

# Special Cataloging Guidelines

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## Chapter Summary

This chapter has guidelines for materials and cataloging practices that present unique problems to online catalogers.

## 3.1 Theses and Dissertations

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Historically, most theses and dissertations are unpublished items made available through copies.

Electronic theses and dissertations that are remotely accessible via the Web should be treated as published items and cataloged as original electronic publications, as explained in AACR2 9.4B2. For more information, see *Cataloging Electronic Resources: OCLC-MARC Coding Guidelines* (<http://www.oclc.org/support/documentation/worldcat/cataloging/electronicresources/>).

### Guidelines

Use the following for theses and dissertations:

- Most microforms of theses, such as those from University Microfilms (UMI), are reproductions of unpublished copies of theses. Catalog them as such.
- Use BKS format (**Type** code *t*—Manuscript language material) for book-like theses, VIS format for theses in an audiovisual medium, REC format for recorded theses, etc. Use **Type** code *d* (Manuscript music) for Score theses and **Type** code *f* (Manuscript cartographic material) for Map theses.
- Use code *xx*~~*b*~~ in **Ctry** for both original **and** reproduced theses.
- For all reproduced theses, code **DtSt** for the original.
- Omit place and publisher in **field 260** (Publication, Distribution, Etc. [Imprint]) per AACR2, rule 4.4.
- Omit series statements in 4xx per AACR2, rule 4.6.
- Omit added entries for advisors, the institution, made-up thesis collection or series titles in fields 246, 700–740 and 8xx. Use the 79x fields for these kinds of added entries.
- Enter a thesis note in **field 502** (Dissertation Note).
- If you are cataloging a copy from a commercial producer and a record exists for another copy in the same medium (photocopy or microform) from the same producer, use the existing record, even if the date of reproduction differs. Since such theses are copies, cataloging rules allow the dates to vary from earlier copies. In such cases, if date information would be the only change, do **not** create a new record.
- **Optional.** If you describe a reproduced thesis in **field 533** (Reproduction Note), you may enter a **Ctry** code for the place of reproduction in **field 539** (Fixed-Length Data Elements of Reproduction Note) subfield **‡d** (Place of publication, production or execution). You may also enter date information for the reproduced thesis in **field 539** subfields **‡a**, **‡b** and **‡c**. Such information is based on the data in **field 533**. See **field 539** for more information.

### Example

```
100 1 Cheung, Alexandre Tat-man.
245 10 Idol fool in Corinth : ‡b an examination of Paul's approach in light of its
      background in ancient Judaism and legacy in early Christianity / ‡c
      Alexandre Tat-Man Cheung.
260 ‡c 1994.
300 xii, 296 p.
```

### 3.1 Theses and Dissertations (continued)

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- 502 Thesis (Ph. D.)--Westminster Theological Seminary, 1994.  
504 Includes bibliographical references (p. 262-296) and abstract.  
533 Photocopy. †b Ann Arbor, Mich. : †c University Microfilms, †d 1995. †e  
20 cm.  
539 s †b 1995 †d miu †e n

## 3.2 Reproductions and Original Microform Publications

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### LC policy

The Library of Congress follows *Anglo-American Cataloguing Rules*, first edition (AACR1) for descriptions of electronic, microform and “on demand” photocopy reproductions of previously existing materials. The principles of AACR1, described in LCRI for AACR2, chapter 11, state that you should base the bibliographic description on the original publication and place data relating to the reproduction in a secondary position.

LC applies AACR2 for the form of the description of the original and for choice and form of access points (headings). You should follow LC policy.

### Library and Archives Canada policy

Library and Archives Canada (NLC) serial records follow AACR2 for microform reproductions. See chapter 4, “When to Input a New Record,” for more information.

### OCLC policy

- Follow LC policy when cataloging electronic, microform and “on demand” photocopy reproductions (e.g., those issued by ERIC, NTIS, etc.). Emphasize the original item and describe the reproduction in a note. Follow AACR2 rules for the form and content of the description of the original and for choice and form of entry.
- Do **not** create a new record if you retrieve a record with fixed fields coded for the reproduction (in Ctry, Dates, etc.). Instead, locally edit the record to code the fixed field elements for the original item. Differences in form (e.g., microfilm vs. microfiche), publisher, or series justify a new record. See chapter 4, “533 Reproduction Note.” **Note:** To have the master record corrected, see chapter 5.6, “Reporting Errors.”
- Use the GMD “microform” for microform reproductions.  
245     Ꞥh [microform]
- Use the GMD “electronic resource” for electronic reproductions of works previously published in print form.  
245     Ꞥh [electronic resource]
- Do **not** use a GMD for photocopies.

### Coding the fixed field for reproductions

Code microform and macroform reproductions cataloged according to LCRI for AACR2, chapter 11.

### Searching with date qualifier

If you search using a date qualifier, you may want to search using both the original date and the date of reproduction because records can be coded with either. Database conversions have corrected many, but not all, records coded with previous practices.

### Guidelines

- Code electronic, microform and macroform reproduction fixed-field elements, except **Form**, for the original item described in the body of the entry, **not** for the reproduction, which you describe in **field 533**.
- Code the fixed-field element **Form** for the type of reproduction described in **field 533**. Use a workform appropriate for the original work.

## 3.2 Reproductions and Original Microform Publications (continued)

Element	Guidelines for Reproductions and Original Microform Publications
Type	Code for the original work: a Language material, printed or microform c Music, printed or microform d Music, manuscript e Map, printed or microform f Map, manuscript, including microform g Projected media i Sound recording, nonmusical j Sound recording, musical k Two dimensional nonprojectable graphic representations m Computer file o Kits p Mixed material r Three-dimensional artifacts and naturally occurring objects t Language material, manuscript, including microform
BLvl	Use the <a href="#">BLvl</a> code appropriate to the original. a Monographic component part b Serial component part c Collection d Subunit m Monograph/Item s Serial
Form	Code for the appropriate form of reproduction. b None of the following a Microfilm b Microfiche c Microopaque d Large print f Braille r Regular print reproduction s Electronic
Ctry	Code for the country of the publisher, producer or executor of the original found in <a href="#">field 260</a> (Publication, Distribution Etc. [Imprint]) subfield †a (Place of publication, distribution, etc.).
Orig	<b>Continuing resources.</b> Code for the original.
Freq	<b>Continuing resources.</b> Code for the original.
Regl	<b>Continuing resources.</b> Code for the original.
DtSt	<b>Books, visual materials, manuscripts, maps, sound recordings, scores.</b> Code for the original.  <b>Continuing resources.</b> Code for the publication status of the original.
Desc	Code <i>a</i> for new cataloging.
Dates	<b>Books, visual materials, single manuscripts, maps, sound recordings, scores.</b> Enter date(s) of original.  <b>Manuscript collections.</b> Enter date of earliest piece of the original in <i>DATE 1</i> . Enter date of latest piece of the original in <i>DATE 2</i> .  <b>Continuing resources.</b> Enter beginning date of the original in <i>DATE 1</i> . Enter ending date of the original in <i>DATE 2</i> .

