5

Quality Assurance

Chapter Summary

OCLC controls and corrects some data input in new records and added to existing records. The OCLC system includes MARC record validation rules to ensure input of standard MARC tagging and codes.

Member libraries are also responsible for the accuracy of data and for adhering to established cataloging standards. In many cases, you can replace a master record to correct errors, add data to enrich the record, or upgrade the record.

Expert Community Experiment

The Expert Community Experiment is an expansion of master record editing capabilities to all full-mode cataloging users that will run for six months (starting in mid-Feb 2009). The record replace restrictions based on authorization modes in this chapter are superseded during the Expert Community Experiment.

For an overview, see the Expert Community Experiment main page.

For detailed cataloging instructions, see the Expert Guidelines.

5.1 OCLC Member Quality Assurance

Correcting your own errors

If you notice errors or omissions after you input a master record, you can correct and replace the record if your OCLC symbol is the only holding symbol attached. See the section 5.2, "Replacing Records" for instructions on locking and replacing the master record.

If another library has attached its symbol to the record, you can replace the record if it is Minimal-level or a non-CONSER I-level serial with ten or fewer holdings. If the changes are in the Database Enrichment fields, see section 5.3, "Database Enrichment." Report the errors or omissions that you **cannot** correct to OCLC. See section 5.6, "Reporting Errors."

Database enrichment

With Full-level cataloging authorization or higher you may enrich records. See section 5.3, "Database Enrichment."

Serial maintenance

With Full-level cataloging authorization or higher, you can "close-out," link, edit and/or correct Full-level non-CONSER serial records with ten or fewer holdings.

CONSER-authenticated records have one of the following codes in field 042:

isds/c	ISSN Network/Canada
lc	Library of Congress
lcac	LC Annotated Children's Cataloging Program
lccopycat	LC Copy Cataloging
lcd	CONSER Full Authority Application
msc	CONSER Minimal Authority Application
nlc	Library and Archives Canada
nsdp	National Serials Data Program
pcc	Program for Cooperative Cataloging
premarc	LC PreMARC Retrospective Conversion Project

See section 5.4 "Cooperative Programs" for more information.

Upgrading Minimal-level records

With Full-level cataloging authorization or higher, you can upgrade or replace records that have the following encoding levels:

- K Less-than-full input by OCLC participants. Upgrade to I

- M Less-than-full added from batch. Upgrade to I

- 2 Less-than-full level, material not examined. Upgrade to K or I

- 3 Abbreviated level. Upgrade to K or I

- 4 Core level (without field 042). Upgrade to I

- 5 Partial (preliminary level). Upgrade to K or I (except CONSER-authenticated serials)

- 7 Minimal level. Upgrade to K or I (except CONSER-authenticated serials)

5.1 OCLC Member Quality Assurance (continued)

Type and BLvl changes

In all records, you can locally edit Type and BLvl.

Full-level or higher authorization: You can change Type and BLvl in minimal-level records (ELvl coded *2*, *3*, *4* (without field 042 *pcc*), *5*, *K*, *M*). You can also change Type and BLvl in full-level records you input where your holding symbol is set and there are no other holdings. Full-level authorization cannot be used to change Type and BLvl in full-level records (ELvl coded *ꞗ*, *1*, *4* (with field 042 *pcc*), *I*, *L*) or CONSER-authenticated serials, unless the bibliographic format remains the same (e.g., Type: *i* can be changed to Type: *j*).

Enhance authorization: You can change Type and BLvl in the formats for which you are authorized as long as the bibliographic format stays the same.

CONSER authorization: You can change Type as long as BLvl is already coded *i* or *s*.

Minimal-level upgrading of BLvl guidelines

Use the following guidelines:

- **Do not alter a record to represent a different bibliographic entity.** If you are in doubt about whether your item matches the record, do not upgrade the record. Edit it for local use, or, if appropriate, input a new record.

- Do **not** assume that your information is correct and the existing record is incorrect if your cataloging differs from the record. If in doubt, report errors.

- Verify that appropriate data elements specified for I-level records are present. Check tagging and subfield coding, filing indicators (where present in title fields) and forms of headings.

- Verify headings in the OCLC Authority File. Name headings must be in AACR2 form. Current cataloging requires current subject terminology whether the record is original cataloging or an upgrade. Use the OCLC Authority File to review subject headings for currency and form.

- Do **not** replace a record solely to change elements that are a result of judgment (e.g., a choice of entry in problematic areas or call numbers that change the emphasis of the class number).

