 – Nonpublic General Note. Replace.

INTRODUCTION

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

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

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

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

This Introduction covers the following topics:

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

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized access point

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

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

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

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

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

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

All names and corporate bodies used in a related entry (5XXs) must also be represented in the authority file. For example, when establishing a name for an author who uses a pseudonym, or a corporate **authorized access point** representing an earlier and later change of name, the cataloger will need to connect the **authorized access point** by means of see also references. In order to avoid blind references, the cataloger will need to make sure that the corresponding **authorized access point** is established.

Jurisdictional names used as additions to a 1XX must also be established before they can be used. For example, when using the name of a city as a qualifier for a corporate body, the city must be represented in the authority file.

Certain elements of a name/title access point must also be established; e.g., when an NAR for the conventional collective title “Works” is created under an author who is not established in the LC/NAF, an NAR for the author must be contributed as well.

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

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

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

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

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

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

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

Example:

```
100 1# $a Allende, Isabel. $t Eva Luna. $l English
BUT NOT
400 1# $a Allende, Isabel. $t Eva Luna
```

(Variant not added because that form represents the authorized access point for the work)

LC music cataloging practice: As of August 16, 1999, authority records are created for ALL title and name/title headings. When a name/title see also reference needs to be made, make an authority record for the name/title referred from if such a record had not been made in accordance with the above guidelines.

Series authority records (SARs)

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

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

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

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

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

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

Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that

practice. **Also**, series treatment decisions in an institution can change, certain series treatment fields provide the means for indicating variations in practice within an institution.

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

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

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

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

Justification of access points and elements

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

recorded in the 380 field.

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

Additions and changes to authority records

Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

Normally a new reference or a change in the authorized access point must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

In order to minimize the impact of database maintenance with associated bibliographic records and/or related authority records, catalogers are urged to refrain from making unnecessary changes to 1XXs. Although there are guidelines in the RDA instructions and/or LC-PCC PSs that indicate when changes are or are not necessary, the necessity for other changes may be evident only to the agency making the change (for example, to break a conflict when the searching universe for the changing agency and the agency observing the change are different). Assume that such changes are valid.

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

NACO normalization

When a new authority record is added to the authority file or when a new field is added to an existing NAR, each new access point is compared against access points already in the file to determine whether the new access point is adequately differentiated from existing authorized access points. All partners involved in the exchange of LC/NAF authority data have agreed to a specific set of rules for normalization, and these rules are posted at:
<http://www.loc.gov/aba/pcc/naco/normrule-2.html>

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

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

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

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

Authorized form: Chung-hui
Normalized form: CHUNG HUI

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

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

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

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

Should an SAR be made?

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

- (1) a republication that does not include the original series statement (see “Republications” section of [64X Series Treatment – General](#))

Information);

- (2) generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue. **A SAR should however be created in cases where a PCC monographic record is being created for a single issue of the periodical, and an authorized access point for the series is needed;**
- (3) a hardcover (sometimes even softcover) edition of a selected issue of a periodical.

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

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

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

How many SARs should be made?

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

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

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

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

- (2) How many authority records are made if the volumes of a monographic series are in different languages? Consult [LC-PCC PS 6.27](#) and [LC-PCC PS 24.6, Section I, One or Several Series Access Points, Language editions](#).
- (3) How many authority records are made if the same volumes in a series are published separately in the same language [by publishers in different countries](#) (e.g., [a publisher in the U.S. and a publisher in England](#))? [Create one SAR if the volumes in the series are published separately in the same language by multiple publishers in different countries, but constitute the same expression of the work, and there is a consistent correspondence in the numbering of parts.](#)
- (4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult [LC-PCC PS 6.27](#) and [LC-PCC PS 24.6, Section I, One or Several Series Access Points, Changes in numbering](#).
- (5) How many authority records are made for main series and subseries? Consult [LC-PCC PS 6.1.3.2](#), [LC-PCC PS 6.27](#), and [LC-PCC PS 24.6, Section H, Main Series and Subseries](#).

- (6) Has there been a change in responsibility (i.e., different person/body, body's name changes, uniform title changes)? Consult **RDA 6.1.3 and associated LC-PCC PSs at 6.1.3.1 and 6.1.3.2.**
- (7) When reestablishing a series, is the apparent difference between the “earlier” form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the “earlier” form as a 4XX/667 old catalog heading (see 4XX **See From Tracings**).

Possibilities include the following:

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

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

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

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

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

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

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

```
130 #0 $a Centre de recherches d'histoire
    ancienne (Series)
```

410 2# \$w nnaa \$a Centre de recherches
d'histoire ancienne. \$t Publication

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

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

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

No Existing SAR for Series-Like Phrase

If the authorized or variant access point for an undifferentiated phrase record would conflict with the access point for another entity, add the qualifier “(Series-like phrase)”.

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

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

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

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

Existing SAR for Series-Like Phrase

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

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

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

(1) Series is new to the Library.

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

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

(2) Series is already represented by an SAR.

- (a) Series title on data view matches form of title in the SAR: Transcribe the series statement without brackets in the bibliographic record. Trace the series if appropriate according to regular partner procedures.
- (b) Series title on ECIP data view is considered to be variant form of the title in the SAR:
 - (i) Clarify the data with publisher, transcribe the series statement without brackets, and trace the series if appropriate according to regular partner procedures.
 - (ii) Add reference(s) to the SAR for any valid variant form.

- (c) Series title on ECIP data view might represent a title change or situation might require a change in the **access point** from that in the SAR:
- (i) Clarify the data with publisher and, if appropriate according to regular partner procedures, return the CIP data view to CIP Division with request that CIP contact the publisher (see (1) above for procedures to follow).
 - (ii) When information from publisher is received, follow regular partner procedures and either add information and reference(s) to the existing SAR or create a new SAR as appropriate.
 - (iii) If information is not received within five to eight work days, the ECIP Data Application will be deleted automatically from the ECIP system and the publisher will be required to resubmit in order to obtain CIP data. Cancel any CIP record which may have been created in the partner database.
- (3) Series is represented by analytic bibliographic records but there is no SAR: Create SAR for series according to regular partner procedures.

Searching series

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

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

Choice of **authorized access point**:

AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.

AACR 2 has no special rule for serials. Most **were** entered under title per 21.1C1.

RDA has one instruction on persons or families considered

to be creators of serials (19.2.1.1.3). Most serials, however, have an authorized access point consisting only of the preferred title.