## 3.2 Reproductions and Original Microform Publications (continued)

Element	Guidelines for Reproductions and Original Microform Publications
006	Use field 006 for the electronic aspects of electronic reproductions.
007	<p>For preservation activities using microfilm, code <math>\ddot{p}</math>i (Generation) for bibliographic records that describe preservation masters (“first generation masters” or “printing masters”).</p> <p>Code for preservation masters that describe service copies if the institution creating the bibliographic record was also responsible for the filming. In these cases, you may input multiple 007 fields. The first 007 field should describe the version that is described in the physical description.</p> <p>Use additional 007 fields to describe any first generation masters or printing masters.</p> <p>For electronic reproductions of works previously published in print form, use the Computer File 007 field to describe the reproduction.</p>
020	<b>Books, visual materials, maps, scores.</b> If an ISBN is assigned to the microform reproduction, enter the ISBN in <a href="#">field 020</a> (International Standard Book Number) subfield $\ddot{a}$ a (ISBN). Do <b>not</b> enter an ISBN assigned to the original. You may enter the original ISBN in field 776 $\ddot{z}$ z.
022	<b>Serials.</b> Enter the ISSN assigned to the original serial.
1xx	Enter a main entry heading (AACR2, chapters 21–25 ) for choice and form of heading. Search the OCLC Authority File to verify the form of entry.
222	<b>Serials.</b> Enter the key title assigned to the original serial.
245	Enter the title of the original transcribed (AACR2, chapters 1–12), appropriate to the original publication.
260	Enter the publication information of the original transcribed (AACR2, chapters 1–12), appropriate to the original publication.
300	Enter the physical description of the original (AACR2, chapters 1–12), appropriate to the original publication. Do <b>not</b> enter the size if it cannot be determined.
533	<p>Enter a note describing the reproduction after all notes that pertain to the original. Begin the note with the appropriate term (“Microfilm,” “Microfiche,” “Photocopy,” “Printout,” “Electronic Reproduction,” etc.).</p> <p>Include the following, as applicable:</p> <ul style="list-style-type: none"> <li><math>\ddot{a}</math>a Type of reproduction</li> <li><math>\ddot{b}</math>b Place of publication</li> <li><math>\ddot{c}</math>c Agency responsible for reproduction</li> <li><math>\ddot{d}</math>d Date of reproduction</li> <li><math>\ddot{e}</math>e Physical description of reproduction</li> <li><math>\ddot{f}</math>f Series statement for reproduction</li> <li><math>\ddot{n}</math>n Note about reproduction (Optional)</li> </ul>
539	<p>Enter a note for the coded information pertaining to the reproduction described in <a href="#">field 533</a> (Reproduction Note). Enter the note after <a href="#">field 533</a>.</p> <p>Include the following, as applicable:</p> <ul style="list-style-type: none"> <li><math>\ddot{a}</math>a Type of date/Publication status</li> <li><math>\ddot{b}</math>b Date 1/Beginning date of publication</li> <li><math>\ddot{c}</math>c Date 2/Ending date of publication</li> <li><math>\ddot{d}</math>d Place of publication, production or execution</li> <li><math>\ddot{e}</math>e Frequency</li> <li><math>\ddot{f}</math>f Regularity</li> <li><math>\ddot{g}</math>g Form of item (Optional)</li> </ul>

## 3.2 Reproductions and Original Microform Publications (continued)

Element	Guidelines for Reproductions and Original Microform Publications
776	Enter a note to link the reproduction to the original: ‡c Qualifying information ‡x Original ISSN ‡z Original ISBN ‡w Record Control number
856	Enter information about electronic location and access (URL) for electronic reproductions.

### Linking reproductions using field 776

LC links bibliographic records for microform reproductions of monographs to records for the corresponding hardcopy originals.

LC adds field 776 (Additional Physical Form Entry) to records representing microform reproductions. Field 776 consists of subfield ‡c (Qualifying information) with “Original” and subfield ‡w (Record control number) with the MARC Organization Code in parentheses followed by the control number of the record for the hardcopy original.

776 1 ‡c Original ‡w (DLC) 20000001

The preceding example shows a link for a microform reproduction of *The Toll of the Sands*, LCCN 20-1. Do **not** use a similar linking field on the record for the hardcopy original to connect it with its microform reproductions.

To record the LCCN of the original item when cataloging a microform reproduction, include such data in field 776.

776 1 ‡c Original ‡w (DLC) 20000009 ‡w (OCOLC) 5593943

### United States Newspaper Program cataloging practice

United States Newspaper Program (USNP) participants catalog the original paper version of a newspaper and attach union list local data records to the master record for all formats (e.g., microform, paper, paper reprints, reproductions). *The Newspaper Cataloging and Union Listing Manual*, CONSER/USNP Edition, describes USNP cataloging guidelines. It is available from the Library of Congress, Cataloging Distribution Service.

### Government Printing Office cataloging practice

The U.S. Government Printing Office (GPO) sometimes has the original, microform and electronic versions available. GPO catalogs the original (paper), sends microform to some depository libraries, and makes electronic versions available on government web sites.

The bibliographic record represents cataloging for the original but may contain item numbers for microform, electronic and the original in separate 074 fields. A note concerning availability in microform and/or electronic versions may appear in field 530.

You may enter a separate record for a government document if it is in a medium different from that in the GPO record. You may use the GPO record, but it would not accurately reflect what your library holds. See field 074 for more information.