- Do **not** delete data entered by another library unless it is incorrect in substance. For example, you may delete a subject heading that does **not** apply. Do **not** delete a call number for a "bound with" item. Do not delete call numbers and subject headings not used in your library.

- Do **not** add local information to a master record.

- You are **not** required to verify call numbers or subject headings in a scheme that your library does **not** use, (e.g., Dewey class numbers or MeSH).

- If you verify all required data elements for the format of a record coded *K*, *M*, *7*, etc., and they meet the I-level standard with no modifications, change ELvl to code *I*. Replace the record.

- Do not change foreign language cataloged records to a different language of cataloging. See section 3.10 "Parallel Records for Language of Cataloging."

5.2 Replacing Records

Expert Community Experiment

The Expert Community Experiment is an expansion of master record editing capabilities to all full-mode cataloging users that will run for six months (starting in mid-Feb 2009). The record replace restrictions based on authorization modes in this chapter are superseded during the Expert Community Experiment.

For an overview, see the Expert Community Experiment main page.

For detailed cataloging instructions, see the Expert Guidelines.

Record replacing capabilities

Record replace capabilities decentralize responsibility for quality control in WorldCat by allowing members to modify existing master records. This improves the quality of WorldCat. Members can correct or revise a working copy of a master record and then replace the master record with the edited version. **Note:** You can replace records only in the modes for which you are authorized.

Types of modifications

In addition to replacing your own records (records you created and no one else has used), the system also allows Minimal-level upgrades, Database Enrichment, Enhance, and CONSER replace capabilities on records entered by others. When you can replace your own record is explained in this section, and when you can use the other replace capabilities is explained in the other sections of this chapter.

Credits

To encourage use of replace capabilities, OCLC credits your account for **some** of the following:

- Minimal-level Upgrades
- Database Enrichments
- Enhances
- CONSER enhances

Overlapping capabilities

Capabilities sometimes overlap. For example, Enhance participants can upgrade Minimal-level records (Encoding Level: *K*, *M*, *2*, *3*, *4* (without field 042), *5*, *7*) to full level, just as Minimal-level Upgrade capability allows. The system identifies the type of replace transaction and assigns the appropriate credit to your account.

Cataloging rules and master records

Just as you follow applicable cataloging rules and guidelines when adding records to WorldCat, follow the same standards when modifying data in master records, especially records created by other members. Never alter a record to represent a different bibliographic entity.

Replace your own record

The system allows you to replace master records if

- Your institution created and added the record to WorldCat
- Your institution's holding symbol is attached to the record
- No other institution's holdings symbol is attached to the record

Additions and modifications can be made to all editable fields. Use the following guidelines to identify such records:

5.2 Replacing Records (continued)

- Your OCLC symbol is in field 040 (Cataloging Source) subfield ‡c (Transcribing agency)

- Location message (top center of the screen) is HELD BY [xxx] - NO OTHER HOLDINGS. (xxx = Your OCLC symbol)

Replacing records with local information

You can add local information (defined in the table below) as part of the editing that you do before replacing the record. The local information is not added to the master record as part of the replace transaction, but it is retained in your working copy of the record. If you complete editing before entering the Replace command, you can enter the Produce or Update command immediately after completing the replace transaction without further editing.

Tag	Name
049	Location and holdings
059	Local processing information
090	Locally assigned LC call number **Special condition:** For all except serials, 090 is retained if record contains no 050. For serials, 090 is retained if record contains no 050, or if 050 contains a word or phrase instead of a call number.
096	Locally assigned NLM call number **Special condition:** 096 is retained if record contains no 060.
099	Other classification schemes
590	Local note
599	Differentiated local note
690	Local subject added entry, topical
691	Local subject added entry, geographic
790-793	Local Added Entry
796-799	Local Added Entry
84x-87x	MARC holdings
9xx	Locally defined **Special condition:** All 9xx fields, except 901-907, 936, 938 may be used.
945-949	Local processing information

Controlling headings

In non-CONSER records, the 1xx, 6xx, 7xx, 8xx fields are editable only when controlling a heading to its authorized form.

You do not receive a database enrichment credit if you only control headings and replace the master record.

Locked records and other members

When you lock a record, other users can display it and use it for cataloging, but no one else can lock it. If you attempt to lock a record that's already locked, the system responds, "Record locked by another user." To increase efficiency, OCLC recommends that you edit and replace locked records as quickly as possible.

