

## Exploring a New Mode of Cataloging

### 1. INTRODUCTION

Various factors have contributed to a build up of cataloging backlogs at LC. Two such factors include:

- 1) limitations on replacing staff who have left;
- 2) substantial diversion of staff resources to prepare for, and implement, the Library's Integrated Library System.

This, combined with the commitment to reduce such backlogs by the end of 2004, has resulted in the Cataloging Directorate's exploring means of temporarily realizing increased cataloging productivity.

One approach is to use a mode of cataloging called internally "EL7 lccopycat." This mode of cataloging entails using already existing records for copy cataloging ("lccopycat" is the code used in field 042 to identify copy cataloging records issued by LC) but applying to them encoding level value "7," ordinarily used for minimal level cataloging. Using encoding level "7" makes it possible to realize flexibility in supplying/checking various data elements as described in the following "working draft" guidelines now under development and being used by various teams in the Cataloging Directorate. It also reduces the impact of this approach on other systems that load these records.

### 2 GUIDELINES FOR APPLYING EL7 LCCOPYCAT

#### 2.1 General

This step allows a team to take a flexible approach to copy cataloging, particularly with respect to:

- 1) fixed fields;
- 2) authority work;
- 3) the complement of 7XX added entries;
- 4) the complement of 6XX subject headings.

The objective is still to "do no harm," i.e.:

- a) to ensure that the description of an item accurately reflects the item such that an observer of the record can determine whether it fits another copy of the item that is in hand;
- b) to fit the headings on a particular record within the catalog.

Use of value 7 in the encoding level is the means through which the flexibility of this approach is possible. Value 7 is the signal that some of the fixed fields may not have been checked/supplied and that some of the name headings may not be represented by authority records. It is also the value that prevents an LC-issued record from overlaying an existing record, particularly in OCLC. This allows LC to adjust the complements of name and subject headings without having a negative impact on existing records in other systems.

While it is theoretically possible that an imported record that is a candidate for encoding level 7 treatment may, after appropriate checking, turn out to exemplify full level cataloging, as a practical matter teams choosing this approach are unlikely to want to develop the careful workflow details that

would make this possible, since the objective in the first place is to streamline procedures in an attempt to realize increased reductions in arrearages.

**NOTE:** do not apply this technique to PCC records.

## 2.2. Leader

When any aspect of these guidelines is applied, ensure that the encoding level is 7. Records imported through MARCADIA go through certain preprocessing, including setting the encoding level to 7, before they are loaded into the LCDB. (MARCADIA is an RLIN service in which candidate IBC records sent to RLIN are run against the RLIN database and any matching records are returned to LC.)

## 2.3 Fixed fields (008)

Check/supply the appropriate values in the following basic set of fixed fields (# = blank):

MARC 21		Voyager Term
Position	Name	
06	Type of date	Publication Status:
07-10	Date 1	Date 1:
11-14	Date 2	Date 2:
15-17	Place of publication ...	Place of Publication:
23	Form of item (ensure #)	Form of Item: (ensure #)
35-37	Language	Language:
38	Modified record (ensure #)	Modified Record: (ensure #)
39	Cataloging source (ensure d)	Cataloging Source: (ensure d)

Accept the values present in the other fixed fields, including the fill character (indicates that no attempt was made to supply a value).

## 2.4 Field 040

Subfields \$a and \$c may not be present. Apply the following conventions:

if no 040 \$a and \$c are present, use “XX-XxUND” (MARC code for “undetermined”) in both subfields;

if no 040 \$a is present but an 040 \$c is, use the code in \$c also in \$a;

if an 040 \$a is present but no 040 \$c is, use the code in \$a also in \$c.

Delete subfield \$b (Language of cataloging) and subfield \$e (Description conventions) if present.

Ensure the language of cataloging is English and the descriptive cataloging is AACR2.

## 2.5 Field 042

Field 042 is not repeatable. If a record contains two 042 fields, combine them into one field with repeated \$a subfields:

```
042    $a nlmcopyc
042    $a lccopycat

results in

042    $a nlmcopyc $a lccopycat
```

## 2.6 Descriptive Headings

Search each name and series heading according to standard procedure. If a descriptive heading is not represented by an authority record, a team may choose to apply minimal level cataloging guidelines to headings as follows.

### 2.6.1 Authority work

A search determines that there is no authority record. At a minimum, the form of the name/series must be formulated according to AACR2R. Staff authorized to do authority work may judge whether to proceed to do so, using the automatic authority record generation feature of the ILS. If, for whatever reason, staff do not do the authority work, they may proceed without doing so **provided the encoding level is changed to 7**. It is the change in encoding level that will alert any subsequent observer of the record that the name/series headings may not be represented by authority records. Note that with the change of encoding level to 7, MLC guidelines apply, including the exceptional need for authority work under certain conditions, e.g., to break a conflict.

### 2.6.2 Complement of 7XX added entries

If a record contains added entries that LC would ordinarily not make, one or more may be deleted, **provided the encoding level is changed to 7**. This is VERY IMPORTANT because it is necessary to prevent the LC-issued record from overlaying an already existing record, particularly in OCLC, and thereby “zapping” the added entries that LC did not use.

## 2.7 LC Call Number

Provide a full LC call number in all instances, i.e., do not use an MLC shelf number.

## 2.8 Subject Headings

Accept the subject headings that are present (except for any that are egregiously in error, e.g., the book is about Australia, but the subject heading is for Austria) and ensure they are constructed according to current practice.

### 2.8.1 Validation of LC subject headings

The overall objective is to take the actions needed to validate subject strings labeled as Library of Congress Subject Headings (6XX second indicator = 0). “Validate” in this context means checking to see that:

- 1) for field 650, the term in subfield \$a is represented by a subject authority record;
- 2) for field 651, any non-jurisdictional geographic entity in subfield \$a is represented by a subject authority record;
- 3) non free-floating subject subdivisions, e.g., chronological subdivisions, non-jurisdictional geographic names used as subdivisions, are represented by subject authority records;
- 4) the configuration of free-floating subject subdivisions will be left to cataloger’s judgment in following the SCM’s instructions;
- 5) for fields 600, 610, 611, 630, and names of jurisdictions in 651 fields, the MLC conventions apply, i.e., search the entity and if represented by a name authority (NAR) record use that form; if not represented by a NAR, ensure the entity is formulated according to AACR2; only do the authority work required by MLC guidelines, e.g., to break a conflict; any subject subdivisions associated with such names/titles used as subjects should represent valid strings.

### 2.8.2 *Method of proceeding*

Use the authority validation aspect of the ILS to determine the validity of subject strings. Turn on the validation that takes place when a record is saved to the database. (It is also possible to validate particular subject headings by right-clicking on the subject heading as it occurs in a bibliographic record.) If a subject heading or a part thereof that needs to be represented by subject authority records is declared to be invalid, do the following:

- 1) if a 650 topical subject heading or a 651 non-jurisdictional geographic subject heading is the first of multiple subject headings or is the sole subject heading in the record, refer the item to CPSO to have the necessary subject authority work done; this is to ensure the relationship between the first/sole subject heading and the classification number to be assigned; note that such authority work may be required either for the main part of the heading (subfield \$a) or for a non-free floating subdivision (subfield \$x or \$y or \$z) or for both a heading and a non-free floating subdivision;
- 2) if there are multiple subject headings and any one subsequent to the first is a 650 topical subject heading or a 651 subject heading for a non-jurisdictional geographic entity in which the term in subfield \$a or in any non-free floating subdivision is declared invalid, delete the field.

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