# PCC Program for Cooperative Cataloging
**BIBCO**: Monographic Bibliographic Record Cooperative Program

# BIBCO Participants' Manual

# Third Edition

Program for Cooperative Cataloging
Washington, D.C.
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# Introduction and Acknowledgements

The *BIBCO Participants' Manual (BPM)* gives an overview of the BIBCO Program, its cataloging standards, also provides a context for BIBCO Program documentation found in other sources, such as the Program for Cooperative Cataloging (PCC) web pages.

The main focus of this edition of the *BPM* is on the RDA current cataloging instruction. Any mentions of AACR2 are included only to provide context and are not meant to be an instructional guide for BIBCO's former cataloging code. The PCC no longer provides training and documentation support for AACR2.

This edition draws on the generous contributions of earlier editors and many participants in the BIBCO Program. Robert Maxwell, Nancy Sack, Iris Wolley, and John Wright offered valuable comments on the draft. PCC colleagues at University of California, San Diego provided careful, timely review and useful feedback in the latest round of working draft.

BIBCO records are dynamic. A BIBCO participant creates and authenticates an original bibliographic record. Other BIBCO (and NACO) participants may later enrich the same BIBCO record by adding access points, notes, or subject headings and classification numbers from a different scheme, etc. Similarly, a BIBCO participant may modify an existing bibliographic record to meet BIBCO cataloging practice and authenticates it to indicate the standards associated with the data provided. The goal is to make sharing of quality metadata cost-effective for participants and to increase the utility of the records worldwide.

BIBCO participants should consult the *BPM* regularly in the course of creating and enhancing BIBCO monographic and integrating resource records. The BIBCO Standard Record is discussed in detail in section E. Link to the ECIP program requirements for BIBCO ECIP records is also provided in this manual. The PCC also invites users of BIBCO records to use this manual to become acquainted with BIBCO cataloging standards to better interpret the data found in program records. Comments about BIBCO program and BIBCO Standard Record are welcome and may be sent to bibcomail@loc.gov.

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# SECTION I. THE BIBCO PROGRAM

# A. BIBCO Documentation

Before joining BIBCO, prospective BIBCO participants reach proficiency in creating bibliographic records for monographic and integrating resources in multiple formats, and achieve independence for contributing name authority records in NACO, the Name Authority Cooperative Program of the PCC. Cataloging documentation available to the general library community is already familiar to prospective BIBCO participants. After joining BIBCO, participants consult the following additional documentation to identify required record elements to meet the BIBCO standards for description and access.

## A1. General cataloging documentation

These documents appear in various locations in the PCC/LC and other websites:

- *MARC 21 Format for Bibliographic Data*
- *ALA-LC Romanization tables*
- *Provider-Neutral E-Monograph MARC Record Guide*

- *RDA: Resource Description and Access* as found in the RDA Toolkit (subscription required for full access), and used in connection with *Library of Congress-PCC Policy Statements (LC-PCC PS)* (freely available as part of the RDA Toolkit).

- *Library of Congress Descriptive Cataloging Manual Z1\* (DCM Z1)*
- *Library of Congress SHM: Subject Headings Manual\**, or other established thesauri or subject heading systems
- *Library of Congress CSM: Classification and Shelflisting Manual\**
  (Note: Other established subject and classification systems recognized by MARC are valid for use in BIBCO records, and are available from other agencies.)

\*available in Cataloger's Desktop, an integrated, online documentation system with almost 300 cataloging and metadata resources (subscription required for access).

## A2. BIBCO-specific documentation

These documents and others describing BIBCO standards appear on the BIBCO website:

- PCC RDA BIBCO Standard Record (BSR) Metadata Application Profiles
- PCC Guidelines for Creating Bibliographic Records in Multiple Character Sets
- Library of Congress ECIP Cataloging Partnership Program documentation for participating BIBCO members

## A3. Hybrid environment instructions: AACR2 and RDA records

The arrival of RDA-based PCC bibliographic and name authority records into largely AACR2 databases at the start of the US RDA Test beginning October 1, 2010 called for instructions to be issued to PCC catalogers who wish to enhance and edit bibliographic records regardless of the cataloging standard used in the record.

The following guidelines were recommended by the Task Group on Hybrid Bibliographic Records in 2011 and approved by the PCC Policy Committee and can be used:
- Enhancing & Editing RDA Monograph Records
- Enhancing & Editing non-RDA Monograph Records
- Enhancing & Editing RDA Integrating Resource Records
- Enhancing & Editing non-RDA Integrating Resource Records (See report of follow on task group below for final guidelines)
- PCC Task Group on Hybrid Integrating Resource Records -- Final report, April 25, 2012: recommendations and guidelines for creating a hybrid record from a pre-RDA record

See the RDA and PCC web site for additional information.

# B. BIBCO Parameters

## B1. Membership Requirements

When applying to join BIBCO, institutions agree to a set of membership and record contribution requirements.

To maintain BIBCO Membership Requirements throughout their participation in the program, member institutions must continue to:

- Be active, independent NACO contributors
- Be proficient in following descriptive instructions, procedures, and guidelines contained in the *RDA*, *LC-PCC Policy Statements*, *MARC 21 Bibliographic Format* and the *MARC 21 Authority Format*
- Be proficient in applying established subject and classification systems (i.e. LCSH, MeSH, LCC, etc., and their supporting documentation)
- Have access to the online bibliographic and authority files, including the Library of Congress name and subject authority files
- Support the possible service of attendance of BIBCO representatives to the PCC Operations Committee meeting (OpCo). OpCo meets annually for a Thursday/Friday in the spring in Washington, DC. For more information, see:
  - OpCo Travel Funds
  - OpCo Funding Letter

## B2. Participation in PCC Governance

BIBCO participants have various roles in PCC decision-making, and in carrying out the objectives of the organization. Where possible, the participant institution encourages participation by offering its staff release time for PCC activities, and financial support for travel to meetings.

- Directors vote annually for BIBCO representatives to the PCC Policy Committee
- Those in policy level positions in a BIBCO participant institution are eligible for nomination to serve a three-year term as a BIBCO representative to the PCC Policy Committee (meets early November at Library of Congress)
- BIBCO Contacts may attend the annual PCC Operations Committee (meets early May at Library of Congress)
- BIBCO participants may serve on PCC committee and task groups, and some may become trainers or reviewers for other PCC participants

## B3. BIBCO Record Contribution Requirements

To meet BIBCO Record Contribution Requirements, member institutions:

- Designate their BIBCO records with MARC field "042 pcc," but are not required to designate all of their cataloging as BIBCO records
- Contribute a minimum of 100 bibliographic records annually
- Make BIBCO records in a timely manner as a mark of quality
- Support all access points on BIBCO records with authority records (See *BMP* Section E5). (Note: controlling series access points is a local option.)
- Use the following documentation (See also *BPM* Section A)
    - RDA Toolkit
    - LC-PCC PSs
    - PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile
    - MARC 21 Format for Bibliographic Data
    - ALA-LC Romanization tables
- Assign at least one or two subject headings (at the appropriate level of specificity) from an established thesaurus or subject heading system recognized by the *MARC 21 Bibliographic Format* on BIBCO records (e.g., *AAT, MeSH, LCSH*)
- If using LCSH, follow current LC documentation (Note: Certain topics may require multiple headings; 10 is the maximum, cf. Subject Headings Manual H 180)
- Assign a classification number from an established classification system supported by the *MARC 21 Bibliographic Format* (e.g., Dewey, LC Classification) as specified by BIBCO standard record
- If using LC Classification, follow current documentation issued by LC or in commercially available versions of the schedules
- If not tracing series, are exempt from creating series authority records for unestablished series and may code these series as MARC field 490 first indicator 0 on BIBCO records

- If tracing series on BIBCO records, follow the series policies and procedures as stated in the *LC Descriptive Cataloging Manual Z1 (DCM Z1)* supplement to the MARC 21 Format for Authority Data and the LC-PCC PSs

## B4. ECIP Cataloging Partnership Program

The Library of Congress invites BIBCO participants to join the ECIP Cataloging Partnership Program. ECIP, or the Electronic Cataloging-in-Publication Program, creates pre-publication records for galleys to be printed on the title page verso of published books. BIBCO ECIP partners serve as virtual cataloging teams for forthcoming titles to be published by their respective university presses, and for titles from other publishers. The ECIP unit customizes its software and gives technical support to enable the exchange of records between the ECIP partner and LC. LC distributes the completed ECIP records as BIBCO records to OCLC. For more information, contact the ECIP office directly.

# C. Reporting Statistics

## C1. Continuing membership, volume/quality of records, other participation

BIBCO participants compile statistics locally and report them to the PCC Secretariat. A BIBCO participant may count any record they contribute that has never been a program record in the past. This is true for both original cataloging BIBCO records and BIBCO records generated by modifying non-program copy. Libraries participating in the ECIP Cataloging Partnership Program should include their ECIP records in the count.

### C1.1. BIBCO Statistics Reporting

The PCC Secretariat issues a survey form semi-annually for reporting statistics. The form asks for the number of records contributed to BIBCO for the period being covered as specified in the document "*BIBCO and CONSER Statistics Procedures, Deadlines*" on the Program for Cooperative Cataloging Statistics page.

### C1.2. BIBCO Statistics Reporting Process:

- Program participants track their record contributions internally using whatever method and schedule suit their local needs.
- LC Cooperative Programs Section staff sends SurveyMonkey links for participants to report data twice a year, in April and September.
- The BIBCO Contact at each institution completes the surveys for its total BIBCO record contributions for the period, with no distinction between original, copy, or ECIP cataloging.
- An institution that misses a reporting period may total the uncounted records in the next report.

- After the LC staff processes the statistical reports, the statistical reports are posted on the PCC Statistics page.
- Send any questions about statistics to the BIBCO Coordinator at bibcomail@loc.gov. Please use an appropriate subject line.

# D. The BIBCO Record

## D1. Definitions of the BIBCO Record

The BIBCO record is a bibliographic record for a monographic or integrating resource in any format that has been authenticated by a participant in the BIBCO Program. BIBCO records include

- bibliographic records authenticated under the current cataloging instruction RDA
- bibliographic records authenticated under the old cataloging code AACR2 (before and after the implementation of the BIBCO Standard Record in 2010)*
- ECIP pre-publication records

Starting January 1, 2015, all new BIBCO contributions must follow RDA BIBCO Standard Record guidelines. Records created by BIBCO participants that are not fully RDA compliant, may not be coded PCC. **

*Prior to January 1, 2010, PCC records had two valid encoding levels (Encoding Level (MARC Leader, character position 17), value "4" for core and value "blank" for full. With the adoption of the BIBCO Standard Record, all PCC records now carry Encoding Level "blank." Value "4," although not applied to current BSRs, remains valid in bibliographic utility systems.