Uneditable master records

Editing a record and replacing it may prevent you from editing the master record again. For example, if you upgrade a minimal-level record to I (full-level) and

5.2 Replacing Records (continued)

replace it, you may not be able to replace it again because under some circumstances the system prevents replacing I-level records.

Produce or update after replace

The Replace command creates an archive record of your cataloging that appears on electronic files of records, but the record does not contain local fields. You must produce or update after replace for your electronic files of records or catalog cards to contain local information. Producing or updating after replace also keeps your archived records at OCLC current. If using the OCLC MARC Subscription Service, the option to omit replace transactions is available.

Automatic release

Under certain conditions, the system automatically releases locked records. The following rules govern when the system automatically releases locked records:

- System or communications failure while a locked record is displayed. Such records remain locked for the day and are released overnight.

- Manual or inactivity log off while a locked record is displayed.

- A locked record in the online Save file more than 14 days.

- A locked record is deleted from the Save file.

Authorization Modes and Replace Capabilities

This table describes authorization modes and their relationship to replacing your own records; and Minimal-level Upgrade, Database Enrichment, Enhance, and CONSER replace capabilities.

Mode	Replace capabilities
Limited	You can lock, edit, and save the record, but you cannot replace it. Save the record. Log on in whatever mode you are authorized for (Full mode, Retrospective conversion mode, Enhance, or CONSER) to retrieve the saved record, and then replace it.
Full/NACO/ Cataloging Agent	You can lock, edit, and replace your own records, and you can use Minimal-level Upgrade and Database Enrichment capabilities as appropriate.
Retrocon	You can lock, edit, and replace your own records, and you can use Minimal-level Upgrade and Database Enrichment capabilities as appropriate.
Enhance	In Regular Enhance and National Level Enhance modes, you can lock, edit, and replace your own records and use Minimal-level Upgrade and Database Enrichment capabilities as appropriate. You can also use Enhance capabilities on records in formats for which you are authorized.
CONSER	In Regular CONSER and National CONSER modes, you can lock, edit, and replace your own records and use Minimal-level Upgrade and Database Enrichment capabilities as appropriate. You can also use CONSER replace capabilities on Serial records.
Search	You cannot lock, edit, and replace records.

For more detailed information, see

- *OCLC Cataloging Authorization Levels for Record Actions and Upgrades* available here: http://www.oclc.org/support/documentation/connexion/client/catalogingauthorizationlevels.pdf

- Authorization Levels and Cataloging Capabilities (in *Take Actions on Bibliographic Records* available here: http://www.oclc.org/support/documentation/connexion/client/cataloging/bibactions/#cat_edit_modesprivileges_htm

- Types of master record upgrades for Full, Enhance, and CONSER authorizations (in *Take Actions on Bibliographic Records* available here: http://www.oclc.org/support/documentation/connexion/client/cataloging/bibactions/#cat_act_upgrades_masterbibrecords_authorizations)

5.3 Database Enrichment

Master record enrichment

Database enrichment requires a Full-level cataloging authorization or higher. **You can enrich master records by adding or editing the fields in the table below to any full-level record, except an authenticated serial.** A full-level record has one of these values in ELvl (Encoding Level): *b̶, 1, 4* (with field 042 coded *pcc*), *I*, or *L*). Some enrichments to the master record earn a database enrichment credit. The various conditions for adding these fields are given after the table below.

Make all enrichments in one editing session

Make all Database Enrichments in one editing session. For example, add a call number in the same lock-and-replace session as a contents note.