Title truncated:

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

Space-hyphen-space:

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

Subseries:

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

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

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

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

022 International Standard Serial Number

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

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

Record the ISSN whenever it is available from the item in hand, from analytic bibliographic records, or from the collected set bibliographic record for the series; otherwise, recording the ISSN is optional.

When it is known there are separate ISSN assigned to different formats of a series represented by a single SAR, prefer to record in 022 subfield \$a the ISSN that is the linking ISSN (ISSN-L) for the different formats. Identify ISSN for specific formats in separate 667 fields, following this pattern:

```
667 $a Print version: ISSN XXXX-YYYY  
667 $a Online version: ISSN YYYY-ZZZZ
```

When the title of a publication has changed, confirm that an ISSN appearing on the publication belongs to the new title and not to the earlier title.

An incorrect ISSN can be given in a 667 field (e.g., “ISSN 1122-3344 is not a valid ISSN for this publication”).

336 Content Type*General*

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

Subfield \$2 – Source of term

In subfield \$2 give “rdacontent.”

Subfield \$a – Content Type

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

Subfield \$b – Content Type code

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

380 Form of Work

General

Prefer a controlled vocabulary, such as LCSH, LCGFT, or MeSH, or use a source term from the *MARC Subject Heading and Term Source Codes* or *Genre/Form Source Codes* in subfield \$2 if appropriate. For consistency, capitalize the first term in subfield \$a. When terms do not come from a controlled vocabulary, use the singular form.

Series Authority Records

Catalogers may record form of work in all work-level series authority records using the 380 field. Prefer using terms from a controlled vocabulary such as LCSH, LCGFT, or MeSH. Additional forms may also be recorded as appropriate (e.g, Novels). For a series-like phrase use “Series-like phrase.”

Examples:

```
380 ## $a Series (Publications) $2 lcsh
380 ## $a Monographic series $2 lcsh
380 ## $a Multipart monograph
380 ## $a Plays (Performed works) $2 aat
380 ## $a Series-like phrase
```

4XX See From Tracings*General*

Consult RDA chapters 6, 9-11, and 16 for guidelines for possible variants for persons, families, corporate bodies, and titles.

When modifying an authority record for another reason, delete any final mark of punctuation in a 4XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Not all 4XX references require justification; see the section "Justifying references" in the 670 yellow pages for those categories.

Do not make a 4XX that normalizes to the same form as another 4XX on the same authority record or a 1XX on any name authority record. See the section "NACO normalization" in the Introduction.

Best practice guidelines for RDA:

- Record variants found in the manifestation being cataloged:
 - Use cataloger's judgment;
 - No limitation on the number or form of references;
 - Instead of or in addition to adding variants, consider providing access by adding 37X fields.

Example showing 378 without a variant for the fuller form of name:

```
100 1# $a Bucknum, David W.
378 ## $q David Walter
```

- Establish additional NARs for the authorized access points needed to support elements used in 4XX variant access points (e.g. parent body associated with subordinate body being established).
- Provide a variant form 4XX access point for a former 1XX authorized access point in all cases, unless the former authorized access point was egregiously incorrect. **See the section "Subfield \$w (control subfield)" for more information.**
- Use the established form of components in 4XX variant access points, except for non-Latin script variants, which may represent a mixture of scripts or may be entirely in a non-Latin script.
- Generally, do not remove variants unless egregiously incorrect (e.g., a non-Latin script variant that does not represent the same person).
- If a form found on the manifestation being cataloged includes a variant form of a component of a 4XX variant access point, that form may be used in its entirety as an

additional 4XX variant access point, provided that it is not divided into its component parts through the use of subfields.

Examples:

```
100 1# $a Faulkner, William, $d 1897-1962. $t Short
      stories. $k Selections
400 1# $a Faulkner, William, $d 1897-1962. $t
      Uncollected stories of William Faulkner
430 #0 $a Uncollected stories of William Faulkner
```

```
110 1# $a United States. $b Bureau of Labor
      Statistics
410 2# $a Estados Unidos de América, Buró de
      Estadísticas Laborales
```

not

```
410 2# $a Estados Unidos de América. $b Buró de
      Estadísticas Laborales
```

```
110 2# $a Zhongguo yi ke da xue. $b Fu shu di 1 yi
      yuan
```

```
410 2# $a China Medical University, First Affiliated
      Hospital
```

not

```
410 2# $a China Medical University. $b First
      Affiliated Hospital
```

When changing the form of a superordinate body, a geographic name, or a personal name in a 1XX, update all of the existing NARs that use that component in a 4XX, unless the 4XX represents the former authorized access point (e.g., \$w/2=e).

Subfield \$w (control subfield)

When an authorized access point for a person (100) is changed because the person has changed his or her name, record the earlier form of name in a 400 with \$w nne if the variant is valid under RDA instructions.

Examples:

```
100 0# $a Francis, $c Pope, $d 1936-
400 1# $w nne $a Bergoglio, Jorge Mario, $d 1936-
      (Name changed upon election as pope)
```

```
100 1# $a Rancic, Giuliana
```

400 1# \$w nne \$a DePandi, Giuliana
(Name changed upon marriage)

When an authorized access point (1XX) based on CIP cataloging is changed because its form on the published resource is different from that on the CIP galley, a 4XX from the previous authorized access point form with subfield \$w nne may be added unless the former 1XX form was egregiously incorrect (e.g., the author's date of birth was given as 1775 instead of 1975 in the CIP galley).

When an authorized access point (1XX) is changed because of a change in cataloging instructions, record the earlier form in a 4XX using \$w. If the variant form is a valid reference under current RDA instructions, use \$w nne. If the variant form is not a valid reference under current RDA instructions, use \$w nnea.

Examples:

130 #0 \$a Bible. \$p Baruch
 430 #0 \$w nne \$a Bible. \$p Apocrypha. \$p Baruch
(Coded "nne" because the variant is valid in RDA)

100 1# \$a Smith, Jonathan Kennon Thompson, \$d 1939-2014
 400 1# \$w nne \$a Smith, Jonathan Kennon
(Coded "nne" because the variant is valid in RDA; 100 form changed based on usage and dates of birth and death added because 100 was being changed)

100 0# \$a Pericles, \$d approximately 495 B.C.-429 B.C.
 400 0# \$w nnea \$a Pericles, \$d ca. 495-429 B.C.
(Coded "nnea" because the abbreviation "ca." is not valid for period of activity in RDA)

Note: NARs that had the 1XX form changed programmatically in 2013 recorded the earlier form in a 4XX using \$w nnea regardless of whether the variant was valid in RDA. For example, "United States. Dept. of Commerce," is a valid reference in RDA if the abbreviated form has been used in resources associated with the corporate body, but it was recorded with \$w nnea. It is not necessary to change the coding in these \$w references.