***Exception*: BIBCO ECIP records are prepared for books that have not yet been published. They lack extent, dimensions, and other data required in BSR records and use Prepublication encoding level "8" until the CIP verification process upgrades them to BSR encoding level "blank." (See G. BIBCO Standard Record Requirements)

The process of authentication includes:

1) creating or revising a monographic or integrating resource bibliographic record, ensuring that its data content and content designation conform to BIBCO bibliographic practices and other agreed-upon conventions; and

2) adding identifying elements to the record to indicate the degree of authoritativeness of data or the extent to which the record has been reviewed. Only a cataloger from a BIBCO institution may include the "pcc" in MARC 21 field 042 to identify the record as a BIBCO record.

Authenticated records are made available as contributions to participating bibliographic utilities.

RDA BIBCO record
```
Leader/17 Encoding level = #
Leader/18 Descriptive cataloging form = i
008/39 Cataloging source = c
040    ##    $a UCO $b eng $e rda $c UCO $d SLU
042    ##    $a pcc
```

AACR2 BIBCO record:
```
Leader/17 Encoding level = 4
Leader/18 Descriptive cataloging form = a
008/39 Cataloging source = c
040    ##    $a WCL $b eng $c WCL
042    ##    $a pcc
```

AACR2 BIBCO record:
```
Leader/17 Encoding level = #
Leader/18 Descriptive cataloging form = a
008/39 Cataloging source = c
040    ##    $a SEN $b eng $c SEN $d GPO
042    ##    $a pcc
```

AACR2 BIBCO ECIP record:
```
Leader/17 Encoding level = 8
Leader/18 Descriptive cataloging form = a
008/39 Cataloging source = c
040    ##    $a DNLM/DLC $b eng $c DLC
042    ##    $a pcc
263    ##    1401
300    ##    $a p. ; $c cm.
```

RDA BIBCO ECIP record:
```
Leader/17 Encoding level = 8
Leader/18 Descriptive cataloging form = i
008/39 Cataloging source = c
040    ##    $a NIC/DLC $b eng $e rda $c NIC $d DLC
042    ##    $a pcc
263    ##    $a 1402
300    ##    $a pages cm
```

## D2. BIBCO Standard Record (BSR)

In 2010, while still using AACR2 as its descriptive cataloging standard, the PCC implemented the single-encoding level BIBCO Standard Record (BSR) as a replacement for the earlier dual encoding levels used in BIBCO, Full and Core. Different AACR2 BSR models apply to records for different types of materials.

AACR2 BSR record:
```
Leader/17 Encoding level = #
Leader/18 Descriptive cataloging form = a
008/39 Cataloging source = c
```

```
040    ##   $a YDXCP $b eng $c PUL
042    ##   $a pcc
```

The PCC added guidelines for BSRs under RDA in 2012.

RDA BSR record:
```
Leader/17 Encoding level = #
Leader/18 Descriptive cataloging form = i
008/39 Cataloging source = #
040    ##   $a DLC $b eng $e rda $c STF
042    ##   $a pcc
```

Starting January 1, 2015:

- All **new** BIBCO contributions must follow RDA BIBCO Standard Record guidelines. Records that are not fully RDA compliant may not be coded "pcc."

- Catalogers may add other MARC fields and elements in **existing AACR2 records** according to general cataloging instructions to meet local institutional needs, but those records cannot be coded "pcc."

See *BPM,* Section E, for additional BIBCO Standard Record (BSR) policies and practices.

## D3. Non-BIBCO records

BIBCO program participants may choose to contribute some records to participating utilities **without** authenticating them as BIBCO records. These unauthenticated records carry the participant institution's code or symbol in the 040 field, but lack the 042 field with the code "pcc" and the corresponding data elements in character position (byte) 17 of the Leader (Encoding Level), byte 18 of the Leader (Descriptive cataloging form) and byte 39 of the 008 (cataloging source). The presence of a BIBCO participant's symbol in the MARC field 040 does not guarantee that it is a BIBCO record. This includes all records created by an institution before it joins the BIBCO Program.

```
Leader/17 Encoding level = [may be any value]
Leader/18 Descriptive cataloging form = [may be any value]
008/39 Cataloging source = d
040    ##   $a BP1 $b eng $e rda $c BP1
```
[Non-BIBCO record from Art Institute of Chicago]

## D4. Records modified by a BIBCO participant

When a BIBCO participant modifies an unauthenticated record, and authenticates it with appropriate coding, it becomes a BIBCO record. The modifying participant's institutional symbol should be inserted into the 040 $d.

```
Leader/17 Encoding level = #
```

```
Leader/18 Descriptive cataloging form = i
008/39 Cataloging source = c
040   ##   $a MZB $b eng $e rda $c MZB $d CUS
042   ##   $a pcc
```
[Record created by Montana State Library, authenticated by University of California, San Diego]

## D5. Online creation of BIBCO records

BIBCO participants contribute new bibliographic records or edit existing records using shared databases (e.g., OCLC, SkyRiver) following the utility's input standards and BIBCO Program standards.

BIBCO participants send their ECIP records via the ECIP program software, and LC distributes the completed records to participating utilities.

## D6. Batchloading of BIBCO records

BIBCO participants may contribute new BIBCO bibliographic records via the batchloading options of their participating utilities. BIBCO participants should discuss this with their utility.

## D7. Processing and distribution

The BIBCO program does not have an agreement among participating utilities to redistribute bibliographic records automatically from a centralized database, unlike the CONSER, NACO, and SACO programs. Participants may choose to contribute their BIBCO records to more than one major database to facilitate greater record sharing. The PCC encourages BIBCO participants and utilities to maximize availability of BIBCO records.

# SECTION II. BIBCO STANDARD RECORD (BSR)

# E. Policies and Practices

The BIBCO Standard Record (BSR) is a model for bibliographic monographic records using a single encoding level (Ldr/17='blank') in a shared database environment. Catalogers satisfy BSR requirements when creating and/or modifying bibliographic records, and determine the level of fullness that best suits the resources in their collections and the needs of their users.

The BSR establishes a baseline set of elements that emphasize access points over descriptive data. The standard seeks to ensure inclusion of the essential data elements necessary to meet user needs; it is a solid "floor" description of a resource that can be built upon in a shared environment. The standard also does not preclude the use of any data in a bibliographic description representing more extensive cataloging treatment.

Authorized access points in a BSR must be supported by authority records established through the NACO and SACO programs, or must follow the policies of those programs in cases where an authority record is not required by program policy.

BSR content is supported through use of *MARC21 Format for Bibliographic Data*.

The RDA BSR is a combination of RDA "Core," RDA "Core if," "PCC Core," and "PCC Recommended" elements applicable to archival materials, audio recordings, cartographic resources, electronic resources (if cataloged in the computer file format), graphic materials, moving images, notated music, rare materials, and textual monographs.

The RDA BSR also incorporates supplemental requirements for these resource types when presented in digital formats, and it can be used to describe digital reproductions.

Instructions on creating RDA BSR should be read in conjunction with the LC-PCC Policy Statements (LC-PCC-PSs) that are integrated into the RDA Toolkit.

When describing online monographic resources, catalogers may also consult the PCC RDA Provider-Neutral guidelines.

## E1. Record content of the BSR

[PCC RDA BIBCO Standard Record (BSR) Metadata Application Profiles](#) lists the required fields and subfields for BSR records for different types of materials. The mapping to MARC fields included in the BSR is intended to be a general guide. For specific instructions on recording data in the MARC format, please refer to official MARC 21 documentation, OCLC Bibliographic Formats and Standards, and the MARC-to-RDA/RDA-to-MARC mappings in the RDA Toolkit. BSR elements not directly related to RDA (e.g., classification; access points for subjects), or data treated in MARC control/fixed fields, are included in separate tables at the end of the [PCC RDA BIBCO Standard Record (BSR) Metadata Application Profiles](#).

*Exception*: ECIP records must follow ECIP program requirements. These records are prepared for books that have not yet been published. They lack extent, dimensions, and other data required in BSR records and use Prepublication encoding level "8" until the CIP verification process upgrades them to BSR encoding level "blank."

## E2. Identification of the BSR

BSRs are identified most easily by the presence of MARC field 042 with the value "pcc" and encoding level (Leader, character position 17) with value "blank (represented by the symbol "#")."

```
Leader/17 #
042    ##   $a pcc
```

Most BSRs have a Cataloging Source (MARC 008 All materials, character position 39) with value "c."

> **c - Cooperative cataloging program**
> Creator of the cataloging data is a participant (other than a national bibliographic agency) in a cooperative cataloging program.

```
008/39 c
040    ##   $a HMY $c HMY
```
[Harvard University Yenching Library cataloging input online as part of the Program for Cooperative Cataloging.]

*OCLC template:*

BSRs created or updated by a national library or national bibliographic agency will have the Cataloging Source value "blank." If the Cataloging Source value of a record was "blank" when it was created or updated, it must remain "blank," even if modified by a library other than a national library. (See the Glossary entry for more information about National Bibliographic Agencies.)

> **# - National bibliographic agency**
> Creator of the original cataloging data is a national bibliographic agency (e.g., U.S. Library of Congress).

```
008/39 #
040    ##   $a DLC $c DLC
```
[Record was created and transcribed by the U.S. Library of Congress.]

*OCLC template:*



## E3. Leader, directory, and variable control fields

The leader, directory, and variable control fields of BSR records should follow the PCC RDA BSR guidelines. (Note: information of other formats is included in the Guideline. An example below is what's included in the Guideline for Textual Monographs.)

**Textual Monographs**

| ELEMENT | NOTES | MARC ENCODING |
|---|---|---|
| Leader | | |
| Type of record | Use "a" or "t" | Ldr/06 |
| Bibliographic level | Use "m" | Ldr/07 |
| Encoding level | Use 'blank' value | Ldr/17 |
| Descriptive cataloging form | Use "i" | Ldr/18 |
| Variable Control Fields – Physical Description Fixed Field | | |
| Category of material | Use "h" for microform textual monographs. | 007/00 |
| Specific material designation | | 007/01 |
| Variable Control Fields – Fixed-Length Data Elements | | |
| Type of date/publication status | | 008/06 |
| Date 1 | | 008/07-10 |
| Date 2 | | 008/11-14 |
| Place of publication, production, or execution | | 008/15-17 |
| Form of item | | 008/23 |
| Language | | 008/35-37 |
| Modified record | | 008/38 |
| Cataloging source | Use "c" or 'blank' | 008/39 |

## E4. Bibliographic description

Bibliographic description is based on the latest edition of *RDA: Resource Description and Access* used with the related *Library of Congress-PCC Policy Statements (LC-PCC PS)*. The *LC-PCC PSs* demonstrate a close correlation between the practices of LC and the PCC. The labels "PCC practice" or "LC practice" appear where needed.

Starting January 1, 2015, all new BIBCO contributions must follow PCC RDA BIBCO Standard Record (BSR) guideline.*

A BIBCO participant is not required to authenticate every record that it creates or modifies. When a participant's local needs dictate a practice that is not supported by accepted BIBCO documentation, it may choose to create a non-BIBCO record, or modify the content of an existing record for its local use only.

*See *BPM* D1 for exception regarding BIBCO ECIP records.

## E5. Authority control and authorized access points

All authorized access points on BIBCO records shall be under authority control and be represented by authority records in the LCNAF.