Fields you can add or edit

Field tag	Field description	Add field if not present	Add field if present	Edit if present	Credit for add[1]	Credit for edit[1]
006	Fixed-Length Data Elements—Additional Material Characteristics	Yes	Yes	No	No	N/A
007	Physical Description Fixed Fields	Yes	Yes	No	No	N/A
020	International Standard Book Number	Yes	Yes	No	No	N/A
022	International Standard Serial Number	Yes	Yes	No	No	N/A
024	Other Standard Identifier	Yes	Yes[2]	No	Yes	N/A
027	Standard Technical Report Number	Yes	Yes	No	No	N/A
028	Publisher Number	Yes	Yes	No	No	N/A
030	CODEN Designation	Yes	No	No	No	N/A
037	Source of Acquisition	Yes	No	No	Yes	N/A
041	Language Code	Yes	Yes	No	No	N/A
042	Authentication Code	Yes	No	Yes, if authorized	No	N/A
043	Geographic Area Code	Yes	No	No	No	N/A
050	Library of Congress Call Number	Yes	Yes[3]	No	Yes	N/A
052	Geographic Classification	Yes	Yes	No	No	N/A
055	Call/Class Number Assigned in Canada	Yes	No	No	Yes	N/A
060	National Library of Medicine Call Number	Yes	Yes[4]	No	Yes	N/A
070	National Agricultural Library Copy Statement	Yes	No	No	Yes	N/A
072	Subject Category Code	Yes	No	No	Yes	N/A
074	GPO Item Number	Yes	No	No	Yes	N/A
080	Universal Decimal Classification Number	Yes	No	No	Yes	N/A
082	Dewey Decimal Classification Number	Yes	Yes[5]	No	Yes	N/A
084	Other Classification Number	Yes	Yes[2]	No	Yes	N/A
086	Government Document Classification Number	Yes	No	No	Yes	N/A
088	Report Number	Yes	Yes	No	No	N/A

5.3 Database Enrichment (continued)

Field tag	Field description	Add field if not present	Add field if present	Edit if present	Credit for add[1]	Credit for edit[1]
090	Locally Assigned LC-type Call Number	Yes[6]	No	No	Yes	N/A
092	Locally Assigned Dewey Call Number	Yes[7]	No	No	Yes	N/A
096	Locally Assigned NLM-type Call Number	Yes[8]	No	No	Yes	N/A
300	Physical Description (to CIP records)	Yes[9]	Yes[9]	Yes[9]	No	N/A
440	Series Statement/Added Entry Title	Yes	Yes	Yes	Yes	Yes
490	Series Statement	Yes	Yes	Yes	Yes	Yes
505	Formatted Contents Note	Yes	No	Yes	Yes	Yes
506	Restrictions on Access Note	Yes	No	Yes	Yes	Yes
520	Summary, Etc. Note	Yes	No	Yes	Yes	Yes
526	Study Program Information Note	Yes	No	Yes	Yes	Yes
530	Additional Physical Form Available Note	Yes	No	Yes	Yes	Yes
538	System Details Note	Yes	No	Yes	No	N/A
583	Action Note	Yes	No	Yes	Yes	Yes
600	Subject Added Entry–Personal Name	Yes	Yes[10]	No	Yes	N/A
610	Subject Added Entry–Corporate Name	Yes	Yes[10]	No	Yes	N/A
611	Subject Added Entry–Meeting Name	Yes	Yes[10]	No	Yes	N/A
630	Subject Added Entry–Uniform Title	Yes	Yes[10]	No	Yes	N/A
650	Subject Added Entry–Topical Term	Yes	Yes[10]	No	Yes	N/A
651	Subject Added Entry–Geographic Name	Yes	Yes[10]	No	Yes	N/A
655	Index Term–Genre/Form	Yes	Yes	No	Yes	N/A
656	Index Term–Occupation	Yes	Yes	No	Yes	N/A
657	Index Term–Function	Yes	Yes	No	Yes	N/A
8xx	Series Added Entries	Yes	Yes	Yes	Yes	Yes
856	Electronic Location and Access	Yes	No	Yes	Yes	Yes

1. For most libraries, credit activity is not part of their cataloging subscription price, with credits showing as transactions on their invoices. However, for some libraries that are on subscription pricing or are in group catalogs, credit activity may be included as part of the subscription price and therefore, has no impact on their billing.
2. Can be added if the field to be added has a different value in ‡2.

5.3 Database Enrichment (continued)

3. If field 050 already exists, then the added field must have a 2nd indicator coded *4*, and all existing 050 fields must have a 2nd indicator coded *blank* or *0*.
   Multiple call numbers
   Certain classification choices are local decisions. For example, if one user has chosen to class together a monographic series and another library classes it separately, multiple call numbers in the master record may be appropriate in these circumstances:

      - Classed together vs. classed separately call numbers for monographic series
      - Literature numbers vs. PZ numbers for fiction
      - Bibliography number vs. subject
      - LC minimal number vs. member call number
      - Geographic classification vs. subject classification for maps and atlases
      - LAW vs. actual K class number
4. If field 060 is present, then the added field must have a 2nd indicator coded *4*, and all existing 060 fields must have a 2nd indicator coded *blank* or *0*.
5. If field 082 is present, then the added field must have a 2nd indicator coded *4*, and all existing 082 fields must have a 2nd indicator coded *blank* or *0*.
6. If field 050 does not already exist.
7. If field 082 does not already exist.
8. If field 096 does not already exist.
9. If the bibliographic record is Encoding level *8* (CIP).
10. If the field added is in a scheme not already present in the record with the same 2nd indicator. However, if the 2nd indicator of the field being added is coded *4*, the field can be added regardless of whether fields with the second indicator *4* is already present.