## 3.2 Reproductions and Original Microform Publications (continued)

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### **Original microform publications**

If you are cataloging an original microform publication, follow AACR2 exclusively. Use the appropriate workform to describe the item (AACR2, chapter 11).

Catalog items that are microreproductions of material prepared or assembled specifically for bringing out an original edition in microform (AACR2, chapter 11). For example, catalog a microform collection that reproduces previously existing material, but has **not** itself existed previously as a bibliographic entity, according to chapter 11.



## 3.3 Technical Reports

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### Definition

According to ANSI Z39.23 (1983),

. . . a technical report is a document that gives the result of research or developmental investigations, or both, or other technical studies. . . A technical report is initially submitted to the person or body for which the investigation was carried out or by which it was sponsored. Copies of it may subsequently be made available in limited quantities. . . , but these copies are not produced commercially and are not available from booksellers or other commercial sources. . . . Technical reports are usually published irregularly, either in series or as separate monographs. Technical reports are not typeset but are reproduced from typescript by near-print processes, and they are usually concerned with only one specific subject or with a few closely related subjects.

### Guidelines

Use the following **optional** guidelines for selected fixed-field elements and variable fields when cataloging a technical report:

Element	Guidelines for Technical Reports
Cont	Code <i>t</i> (Technical reports).
DtSt	Code <i>e</i> (Detailed date).
Dates	Enter a detailed date in the form yyyy,mmdd.
027	Use for the Standard Technical Report Number (STRN).
037	Use subfields ‡f (Form of issue) and ‡c (Terms of availability) primarily for technical reports.
088	Use for nonstandard report numbers.
x00	Use subfield ‡u (Affiliation) for the affiliation or address of the personal name.
x10	Use subfield ‡u for the affiliation or address of the corporate name.
x11	Use subfield ‡u for the affiliation or address of the conference name.
504	Use subfield ‡b (Number of references) to record the number of references.
513	Use for the type of report and period covered note.
536	Use for funding information notes.
580	Use for notes explaining complex relationships not easily handled in 765-787 fields.
650	Use first indicator values 0, 1 and 2 to distinguish between primary and secondary descriptors.
653	Use for subject added entries and uncontrolled headings.
765–787	Use for linking entry fields.

## 3.4 “In” Analytics

### Definition

If a separate bibliographic record is necessary for a component, you may prepare an “in” analytic entry. A component is a bibliographic unit that is physically contained in another bibliographic unit (host item) in such a way that the host item must be identified to locate the component (e.g., one article in a serial, one chapter or paper in a book or one track on a sound recording).

Do **not** use “in” analytic cataloging conventions for offprints, reprints or detached copies.

### Guidelines

Use the following guidelines:

Element	Guidelines for “In” Analytics
BLvl	Code for the component (e.g., <i>a</i> for monograph, <i>b</i> for serial).
Ctry	If country information is available in <a href="#">field 773</a> (Host Item Entry) subfield †d (Place, publisher and date of publication), code accordingly. Otherwise, code <i>Ctry</i> as unknown ( <i>xx#</i> ).
Dates	Use date in <a href="#">field 773</a> subfields †d or †g (Relationship information) as appropriate.
018	Use for copyright article-fee code.
260	Do not use field 260.
300	For records coded AACR2 (Desc: a) paging should appear in <a href="#">field 300</a> †a and not in <a href="#">field 773</a> .
580	Use for linking entry complexity notes.
773	Use for host item entries. Subfield †d (Place, publisher, and date of publication) is typically used when the host item is a monograph.

In the case of host items that are serial or multi-volume in nature, information in subfield †g is necessary to point to the exact location of the component part within the bibliographic item.

Example: Host item is a serial

773 0 †t California journal. †g Vol. 24, pt. B, no. 9 (Sept. 1993) †w (DLC)  
68066801 †w (OCoLC)22384

Example: Host item is a serial

100 1 Glasscock, Jane.  
245 10 Research on customer requirements for transit service design and  
delivery / †c Jane Glasscock.  
300 p. 121-127 : †b ill. ; †c 28 cm.  
504 Includes bibliographical references (p. 127).  
650 0 Local transit. †z Washington (State). †z Seattle Metropolitan Area †x  
Evaluation.  
773 0 †7 nnas †t Transportation research record †g No. 1604 (1997) †w  
(OCoLC)1259379

### 3.4 “In” Analytics (continued)

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Example: Host item is a monograph

773 0 ‡7 plam ‡a Neuberg, Victor E. ‡t Penny histories. ‡b 1st American ed.  
‡d New York : Harcourt, Brace & World, 1969, c1968 ‡w (DLC)  
68066801 ‡w (OCoLC)3217

Example: Host item is a monograph

100 10 Divan, Hubert L.  
245 10 Ancient runes in a modern world / ‡c Hubert L. Divan.  
300 p. 92-99 : ‡b ill. ; ‡c 28 cm.  
504 Includes bibliographical references (p. 99).  
650 0 Runes.  
773 0 ‡7 plam ‡a Harkwell, Millicent J., 1950- ‡t Runes of the world ‡d  
Columbus, Ohio : Artifact Pub., 2006 ‡w (OCoLC)XXXXXX

## 3.5 Offprints and Detached Copies

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### Guidelines

Use the following guidelines for offprints and detached copies:

- If a separate bibliographic record is needed for an offprint or detached copy, catalog the item as a separate bibliographic item. Do **not** use “In” analytic cataloging conventions for offprints, reprints or detached copies.
- Use AACR2 rule 2.5B6 to record pagination. In a [field 500](#) note, indicate the relationship to the larger work. Begin the note with “Offprint:” or “Detached from:” as appropriate.
- If the larger work is a serial, use the title in AACR2 catalog entry form, followed by the numeric and/or alphabetic designation (preceded by a period). If appropriate, use the chronological designation enclosed in parentheses.
- If the item is detached from another monograph, follow AACR2 rule 1.7A3 in citing the source. Under the provision of rule 21.30G, added entries may be made for the larger work.