SARs

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

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

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some 4XX variant access points may duplicate authorized access points in the bibliographic record for the collected set.

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

64X Series Treatment - General Information

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

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

This 64X section covers the following topics:

- National-level PCC default decisions for newly-established SARs for monographic series and multipart items
 - General policy
 - Recording PCC local treatment decisions in new SARs
 - Recording PCC local treatment decisions in existing SARs
 - Existing SARs and non-LC analytic records
 - SARs for serials other than monographic series
 - Republications
 - Document series in general
 - U.S. federal document series
 - United Nations documents
 - **PCC** tracing practice

Also see specific 64X DCM pages.

National-level PCC default decisions for newly-established SARs for monographic series and multipart items

General policy

To encourage the contribution to shared databases of the greatest number of bibliographic records with the most specific classification, the PCC national-level default treatment decisions will be “analyzed in full, traced, classified separately.”

A PCC library can vary from the default analysis or classification practice for reasons of local needs/preferences/resources. If a **PCC** library varies from the national default classification practice, any resulting analytic record may be a **PCC** record without a “class separately” number also being supplied. If an analytic record is created, the default tracing practice is mandatory.

(*Note:* **PCC** libraries may opt not to create an SAR for an unestablished series when cataloging a bibliographic record at the core level; see the separate topic “**PCC** tracing practice” at the end of this 64X section for the handling of established/non-established series in **PCC** full and core records.)

The national level tracing decision information is given in two fields in the SAR: field

645 (tracing) and, when appropriate, field 642 (form of number in added entry) to ensure consistent access points. The use of the MARC 21 organization code “DPCC” (for the Program for Cooperative Cataloging) in subfield \$5 of those two fields indicates that the information applies at the national level. See the DCM pages for the 642 and 645 fields for specific information.

The “DPCC” code will not be given in subfield \$5 in either field 644 (analysis) or field 646 (classification).

Recording PCC local treatment decisions in new SARs

A PCC participant has the option to include its local treatment decisions in any SAR it creates.

Recording PCC local treatment decisions in existing SARs

A PCC participant has the option to add its local treatment decisions to any SAR created by another PCC participant if another PCC participant’s treatment decisions are not already in the SAR.

Existing SARs and non-LC analytic records

SARs with an LC decision not to analyze and, therefore, not to trace represent only LC’s pre-June 1, 2006 local decision. Such an LC decision does not prohibit another library from analyzing and tracing. It is not necessary to modify such SARs to add PCC tracing policy if it is not present.

Analytic records (either full or core) may be coded as **PCC** records if the series are traced.

SARs created before Sept. 1, 1989, with an LC decision to analyze in full but not to trace **may also be modified by PCC participants to include** PCC tracing policy.

SARs created between September 1989 and mid-November 1998 (when “DPCC” code began to be added to new SARs) **may be modified to add PCC tracing policy. Add a new 645 field with the value “t.” Do not change the original 645 field.**

SARs for serials other than monographic series

Note: The national-level default treatment decisions for analysis and classification do not apply to SARs for serials other than monographic series (008/12 = z). The decision to analyze an issue or issues of such a serial is a local decision. The presence of a participant’s code in such an SAR does not mean that another library must follow the analysis or classification decision recorded. However, if an analytic record is created, the default tracing practice is mandatory.

History of LC/PCC treatment decisions recorded in SARs

Before August 1995, PCC participants could omit treatment fields, give treatment only for the PCC library or only for LC, or give treatment for both the PCC library and LC. At point of contribution, SARs created by PCC participants from August 1995-March 1998 lacked LC treatment decisions. From April to mid-November 1998, PCC participants included an LC tracing practice to serve as the national-level tracing decision for the tracing of series in **PCC** records. The use by LC staff and

PCC participants of the MARC 21 organization code “DPCC” in subfield \$5 of the 642 and 645 fields to indicate national-level tracing decisions began in mid-November 1998. As of June 1, 2006, LC does not create or update SARs; LC’s treatment decisions are summarized in [LC-PCC PS 6.27](#).

Republications

Do not consider a republication to be in the original series if the original series statement has been omitted. The information can be given in a note on the bibliographic record. (See also [LC-PCC PS 2.12](#).)

Photoreproduction, microform, and other republications are represented on the SAR for the original. If the 642, 644-646 treatment decisions for the republication are the same as for the original, add a second subfield \$5 to each of those fields. If the treatment decision for the republication is not the same as for the original, use separate treatment fields with each having its specific subfield \$5. Use “___ photo-offset reprint” in the subfield \$5 for a photoreproduction. For other republications, use a term appropriate to the republication in hand, preceding the term with the appropriate MARC 21 organization code in subfield \$5. If the treatment fields for the republication are not the same as for the original, give the treatment field for the original before the treatment field for the republication. Always use a separate field for the republication if the same field for the original shows a change of decision.

```

646   $a s $5 ___ $5 ___ photo-offset reprint

050   $a ___ $b ___
646   $a c $5 ___
646   $a s $5 ___ microfiche

050   $a ___ $b ___
646   $a s $d no. 78- $5 ___
646   $a c $d no. 1-77 $5 ___
646   $a s $5 ___ large print edition

```

If only a republication is in hand and no SAR exists for the original even though the original is in the collection, either create a SAR for both the original and the republication or create an SAR only for the republication. If the original is not in the collection, create an SAR only for the republication.

The inclusion of 643 and 670 fields for the republication is dependent on whether the SAR is for one or more republications or is for the original and one or more republications. (Until April 1998, 643 and 670 fields were required for each type of republication and for each publisher/manufacturer of republications on all SARs; do not delete any 643 and 670 fields for republications on SARs for the original and republication(s) created before April 1998.)

- (1) Creating a new SAR for only a republication:
 - (a) In the 643 field, indicate in subfield \$d the type of republication of the item for which the SAR is being made.
 - (b) Begin the 670 field with the term for the type of republication and a slash.

642 \$a no. 1 \$5 DPCC photo-offset reprint \$5 ___ photo-
offset reprint
643 \$a [Place of republication] \$b
[Publisher/Manufacturer
of republication] \$d photo-offset reprint
644 \$a f \$5 ___ photo-offset reprint
645 \$a t \$5 DPCC photo-offset reprint \$5 ___ photo-offset
reprint
646 \$a s \$5 ___ photo-offset reprint
670 \$a Photo-offset reprint/[Title], [date]: \$b [source]
([usage])

(2) Creating a new SAR for both the original and a republication:

- (a) Do not include a 643 field for the publisher/manufacturer of the republication.
- (b) Do not include a 670 field for the republished item.