Fields with subfield ‡2 (Source)

Any full cataloging member can add the fields listed below if fields with the same tag and the same value in subfield ‡2 (Source) do **not** already exist in the master record. A field must meet the following two requirements before it can be added:

- The field may *or* may not already exist in the record.

- If already present, the code in subfield ‡2 must be different.

This rule applies to fields:

024	Other Standard Identifier
084	Other Classification Number
655	Index Term–Genre/Form
656	Index Term–Occupation
657	Index Term–Function

5xx and 856 fields

These rules govern editing 5xx fields and the 856 field (Electronic Location and Access):

- You can add these fields to any record, except authenticated serial records, that lacks them, but you **cannot** add the fields if the record already has them.

- If a record has one or more of these fields and contains errors or is incomplete, you can correct or add information to the existing note.

5.3 Database Enrichment (continued)

These rules apply to fields:

505	Formatted Contents Note
506	Restrictions on Access Note
520	Summary, Etc. Note
526	Study Program Information Note
530	Additional Physical Form Available Note
583	Action Note
856	Electronic Location and Access

Call number fields

You can add call numbers in the following fields for the class schemes listed if the scheme is not already represented in the record:

Class Scheme	Add Fields
Government Printing Office	037 or 074 or 086
Library of Congress	050 or 090
Library and Archives Canada	055
National Library of Medicine	060 or 096
National Library of Agriculture Subject Category Code	070 or 072
Universal Decimal Classification	080
Dewey Decimal	082 or 092

Subject heading fields

You can add subject headings in the following fields for the subject-heading scheme listed if the scheme is not already represented in the record:

Subject Heading Scheme	Add Fields
Library of Congress subject heading	600–651 2nd Indicator value *0*
LC subject heading for children's literature	600–651 2nd Indicator value *1*
Medical subject heading	600–651 2nd Indicator value *2*
National Agricultural Library subject authority file	600–651 2nd Indicator value *3*
Canadian subject heading	600–651 2nd Indicator value *5*
Répertoire de vedettes-matière	600–651 2nd Indicator value *6*
Other	600–651 2nd Indicator value *7*
Sears subject heading	600–651 2nd Indicator value *8*

You may also add one or more fields with the second indicator value *4*, regardless of whether a field is present with a second indicator value *4*.

This rule applies to fields:

600	Subject Added Entry–Personal Name
610	Subject Added Entry–Corporate Name
611	Subject Added Entry–Meeting Name
630	Subject Added Entry–Uniform Title
650	Subject Added Entry–Topical Term
651	Subject Added Entry–Geographic Name

5.3 Database Enrichment (continued)

Non-Latin script fields   Full-mode users can add or change non-Latin script fields in full-level master records. There can be more than one non-Latin script in a single field and/or a single record. The system treats these fields like other database enrichment fields. Most 1xx-8xx fields and some 0xx fields can have non-Latin-script equivalent 880 fields.

5.4 Cooperative Programs

Programs available You may be eligible to participate in cooperative programs to improve the quality of WorldCat through the OCLC Enhance program and the Program for Cooperative Cataloging.

Enhance program The Enhance program provides for addition and correction of data in master records for the books, computer files, maps, scores, sound recordings, and visual materials bibliographic formats. Records in the continuing resources format are covered by the CONSER program. Because of the unique and institution-specific nature of records for mixed materials, Enhance applications are not accepted in that format.

Types of Enhance There are 2 types of Enhance authorization modes.

Type	Authorized to Replace
Regular (OCLC enhance)	• Full-level non-serial records (all Encoding Levels except *ƀ*, *1*, and *4* when field 042 is coded *pcc*) • Nonprint serial records not authenticated by CONSER
National Level (PCC)	• Full-level non-serial records (all Encoding Levels including *ƀ*, *1*, and *4* when field 042 is coded *pcc*) • Nonprint serial records not authenticated by CONSER
Notes: • Institutions must be authorized for each format • Institutions may be authorized to enhance one or more formats	

Regular Enhance capabilities Regular Enhance participants can add and modify all editable fields of a record, including fixed-field element Srce (Source) and field 040 (Cataloging Source) subfield ‡a (Original cataloging agency). Participants may enhance records with the following Encoding Levels:

- I Full-level input by OCLC participants. Enhance as needed.