### Examples

- 100 1 Smiraglia, Richard P., ‡d 1952-  
245 10 Music in the OCLC online union catalog : ‡b a review / ‡c by Richard P. Smiraglia and Arsen R. Papakhian.  
260 [Philadelphia] : ‡b Music Library Association, ‡c c1981.  
300 p. 257-274 : ‡b ill. ; ‡c 23 cm.  
500 Offprint: Notes (Music Library Association). Vol. 38, no. 2 (Dec. 1981).  
700 1 Papakhian, A. Ralph, ‡q (Arsen Ralph) ‡d 1948-  
730 0 Notes (Music Library Association)
- 100 1 Fry, James W., ‡q (James Wilson) ‡d 1952-  
245 10 LSA and LSCA, 1956-1973 : ‡b a legislative history / ‡c James W. Fry.  
260 [Urbana, Ill. : ‡b University of Illinois Graduate School of Library Science], ‡c 1975.  
300 p. 7-26 : ‡b ill. ; ‡c 23 cm.  
500 Detached from: Library trends. Vol. 24, no. 1.  
730 0 Library trends.
- 100 1 Mowery, Robert L.  
245 14 The Cutter classification : ‡b still at work / ‡c Robert L. Mowery.  
260 [Chicago : ‡b American Library Association], ‡c 1976.  
300 p. 154-156 ; ‡c 25 cm.  
500 Offprint: Library resources & technical services. Vol. 20, no. 2 (spring 1976).  
730 0 Library resources & technical services.

## 3.6 Supplementary Items

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### Guidelines

Use the following guidelines for cataloging supplementary items. You may catalog supplementary items independently (i.e., in a separate record) or dependently (i.e., in the record for the main item).

- If cataloging independently, include the LC card number and the OCLC number of the main item, if available, in the appropriate 7xx linking entry field.
- Use the publication pattern to determine whether the supplementary item should be cataloged as a monograph or a serial. Monographs have a finite number of parts. Serials are intended to continue indefinitely.
- Treat items with monograph title page (or equivalent) as monographs.
- Treat subsequent parts that update the item, have different titles and are issued indefinitely as serials.
- Relate any separate bibliographic record for supplements to the record for the main work (parent) via the appropriate added entry or serial linking field.
- Do **not** create records for the updates to loose-leaf publications.
- **Optional.** Create a record for both the main work and its supplement. Such records are not duplicates.
- **Optional.** Catalog supplements to loose-leaf publications that are cataloged as serials separately as another serial in a separate record, particularly if the supplement has a separate title.
- If cataloging **dependently**, i.e., on the same records as the main item, add 006 fields to reflect fixed-field coding of the supplementary items, especially if it is in a different format.

## 3.7 Locally Made Videorecordings

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### Types of videorecording

This section discusses three types of locally made videorecordings.

Type of recording	Example
Locally produced videorecordings	University lectures, class projects, local historical events and theses and dissertations in video form
Locally reproduced videorecordings	Video copies of motion pictures, other videorecordings or other audiovisual media made with permission of the producer or distributor
Off-air recordings	Licensed copies of television broadcasts

### Scope of guidelines

The guidelines below apply to all local video reproduction media, including videotape, videodisc, streaming video, electronic video files, etc.

### Locally produced videorecordings

Use the following guidelines:

- Treat locally produced videorecordings as unpublished materials. They may exist as either unique copies or as a small number of copies for limited distribution.
- Transcribe title and statement of responsibility information ([field 245](#)) from the piece.
- If the videorecording lacks a title, supply one (AACR2, rule 7.1B2).
- The Publication, Distribution, etc. area ([field 260](#)) should have only the date of recording in subfield  $\ddagger$ c, unless the date already appears in [field 245](#).

### Locally reproduced videorecordings

Treat locally reproduced videorecordings as copies by adding information to an existing record or by inputting a new record.

**Adding information to an existing record.** Add a local note ([field 590](#)) indicating the existence of a copy to the record of the original item. Describe it briefly (e.g., Motion picture noncirculating, videocassette (VHS) available for loan).

If a record exists for the reproduced copy in the same physical format (e.g., VHS videocassette or 1/2 in. videoreel), use that record even if the dates of the copies differ. Edit the record to reflect those differences.

## 3.7 Locally Made Videorecordings (continued)

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### Guidelines

Use the following guidelines:

- Transcribe the title, statement of responsibility and publication information from the original.
- For tangible video reproductions, including videotape and videodisc, use the General Material Designation 'videorecording' in [field 245](#) subfield  $\sharp$ h.
- For remote and other electronic video reproductions, including streaming video and video files, use the GMD 'electronic resource.'
- For tangible video reproductions, including videotape and videodisc, enter the physical description in [field 300](#). For remotely accessed video reproductions, including streaming video, the use of [field 300](#) is optional (see AACR2 rules 9.5A1b, 9.5B3, and 9.5C3).
- Enter necessary notes related to the intellectual content, cast and credits.
- Enter a note indicating the original format (e.g., *Originally issued as super 8 mm. film cartridge*).
- Enter a note that gives the recording date and indicates that the copy was made with permission.
- Use the country of producer (from [Ctry](#)) of the original.
- Use the information from the copy for other fixed-field elements and [field 300](#).
- For a video copy of another videorecording, use code *r* (Reprint/reissue date and original date) in [DtSt](#).
- For a video copy of a motion picture or other audiovisual medium, use code *p* (Date of distribution/release/issue and date of production/recording session when different) in [DtSt](#).
- Use the date of the copy in *DATE 1*. Use the date of the original in *DATE 2*.

### Off-air recordings

Treat all off-air recordings as unpublished materials. Broadcasting does **not** constitute publication.

If a record exists for a commercially available video version of a television program, you may edit that record for local use. Or, you may input a new record.

### Guidelines

If you input a new record, use the following guidelines:

- Transcribe the title and statement of responsibility information ([field 245](#)) from the title and credits of the existing record.
- Enter only the year of the recording in [field 260](#) subfield  $\sharp$ c (Date of publication, distribution, etc.).
- Enter data in [field 300](#) (Physical Description) that reflects the copy.
- Enter a note indicating that the copy was made under license and a note for the name of the television station that broadcast the program.
- Code the fixed field and field 007 for the copy.

### 3.7 Locally Made Videorecordings (continued)

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If a record exists for an off-air copy in the same physical format (e.g., VHS videocassette or 1/2 in. videoreel) as the piece in hand, use that record, even if the date of the copy and the name of the television station that broadcast the program differ. Edit the record to reflect those differences.