## E5.1. Authority Control Programs:  NACO and SACO

As a prerequisite to BIBCO membership, libraries must be active NACO members, sending their name authority records by various means to the Library of Congress, the PCC member agency that manages the LC/NACO Authority File, or LCNAF.

Authority control in BIBCO records applies to subject and classification elements as well. A participant that wishes to propose new or changed subjects to LCSH or new or changed numbers to LC Classification would do so through SACO, the Subject Authority Cooperative component of the PCC. SACO membership is not a BIBCO pre-requisite.

## E5.2. Personal, corporate, conference, family, or place names

BIBCO catalogers follow PCC cataloging guidelines when establishing a name authorized access point. All personal, corporate, conference, family, or place names used as access points on BSRs must be represented by a Name Authority Record (NAR) in the LCNAF.

If a NAR has been established in the LCNAF:
- Use the authorized form of name in the BSR
  - Post-RDA Implementation Guidelines and Standards address the use of RDA authorized access points and AACR2 headings in BIBCO records
- Modify the NAR, if needed, following accepted NACO practices
  - Modifying one NAR may affect other related NARs

If there is no NAR in the LCNAF:
- Research the name and submit the NAR, following NACO practices

If a new or modified NAR is not in sync with authorized access points on LC bibliographic records:
- Identify affected LC bibliographic records
- Notify LC of the need for bibliographic file maintenance following the "Guidelines for reporting NACO BFM"

## E5.3. Preferred titles/Conventional Collective Titles/Authorized access points for

## works and expressions

BSR records for most types of materials instruct the cataloger to supply the preferred title/conventional collective title/authorized access points for works and expressions of a resource if it is known or can be easily inferred from the item.

BIBCO catalogers follow PCC policy when constructing an authorized access point for works/expressions. (See: Post-RDA Implementation Guidelines and Standards)

According to *LC Descriptive Cataloging Manual Z1 (<u>DCM Z1</u>), Introduction,* catalogers are required to make preferred title/authorized access points for works and expressions when:

- a reference must be provided on that authority record; or,
- research done to establish that authorized access point must be recorded (Note: In this context the LC manual *Official Name Catalog* is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,
- the authorized access point is needed for a related work added or subject entry, and the work is not represented in the LC database either by a bibliographic record for the work itself (original or translation) or by an analytical access point/added entry on another bibliographic record; or,
- special information needs to be recorded, e.g., citation title for a law.

*Exception*: In some cases, a cataloger may add the preferred title/Authorized access points for works and expressions to a bibliographic record without establishing an authorized access point/a name authority record in the LCNAF. No preferred title//Authorized access points for works and expressions is required when the original title of a resource and the translated title in another language are the same or would be the same due to normalization. When one of the titles is in a non-Latin script, the cataloger should consider the Romanized form of the title when determining if two titles would normalize to the same form.

*Note:* The stipulations of <u>DCM Z1</u> do not forbid BIBCO catalogers from creating authority records for work or expression authorized access points that they need in their cataloging, even if they do not fall into the categories listed there.

## E5.4. Series: Authority control options

BIBCO participants may choose whether to keep the names of monographic series under authority control or just record series statements in bibliographic records.

BIBCO participants that choose **to control** series authorized access points:

- Assure that all series statements from the item appear in the MARC field 490 #1
- Record the controlled series authorized access points data in the appropriate MARC field 8XX
- Follow PCC policies and pertinent documentation when establishing the form of a series authorized access point

BIBCO participants that choose **not to control** series authorized access points:

- Assure that all series statements from the item appear in the MARC field 490 #0
- Allow any controlled series authorized access points data in MARC 8XX series added entry fields to remain untouched on existing records created by other libraries
- Do not create or revise a series authority record (SAR) in the LCNAF

**BIBCO SAR practice for participants that keep the names of series under authority control:**

The *DCM Z1* section "64X Series Treatment—General Information" contains the LC and PCC policies on series treatment, including guidelines on national-level PCC default decisions and detailed procedures for creating or modifying the 64X fields. (See also E6.2.5 Series classified together (LCC))

SAR already exists in the LCNAF:

- Do not add the "DPCC" 642/645 fields to an existing SAR
- If the SAR was established before September 1989 <u>and</u>
    - o 644 $5 DLC has value "f" <u>and</u>
    - o 645 $5 DLC has value "n"

  do not record the controlled series authorized access points data in BIBCO designated bibliographic records.

- Otherwise, record the controlled series authorized access points data in BIBCO designated bibliographic records. This applies if the existing SAR has:
    - o 645 with value "t" (and <u>any</u> code in subfield $5)
    - o No 645 field
    - o 644 $5 DLC with "n" and 645 $5 DLC with "n" as the only 644 and 645

SAR doesn't exist in the LCNAF:

- Contribute a new SAR with "$5 DPCC" in 642 and 645 fields (see *DCM Z1*) to the LCNAF
- Record the controlled series authorized access points data in BIBCO designated analytic bibliographic records

## E5.5. Subject, Genre, and/or Form Headings

BIBCO does not require its participants to use one particular subject thesaurus, genre/form thesaurus or classification scheme. BIBCO participants may utilize any classification or subject heading scheme recognized by the MARC 21 Format for Bibliographic Data. The format identifies the thesauri in two places:

1.  MARC Fields 600-651, 2nd indicator:
    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
    5 - Canadian Subject Headings
    6 - Répertoire de vedettes-matière

2.  MARC Fields 600-651, subfield $2:

- [Subject Heading and Term Source Codes](#)
- [Genre/Form Code and Term Source Codes](#)

Use judgment in assessing each item. As appropriate, assign a complement of headings that provides access to at least the primary/essential subject and/or form of the work at the appropriate level of specificity. Assign such headings from an established thesaurus, list, or subject heading system recognized by the MARC 21 Format for Bibliographic Data. Follow the conventions of the particular subject heading system being used.

FAST (Faceted Application of Subject Terminology) is a fully enumerative faceted subject heading schema derived from the Library of Congress Subject Headings (LCSH). PCC members may create BIBCO Standard Records with only FAST subjects assigned.

***Exception***: Newly-proposed subject headings that have been submitted as SACO proposals for inclusion in the *Library of Congress Subject Headings (LCSH)* may be entered on bibliographic records coded as BIBCO. Proposed headings are considered to be pre-approved in the absence of other communication from the LC Cooperative Programs Section. If the Library of Congress rejects or modifies the proposed subject heading, the inputting library agrees to modify the bibliographic record in the database(s) to reflect the approved, established *LCSH* heading.

Catalogers should consult documentation available for the different schemes when creating or upgrading bibliographic records.

Catalogers contributing BSRs should possess sufficient knowledge of the subject or language of the materials being cataloged to be able to provide adequate subject analysis. When in doubt about the content analysis because of insufficient subject or language expertise, the cataloger should **not** contribute the record as BIBCO.

## E5.5.1. LCSH

BIBCO participants using *Library of Congress Subject Headings* are expected to adhere to the principles and policies for its application and formulation as stated in current documentation issued by LC. In particular, BIBCO catalogers applying LCSH headings in BSRs should read instruction sheets "H 170: CONSER and BIBCO Standard Records" and H 180: Assigning and Constructing Subject Headings" of the *Subject Headings Manual (SHM)*. These instruction sheets offer general guidelines for assigning subject headings to records for all types of materials. H 181 gives guidelines for Arabic and Persian subject headings, and H 182 has guidelines for Chinese, Japanese, and Korean subject headings.

In general, catalogers contributing BSR records with LC subject headings may follow instructions in the *SHM* to assign at least one or two headings from the subject authority file and/or the name authority file to represent the primary subject and/or form of the work at the appropriate level of specificity. They are to assign headings to provide access to the essential

subject focus of the work, which would normally correspond to the meaning of the assigned class number.

A BIBCO participant may provide additional headings to a record for secondary or tertiary subjects, even if they constitute less than 20% of an item (See H 180 sec. 1). Multiple headings may be needed to represent a compound or multi-element topic for which a single heading neither exists nor can practically be constructed or established (See H 180 sec. 10). Multiple headings may also be needed in situations where reciprocal headings are used, for example, [place 1]–Foreign relations–[place 2] and [place 2]–Foreign relations–[place 1], or where a standard array of headings is prescribed, for example, on biographies (See H 1330).

Where appropriate, catalogers subdivide main headings by topical, geographic, chronological, and/or form subdivisions to bring out those aspects of the primary subject (See H 180 sec. 16). They are instructed to assign headings at the level of specificity appropriate to the work (See H 180 sec. 4).

BIBCO catalogers are expected to establish new headings for discrete topics and named entities as they are needed. The process for submitting new or changed LCSH proposals is documented online on the SACO Proposals & Documentation on the SACO web site, and in the *SACO Participants' Manual*. Catalogers not wishing to submit a SACO proposal for a new discrete topic or entity should not contribute the bibliographic record in question as a BIBCO record.

## E5.5.2. MeSH

The Medical Subject Headings (MeSH) comprise the National Library of Medicine's controlled vocabulary used for indexing articles, for cataloging books and other materials, and for searching MeSH-indexed databases. The NLM Cataloging main page offers helpful information about MeSH and many other aspects useful to catalogers. NLM accepts proposals for new terms in the thesaurus. The form for submitting suggestions is available on the Web.

## E5.6. Genre/Form terms

BIBCO participants are encouraged to include genre/form terms in their PCC records where appropriate. Genre/form terms should be taken from one or more of the approved thesauri. (See Genre/Form Term and Source Codes). The thesaurus from which the term originates should be identified either in subfield $2 or by the appropriate indicator, according to the MARC 21 standards in practice at the time of cataloging. Locally defined terms, if used, should be coded $2 local. Subdivision of terms should follow the rules or practice of the thesaurus.

Practice has not yet been completely standardized on the coding of form terms in bibliographic records (650 vs. 655). Some institutions are inconsistent in their practice, sometimes coding form terms in 650 fields, sometimes in 655. In the interest of consistency

in records, BIBCO catalogers should follow the MARC 21 standard as published when including form terms in their records.

Practices for the use of genre/form terms are in transition for Library of Congress and other institutions that use its thesauri. In recent years, the Library of Congress created a new authority file, the *Library of Congress Genre/Form Terms for Library and Archival Materials*, or *LCGFT*. The initial terms in the *LCGFT* were in the subject areas of moving images, recorded sound, cartographic materials, and law. LC will continue to expand *LCGFT* in consultation with other interested communities. In the meantime, catalogers may need to use genre/form headings that historically have appeared in *LCSH*. See the Frequently Asked Questions on LCGFT for more details.

Authority work for genre/form terms should be done through the agencies responsible for the approved thesauri. This includes SACO for terms originating in or to be added to LCSH or LCGFT.

# E6. Classification

Any classification number provided in a BSR should be in a form that is most useful to the widest number of potential users of that classification system.

## E6.1. Overview on Classification

A classification number is required in BIBCO Standard Records for textual monographs, cartographic materials, printed music, and electronic resources. Classification numbers are required if applicable on archival materials. Classification numbers are optional on records for graphic materials, moving image materials, rare books, and sound recordings (either music or non-music).