050 \$a ___ \$b ___
642 \$a no. 23 \$5 DPCC \$5 ___ \$5 DPCC photo-offset reprint
\$5 ___ photo-offset reprint
643 \$a [Place of original] \$b [Publisher of original]
644 \$a f \$5 ___ \$5 ___ photo-offset reprint
645 \$a t \$5 DPCC \$5 ___ \$5 DPCC photo-offset reprint \$5
___ photo-offset reprint
646 \$a c \$5 ___
646 \$a s \$5 ___ photo-offset reprint
670 \$a [Title of original], [date]: \$b [source] ([usage])

(3) Adding a republication to an existing SAR:

- (a) Add treatment decisions for the republication.
- (b) Do not add 643 and 670 fields for the republication.
- (c) Do not delete any existing 643 and 670 fields for any republication(s).

Example showing addition of photoreproduction to existing SAR for original:

642 \$a no. 1 \$5 ___ \$5 ___ photo-offset reprint
643 \$a [Place of original] \$b [Publisher of original]
644 \$a f \$5 ___ \$5 ___ photo-offset reprint
645 \$a t \$5 ___ \$5 ___ photo-offset reprint
646 \$a s \$5 ___ \$5 ___ photo-offset reprint
670 \$a [Title of original], [date]: \$b [source] ([usage])

Example showing addition of large print edition republication to existing SAR for photoreproduction:

642 \$a no. 1 \$5 ___ photo-offset reprint \$5 ___ large

print edition
 643 \$a [Place of reproduction] \$b [Publisher of reproduction] \$d photo-offset reprint
 644 \$a f \$5 ___ photo-offset reprint \$5 ___ large print edition
 645 \$a t \$5 ___ photo-offset reprint \$5 ___ large print edition
 646 \$a s \$5 ___ photo-offset reprint \$5 ___ large print edition
 670 \$a Photo-offset reprint/[Title], [date]: \$b [source] ([usage])

Example showing addition of microfilm republication to existing SAR for original and photoreproduction created before April 1998 (when 643 and 670 fields were still required for any republication added to SAR for original):

642 \$a no. 1 \$5 ___ \$5 ___ photo-offset reprint \$5 ___ microfilm
 643 \$a [Place of original] \$b [Publisher of original]
 643 \$a [Place of reproduction] \$b [Publisher of reproduction] \$d photo-offset reprint
 644 \$a f \$5 ___ \$5 ___ photo-offset reprint \$5 ___ microfilm
 645 \$a t \$5 ___ \$5 ___ photo-offset reprint \$5 ___ microfilm
 646 \$a s \$5 ___ \$5 ___ photo-offset reprint \$5 ___ microfilm
 670 \$a [Title of original], [date]: \$b [source] ([usage])
 670 \$a Photo-offset reprint/[Title], [date]: \$b [source] ([usage])

Document series in general

Definition of “document” = “Any publication bearing a government imprint or a statement that it has been published at government expense.” This definition is to be interpreted to include international organizations consisting of national governments, e.g., United Nations, World Health Organization, International Labour Office, etc. Note that publications of institutions created or controlled by a government (universities, colleges, museums, observatories, hospitals, libraries, institutes, etc.) are not to be considered documents. However, publications of agricultural experiment stations are to be considered documents. When in doubt, consider an item to be a document.

The above criteria are applicable only when establishing or reestablishing series headings; they are not to be used in any other context.

U.S. federal document series

PCC participants may create SARs for U.S. federal document series without contacting the Government Printing Office (GPO) Library. GPO will change any heading as needed and will add its symbol in an 040 \$d when it uses an SAR for the first time.

United Nations documents

Establish new UN document series according to normal procedures for document series. Give the UN document number as a quoted note on the analytic record.

PCC tracing practice**SAR already exists in the national authority file**

- If the SAR
 - has 645 value “t” with any subfield \$5, trace the series and code the bibliographic record (either full or core) as a **PCC** record. **Optionally**, add the “DPCC” 642/645 fields to an existing SAR;
 - has only LC's 644 of “n” and LC's 645 of “n,” trace the series and code the bibliographic record (either full or core) as a **PCC** record. **Optionally**, add the “DPCC” 642/645 fields to an existing SAR;
 - lacks a 645 field, trace the series and code the bibliographic record (either full or core) as a **PCC** record. **Optionally**, add the “DPCC” 642/645 fields to an existing SAR.

SAR doesn't exist in the national authority file

For a full-level bibliographic record:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record.

For a core-level bibliographic record,

either:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record;

or:

- don't contribute an SAR to the national authority file, and
- don't trace the series in the analytic record.

* New SAR would have “\$5 DPCC” in 642 and 645 fields.

If a **PCC** participant chooses not to follow the guidelines stated above, do not code the resulting analytic records as **PCC** records.

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642 Series Numbering Example

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

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

Consult [RDA 24.6](#) and [the associated LC-PCC PS](#) concerning choice of numbering designation.

Determine the form of numbering from the item in hand (not necessarily the first item of the series) and then use that form in tracing all items in the series. When reestablishing a series, change any subfield \$v forms in access points in existing analytic records that don't match the form in the 642 field.

If the only number found on the item is the number in the series statement within the CIP data, ignore that number and consider the series to be unnumbered.

If at the time of reestablishing a series, analytic records in the database show that the series is both numbered and unnumbered but the item in hand is unnumbered, determine the form of number to be used in the tracing from the records in the database and record the earliest number in the 642 field. Also add in a 670 field the citation of the analytic bibliographic record on which the form of number is based; include the number in the parenthetical data in the subfield \$b.

If the analytic being cataloged is a multipart item that represents more than one volume in the series (e.g., the two volumes of the multipart item are numbers 17 and 18 of the series), record only one number in the 642 field; do not use a sequence of numbers.

When an analyzable multipart item is classified with another series (646 \$a = m), the number recorded at the end of the call number in the 050 field will not be the number found in the 642 field. The number found in the 050 field is the number of the "other series" found on the item in hand. (See [DCM Z1 050](#).)

When wording such as "new series" has been supplied in brackets with the numbering in the bibliographic record 4XX subfield \$v (cf. [RDA 2.12.9.6](#)), include the brackets in the 642 field being added to the SAR.