**More information**

If the copy is retained by your institution, making an unlicensed copy of a television broadcast may be an infringement of copyright law.

See the U. S. Copyright Office Circular 21, Reproductions of Copyrighted Works by Educators and Librarians, section “Guidelines for off-air recording of broadcast programming for educational purposes” (<http://www.loc.gov/copyright/cir21.pdf>).



## 3.8 Copy- or Institution-Specific Notes and Added Entries

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**Notes and added entries** You may supply copy-specific or institution-specific notes and added entries for rare and special-collections materials. However, do **not** create new records because single master records can have such information for more than one copy or institution.

Master records for published materials represent all copies of a work, the “universal description” of the item. MARC 21 defines subfield ‡5 (Institution to which field applies) for use in notes and added entries that do **not** apply to the universal description. Usually, only rare and special-collections materials are candidates for fields containing subfield ‡5.

Use subfield ‡5 in fields [246](#), [500](#), [501](#), [506](#), [526](#), [540](#), [541](#), [561](#), [562](#), [583](#), [584](#), [585](#), [655](#), [700](#), [710](#), [711](#), [730](#), [740](#), and [851](#) to identify the institution to which the copy- or institution-specific notes and added entries apply (by MARC Organization Code, formerly called NUC Code).

**Accessibility/ usefulness** Consider the usefulness of the information in accessing and identifying the item versus the likelihood that the record will be used in copy-cataloging or found by others who will **not** need your copy- or institution-specific notes and added entries.

**Unpublished items and collections** Do **not** include subfield ‡5 in master records for unpublished items and collections. Such notes and added entries **do** apply to the universal description, since they are single items.

**Items not owned** Do **not** include subfield ‡5 in master records for works that you do **not** own. It is difficult to confirm the validity of the information, even if the information is from LC printed copy.

**Local interest only** If the copy- or institution-specific note or added entry is of local interest only and you want to include the information for your local processing, use the appropriate [590](#), [599](#), [790](#), [791](#), [792](#), [793](#), [796](#), [797](#), [798](#), or [799](#) field. These fields are **not** retained in master records. Subfield ‡5 is also valid in fields [790](#), [791](#), [792](#), [793](#), [796](#), [797](#), [798](#), and [799](#).

**Guidelines for entering subfield ‡5** If you add subfield ‡5, use the following guidelines:

- Enter subfield ‡5 as the last subfield. Enter the MARC Organization Code of the institution holding the copy. To find these codes, see *Find an OCLC Library* (<http://www.oclc.org/contacts/libraries>) or the *MARC Code List for Organizations* (<http://www.loc.gov/marc/organizations/>).
- Do not include terminal punctuation as part of ‡5. Terminal punctuation should be included in the subfield immediately preceding ‡5.
- Use [field 501](#) (“With” Note) with subfield ‡5 for “with” notes for items bound together after publication.
- Use [field 710](#) (Added Entry–Corporate Name) with subfield ‡5 for an added entry for the name of a special collection.

### 3.8 Copy- or Institution-Specific Notes and Added Entries

- Examples of subfield  
‡5**
- 500 Fine Arts Library's copy has bookplate of the Benedictine Monastery in Graftschafft; inscribed by Thomas Jefferson. ‡5 NbDU-F
- 700 10 Jefferson Thomas, ‡d 1743-1826 ‡e former owner. ‡5 NbDU-F
- 710 20 Graftschafft (Monastery), ‡e former owner. ‡5 NbDU-F
- 500 Fine Arts Library's copy with: Index librorvm prohibitorvm. Antverpiae, 1570. Edition with 108 p. Bound together after publication. ‡5 NbDU-F
- 730 02 Index librorum prohibitorum. ‡f 1570. ‡5 NbDU-F
- 500 Fine Arts Library's copy has ms. notes by author on end papers. ‡5 NbDU-F

## 3.9 Electronic Resources

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**Definition** According to AACR2, 2005 Update, an electronic resource is: “Material (data and/or program(s)) encoded for manipulation by a computerized device. This material may require the use of a peripheral directly connected to a computerized device (e.g., CD-ROM drive) or a connection to a computer network (e.g., the Internet).” This definition does not include electronic resources that do not require the use of a computer, for example, music compact discs and videodiscs.

**Type of Record** In **Type**, use code *m* (Computer file) only for the following general classes of electronic resources:

- Computer software (including programs, games, fonts)
- Numeric data
- Computer-oriented multimedia
- Online systems or services

For these classes, if there is a significant aspect that causes it to fall into another **Type** category, code for that significant aspect. For instance, vector data that is cartographic is not coded as numeric but as cartographic. Other classes of electronic resources are coded for their most significant aspect (for instance, language material, graphic, cartographic material, sound, music, moving image). In case of doubt or if the most significant aspect cannot be determined, consider the item a computer file. If the resource is essentially the equivalent of a print item but in electronic form, use the same **Type** code you would use for the print version.

**Example:** A copy of Homer’s *Iliad* available via the Internet.

- **Former practice:** **Type** code *m*
- **Current practice:** **Type** code *a*

Since the item is basically textual, **Type** is coded *a* (Language material). The electronic aspect is secondary.

**Example:** TurboTax software.

- **Former practice:** **Type** code *m*
- **Current practice:** **Type** code *m*

Since the item is software and no other **Type** code applies, there is no change in practice.

**Form of Item** When cataloging an electronic resource that has a **Type** code other than *m*, use code *s* in **Form** for electronic resource.

**Separate records vs. single record** Creating separate records for an item is preferable when both remote and directly tangible (non-remote) versions exist.

If you are cataloging a remote item, however, you need **not** verify the physical existence of the non-remote version or whether it has been cataloged. Similarly,

## 3.9 Electronic Resources (continued)

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when you catalog a non-remote item, you need **not** verify whether a remote version exists.

In both cases, you may catalog the item as if no other version exists. Apply the input convention in *Cataloging Electronic Resources: OCLC-MARC Coding Guidelines* (<http://www.oclc.org/support/documentation/worldcat/cataloging/electronicresources/>) if you have verification that remote and non-remote versions exist and you want to record the existence of both.

### Digital masters

When cataloging digital versions of print materials, generally create separate records for the digital version of an item. For information about digital masters, see the *Digital Library Federation Registry of Digital Masters Record Creation Guidelines* (<http://www.diglib.org/collections/reg/DigRegGuide200705.htm>).