It is not necessary to use LC classification in order to contribute BSRs. It is only necessary that a classification number from a scheme with a MARC 21-assigned code be included in the record when required by the BIBCO Standard Record for any type of material. The provision includes classification systems from either of two locations:

> 1. Fields 050, 060, 070, 080, 082, 084, or 086 (Do not use 09X Local Call Numbers [obsolete] if working in OCLC)
> 2. Classification Scheme Source Codes

Some classification systems distinguish between the general and the particular. Data that relate to the general make it possible to group items of similar intellectual content (classification number). Data that relate to the particular make it possible to individualize items and subarrange them within a group (e.g., author Cutter number, work Cutter number, etc.). In applying such systems to BSRs, only a classification number is required. BIBCO participants always have the option of supplying a full call number (including Cutter numbers relating to shelf location), but it is not a Program requirement.

What constitutes a classification number is determined by the nature of the classification system and the agency authorized to develop and maintain it. To the extent practicable, BIBCO participants are expected to supply a classification number according to the current practice specified by the authoritative agency responsible for the development and maintenance of the classification system. A BIBCO participant is responsible only for a classification number from the same scheme that it uses. If a classification number from another scheme appears in a record that a BIBCO participant upgrades as a BSR, BIBCO participants should retain the other number in the record.

*Exception*: If a BIBCO participant applying a PCC standard that calls for a classification number catalogs a work on a topic that is not yet represented in the classification system it uses, the PCC library may nevertheless designate the record a BSR even though it necessarily lacks the required classification number. Optionally, the participant may input the local number it uses in a local call number field, or it may propose a new class number as described in E6.2.1.

## E6.2. Library of Congress Classification (LCC)

Participants using LCC are expected to check the classification schedules and relevant tables to assure that an assigned classification number is current. BIBCO participants *may* browse the LC online shelflist to assist in assigning an LC classification number to bibliographic records they create or update. Be aware, however, that by policy, LC does not routinely reclassify obsolete call numbers if the numbers were correct when originally assigned, so there are many obsolete numbers in the LC shelflist.

Input the LCC number in field 050 and use value "blank" (no information provided) in the first indicator position and value "4" (assigned by agency other than LC) in the second indicator position. Setting the first indicator to "blank" prevents the need to determine whether LC holds the item and improves the efficiency of supplying a classification number.

**Only subfield $a of the 050 is required for a BSR Record or an ECIP Record.** Subfield $a is defined in the MARC 21 bibliographic format as the "classification number," an authoritative-agency data element. Such data may include topical Cutter numbers, work Cutter numbers, artist numbers, or geographic Cutter numbers, depending on the particular classification schedule. If the Cutter number is printed in the schedules, that exact Cutter number must be used in the 050 subfield $a. Cutter numbers for authors, musicians, and artists are generally not printed in the LC classification schedules and need not be established by LC in order to be used in a BSR. BIBCO catalogers may formulate a number after checking the LC online shelflist and assign it to a BSR without submitting a classification proposal. Other examples of types of "unprinted Cutter numbers" include personal, corporate and geographic names, names of languages (when a topic is subarranged by language), and titles of individual works, except for literary works from early periods up to 1500.

**Subfield $b of the 050 is optional**. Subfield $b of the 050 is defined in the MARC 21 bibliographic format as an "item number" and refers to LC's *Classification and Shelflisting Manual* in which LC defines the elements that go into a subfield $b of the 050 as: "A book

number: an alpha-numeric device appended to a class number to arrange material on the same subject in a specified order, usually alphabetically by author." The shelflisting manual also refers to the subfield $b as an "author number," which may be why catalogers sometimes get confused when discussing literary author numbers which are contained in the subfield $a.

If a BIBCO participant deliberately varies from LC practice and assigns non-standard classification numbers, topical Cutter numbers or literary Cutter numbers, etc. for its local catalog, it may do one of the following:

> 1. not submit the record as a BSR
> 2. if the input system they are using supports a local call number field (090), input the variant number in that field, supply in field 050 a classification number that reflects LC practice, and submit the record as a BSR

In OCLC, when upgrading an LC-Minimal Level Cataloging (MLC) bibliographic record to include a classification number, BIBCO participants should remove the MLC number and use value "1" (not in LC/not shelved under that number in LC) in the first indicator position of the 050 that they provide.

For additional information, consult the Policy on classification numbers in BIBCO records and K6. Changes to classification numbers.

### E6.2.1. New classification numbers (LCC)

Instructions for proposing new LC Classification numbers appear on the page Resources for Subject (SACO) Catalogers.

The *SACO Participants' Manual* provides many examples and offers guidance in proposing classification numbers. Catalogers should refer to the LC *Classification and Shelflisting Manual (CSM), F 50*, for a thorough explanation of the classification proposal process and instructions for completing the form. For those classification proposals that appear to involve major or complex development, it is advisable to discuss the development with the LC Cooperative Programs Section by sending an explanatory email message with the proposal to SACO@loc.gov.

BIBCO catalogers may formulate an LCC number based on their knowledge of the schedules, etc., assign the number to their bibliographic record, code the record as BIBCO, and then submit a classification proposal, with the caveat that that number may be changed as it goes through the classification editorial process. If LC changes the classification number proposed by the BIBCO participant, the number should be changed by the submitting participant on the record in the utility. Local policies should be followed regarding bibliographic maintenance in local databases.

### E6.2.2. Literary author numbers (LCC)

A literary author number is composed of a classification and a Cutter number that identify an individual author; both are contained in the subfield $a. When a literary author number is assigned to an item, the subfield $b "book/item number" is based on the

title of the work to complete the "call number." BIBCO participants using LCC must use an LC literary author number (i.e., all Cutter numbers that can be considered to be part of the actual classification number (subfield $a) and not specific to the edition of a work that is in hand (subfield $b)) when those have been established by LC.

If a literary author number is needed that has not yet been established by LC, BIBCO participants are encouraged, but not required, to submit the number to the Library of Congress for verification. LC has continued the practice of establishing literary author numbers at the request of PCC institutions for those libraries that prefer to have the author number in their BSR records established by the Library of Congress.

PCC catalogers may use LC's online shelflist available through the Web for purposes of formulating a LC classification number when requesting an 053 for inclusion in a name authority record. BIBCO catalogers who choose not to request verification of an 053 are encouraged to browse the LC online shelflist to assist in assigning an LCC to authenticated bibliographic records they create or update. More details about establishing literary author numbers are available online.

A BIBCO institution may obtain a literary author number from the LC Cooperative Programs Section by submitting the online Library of Congress Literary Author (053) Request Form. Upon receipt of the request, LC staff search LC's shelflist to verify that the proposed literary author number is a good fit, and make adjustments to the number if necessary. The Cooperative Programs Section staff will notify the requestor via email the exact number that has been reserved within the LC files. The PCC participant should then record that number in the 053 (2nd indicator "0") of the name authority record via the NACO Program. This procedure assures that authorized literary author numbers will be available to all users of LC's bibliographic products.

### E6.2.3. New topical, geographic, or artist Cutter numbers (LCC)

BIBCO participants using LCC must use LC artist, geographic, and topical Cutter numbers (i.e., all Cutter numbers that can be considered to be part of the actual classification number (subfield $a) and not specific to the edition of a work that is in hand (subfield $b)) when those have been established by LC. If LC has not established such Cutter numbers, then BIBCO participants must assign one, conforming to the appropriate practice for the schedule in use, and input it in the 050 (second indicator "4"). LC reserves the right to change the Cutter number later if a conflict arises. However, there is no expectation that the BIBCO participant will monitor and later revise its earlier BIBCO record in order to reflect the Cutter number change. Nonetheless, all future BIBCO records must use the newly established LC Cutter number.

Unlike the optional verification process for literary author numbers or Cutter numbers, there is no process for a BIBCO participant to have LC verify new artist numbers or Cutter numbers for new geographic Cutter numbers. However, if the formulation of a subject heading proposal would require a new topical Cutter number, the new topical Cutter number must be submitted as part of a SACO proposal.

### E6.2.4. Bibliography numbers (LCC)

LC recognizes that it is not practical for all libraries to follow LC classification policies in all respects. LC classes topical bibliographies in specific topical numbers in Class Z and provides an alternative number for those same topics from other classes. This is performed as a service of the national cataloging agency.

BIBCO participants may choose to classify a PCC designated bibliographic record either in an established number for the topic in Z or in a number for that topic in other LCC classes. To improve the efficiency of this procedure, BIBCO participants are asked not to supply an alternative number in either case.

### E6.2.5. Series classified together (LCC)

BIBCO participants sometimes encounter existing series authority records in the LCNAF that have 646 fields with "classified as a collection" practice (646 ## $a c) recorded by the Library of Congress ($5 DLC), along with LC's collected set call number in field 050 and analysis practice in field 645. Since June 2006, LC catalogers do not consult, follow, or revise those or other SARs and generally apply "analyzed in full, not traced, classified separately" practice to all series.

The BIBCO policy on series analysis and classification practice allows for BIBCO participants to vary from any LC decision with respect to both these procedures. (See *DCM Z1*, 64X section; see also: Frequently Asked Question about Series.) This means that a BIBCO participant may choose to follow the practice LC formerly recorded in the SAR or choose to analyze and classify separately a BIBCO designated record.

When assigning an individual classification number, BIBCO libraries are asked not to supply the collected set number from an SAR in the BIBCO designated bibliographic record along with the individual number. (See also E5.4 Series:  Authority control options)


## E6.3. Dewey Decimal Classification

The Dewey Decimal Classification system (DDC) is a general knowledge organization tool that is continuously revised to keep pace with knowledge. The system was conceived by Melvil Dewey in 1873 and first published in 1876. The DDC is published by Forest Press, which in 1988 became a division of OCLC Online Computer Library Center, Inc. It is the most widely used library classification system in the world, used in more than 135 countries. OCLC's Dewey Services page has many valuable links.

BIBCO participants using Dewey Decimal Classification (DDC) should assign a classification number using the current, full edition of the DDC appropriate to the specificity of the material in hand. Input the number in field 082 and use value "4" (assigned by agency other than LC) in the second indicator position. If a BIBCO participant employs a number suggested as an option in the DDC, or a non-standard DDC number for its local catalog, it may do one of the following:

1. not submit the record as a BSR record
2. if the input system they are using supports a local call number field (092), input the variant number in that field, supply in field 082 a classification number that reflects standard DDC practice, and submit the record as a BSR record

## E6.4. National Library of Medicine Classification

The National Library of Medicine (NLM) Classification system covers the field of medicine and related sciences. The scheme is intended to be used for the arrangement of all library materials, regardless of format. Designed as a broad classification, it is suitable for both large and small library collections and may be adapted to handle specialized collections of any size. It is patterned after the Library of Congress Classification and utilizes schedules QS-QZ and W-WZ that have been permanently excluded from LCC. It is intended to be used together with the LCC schedules for subjects bordering on medicine and for general reference materials. The LCC schedules for Human Anatomy (QM), Microbiology (QR), and Medicine (R) are not used at all by the National Library of Medicine since they overlap the NLM Classification.