642 \$a [new series], no. 1

Serial catalogers: include the 642 field even though subfield \$v usually doesn't appear in 4XX/8XX of serial analytic records.

Recording national-level and PCC local decisions for form of numbering

The national-level decision for form of numbering is to be followed by those libraries creating [PCC](#) records. The MARC 21 organization code used for this national-level decision in subfield \$5 is "DPCC" (PCC = Program for Cooperative Cataloging). PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

PCC participants: new SAR

(1) Always include the national-level decision for form of numbering for a numbered monographic series, multipart item, or other series (serial) regardless of your local tracing decision. Determine the form of number according to usual rules/policies.

642 \$a [form of number] \$5 DPCC

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in the one 642 field.

642 \$a [form of number] \$5 DPCC \$5 CoDU

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, it **may be added to the record**.

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in an already-existing 642 field. Note: only one PCC participant may include a form of numbering decision in an SAR. If a 642 field isn't present, optionally add the field with your MARC 21 organization code in subfield \$5.

642 \$a [form of number] \$5 DPCC \$5 CoDU

642 \$a [form of number] \$5 DPCC \$5 DLC \$5 IRA

642 \$a [form of number] \$5 DLC \$5 IRA

642 \$a [form of number] \$5 WaU

(examples represent single fields in different SARs; "DPCC" already in the first and second SARs)

643 Series Place and Publisher/Issuing Body

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

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

Give the information in the 643 field as found in subfields \$a and \$b of the 260/264 field of the bibliographic record for the analytic (or, in situations when there will not be an analytic, the way it would be found if an analytic existed). If you are using "cut and paste" or an automated authority generation program, it isn't necessary in the 643 field to delete an address or brackets included from the 260/264 field. However, do not use the form from 260 \$b if AACR2 1.4D4 was applied to shorten the name given in 260 \$b.

Generally, ignore changes of place if there is no change in publisher.

When recording the place of origin of the work, use field 370.

If the difference in publishers represents alternate rather than successive publishers, give each publisher in its own 643, using "some issues" in subfield \$d in each 643 field.

If there are more than **two** changes of publisher, **either give all of the changes in separate 643 fields or use only one 643 field** belonging to the volume cited in the first 670 field and give a 667 note. (See **DCM Z1 667 section "SARs."**)

Generally, use "some issues" when a subfield \$d is needed for unnumbered series or multipart items unless a span of dates is readily available.

Give "643 \$a Various places \$b various publishers" as the 643 field for an undifferentiated phrase record. (See **DCM Z1 Introduction** for more information about these records.)

When reestablishing a series, generally ignore changes in place or publisher occurring previous to AACR 2. If there is information (e.g., from analytic records or from item in hand) that the place and/or publisher for some or all of the analytics is different from that of item being cited in the 670 field, record in the 643 field only the place and the publisher of that item. Record the designation of that item in the subfield \$d of the 643.

When creating an SAR for a republication only, indicate the type of republication in subfield \$d. Use "photo-offset reprint" for a photoreproduction; for other republications use an appropriate term, e.g., "microfilm," "large-print edition." Do not include a 643 field for the producer of the republication if the SAR covers both the original and one or more republications. Do not add additional 643 fields for other types of republications cataloged later. (See **DCM Z1 64X section "Republications"** for more information.)

644 Series Analysis Practice

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

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

National-level PCC default analysis practice = "analyzed in full."

A **PCC** library can vary from the default analysis practice for reasons of local needs, preferences, or resources.

Recording PCC local analysis decisions

A PCC participant has the option to include or omit its analysis practice when creating or modifying an SAR. Only one PCC participant may include its analysis practice in an SAR.

Exception to analysis practice

Sometimes the exception to the analysis practice will apply to all the volumes of a serial analytic or to all the volumes of a subseries. In such cases, in subfield \$b give the title of the serial analytic or of the subseries instead of the series numbers of those items.

```
644 $a n $b [Title of serial] $5 ____
646 $a c $5 ____
```

Change of decision

When there is a change in analysis practice **and** the classification practice already is classified as a **collection** (646 \$a = c), use a processing date as the cut-off. For subfield \$d in the two 644 fields use the phrases "items processed after [date]" and "items processed before [date one day later than date in the previous subfield \$d]." For example, if the analysis decision change was made on Feb. 3, 1993, give these 644 fields:

```
644 $a n $d items processed after Feb. 2, 1993 $5 ____
644 $a f $d items processed before Feb. 3, 1993 $5 ____
646 $a c $5 ____
```

When there is a change in analysis practice **and** the classification practice has been classified **separately** (646 \$a = s), use a numbering/chronological designation as the cut-off; use the term(s) from the item itself. For subfield \$d in the two 644 fields use the designation of the latest analyzed volume in

the database as the ending volume in the second (earlier practice) 644 field and the next number as the beginning volume in the first (current practice) 644 field. Generally, the same cut-offs are used in the 646 fields. Even if some volumes are not in the library, give the cut-off information using definite beginning and ending numbers. Do not show gaps in the subfield \$d information; the person handling one of those "missing" volumes later needs to know what treatment to use.

items in hand: no. 18-20
analyzed vols. in database: no. 1-16

existing SAR:

644 \$a f \$5 ____
646 \$a s \$5 ____

revised SAR:

644 \$a n \$d no. 17- \$5 ____
644 \$a f \$d no. 1-16 \$5 ____
646 \$a c \$d no. 17- \$5 ____
646 \$a s \$d no. 1-16 \$5 ____

If volumes were cataloged out of order and now the analysis practice is being changed to "not analyzed" with a change in classification practice to "classed as a collection," consider recording the specific volumes for each analysis practice instead of reclassifying already-cataloged volumes. Give the new analysis practice in the first 644 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment.

already analyzed: no. 1-4, 6-7
being processed now with "not analyzed" decision: no. 5, 8-10

existing SAR:

644 \$a f \$5 ____
646 \$a s \$5 ____

revised SAR:

644 \$a n \$d no. 5, 8- \$5 ____
644 \$a f \$d no. 1-4, 6-7 \$5 ____
646 \$a c \$d no. 5, 8- \$5 ____
646 \$a s \$d no. 1-4, 6-7 \$5 ____

already analyzed: v. 1-23, 25, 27-32
being processed now with "not analyzed" decision: v. 24, 26

existing SAR:

644 \$a f \$5 ____
646 \$a s \$5 ____

revised SAR:

644 \$a n \$d v. 24, 26, 33- \$5 ____

644 \$a f \$d v. 1-23, 25, 27-32 \$5 ____
 646 \$a c \$d v. 24, 26, 33- \$5 ____
 646 \$a s \$d v. 1-23, 25, 27-32 \$5 ____

Non-analyzable volumes

If the publication began as a not-analyzable serial and then became a monographic series without changing its title, create one SAR. Give two 644 fields and a 667 notes that explains the change in the publication.