### Integrating resource or monograph vs. serial

The decision to code an electronic resource as a monograph or as a serial is a decision made separately from the **Type** code decision. Note that for electronic serials where **Type** is not *a* or *m*, two 006 fields will be necessary, one for the electronic aspects and one for the serial aspects.

Apply the current AACR2 definitions of monograph and serial to electronic resources. Treat as serials ( BLvl Bibliographic Level: *s* (or *b*)) only those continuing resources issued in a succession of discrete parts with no predetermined conclusion. The parts may constitute an issue, or in some cases, an individual article.

Applying the current AACR2 definitions may result in different manifestations receiving different cataloging treatment. For example, a manifestation in print form, such as an annual directory, is cataloged as a serial but it is cataloged as an integrating resource when the directory takes on the form of an electronic file that is continuously updated. The Library of Congress and CONSER adhere to current definitions, and OCLC recommends its users do the same. These remotely accessed electronic resources that change frequently are currently excluded from serial treatment (they should be cataloged as integrating resources or monographs, as appropriate):

- Databases (including directories, A&I services, etc.)
- Electronic discussion groups (e.g., SERIALST)
- Electronic discussion group digests (e.g., AUTOCAT digest)
- Gopher servers (e.g., LC-MARVEL)
- Online public access catalogs (e.g., OCLC)
- Online services (e.g., America Online)
- Web sites (e.g., the CONSER home page)

For further guidance on coding serials, see the Library of Congress document *Use of Fixed Fields 006/007/008 and Leader codes in CONSER records* (<http://www.loc.gov/acq/conser/ffuse.html>).

## 3.9 Electronic Resources (continued)

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**More information**

See *Cataloging Electronic Resources: OCLC-MARC Coding Guidelines* ( <http://www.oclc.org/support/documentation/worldcat/cataloging/electronicresources/>).

## 3.10 Parallel Records for Language of Cataloging

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### Policy for parallel records

In 2003, OCLC policy changed to allow for parallel records within WorldCat by language of cataloging. It has long been envisioned that WorldCat would need a parallel record structure to display records by language of cataloging.

When an institution applies a local descriptive cataloging convention, supply subfield  $\#e$  in the 040 field with the code *local* followed by a slash and either the MARC Organization code or the OCLC symbol of the institution (for instance,  $\#e$  local/SiSiNL or  $\#e$  local/SINLB).

**Note:** Only one record per language of descriptive cataloging is allowed for each manifestation of a title. In the case of Chinese cataloging, do not create separate parallel records in both Chinese traditional script and Chinese simplified script. Transcribe the script as it appears on the resource. If access to the alternative script is useful, use [field 246](#).

### Previous policy

Previously, records for the same title, but cataloged in different languages, such as English, Spanish and French, were considered duplicate records.

OCLC no longer considers these records duplicates, but considers them parallel records.

### Vendor records

The parallel record exception for vendor records, which was announced with the parallel records policy in 2003, is no longer in effect. Treat vendor records the same as other records when determining whether to create or consider a record a parallel record.

### Guidelines for identifying a parallel record

A parallel record is characterized by the use of a single language of cataloging in these fields:

- Field [040](#) contains a code for language of cataloging in subfield  $\#b$
- Field 300
- Non-quoted notes in 5xx field(s)
- The GMD in the 245  $\#h$

**Note:** The language of the subject headings (65x fields) is **not** a factor when determining the language of cataloging.

### Language of descriptive cataloging

Language of descriptive cataloging is coded in [field 040](#) (Cataloging Source), subfield  $\#b$  (Language of cataloging) of the record. If subfield  $\#b$  is **not** present, the language of descriptive cataloging is assumed to be English.

Subfield  $\#b$  is in records created by libraries for which English is **not** the language of the cataloging agency. The language is indicated by a three-letter language code. For a list of these codes, see the *MARC Code List for Languages* (<http://www.loc.gov/marc/languages/>).

#### Examples

040   LGP  $\#b$  cze  $\#c$  LGP

## 3.10 Parallel Records for Language of Cataloging (continued)

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040 FLD ‡b fre ‡c FLD

The language of descriptive cataloging (field 040 subfield ‡b) is **not** to be confused with the language of the item, which is recorded in the fixed-field element *Lang* (Language Code) of the record.

### Example

Lang: spa

### Basis for creating parallel records

When searching WorldCat, if the matching record is cataloged in a language other than that used by the inputting library, the library may enter a parallel record in its language of descriptive cataloging. When using an existing record for copy cataloging, however, do **not** change the language of cataloging if upgrading the Master Record unless the code in field 040 subfield ‡b (language of cataloging) does not reflect the language of the record.

### Examples

A library using Spanish as the language of cataloging that finds a record with English as the language of cataloging, may create a record with Spanish as the language of cataloging.

A library with English as the language of cataloging, that finds a record with Italian as the language of cataloging, may create a record with English as the language of cataloging.

### Field 936

In order for records to be clearly marked as parallel records, libraries inputting records online who have identified their record as parallel to an existing record cataloged in another language are asked to add field 936 to link the records.

When entering a 936 field to indicate existence of a parallel record, use blank indicator values. Enter the OCLC control number of the parallel record in subfield ‡a preceded by the uppercase letters *PR* and a space.

If you identify more than one parallel record (such as records in both Spanish and French, with your new record in English), you may enter the OCLC numbers for all the parallel records that you identify, with spaces between them. However, OCLC does **not** require entry of more than one parallel record number in the 936 field.

### Examples

One parallel record identified:

936 PR 51191950

Two parallel records identified:

936 PR 45570484 45825482

Updating of the existing WorldCat record with a similar linking field is **not** necessary.

## 3.10 Parallel Records for Language of Cataloging (continued)

### Examples

These are OCLC numbers of WorldCat records with a 936 field indicating a parallel record.

- 45825482
- 61000000

**Using existing records** When using an existing record for copy cataloging, do not change the language of cataloging when upgrading the master record unless the language of cataloging coded in field 040  $\ddot{b}$  does not accurately reflect the actual language of the cataloging record.