BIBCO participants using the National Library of Medicine Classification are expected to assign a classification number using the current edition of the NLM Classification appropriate to the specificity of the material in hand and following the classification practices described in that tool. Input the number in field 060 and use value "4" (assigned by agency other than NLM) in the second indicator position. If a BIBCO participant employs a variant number, the variant number should be input in a local call number field.

## E6.5. Superintendent of Documents (SuDocs) Classification

The Superintendent of Documents (SuDocs) Classification scheme was developed over a century ago by Adelaide R. Hasse, the U.S. Government Printing Office's first Librarian, and has been expanded and modified since then. SuDocs Classification numbers are used by many libraries to classify and arrange U.S. government documents in their collections.

### E6.5.1. Assignment of SuDocs Classification numbers

The Government Printing Office assigns SuDocs Classification numbers to all of the documents it disseminates, including tangible documents distributed to depository libraries, online versions of documents it disseminates and catalogs, as well as some documents that it does not distribute. Libraries may also assign SuDocs Classification numbers following the instructions in the *GPO Classification Manual* and *List of Classes of United States Government Publications Available for Selection by Depository Libraries*. Assignment of a SuDocs Classification number by an individual library may be temporary, if GPO eventually assigns a number to a document, or may be permanently retained in a library's bibliographic record if GPO does not disseminate or classify a document.

### E6.5.2. Structure of SuDocs Classification numbers

Numbers consist of a class stem and a book number. All class numbers begin with one or more letters. Usually the letter or letters represent a government department or agency. For example, the letter A represents the Department of Agriculture, the letter I represents the Department of the Interior, and TD represents the Department of Transportation. The first number following the initial letter or letters usually represents a subordinate agency. For example, TD 4 represents the Federal Aviation Administration. Further numbers are added to represent a lower level agency or other qualities that may be used to group documents. Book numbers are recorded at the end of SuDocs Classification numbers following a colon or another mark of punctuation.

### E6.5.3. Recording SuDocs Classification numbers in MARC 21 records

*MARC 21 Format for Bibliographic Data* instructs catalogers to record SuDocs Classification numbers in the 086 field. The first indicator should be 0 (zero), e.g., 086 0_. Valid numbers are recorded in the subfield "a." Invalid and cancelled numbers are recorded in the subfield "z". Libraries may obtain up-to-date classification information from WebTech Notes and the other SuDocs Classification tools.

## E7. Special cataloging issues

### E7.1. Non-Latin materials

BSRs are encoded in a basic complement of character sets referred to as the "Latin base" (ASCII, ANSEL, MARC 21 Greek, MARC 21 subscript, MARC 21 superscript). Optionally, BIBCO participants may add non-Latin data encoded in other character sets to their MARC 21 records. Various instructions guide the optional addition of such data. The resulting records consist of data encoded in multiple character sets.

*Note*:  This document uses the term "non-Latin;" other documentation may use "nonroman" or "non-roman" to refer to the same type of materials.

PCC records created for monographic materials should conform to the requirements of the appropriate BSR metadata application profile for a particular format first and the guidelines for adding non-Latin data second.

In all cases, PCC libraries must include in Latin scripts all of the data elements as specified in the BIBCO Standard Record for the type of material being cataloged. When exercising the option to include data in non-Latin scripts, BIBCO participants must follow appropriate instructions.

Catalogers adding data in non-Latin scripts to records are encouraged to consider the future use and international implications of their records and to include as much of the original script data as necessary to facilitate the identification and location of this often scarce material and its component parts.

Helpful websites and documents:

BIBCO Web site link: PCC Guidelines for Creating Bibliographic Records in Multiple Character Sets.

LC General, Descriptive Cataloging web site link:  Non-Latin Script Data in Name Authority Records: General Information.

## E7.2. Authorized Access Points and authority records for non-Latin materials

Authorized access points for non-Latin materials must be in Romanized form.

BIBCO records may contain "paired" fields when non-Latin data are available for names used in authorized access points or portions of authorized access points (e.g., name alone; name/title; name as subject/subject subdivision; name/series title). Geographic subject headings may be input as paired fields. Translations of subject headings may be input but must include clear indications that they are non-standard (uncontrolled index terms (field 653) or identified as "source not specified" (6XX with second indicator "4")).

Authority records created by NACO participants currently cannot support authorized access points in non-Latin form. While the Romanized form will continue to be the authorized access points (MARC field 1XX), PCC policy permits the addition of references with non-roman characters to NARs in the LCNAF. (See E5. Authority control and authorized access points)

## E7.3. Special formats

The PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile includes elements applicable to archival materials, audio recordings, cartographic resources, electronic resources (if cataloged in the computer file format), graphic materials, moving images, notated music, rare materials, and textual monographs. Beyond the determination of which elements are required for a BIBCO Standard Record (BSR) for material in a specific format, BSR records are expected to follow cataloging standards (MARC 21 coding, and RDA/LC-PCC PS) for the format or material in question. Although the PCC imposes no special requirements on the cataloging of any materials or formats, BIBCO participants may follow PCC standards in combination with the additional conventions that special format cataloging communities applying to their records.

## E7.4. Electronic resources in OCLC

Participants creating PCC records for electronic resources in OCLC follow the PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile and the Combined Provider-Neutral E-Resource Guidelines for RDA.

OCLC uses MARC field 006/00 (Fixed-Length Data Elements:  Additional Material Characteristics) when indexing electronic resources. BSRs for electronic resources in OCLC

should contain MARC control field 006/00, Form of item, with the assigned value "m" for "Computer file/Electronic resource" if these conditions are present:

1. The item is an electronic resource in the OCLC database, WorldCat, and,
2. The MARC Leader byte 06, Type of Record (OCLC=Type) for the record is "a" for "Language material," and,
3. The MARC Leader byte 07, Bibliographic level (OCLC=BLvl.) is "m" for "Monograph/Item"

Note:  Both LC and OCLC require the "Books" 008/23, Form of item to be coded correctly, i.e., with "o" or "q" or "s."

A BIBCO cataloger working in OCLC must have National level Enhance (ENN) status that matches the type of material being described. The ENN status for "Books" allows a cataloger to create a BSR for an e-monograph if both of these conditions are present:

1. The item is an electronic resource in the OCLC database, WorldCat, and,
2. The MARC Leader byte 06, Type of Record (OCLC=Type) for the record is "a" for "Language material"

*Note*:  Assigning values "b" for "Serial component part" or "s" for "Serial" in the MARC Leader byte 07, Bibliographic level (OCLC=BLvl.) also requires CONSER membership in order to assign the appropriate 042 designation.

For more information on creating PCC records for electronic resources, please see:

PCC's Provider-Neutral E-Resource: MARC Record Guide, P-N/RDA version
LC's Guidelines for Coding Electronic Resources in Leader/06
OCLC's Cataloging Electronic Resources: OCLC-MARC Coding Guidelines.

### E7.5. Electronic resources in SkyRiver

(to be developed.)

# F. Current cataloging

Current cataloging is the creation of a record for a piece in hand that is entering the participant's collections. A cataloger may create a new record or may update or adapt a record imported from a bibliographic utility (e.g. OCLC, SkyRiver, etc.). (See J8. Retrospective Conversion for the process of turning a participant institution's existing paper or microform catalog records into machine-readable records, often without piece(s) in hand.)

When a BIBCO cataloger creates a new BSR record, the requirement is to search the home institution's utility to avoid duplication.

*Note*:  BIBCO lacks a central or master database through which all new and changed BSRs are distributed to major bibliographic utilities. A BSR record may appear in any database, and will

reflect the edits that happen within that database, which will not necessarily match other databases' versions of the BIBCO record for the same resource.

## F1. New input of original cataloging in utility or local system

In addition to meeting PCC standards as articulated in <u>E4. Bibliographic description</u>, catalogers inputting records to a utility must follow the utility's guidelines.

### F1.1 OCLC

OCLC bibliographic input standards appear in these sources:

1. *Bibliographic Formats and Standards*
2. *Enhance Training Outline*
3. *Guidelines for National Level Enhance Participants*

### F1.2 SkyRiver

SkyRiver bibliographic input standards appear in these sources:

(to be developed.)

### F1.3 Local Systems

Libraries may create BSR records directly in their local systems as long as they follow PCC standards and agree to make the records available in a timely manner via one or more of the participating bibliographic utilities.

## F2. Adaptation of records from another utility or catalog

If a BIBCO cataloger wishes to adapt a BSR record or non-BIBCO record from another utility, database, or catalog, the contributing BIBCO participant should follow the MARC coding conventions and use the original participant's MARC code in the subfield $a of the 040 and its own symbol in the subfield $c of the 040. The resulting 040 for an RDA record would be:

```
040    ##    $a [original library's code] $b eng $e rda $c
              [contributing library's code]

040    ##    040 $a MiEM $b eng $e rda $c CUS
```
[Non-BIBCO record from Michigan State University, a SkyRiver utility member, adapted by University of California, San Diego]

### F2.1 Selected sources for BSR records:

OCLC and SkyRiver--as BIBCO-participating utilities, receive BSR records through direct input by members, and by batch load from sources such as the Library of Congress.

Library of Congress—distributes BSR records to various utilities and vendors. LC catalogers create original BSR records and import BSR records from OCLC selectively, pulling in copy for items in the LC collection. LC also distributes the completed ECIP records as BIBCO records to OCLC.

SkyRiver—has an agreement to receive LC bibliographic records, including BSR records in the LC database.

# G. BIBCO Record Review

Review of records during a period following training is a vital part of the learning sequence. Catalogers learn by applying the practices described in training, receiving feedback from the reviewer.

## G1. Assumptions

1. The BIBCO Coordinator works with the participant institution to assign a reviewer. If the training is instructor-led, the trainer may become reviewer for the participant.
2. The BIBCO Contact sees the records before they go to the reviewer, and submits them to the reviewer.
3. The BIBCO Contact sees the comments coming from the reviewer and shares them locally.
4. The BIBCO Contact or designated local reviewer should be in a position to articulate and comment on institutional policy.
5. The trainer/reviewer takes into consideration the institution's local policies for:
    a. Series, series authority records, and treatments decisions
    b. Notes, subject headings, and added entries
    c. Classification system
    d. Other local practices
6. After a successful completion of review, the independent BIBCO participant is responsible for maintaining BIBCO skills and contributing records that meet quality and quantity standards of the program.

## G2. Review process

### G2.1 Responsibilities of the PCC Secretariat:

- Work with the participant institution and its trainer/reviewer to arrange a record review process that fits the institution's needs and method of contribution.
- Assist with communications as needed during review.
- Notify a participant institution that it has successfully completed the review process and is independent.

### G2.2 Responsibilities of the BIBCO participant institution under review:

- Create records soon after training to keep lessons fresh.
- Review records locally for obvious errors before submitting to official reviewer.
- Send records in reasonable quantities to the reviewer.
- Provide reviewer with access to records prior to their contribution to the shared database(s) by means of faxed copies, access to local systems, or access to the institution's utility account.
- Have each cataloger send approximately 20 records over the review period.
- Revise records according to reviewer's advice before creating more new records.
- Respond to reviewer's questions promptly.
- Build reviewing skills locally to take on role of quality control after becoming independent.