644 \$a f \$d v. 9- \$5 ____
 644 \$a n \$d v. 1-8 \$5 ____
 645 \$a t \$5 DPCC \$5 ____
 646 \$a c \$5 ____
 667 \$a Lacked analyzable titles until v. 9.

If a later volume of an existing analyzed-in-full series is not analyzable, consider creating an analytic record for the volume according to the guidelines in [LC-PCC PS 2.3.1.7](#) instead of modifying the 644 field to indicate this fact.

645 Series Tracing Practice

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

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

National-level PCC tracing decision for all newly-established SARs for series, multipart items, and other series (serial) = “trace.”

See **DCM Z1 64X section** “PCC tracing practice” for guidelines about tracing when the SAR is already in the national authority file.

General policy for tracing practice

When reestablishing a series that was untraced prior to **RDA**, always give two 645 fields, using the **RDA** implementation date (regardless of the date of creating the SAR):

```
645 $a t $d items cataloged after Mar. 30, 2013 $5 [code]
645 $a n $d items cataloged before Mar. 31, 2013 $5 [code]
```

Even if only one/few volume(s) of a series or a serial other than a monographic series is analyzed, the 645 \$a = t.

Recording national-level and PCC local tracing decisions

The national-level tracing practice, to be followed by those libraries creating **PCC** records, is separate from the local tracing practice at any PCC institution. The national-level tracing decision always will be to trace. The MARC 21 organization code used for this national-level decision in subfield \$5 is “DPCC.” PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

PCC participants: new SAR

(1) Always include the national-level decision to trace in any new SAR created for a monographic series, multipart item, or other series (serial) regardless of your local tracing decision.

```
645 $a t $5 DPCC
```

(2) Optionally, add your own local decision.

(a) If your decision is to trace, add your MARC 21 organization code as the last

subfield \$5 in the one 645 field.

645 \$a t \$5 DPCC \$5 IRA

(b) If your decision is not to trace, give two 645 fields with your decision in a second 645 field.

two fields in one SAR:

645 \$a t \$5 DPCC

645 \$a n \$5 WaU

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, do not add it.

(2) Optionally, add your local tracing decision. Note: only one PCC participant may include a local tracing practice in an SAR.

(a) If your decision is to trace, add your MARC 21 organization code to an already-existing 645 field with decision to trace; if a 645 field is **not** present, add the field with your MARC 21 organization code in subfield \$5.

645 \$a t \$5 DPCC \$5 WaU

645 \$a t \$5 DPCC \$5 DLC \$5 CoDU

645 \$a t \$5 DLC \$5 CoDU

645 \$a t \$5 IRA

(examples represent single fields in different SARs; “DPCC” already in the first and second SARs)

(b) If your decision is not to trace, give your decision in a second 645 field if a 645 for a “traced” decision is present. If a 645 field is **not** present, add the field with your MARC 21 identification code in subfield \$5.

two fields in one SAR:

645 \$a t \$5 DPCC

645 \$a n \$5 IRA

single field in one SAR:

645 \$a n \$5 WaU

646 Series Classification Practice

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

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

National-level PCC default classification practice = classified separately.

A PCC library can vary from the default classification practice for reasons of local needs, preferences, or resources. If the PCC library's practice varies from the national default classification practice, any resulting analytic record may be a PCC record without a "class separately" number also being supplied.

General guidance

If a main series is classified separately, a numbered subseries is normally classified separately (the default decision). If a main series is classified separately, an unnumbered subseries can only be classified separately. If a main series is classified as a collection, a subseries (numbered or unnumbered) is normally classified with the main series.

If, by exception, a subseries has a classification decision different from that of the main series, give a second 646 field on the main series SAR identifying the subseries exception. If, by exception, a serial analytic has a classification decision different from that of the series, give a second 646 field on the series SAR identifying the serial analytic exception.

main series SAR:

```
050 $a ___ $b ___ $d all vols. except [title of subseries]
646 $a c $d all vols. except [title of subseries] $5 ___
646 $a s $d [title of subseries] $5 ___
```

subseries SAR:

```
646 $a s $5 ___
```

series SAR:

```
050 $a ___ $b ___ $d [title of serial]
646 $a s $d all vols. except [title of serial] $5 ___
646 $a c $d [title of serial] $5 ___
```

"Classified with main or other series"

This classification decision (646 \$a = m) applies to two situations:

- (1) a subseries (numbered or unnumbered, entered subordinately or independently) whose main series is classified as a collection (i.e., the SAR for the main series has 646 \$a = c);

If the subseries is numbered, there will be serial collected set bibliographic records for both the main series and the subseries; if the subseries is unnumbered, there will be a serial collected set record for only the main series.

- (2) a multipart item, numbered or unnumbered, in a series or other multipart item that is classified as a collection (i.e., the SAR for the series or multipart item has 646 \$a = c).

If the smaller multipart item is numbered, there will be collected set bibliographic records for both the series/larger multipart item and the smaller multipart item; if the smaller multipart item is unnumbered, there will be a collected set record only for the series/larger multipart item. The collected set record for the series will be a serial record; the collected set record(s) for the multipart item(s) will be monograph record(s).

Recording PCC local classification decisions

A PCC participant has the option to include or omit its classification practice when creating or modifying an SAR. Only one PCC participant may include its classification practice in an SAR.

Unnumbered volumes in a collected set series

If a numbered series that is classified as a collection has some volumes that are unnumbered, use two 646 fields:

```
646 $a c $d numbered items $5 ____
646 $a s $d unnumbered items $5 ____
```

Change of decision -- numbered monographic series

When the classification decision for a numbered monographic series has changed, generally use numeric/chronological designations in subfield \$d of both 646 fields. Use the term(s) from the item itself.