### Record appropriately cataloged in French

- 040 XXX  $\ddot{b}$  fre  $\ddot{c}$  XXX  
041 0 rus  $\ddot{a}$  ger  $\ddot{b}$  rus  
245 00 Alice in den Städten  $\ddot{h}$  [enregistrement vidéo] /  $\ddot{c}$  Hergestellt von Filmverlag der Autoren, Westdeutscher Rundfunk ; ein film von Wim Wenders ; mitarbeit, Veith von Furstenberg, Wim Wenders ; produktion, Joachim von Mengershausen.  
260 Allemagne :  $\ddot{b}$  Filmverlag der autoren,  $\ddot{c}$  2007.  
300 1 vidéodisque (110 min.) :  $\ddot{b}$  son., n & b ;  $\ddot{c}$  12 cm.  
500 Titre anglais: Alice in the cities.  
500 Film réalisé en 1973.  
506 Ne peut être prêté à des organismes de l'extérieur.  
508 Photographie, Robby Muller ; montage, Peter Przygodda ; musique, CAN ; son, Martin Muller.  
511 1 Rudiger Vogler, Yella Rottaländer, Elisabeth Kreuzer, Edda Köchi, Ernest Boehm  
520 Un journaliste allemand, Philip, est allé faire un reportage aux Etats-Unis. Alors qu'il s'apprête à rentrer à Munich, il vient en aide à une compatriote qui lui confie sa fillette, Alice, en lui demandant de l'emmener à Amsterdam où elle les rejoindra. Philipp accepte, mais personne ne se présente à l'aéroport d'Amsterdam. Il entreprend alors de conduire Alice chez sa grand-me?re et cela l'entraîne dans diverses mésaventures  
538 DVD vidéo ; doby digital ; PAL ; région 5.  
540 Visionnement privé.  
546 Version russe et allemande disponible avec sous-titres russes disponibles.

### Record appropriately cataloged in Dutch

- 040 XXX  $\ddot{e}$  fobidrtb  $\ddot{b}$  dut  $\ddot{c}$  XXX  
084 0 81.78  $\ddot{2}$  bcl  
245 00 Annual report :  $\ddot{b}$  reference document /  $\ddot{c}$  CEDEFOP, European Centre for the Development of Vocational Training.  
246 3 Annual report CEDEFOP  
246 3 CEDEFOP annual report  
250 English ed.



## 3.10 Parallel Records for Language of Cataloging (continued)

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- 260 Luxemburg : ‡b Office for official publications of the European Communities, ‡c 1999-  
300 dl. ‡c 30 cm.  
310 Verschijnt 1x per jaar.  
362 0 1998-  
500 Ondertitel varieert.  
500 Beschr. gebaseerd op 1998.  
546 Verschijnt ook in het Duits en Frans.

### Record appropriately cataloged in Chinese

- 040 XXX ‡b chi ‡c XXX  
100 1 辛廣偉.  
100 1 Xin, Guangwei.  
245 10 臺灣出版史 / ‡c 辛廣偉著.  
245 10 Taiwan chu ban shi / ‡c Xin Guangwei zhu.  
250 第 1 版.  
250 Di 1 ban.  
260 河北省石家庄市 : ‡b 河北教育出版社, ‡c 2000 [民 89]  
260 Hebei Sheng Shijiazhuang Shi : ‡b He bei jiao yu chu ban she, ‡c 2000 [Min 89]  
300 [8], 461 面 : ‡b 圖 ; ‡c 23 公分.  
300 [8], 461 Mian : ‡b Tu ; ‡c 23 Gong fen.  
500 原書題名著者及內容均以簡體字著錄.  
500 Yuan shu ti ming zhu zhe ji nei rong jun yi jian ti zi zhu lu.

### Hybrid records

A hybrid record contains descriptive cataloging data in more than one language, which is not standard practice. More specifically, a record where these fields contain data in different languages is considered a hybrid:

- The coding of 040 subfield ‡b (does not match the language used in the rest of the record)
- Field 245 subfield ‡h (GMD)
- Field 300 (physical description)
- Non-quoted notes (5xx fields)

**Note:** The language of the subject headings (65x fields) is **not** a factor when determining the language of cataloging.

Hybrid records should be corrected to represent a single language of cataloging.

## 3.10 Parallel Records for Language of Cataloging (continued)

### Best practices for editing hybrid records

Take these factors into account when considering a change in coding for the language of cataloging:

- The intent of the cataloging agency
- The number of descriptive cataloging elements in different languages. As a general rule, a record's language of cataloging should reflect the predominant language used in the descriptive cataloging elements.

Based on these factors, if you determine that the language of the record matches the language used in your library, then correct the errors and use the record for cataloging.

If you determine that the language of the record does not match the language used in your library, then create a new record.

However, if you suspect that the record was incorrectly changed from one cataloging language into another and if the change may have occurred within the last 90 days, then contact OCLC's Quality Control Section (see "Reporting hybrid records"). The last date replaced does not necessarily determine when the language of cataloging may have been changed. The Quality Control Section will analyze the data and decide whether to change the record back to its original language of cataloging and contact the library that changed it.

### Examples of hybrid records

These examples demonstrate three common hybrid record situations. Use judgment in dealing with hybrid records that do not reflect the examples below.

#### Language of cataloging (040 $\ddot{b}$ ) and physical description (300) do not match notes (5xx)

```
040   XXX  $\ddot{b}$  swe  $\ddot{c}$  XXX
020   0333993373
020   9780333993378
043   e-uk---
049   OCLC
100 1  Oulton, Carolyn.  $\ddot{d}$  1972-
245 10 Literature and religion in mid-Victorian England :  $\ddot{b}$  from Dickens to
      Eliot /  $\ddot{c}$  Carolyn Oulton.
260   Houndmills, Hampshire  $\ddot{a}$  New York :  $\ddot{b}$  Palgrave Macmillan,  $\ddot{c}$  2003.
300   221 s.
504   Includes bibliographical references and index.
650 7  Religion och litteratur  $\ddot{z}$  England  $\ddot{x}$  historia  $\ddot{y}$  1800-talet.  $\ddot{2}$  sao
650 7  Engelsk religiös litteratur  $\ddot{x}$  historia  $\ddot{y}$  1800-talet.  $\ddot{2}$  sao
```

This record has the language of cataloging in field 040  $\ddot{b}$  as *swe*, the 300 field has *s.* for *sidor* (pages), but it also includes a note in English (field 504), which makes the record a hybrid. Institution S3O is the National Library of Sweden, which catalogs most of its material in Swedish. Only field 504 is inconsistent with the language of cataloging.