### G2.3 Responsibilities of the BIBCO reviewer:

- Provide feedback within a week to maintain local workflows and timely contribution of records to the shared database.
- Respond to participant institution's questions promptly.
- Communicate with the institution if a longer time period is necessary for review.
- Report serious cataloging errors to the institutional BIBCO Contact.
- Track progress of the institution under review as it approaches independence.
- Consult with the participant institution and the PCC Secretariat if problems persist in order to determine if additional training is necessary.
- Report the independent status of the participant institution to the PCC Secretariat.

## G3. Criteria for evaluation

The reviewer examines records with these qualitative standards in mind:
- The MARC 21 format Leader and 008 fields are coded accurately
- 042 pcc is present
- All access points are represented in the appropriate authority files
- A standard classification number is present in bibliographic records for formats which require one
- All mandatory fixed and variable fields are present
- Descriptive cataloging follows PCC policy and documentation
- Enhancements to existing records meet input standards of the utility
- The errors in early groups of records appear less often in later groups of records because the catalogers are responding to corrections

The reviewer considers the body of records with these quantitative standards in mind:
- Records represent the types of materials the BIBCO participant will contribute
- The participant has produced 80-100 records or a quantity sufficient to assure consistent high quality

# G4. Independence

After notification from the reviewer, the PCC Secretariat will notify a participant institution that it has successfully completed the review process and is independent.

# SECTION III.  CHANGING RECORDS

# H. Updating an existing non-BIBCO record

Bibliographic records residing in a utility database may be candidates for authentication as BIBCO Standard Records. In addition to following the standards for record content articulated in E. Policies and Practices, catalogers also should consult the utility's documentation for the procedures to be followed to convert an existing record and authenticate it as a BIBCO record.

# I. Modifications to existing BIBCO records

The responsibility for maintaining the integrity of PCC records is shared by all participants. BIBCO participants agree to maintain open lines of communication with other PCC participants and especially with other BIBCO participants, using the directories of contact persons for each program. When one BIBCO participant has a question about a BIBCO record created by another participant, the BIBCO contacts at both institutions may discuss the issue and decide which institution will make any needed modifications to the existing BIBCO record.

In cooperation with the Program for Cooperative Cataloging (PCC), OCLC has expanded the capabilities of OCLC participants with NACO authorizations. Individuals with NACO authorizations, along with those with National Level CONSER and National Level Enhance authorizations, which already include NACO capabilities, are now able to edit and replace BIBCO records (non-serial records with 042 code "pcc"). Creation of new BIBCO records and authentication of existing non-BIBCO records (i.e., adding 042 code "pcc") will continue to be restricted to those with National Level Enhance authorizations in their specified formats.

| Existing non-BIBCO Record | Modification to Existing BIBCO Record |
|---|---|
| 042 $a anuc | 042 $a anuc $a pcc |
| 042 $a lcode | 042 $a anuc $a pcc |

OCLC documentation for enhance libraries:

> Enhance Training Outline
> Guidelines for National Level Enhance Participants

The cataloger determines whether changes are needed in an existing BIBCO record, according to the policies outlined in Section J. Record Maintenance.

# J. Record Maintenance

Record maintenance is the process of ensuring the continued accuracy of a BIBCO record through additions, changes, or deletions and should be undertaken in the following circumstances:

- To correct errors, or;
- To reflect changes in the publication (multipart monographs and integrating resources), or;
- To reflect changes to policies and practices used within BIBCO for bibliographic control, or;
- To reflect changes to authorized forms of access points.

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. In rare cases, the cataloger changing a record may wish to consult with the contributing institution's BIBCO Contact or email a question to the BIBCO coordinator at LC.

## J1. Correcting errors

Participants are responsible for correcting typographical errors and errors in content designation whenever they are encountered in a record that is already designated as a BIBCO record or is about to be authenticated as such. Correct these errors wherever they occur; however, bear in mind that what appears to be an error is not always so. Always compare the information in the record to the piece(s) in hand, and keep in mind that when two different people exercise cataloger's judgment, the result may be two equally valid approaches. A BIBCO participant is encouraged to communicate with another participant's BIBCO Contact if there is a problem with a BIBCO record.

## J2. Changes in integrating resources and multipart monographs

With the increase in the number of materials published electronically, monographic catalogers realize that bibliographic records can be dynamic entities, in need of periodic updating to reflect changes in the publication. When using an existing program record for an integrating resource (print or electronic), a BIBCO or CONSER cataloger should, in the course of cataloging, modify the record as needed so that it continues to describe and analyze the content of the publication accurately.

Participants contributing program records for integrating resources should keep current on all related documentation. The PCC's *Integrating Resources Manual* serves both BIBCO and CONSER catalogers, and appears as *Appendix A* of the *BIBCO Participants' Manual* and as *Module 35* in the *CONSER Cataloging Manual*. An SCCTP course, "Integrating Resources," is offered occasionally as a workshop. Visit the CLW Web site for further information.

Multipart monographs are not integrating resources, but they also may undergo changes over the course of their publication cycle. BIBCO participants should modify existing program records for multipart monographs as necessary to ensure that they remain accurate.


## J3. Changes in cataloging codes, or BIBCO practice


An authenticated BIBCO record carries the 042 pcc to indicate that bibliographic description and access points are verified in conformity with the cooperative program's conventions and accepted practices. In general, an authenticated record should not be updated merely to reflect changes in cataloging codes or BIBCO practice. Usually, an authenticated record will continue to serve the purposes of BIBCO even though the rules and/or rule interpretations according to which it was constructed have been superseded. The instructions below address instances where this may not be the case.

### J3.1. Pre-AACR2 Description and rules of entry

If a BIBCO participant wishes to authenticate a pre-AACR2 record as BIBCO, it must change the description to BSR and verify that all access points meet current BSR cataloging standards. Before converting the pre-AACR2 record to RDA, the cataloger should consult the [RDA Interim Policies and Best Practices](#) guidelines and any succeeding instructions.


### J3.2 RDA Records

NACO, BIBCO, and CONSER records cataloged in accordance with RDA carry in the MARC field 040, subfield "$e rda" to indicate that they are governed by *RDA* and appropriate policy statements, distinguishing the records from those governed by *AACR2* and *LC Rule Interpretations*.

Starting January 1, 2015, all BIBCO contributions must follow RDA BIBCO Standard Record guidelines. Records created by BIBCO participants that are not fully RDA compliant, may not be coded PCC.

BIBCO participant institutions may choose to derive AACR2 records without converting to RDA and not contribute as PCC. However, BIBCO catalogers are encouraged to upgrade AACR2 records to RDA.


## J4. Changes to classification or content analysis to reflect current practice

BIBCO participants may make changes to subject analysis fields that clearly do not correlate with the subject matter of the publication. Data should be removed from master records only

when clearly incorrect, not just when it is a matter of judgment on predominant subject emphasis.  When in doubt, the cataloger should consult the participant institution that first contributed the record before changing any fields.

## J5. Changes to 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 Headings Manual*, etc. Redundant, largely duplicative fields should be removed from a record.

## J6. Changes to classification numbers

The cataloger adds, changes, or deletes classification fields to reflect additions and changes to standard classification schemes. An exception to this is a call number assigned by a national library. In this case, the national library's classification number should not be changed; rather, an updated classification number may be added to the record in a separate field, as outlined in E6.1 Overview on Classification.

## J7. Changes to authority-controlled fields

If a name authority record for an authorized access point has changed since a BIBCO record was contributed, the next BIBCO participant to use the record may make the needed corrections without consulting with the originating BIBCO participant. If the change in authorized access point involves a Library of Congress catalog record, the participant institution making the authorized access point change should follow the Guidelines for Reporting NACO BFM. The BIBCO program does not have a requirement to report bibliographic maintenance for changes to authorized access points in the records of other libraries.

## J8. Retrospective conversion

Retrospective conversion is the process of turning a library's existing paper or microform catalog records into machine-readable records. Retrospective conversion involves the online input of these records into the MARC format, often without piece(s) in hand.

Any participant undertaking a retrospective conversion project may code those records as BIBCO only if they also upgrade the description to current PCC cataloging standards. In order to do that, they must also have the piece(s) in hand. If the participant wishes to do retrospective conversion without upgrading the descriptive elements, the records may not be coded as BIBCO.

# SECTION IV. GLOSSARY & APPENDICES

# Glossary

**AACR2** – *Anglo-American Cataloguing Rules*, 2nd ed. The primary cataloging code in use by PCC members through 2012. Revisions to this code ended when its developers and publisher decided to support a new code *RDA, Resource Description and Access.* PCC leadership announced plans in June 2011 to have PCC members transition gradually from AACR2 to RDA.

**American Library Association (ALA)** – the primary national professional organization for librarians and information managers within the United States. One of the groups responsible for revising the content of and publishing RDA, and formerly, AACR.

**Authentication** – The process of: 1) creating or reviewing a non-serial bibliographic record, ensuring that its data content and content designation conform to BIBCO bibliographic practices and other agreed-upon conventions; and 2) adding identifying elements to the record to indicate the degree of authoritativeness of data or the extent to which the record has been reviewed. Authenticated records are made available as contributions to at least one of the major bibliographic utilities participating in BIBCO.

**BFM** – Bibliographic file maintenance. BIBCO participants are required to identify bibliographic records in LC's catalog which should be changed as a result of a new or modified NACO record submitted in support of a BIBCO record, and to notify the LC Cooperative Programs Section of needed changes. LC staff will perform BFM on those bibliographic records.

**BIBCO** – The non-serial bibliographic record component of the Program for Cooperative Cataloging

**BIBCO Coordinator** – The person within the Library of Congress Cooperative Programs Section responsible for coordinating the BIBCO Program

**BIBCO Contact** – The person responsible for coordinating BIBCO activity at a particular institution, for reporting statistics to the Library of Congress, and for responding to inquiries from other BIBCO participants about that institution's BSR records

**BIBCO Standard Record,** or **BSR** – A model for a bibliographic record implemented in 2010 for AACR2 and in 2012 for RDA to list the required elements in a BIBCO record, organized by MARC 21 field. Different BSR models apply to records for different types of materials. Catalogers may add other MARC fields and content according to general cataloging instructions to meet local institutional needs.

**Canadian Library Association (CLA)** – **the** professional organization for librarians and information managers in Canada. One of the groups responsible for revising the content of and publishing RDA, and formerly, AACR

**Cataloging in Publication** (CIP) – A Cataloging in Publication record (aka CIP data) is a bibliographic record prepared by the Library of Congress for a book that has not yet been published. When the book is published, the publisher includes the CIP data on the copyright page thereby facilitating book processing for libraries and book dealers.

**Chartered Institute of Library and Information Professionals (CILIP)** – formed in April 2002 following the unification of the Institute of Information Scientists and the Library Association, CILIP is the professional body for librarians and information managers in the United Kingdom. One of the groups responsible for revising the content of and publishing RDA, and formerly, AACR

**CIP** – Cataloging in Publication

**COIN** – Cooperative and Instructional Programs Division, Library of Congress – home division of the Cooperative Programs Section

**Core** – a term whose meaning changes when used in different contexts, and by different communities. In general, "core" denotes a set of requirements to meet a defined standard. LC and other libraries frequently adapt a core standard to fit local needs, and assign a name to distinguish it from the generic standard (e.g. the LC core, PCC core).