Even if some volumes are not in the library, give the cut-off information for the earlier classification decision using definite beginning and ending numbers. For example, v. 1-35 are represented by classified separately analytic bibliographic records. The classification decision has changed with the processing of v. 38. Do not show gaps in the subfield \$d; the person handling one of those "missing" volumes later needs to know what treatment to use.

```
646 $a c $d v. 36- $5 ____
646 $a s $d v. 1-35 $5 ____
```

not:

```
646 $a c $d <v. 38 > $5 ____
646 $a s $d v. 1-<35 > $5 ____
```

At times, if volumes were cataloged out of order (any of the uncataloged issues is earlier than the latest analyzed volume in the database), some volumes would have to be reclassified into the collected set in order to give a "clean" cut-off as shown above. Instead, generally record the specific volumes for each classification practice. Give the new classification practice in the first 646 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment. In the second 646 field, show only the specific volumes not having the new classification practice.

volumes already classified separately: no. 1-13, 15-18
 being cataloged now with classification decision changed to classification as a collection:
 no. 14, 19-20

existing SAR:

646 \$a s \$5 ____

revised SAR:

646 \$a c \$d no. 14, 19- \$5 ____

646 \$a s \$d no. 1-13, 15-18 \$5 ____

volumes already classified separately: t. 1-5, 7-11, 13
 being cataloged now with classification decision changed to classification as a collection:
 t. 6, 12

existing SAR:

646 \$a s \$5 ____

revised SAR:

646 \$a c \$d t. 6, 12, 14- \$5 ____

646 \$a s \$d t. 1-5, 7-11, 13 \$5 ____

667 Nonpublic General Note

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

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

General

Give information of permanent value and general interest that would be useful also to institutions outside of LC and to LC staff not working in the LC Database. A representative listing of notes is given below. With the exception of notes about old catalog headings, series-like phrase core records, and technical reports as well as the first part of the MESSAGE notes, the wording is recommended but not prescriptive. The separate 667 fields may be given in any order.

```
667 $a Not same as: [name or title, LCCN].
667 $a Cannot identify with: [name or title, LCCN].
667 $a Reinvestigate before using again.
667 $a Formerly on undifferentiated name record: [LCCN of
undifferentiated name record].
667 $a Coded provisional because [reason for coding].
667 $a Change authorized access point if name
_____continues to be used.
667 $a For works issued before/after [date].
      (to be used for official language changes)
```

NARs for persons with identities not established

Generally, for contemporary authors with two or more identities, name authority records are created for each name, including in some cases the possible unused real name. In the interest of efficiency, if research indicates that a person has numerous pseudonyms that are not likely to appear on separately published works, LC/PCC catalogers may choose not to create separate authority records for each pseudonym. In this case, list in the 670 field all the known pseudonyms; list the unestablished pseudonyms in a 667 field following the phrase: "Pseudonyms not found on published works: [give names not established]."

Note: Do not make references from the unestablished pseudonyms.

Example:

```
667 $a Pseudonyms not found on published works: Miz Scarlett,
      SCC, and Stevenopolis.
```

More information on creating NARs for persons with alternate identities is found in the "FAQ – LC/PCC RDA and AACR2 practice for creating NARs for persons who use pseudonyms" available at: <http://www.loc.gov/catdir/cps/pseud.pdf>

NARs for Series of Collective Conferences, Etc. (LC-PCC PS 11.13.1.8.2)

When creating an authority record for the collective conference, do not add the numbers and/or dates to the authorized access point. Include a 667 field when there are authority records for both collective and individual instances of an ongoing conference.

Example:

667 \$a See also related access points for individual instances of this conference which include specific information about the number, date, or place of the individual conference.

NARs and subject usage

(1) Notes indicating subject cataloging usage when an authorized access point is not appropriate for use as a subject entry:

(a) Heads of state, etc.

Add a 667 note indicating subject cataloging usage to name authority records for corporate names representing the office held for Heads of state, Heads of governments, etc. (RDA 11.2.2.18) International intergovernmental bodies (RDA 11.2.2.18.3) and Religious officials (RDA 11.2.2.26) when the name of the incumbent is included as part of the authorized access point. Also assign value “n” in 008/11 and value “b” in 008/15.

667 \$a SUBJECT USAGE: This name is not valid for use as a subject. Works about this person are entered under [personal name heading].

Examples:

110 1# \$a United States. \$b President (1953-1961 : Eisenhower)
 008/11 = n
 008/15 = b
 667 \$a SUBJECT USAGE: This name is not valid for use as a subject. Works about this person are entered under Eisenhower, Dwight D. (Dwight David), 1890-1969.

110 1# \$a Catholic Church. \$b Pope (1503-1513 : Julius II)
 008/11 = n
 008/15 = b
 667 \$a SUBJECT USAGE: This name is not valid for use as a subject. Works about this person are entered under Julius II, Pope, 1443-1513.

See also DCM Z1 008/11 and DCM Z1 008/15.

Follow these guidelines for newly-created authority records. Revise existing records when making any other change to the records.

(b) Earlier/later linear jurisdictional name changes

It is LC subject cataloging policy to assign as a subject access point or as a geographic subdivision only the latest name of a political jurisdiction that has had one or more earlier names, as long as the territorial identity remains essentially unchanged (cf. SHM H 708). Upon creating an earlier/later authorized access point for a geographic name, catalogers must add a 667 subject usage note to the earlier name and adjust the appropriate 008 fields (008/11, 008/15, and 008/17).

Example:

```
151 $a Ceylon
667 $a SUBJECT USAGE: This name is not valid for use
      as a subject. Works about this place are entered under
      Sri Lanka.
```

(2) Notes indicating that authorized access points for names of a city section, neighborhood, district, etc, are not appropriate for use as a geographic subdivision:

LC/PCC practice:

Add a 667 note to name authority records for geographic names that are not appropriate for use as geographic subdivisions in subject cataloging usage (per SHM H 835) when the name represents an entity within a city and is qualified by the city name. Change byte 008/17 to "n" to agree with the 667 note and do not add a 781 field.

```
667 $a SUBJECT USAGE: This name is not valid for use as
      a geographic subdivision.
```

Example:

```
151 $a Hollywood (Los Angeles, Calif.)
667 $a SUBJECT USAGE: This name is not valid for use
      as a geographic subdivision.
```

Follow these guidelines for newly-created authority records. Add the note to an existing record when making any other change to the record.

LC subject catalogers may optionally send a message to PSD policy@loc.gov and ask to have the NAR updated.

MESSAGE notes

In an authority record that contains non-Latin script variant access points use the 667 field with a note stating: "Non-Latin script reference not evaluated." If there are several non-Latin script variant access points, the sentence may be modified to reflect that condition. Assure that 008/29 is set to "b" to

indicate that the variant access point is not evaluated.

MESSAGE notes (LC practice)

Use a note in the 667 field to indicate that an authority record is not yet finished or that it needs further investigation. Use the note only when the work cannot be completed promptly.