If the language of cataloging used at your library is Swedish, then change the note in field 504 to Swedish: *Innehåller bibliografiska referenser och index.*

## 3.10 Parallel Records for Language of Cataloging (continued)

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If the language of cataloging used at your library is not Swedish, search for a record or input a new record in your language, as appropriate. Report the hybrid to OCLC for correction.

### Missing subfield $\#b$ in field 040

040     XXX  $\#c$  XXX  
020     9789701348734  
020     9701348737  
090     HB142  $\#b$  .M4 2007  
245 00 Metodologías para la estimación matemática de la matriz de insumo-producto simétrica :  $\#b$  (a partir de las matrices de oferta y utilización asimétricas en una economía abierta) /  $\#c$  Instituto Nacional de Estadística, Geografía e Informática.  
260     Aguascalientes, Ags. ; México :  $\#b$  INEGI,  $\#c$  2007.  
300     160 p. :  $\#b$  cuadros ;  $\#c$  28 cm.  
504     Bibliografía:p. 130-131.

This record does not have subfield  $\#b$  in field 040, so the language of cataloging is assumed to be English. But the 300 field and the note (field 504) are in Spanish.

If the language of cataloging used at your library is Spanish, add subfield  $\#b$  coded *spa* to field 040.

If the language of cataloging used at your library is not Spanish, search for a record or input a new record in your language, as appropriate. Report the hybrid record to OCLC for correction.

### Edited record with inappropriate code in field 040 subfield $\#b$

040     NUKAT  $\#b$  pol  $\#c$  NUKAT  $\#d$  CGC  
020     9788374415019  
020     8374415010  
029 0   NUKAT  $\#b$  zz2007827552  
049     OCLC  
245 00 O przemocy w wychowaniu :  $\#b$  próba namysłu nad zjawiskiem karalnoci /  $\#c$  pod red. Malgorzaty Bednarskiej.  
260     Torun :  $\#b$  Wydawnictwo Adam Marszalek,  $\#c$  2007.  
300     160 p. :  $\#b$  ill. ;  $\#c$  24 cm.  
504     Includes bibliographical references.

This record either became a hybrid record as a result of editing or was entered originally as a hybrid record. Field 040 subfield  $\#b$  is coded *pol*, but the rest of the record is English.

If the language of cataloging used at your library is English, change field 040 subfield  $\#b$  from *pol* to *eng*.

If the language of cataloging used at your library is not English, search for a record or input a new record in your language, as appropriate. Report the hybrid record to OCLC for correction.

## 3.10 Parallel Records for Language of Cataloging (continued)

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### Record with language of cataloging inappropriately coded as Swedish

040     XXX ‡b swe ‡c XXX  
245 04 The poetry of Michael Longley / ‡c edited by Alan J. Peacock and  
Kathleen Devine.  
260     Gerrards Cross : ‡b Colin Smythe, ‡c 2000.  
300     xxi, 191 p., [8] p. of plates : ‡b ports. ; ‡c 23 cm.  
440     Ulster editions and monographs series, ‡x 0954-3392 ; ‡v 10  
500     Ondertitel varieert.  
500     Based on the 1996 Symposium held at the University of Ulster.  
504     Includes bibliographical references and index.

In this example, change field 040 subfield ‡b to *eng* because English is used in field 300 and in the majority of note fields (500, 504).

### Reporting hybrid records

If you cannot correct the master record, you can edit the record locally and also report it so that OCLC can edit the master record for all OCLC member libraries. To report the record use:

- E-mail: [bibchange@oclc.org](mailto:bibchange@oclc.org)
- The Report Error function in the Action menu in Connexion

For more information, see chapter 5.6 “Reporting Errors.”

## 3.11 Guidelines for Integrating Resources

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<b>Type code</b>	Assign the <i>Type</i> code appropriate to the content and type of material. For example, assign <i>Type</i> code <i>a</i> for language material.
<b>BLvl i</b>	Use <i>BLvl i</i> for integrating resources.
<b>DtSt code</b>	<i>DtSt</i> : For integrating resources that are currently published, use code <i>c</i> (rather than the former practice of code <i>m</i> ). For integrating resources that have ceased publication, use code <i>d</i> (rather than the former practice of code <i>m</i> ).
<b>Language material integrating resources</b>	<p>For language material integrating resources (<i>Type a</i>, <i>BLvl i</i>), code the fixed field elements as follows:</p> <ul style="list-style-type: none"><li>• <i>Form</i>: For electronic integrating resources, continue to use code <i>s</i> in <i>Form</i>.</li><li>• <i>Freq</i> and <i>Regl</i>: If the integrating resource is truly “continuously updated” (for instance, a constantly updating database, a newspaper's Web site that gets updated as news occurs, etc.), use the Frequency Code <i>k</i>, which means “the item is updated more frequently than daily;” in that case, the correct Regularity code is likely to be <i>r</i> for Regular. More commonly, when the resource is updated less frequently than daily and none of the other Frequency codes apply, use blank (∅) for Frequency and <i>x</i> for Regularity.</li><li>• <i>S/L</i>: Use code <i>2</i> to indicate that the record was formulated using the rules for integrated entry.</li><li>• <i>SrTp</i>: Use code <i>d</i> for updating databases, code <i>l</i> for updating loose-leaves, or code <i>w</i> for updating Web sites, as appropriate.</li></ul>
<b>Electronic integrating resources</b>	<p>For electronic integrating resources, continue to include a computer file 006 and a computer file 007 field. For a language material integrating resource, the typical computer file 006 and 007 fields will be coded as follows</p> <ul style="list-style-type: none"><li>• COM 006: Type: m      Audn:      File: d      GPub:</li><li>• COM 007: c ‡b r ‡d c ‡e n</li></ul>
<b>More information</b>	See <i>Cataloging Electronic Resources: OCLC-MARC Coding Guidelines</i> , especially the section on Integrating Resources ( <a href="http://www.oclc.org/support/documentation/worldcat/cataloging/electronicresources/#10">http://www.oclc.org/support/documentation/worldcat/cataloging/electronicresources/#10</a> ).