**Core element** – In the context of RDA, core elements are data elements that must appear in an RDA record. Some elements are called "core if", required in a record only in certain stated conditions.

**Core record** – In 1994, the PCC defined two different BIBCO records, Full and Core, with different encoding levels and different sets of required AACR2 data elements. Of the two, the Core record had fewer required data elements. The BIBCO Core and Full level record standards were replaced in 2010 by the new single-encoding level, the BIBCO Standard Record.

**CSM** – *Classification and Shelflisting Manual*; LC-issued instructions for applying LC Classification and Shelflisting numbers

**Dewey** – Dewey Decimal Classification. One of the possible classification schemes for use in BIBCO records

**ECIP** – Electronic CIP (Cataloging in Publication)

**Integrating resource** – A bibliographic resource that is added to or changed by means of updates that do not remain discrete and are integrated into the whole. Integrating resources can be finite or continuing. Examples of integrating resources include updating loose-leafs and updating Web sites

**JSC** – The Joint Steering Committee for the Development of RDA is also responsible for maintaining RDA

**LC** – Library of Congress

**LC CP Section** – Library of Congress Cooperative Programs Section, COIN. The unit responsible for coordination of the BIBCO, CONSER, NACO, and SACO components of the Program for Cooperative Cataloging

**LCC** – Library of Congress Classification. One of the possible classification schemes for use in BIBCO records

**LCRIs or RIs** – *Library of Congress Rule Interpretations* to *AACR2*. BIBCO participants using AACR2 are required also to follow LCRIs in their authority and bibliographic records.

**LC/NACO Authority File** – (LCNAF) Maintained by the Library of Congress and distributed through NACO Nodes:  OCLC, SkyRiver, and the British Library

**LC practice** – practice followed within cataloging units of the Library of Congress. When a LC rule interpretation or policy statement is prefaced with this wording, there is no expectation that BIBCO libraries will follow it unless it is identified also as PCC practice.

**LCSH** – *Library of Congress Subject Headings*. One of the possible schemes of subject headings available for use in BIBCO records

**MARC** – Acronym for MAchine-Readable Cataloging. It provides the mechanism by which computers exchange, use and interpret bibliographic data and related information.

**MARC 21** – The current version of MARC, adopted when the USMARC and CAN/MARC (Canadian MARC) formats were "harmonized" in 1997. The five MARC 21 communication formats, *MARC 21 Format for Authority Data, MARC 21 Format for Bibliographic Data, MARC 21 Format for Holdings Data, MARC 21 Format for Classification Data,* and *MARC 21 Format for Community Information*, are widely used standards for the representation and exchange of authority, bibliographic, holdings, classification, and community information data in machine-readable form.

**MeSH** – Medical Subject Headings, maintained by the National Library of Medicine. One of possible schemes of subject headings available for use in BIBCO records

**NACO** – Name Authority Cooperative Project of the Program for Cooperative Cataloging

**NACO Node** – a NACO record exchange partner enabling NACO member libraries to contribute program records; NACO Nodes are holders of the current copies of the LCNAF, and exchange new and updated records from their databases daily via the NACO FTP Process with the Library of Congress; British Library, OCLC, and SkyRiver are NACO Nodes.

**NAR** – Name Authority Record

**National Bibliographic Agency** – the organizational unit established within a country's library system with responsibility to prepare the authoritative and comprehensive bibliographic record

for each new publication issued in the country, and to create that record in accordance with accepted international bibliographic standards. The MARC 040 fields in PCC authority and bibliographic records carry MARC organization codes for such agencies. The codes may be issued by the national bibliographic agency itself (i.e. National Library of South Africa, SaPrNL), or by the Library of Congress (i.e. National Library of Wales, WlAbNL), or may combine elements (i.e. LC-supplied prefix attached to another national agency's code: Library and Archives Canada, Ca+OONL = CaOONL). The MARC field 035 uses a different set of codes, the National Bibliographical Agency Record Number Source Codes.

**OCLC** –a utility serving as a NACO Node and as host to BIBCO records contributed by OCLC members; holder of the CONSER database

**PCC** – Program for Cooperative Cataloging

**PCC Secretariat** – administrative arm of the PCC. PCC tasks are completed under the direction of the Chief of the Cooperative and Instructional Programs Division (COIN). Principal support units include the Cooperative Programs Section, the Instructional Programs Section, and other groups and individuals within the Library of Congress, as needed.

**PSD** – The Policy and Standards Division at the Library of Congress

**RDA** – Resource Description and Access, a set of cataloging instructions following the principles of FRBR, Functional Requirements of Bibliographic Records. This cataloging code was used by PCC members first in 2011. As of March 31, 2013, PCC NACO contributors create new NACO records only in RDA. PCC leadership expects that all program record contributors will transition from AACR2 to RDA for descriptive cataloging. (See the RDA and PCC section on the PCC web site)

**SACO** – Subject Authority Cooperative Program of the Program for Cooperative Cataloging

**SAR** – Series Authority Record

**SHM** – *Subject Headings Manual*. LC-issued instructions for using *Library of Congress Subject Headings* in cataloging

**SkyRiver** – SkyRiver Technology Systems, a utility serving as a NACO Node and as host to BIBCO records contributed by SkyRiver members

**Trace(d)** – See Tracing

**Tracing** – 1. A record of the headings under which an item is represented in the catalogue. 2. A record of the references that have been made to a name or to the title of an item that is represented in the catalogue. (AACR2)

**WorldCat** – bibliographic database of OCLC

# Appendix A: Integrating Resources Cataloging Manual

Integrating Resources: a cataloging manual has PCC guidelines and training materials about cataloging integrating resources for BIBCO and CONSER participants.  Use this link to access the manual online.

The Integrating Resources: a cataloging manual is also available as Module 35 in the CONSER Cataloging Manual (CCM) and on Cataloger's Desktop.

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# Appendix B: Selected Cataloging Resources

This list includes selected tools recommended for use by BIBCO participants throughout this manual, with information on where and how to access the most current versions.

**Cataloger's Desktop**

*Cataloger's Desktop* is an integrated, online documentation system with hundreds of the most important cataloging and metadata resources--available 24-7. For more information, contact:

> Library of Congress
> Office of Business Enterprises
> Cataloging Distribution Service
> 101 Independence Avenue, SE
> Washington DC 20540-4910
> Toll-free in U.S.: 1-855-266-1884
>
> Customer service is available
> Outside U.S.: +1-202-707-6100
> Fax: 202-707-1334
> Email: cdsinfo@loc.gov
> http://www.loc.gov/cds/
>
> Join the CDSNEWS Announcement list.

**MARC Codes and Formats**
> The MARC site maintained by the LC's MARC Standards and Network Development Division gives access to many codes, formats, and tutorials for their use.

**PCC Program Web Sites**
> The PCC web site includes news, reports, participants' manuals, directories of program participants, and other useful information for the four component programs, BIBCO, CONSER, NACO, and SACO.

**Catalogers' Learning Workshop**
> The CLW web site offers free training materials for cataloging and metadata projects, including RDA instructional materials created by the PCC, LC, and many other organizations.

**RDA:  Resource Description and Access**
> These instructions for cataloging are available by subscription from RDAToolkit.org, or through Cataloger's Desktop

**Library of Congress Cataloging and Acquisitions Home page**

**National Library of Medicine**

BIBCO participants using MeSH and NLM classification adhere to the NLM Policy on Subject Analysis and Classification as stated in current documentation issued by the National Library of Medicine.

MeSH web site and MeSH Browser.
Updated annually, the *Medical Subject Heading (MeSH)* thesaurus is the National Library of Medicine's controlled vocabulary used for indexing articles, for cataloging books and other holdings, and for searching MeSH-indexed databases. MeSH terminology provides a consistent way to retrieve information that may use different terminology for the same concepts and is an excellent source for use in a BIBCO library's SACO proposals for medical headings.

Use of Medical Subject Headings for Cataloging and NLM's interactive online training course in the use of MeSH.

*NLM Classification*  -- The NLM Classification also is available in PDF format.
Covers the field of medicine and related sciences. The scheme is a system of classification intended to be used for the shelf arrangement of all library materials, regardless of format. Designed as a broad classification, it is suitable for both large and small library collections and may be adapted to handle specialized biomedical collections of any size.

NLM Classification Practices and Table G Practices
Additional guidance on using the NLM Classification includes a tutorial on the Fundamentals of the NLM Classification.

**Dewey Decimal**
BIBCO participants using the Dewey Decimal classification adhere to the principles and policies for its application and formulation as stated in current documentation issued by the Decimal Classification Editorial Policy Committee (EPC).

*Dewey Decimal Classification*
Published by OCLC Forest Press, this product is published in various formats. Available from: Dewey Services.

**Superintendent of Documents**
BIBCO participants using the Superintendent of Documents Classification system adhere to the principles and policies in Cataloging and SuDoc Classification.

Classification Manual
SuDocs External Links

List of Classes of United States Government Publications Available for Selection by Depository Libraries:
The List of Classes is the official listing of publications available for selection by depository libraries participating in the Federal Depository Library Program (FDLP). The

list is arranged by the Superintendent of Documents classification numbering system and is designed to group together publications by the same government author. Libraries use the List of Classes to work with and identify item numbers that they may want to select or deselect from their item selection profile.

Web Tech notes

The Federal Depository Library Handbook includes many of these documents under Collection Maintenance.

**Getty Research Institute**

Art & Architecture Thesaurus -- Available from the Getty Research Institute; Structured vocabularies that can be used to improve access to information about art, architecture, and material culture.

**Geographic names**

Geographic Names Information System  (GNIS)

GEOnet Names Server

**OCLC documentation**

Librarian's Toolbox -- cataloging documentation from OCLC

The *Enhance Training Outline*  BIBCO participants in OCLC are required to achieve Enhance status for any types of materials they catalog for PCC

*Guidelines for National Level Enhance Participants*--Supplement to OCLC's *Enhance Training Outline*

**Library Catalogs**

LC Online Catalog

LC Online Authorities

LibDex, the Library Index, provides a search engine to locate library catalogs on the Web.

**Local documentation**

It is expected that BIBCO participants will apply BIBCO standards within the context of their local environment. Libraries are expected to supplement the above standards documentation with their own policy and procedural documentation.

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# Appendix C: ECIP Cataloging

*The ECIP/BIBCO Cataloging FAQ* has been developed for use by the Library of Congress ECIP Cataloging Partnership Program members to help facilitate the ECIP cataloging workflow and to ensure the quality of catalog record.  The document will also be posted on the ECIP Partnership webpage at: http://www.loc.gov/publish/cip/partners/.