If a new authority record cannot be completed immediately, adjust the code in LDR/17 from “n” to “o” and add the 667 note: “MESSAGE: Early notice.” When the record has been completed, change the code back to “n” and delete the 667 MESSAGE note.

If an existing authority record needs investigation that cannot be completed immediately, adjust the code in 008/31 from “a” to “b” and add a 667 note: “MESSAGE: Being updated. [code and date]” Additional information explaining the problem may be added, if considered useful. When the record has been revised as necessary, change the value back to “a” and delete the 667 MESSAGE note.

667 \$a MESSAGE Being updated. [code and date]

SARs

(1) Notes on the title proper:

There may be a clear pattern of fluctuation between two or more forms of title proper of a numbered series (based on information in the database or from items in hand). There may be a change in the form of the title proper that is **not** considered a title change (see [RDA 2.3.2.13.2](#)). Use a 667 field in lieu of a 670 field to indicate the different title proper that is not generating its own SAR. Give that form of the title proper in a 4XX field.

667 \$a Some issues have title: [title proper]
667 \$a Vol. 8 has title: [title proper]
[for fluctuating titles]

667 \$a Vols. 9- have title: [title proper]
[for change not generating separate record]

If the subtitle could be interpreted as the title proper of the series or as a subseries, note the subtitle in a 667 field and give it as a 4XX variant access point.

667 \$a Subtitle: [title of subtitle]

Do not use the 667 field to indicate variant titles of the series title proper found on the same item (e.g., form of series title on cover is different from form of series on series title page); note the variant titles in 670 field(s) and give them as 4XX variant access points.

(2) Notes on the relationship to other series/records:

If a series authority record represents a publication that is a successive entry that has occurred after a series was last handled under pre-AACR 2 rules but for which no SAR yet exists, give the information only in a 667 field rather than in 675/5XX fields. Label it, in square brackets, as an unevaluated catalog entry form. When the pre-AACR 2 catalog entry form is being evaluated in terms of construction of the RDA authorized access point, delete this 667 and replace it with appropriate 675/5XX fields on both SARs.

```
667 $a Continues: [pre-AACR 2 catalog entry form]
           [unevaluated catalog entry form]
667 $a Continued by: [pre-AACR 2 catalog entry form]
           [unevaluated catalog entry form]
```

If the earlier publication was not analyzable, give the information only in a 667 field rather than in 675/5XX fields.

```
667 $a Continues the not-analyzable serial: Directory of
           computer assisted research in musicology.
```

When the optional linking variant access point cannot be given between the RDA form and the previous form due to NACO normalization, if desired give the previous authorized access point's information in a 667 field. Use one of the notes given below. (See "NACO normalization" section in Introduction yellow pages.)

```
667 $a Old catalog heading: _____.
           [Use if the variant access point would
           normalize to the same form as the RDA
           authorized access point or another variant
           access point on the same record or to the same
           form as an authorized access point on another
           record.]

667 $a Includes old catalog headings: Great Britain.
           Foreign Office. Treaty series; and, Great Britain.
           Foreign and Commonwealth Office. Treaty series."
           [Use if two or more pre-RDA authorized access
           points will be treated as one authorized access
           point under RDA.]

667 $a Previous to RDA covered by:
           _____.
           [Use if one pre-RDA authorized access point
           will be split under RDA.]
```

(3) Notes on the publisher/issuing body:

When there are more than two changes of publisher or when there have been more than two different consecutive bodies both issuing and publishing the publication, **give all of the changes in separate 643 fields or** use only one 643 field and give an explanation in a 667 field. The explanation should be as specific as is appropriate for the situation.

- 667 \$a Imprint varies
- 667 \$a Publisher varies
- 667 \$a Published by various offices of the Division of Education
- 667 \$a Issued by various agencies of the West German government, e.g., Presse- und Informationsamt, Bundesministerium der Justiz, Bundesministerium für Forschung und Technologie

(4) Notes on the type of publication:

If the series is a document series, give a 667 note.

667 \$a Document.

If the publication has changed its identity (e.g., from a monographic series to a periodical), give a 667 note that indicates what happened, which will explain why a full set of analytic records is not available.

- 667 \$a Telephone call to publisher, 11-2-88: Change in pattern of publication; v. 1-17 monographic works, v. 18- collections of articles.
- 667 \$a Publication was periodical for v. 1-3; monographic series beginning with v. 4.

(5) Notes on the handling of series-like phrase:

- 667 \$a Do not give as a quoted note.
- 667 \$a Give as a quoted note.
- 667 \$a Give as a quoted note if [name of publisher] is not recorded in the publication, distribution, etc. area of the bibliographic record.

[for phrase that combines name of publisher and a generic term]

- 667 \$a Is an imprint, not a series. Record in publication, distribution, etc. area of the bibliographic record.

[for imprint that could be construed to be title, e.g., Metropolitan Books]

- 667 \$a Give as a quoted note, including the number, e.g., AAI no. 85-41.
- 667 \$a Give as other title information in the title and statement of responsibility area of the bibliographic record.

(6) Notes on an undifferentiated phrase record:

When converting a series-like phrase for a single phrase to an undifferentiated phrase record to cover the same phrase used by more than one publisher, give a 667 note using the wording given below. (See the Introduction yellow pages for more information about these records.)

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

Optionally, provide a second 667 note: "Give as a quoted note." If a different handling is desired for one instance of the phrase, either (a) make a separate phrase SAR and add a qualifier to its 1XX entry, or (b) add another 667 note in the undifferentiated phrase SAR: "For resources published by [_____], give the phrase as [_____]."

(7) Notes on the post-cataloging authority records:

When creating a post-cataloging SAR, that is, one established without the piece in hand, give a 667 note with the wording below:

667 \$a Series authority record created without piece in hand.

When a preliminary record with this note is upgraded to full level, delete the note.

(8) Miscellaneous notes:

667 \$a Previous to AACR 2 subsumed under made-up set for UN documents.

[See 64X yellow pages for more information about UN documents]

667 \$a First printing of vol. 8 of the Princeton theological monograph series erroneously carried the series statement: Pittsburgh theological monographs.

667 \$a Phone call to Borgo Press 1-20-84: Starmont Press series; Borgo reprints all titles generally 6 months to a year later in cloth.

667 \$a Lacked analyzable titles until v. 9.

667 \$a Indexed in: Social sciences index.

[for series not being analyzed]

667 \$a Establish separate records for English and Spanish titles if Spanish edition of v. 3 is received.