**ECIP/BIBCO Cataloging FAQ**

**This FAQ document is intended for use by the Library of Congress ECIP Cataloging Partnership Program members to help facilitate the ECIP cataloging workflow and to ensure the quality of catalog records.**

**1. Using Traffic Manager/TCEC:**

**1.1 Q. What is the process for creating ECIP records using Traffic Manager/TCEC?**

**1.1 A.** ECIP partners use the On the MARC software, a Text Capture and Electronic Conversion program, to build the descriptive portion of the bibliographic record from the electronic data submitted by publishers without catalogers having to key in the information.  Once the record has been assembled, clicking "Send" will a create a MARC record with the majority of the descriptive cataloging completed ready to be saved to the local cataloging client.  This process can vary somewhat from one partner to another depending on the cataloging client.  At this point the authorized access points should be verified or created and the subject analysis done.  Completed records should be saved to the partner library's server.  The Library of Congress FTP program will pick up the completed bibliographic records from the partner library's server and import the records to LC's Voyager database.

**1.2 Q. Where can partners find the information about which LC Section in the Traffic Manager they should send completed ECIP applications to for end stage processing?**

**1.2 A.** The information can be found by clicking on the Traffic Manager Section Scope Summaries link on the ECIP Partnership page of the Cataloging in Publication Program homepage.  The table there shows which LC sections handle which LC Classification ranges for ECIPs.  The table should be used as a guide when forwarding ECIPs in the Traffic Manager to LC for shelflisting.

**1.3 Q. Who should I contact if I have additional questions not covered in the FAQ?**

**1.3 A.** You should contact one of the CIP program specialists listed on the About CIP page of the Cataloging in Publication Program homepage.

**2. General Cataloging Questions:**

**2.1 Q. Should ECIP partners search for duplicates before cataloging, and, if so, which system should they search?**

**2.1 A.** Yes.  ECIP partners who are OCLC utility members should search in OCLC before beginning cataloging.

**2.2 Q. If a minimal level vendor record is found in OCLC, should ECIP partners enhance this record?**

**2.2 A.** No. Unless the piece has already been published, a new original cataloging record should be created.

**2.3 Q. If volume 1 of a work has been cataloged as a multipart item and an ECIP application for volume 2 is received, should a separate record be created?**

**2.3 A.** No.  Added volumes are out of scope for the CIP Program.  You should return the ECIP to CIP via the Traffic Manager.  From the Data View click on "Forward CIP" on the left menu bar, select "CIP Publisher Liaison," select "Other," and add a note saying "Out of scope—added volume covered by [LCCN]."

**2.4 Q. Do ECIP partners provide cataloging for e-book versions?**

**2.4 A.** No.  If there is an e-book application associated with the print application, the e-book record is created automatically by another software program.  Not even LC catalogers create bib records for CIP e-books.

**2.5 Q. In a case where LC and PCC cataloging practice differs (e.g., using conventional collective titles), should ECIP partners follow LC practice because they are cataloging for LC?**

**2.5 A.**  In general, partner libraries should follow PCC standards when cataloging ECIP records. For example, if the partner library's practice is to provide an authorized series access point, they can continue to do so, whereas LC would not.


**3. ECIP/BIBCO Descriptive Cataloging Practices:**

**3.1 Q. When transcribing data for ECIP, where should the data be taken from?  Data View, galley, etc.?**

**3.1 A.** For transcribed data elements (title proper, other title information, statement of responsibility, edition statement, publication information, etc.) it is best to catalog from the galley (i.e., the top part of the TP Plus display).

**3.2 Q. What is the practice regarding capitalization when capturing data from the ECIP galley?**

**3.2 A.** For capitalization of transcribed elements, catalogers are encouraged to follow RDA Appendix A. If the subject or language is unfamiliar, it is also permissible to "take what you see" on the resource.

**3.3 Q. In non-ECIP BIBCO records, 008/39 (Cataloging source code) is coded "c" for "Cooperative cataloging programs."  How should ECIP records be coded?**

**3.3 A**. 008/39 should be coded "c."

**3.4 Q. What information should appear in the 040 field?**

**3.4 A.** In most cases the On the MARC software will automatically supply an 040$a with the partner library's MARC21 code, followed immediately by a slash (/) and DLC (e.g., 040$a [code]/DLC).  The partner library's MARC21 code will appear in 040$c.

**3.5 Q. How should an e-book ISBN be recorded in the record for the print version?**

**3.5 A.** The ISBN for the e-book should be recorded as 020$z.

**3.6 Q. The ECIP galley lists additional ISBNs that are not included in the Data View. Should these be recorded in the CIP record?**

**3.6 A.** Yes.  Additional ISBNs listed in the ECIP galley should be added to the CIP record, using 020$a or 020$z as appropriate.

**3.7 Q. The Data View screen shows "Edition: 1."  How should this appear in the CIP record?**

**3.7 A.** In general, edition statements should be recorded in the form in which they appear in the galley.  Statements that only appear in the Data View generally should not be included in the CIP record.

**3.8 Q. How should the 263 field be recorded?**

**3.8 A.** The 263 is automatically generated by On the MARC.  For example:
    263## 1408--For PPD (proposed publication date) of August 2014
    263## 1501--For PPD of January 2015

**3.9 Q. The date in the TP plus display appears as "?"[date].  Can the "?" be assumed to represent the copyright symbol?  Should the date be considered as a copyright date?**

**3.9 A.** Yes. The copyright symbol doesn't translate to ASCII text, but it is correct to consider this information as a copyright date.

**3.10 Q. If the Data View shows PPD: January 2015 but the TP Plus display shows copyright 2014, which date should be recorded in the CIP record?**

**3.10 A.** If it is clear from the galley that only the copyright date will appear in the published item, LC prefers to use that date in brackets as the inferred date of publication (e.g., [2014]).  In case of doubt, use the date in the PPD.

**3.11 Q. If there isn't a publication or copyright date listed in the TP Plus display, what information should be recorded in the 264$c?**

**3.11 A.** Take the date of publication from the year given in the PPD.  Record the date in brackets as the inferred date of publication.

**3.12 Q. How should the 300 field be recorded?**

**3.12 A.** For a single volume monograph use: pages cm(.).  For a multipart item use: volumes cm(.).

**3.13 Q. What do ECIP partners record in the 300 field if there is an indication of illustrations?**

**3.13 A.** Do not record illustrations in the 300 field or the 008 at the galley stage.  This information will be added when the book is received for CIP verification.

**3.14 Q. For ECIP records, should the 300 field end with a period when there is a series statement?**

**3.14 A.** Put a period after the cm if there is a series statement present in the record (i.e., "pages cm.").  If there is no series statement, record "pages cm" without the period. See <u>LC-PCC PS 1.7.1</u> on Punctuation at the End of MARC Fields 245, 246-247, 250, 264, 300, 310/321, 362, 490.  ECIP cataloging applies the same instructions.

**3.15 Q. Our library doesn't establish series authorized access points. How should we record the series statement in the ECIP record if the series has been established by another library?**

**3.15 A.** Record the series statement as 490 0.

**3.16 Q. If there is a series statement listed on the Data View but the information does not appear in the galley, should the series statement be included in the CIP record?**

**3.16A.** No. If a series statement appears only on the Data View, do not include this information in the CIP record.

**3.17 Q. How should the summary provided in the Data View be recorded?**

**3.17 A.** Summary information can be copied and pasted directly into a 520 field.  Use quotes around the summary and supply  "– *Provided by publisher"* at the end of the field. For example:

> 520## "Is it rainy? Cloudy? Stormy? Readers will learn the ins and outs of observing weather conditions in this book"--Provided by publisher.

If the publisher supplies the summary data in this format, On the MARC will automatically supply the 520 field.

**3.18 Q. How should the presence of indexes and/or bibliographical references be recorded?**

**3.18 A.**  This information should be recorded as follows:

> 500  Includes index.
> 504  Includes bibliographical references.
> 504  Includes bibliographical references and index.

*Note*: *Make sure to record the appropriate information in the 008/24 (bib refs) and 008/31 (index).*

The 504/500 fields can be supplied automatically by selecting the "Auto Bib/Index Note" from the Edit menu in On the MARC.

**3.19 Q. How do ECIP partner libraries determine when it is appropriate to include a TOC note in 505 field for an ECIP record?**

**3.19 A.** Apply the following guidelines summarized from LC DCM D8.9.2.2:

1. Key word searching – Does adding the chapter titles to the record provide improved natural language key word searching?
2. Understanding of the contents – Does adding the chapter titles to the record provide a greater understanding of the contents of the item than what is conveyed in the title and statement of responsibility area?
3. Degree of editing - Will the TOC data require extensive manual editing to prepare it for machine manipulation?
4. Long TOC with many entries - If the TOC is long and contains many entries, does this dilute the value of the information once it is put into a 505 field?  Exclude elements such as "Preface," "Acknowledgments," "Index," and "Bibliography."

**3.20 Q. How should the information for the contact person listed on the Data View be recorded?**

**3.20 A.** The 963 field should be recorded as follows:

    963## [Name]; phone: xxx-xxx-xxxx; email: xxx@xxx.xxx; bc: xxx@xxx.xxx

The 963 field is automatically generated when the "Send" button is clicked.   It is not necessary to key in this information.

**4. ECIP/BIBCO Practices for using Library of Congress Subject Headings and LC Classification (LCSH/LCC):**

**4.1 Q. Should ECIP partners do full subject cataloging instead of sending the record to LC to complete assigning subject headings and LC classification number?**

**4.1 A.** ECIP partners do full cataloging.  Most ECIP partners supply LC classification, and LC adds the Dewey number.  Currently only two partners, Northwestern University and Queens Library, use Dewey classification.  LC catalogers supply the LCC for these records.

**4.2 Q. According to the BPM (BIBCO Participants' Manual), BIBCO libraries use 050_4 to indicate that the call number was assigned by a PCC library.  How should the 050 be coded in ECIP records?**

**4.2 A.** The call number should be coded 050 00.

**4.3 Q. Should ECIP partners complete the shelflisting in the 050$b?**

**4.3 A.** No. LC staff will complete the shelflisting by adding the Cutter number and date in the 050$b.

**4.4 Q. What should ECIP partners do about classifications by place or corporate body that are extended into the second Cutter?**

**4.4 A.** In the case when the second Cutter is needed, ECIP partners should extend the call number into the second Cutter to ensure that the shelflisting is completed correctly.  For example, 050 00 HT243.U62 $b N7+ would alert LC cataloging technicians to add a digit for the main entry to complete the shelflisting.

**4.5 Q. Where can ECIP partners who are SACO members find instructions for submitting ECIP-related Subject and Classification Proposals?**

**4.5 A.** Instructions for submitting ECIP-related Subject and Classification Proposals can be found by clicking on the ECIP-related Subject and Classification Proposals link on the ECIP Partnership page of the Cataloging in Publication Program homepage.


**5. ECIP/BIBCO Name Authority Practices:**

**5.1 Q. When creating a name authority record, how do we cite information found in an ECIP in the 670 field?**

**5.1 A.** You should cite as:
    670 ## [Title, Date]: $b ECIP title page (…) data view (…)

**5.2 Q. Most names appear in the Data View in inverted order.  How should this data be cited (e.g., Doe, John or John Doe)?**

**5.2 A.** Cite the name in the 670 in the way it appears on the source.  It is only necessary to cite the name from the Data View if the form differs from that on the title page galley.