- K Less-than-full input by OCLC participants. Enhance as needed.

- M Less-than-full added from batch. Enhance to K or I.

- 2 Less-than-full level, material not examined. Enhance to K or I.

- 3 Abbreviated level. Enhance to K or I.

- 4 Core level, when field 042 is not coded pcc. Enhance to K or I.

- 5 Partial (preliminary level). Enhance to K or I.

- 7 Minimal level. Enhance to K or I.

- J Record deleted by LC, NLM, NLC, NLA or BL. Enhance to K or I.

- L Non-LC and non-NLM added from batch. Enhance to K or I.

- 8 Prepublication (CIP) level. Books format only. Participants cannot change the Encoding Level as they can for other records. Do not edit fields 010, 040, national call number fields, or field 263 in CIP records.

5.4 Cooperative Programs (continued)

National Level Enhance capabilities

National Level Enhance participants have the previously listed capabilities of Regular Enhance participants and can enhance records with Encoding Level ƀ (blank) (Full-level input by national library), *1* (Full-level, material not examined), and *4* (Core-level, Program for Cooperative Cataloging records, when field 042 is coded *pcc*). They can also change the Encoding Level for 8 (Prepublication-level CIP) Books format records.

Enhance mode restrictions

Enhance participants, Regular and National, do not have the following capabilities:

- Add, change, or delete field 019 (OCLC Control Number Cross-reference) or field 029 (Other System Control Number).

- Change field 040 (Cataloging Source) subfield ‡c (Transcribing agency).

- Delete a master record from WorldCat.

- Enhance Type: Serial records (Type: *a*).

- Change a Type Code between bibliographic formats, except locally on an unlocked record.

Enhance/CONSER BLvl *i* editing capabilities

CONSER and Enhance participants will share responsibilities for maintaining BLvl i records.

CONSER:

- CONSER authorizations will be able to change non-authenticated Type *a* records with BLvl *b* or *s* to BLvl *i* and vice versa

- CONSER authorizations will be able to change Type *a* records with BLvl *m* to BLvl *i*

National Level Enhance:

- National Level Enhance authorizations for Books format will be able to change Type *a* records with BLvl *a, c, d*, or *m* to BLvl *i*

- National Level Enhance authorizations for non-book formats will be able to change the BLvl of records in their specific format as needed

Regular Enhance:

- Regular Enhance authorizations for Books format will be able to change Type *a* records with BLvl *a, c, d*, or *m* to BLvl *i*, subject to the same Encoding Level and field 042 restrictions already in place.

- Regular Enhance authorizations for non-book formats will be able to change the BLvl of records in their specific format as needed, subject to the same Encoding Level and field 042 restrictions already in place.

Enhance participation and more information

If you are interested in Enhance participation, contact your regional network/service center or distributor. Enhance information, including requirements and application instructions, is on the Web:

5.4 Cooperative Programs (continued)

Current Enhance Participants
http://www.oclc.org/worldcat/catalog/quality/enhance/

Enhance Evaluation Procedure
http://www.oclc.org/support/documentation/worldcat/records/enhanceevaluation/

Enhance Training Outline
http://www.oclc.org/support/training/worldcat/enhanceoutline/

Enhance requirements and application instructions
http://www.oclc.org/support/documentation/worldcat/records/enhancerequirements/

Guidelines for National Level Enhance participants
http://www.oclc.org/support/documentation/worldcat/records/enhanceguidelines/

Program for Cooperative Cataloging at the Library of Congress
http://www.loc.gov/catdir/pcc/

CONSER program

The CONSER (Cooperative Online Serials) program provides for the upgrade and replacement of master serial records.

See the *CONSER Editing Guide* (Library of Congress, Serial Record Division, 1994) for more information on CONSER editing capabilities.

If you are interested in CONSER participation, contact the CONSER Coordinator at http://lcweb.loc.gov/acq/conser.

CONSER and nonCONSER record rule

You **cannot** use Database Enrichment capabilities on Serial records authenticated by CONSER (records having code *isds/c*, *lc*, *lcac*, *lccopycat*, *lcd*, *msc*, *nlc*, *nsdp*, *pcc*, or *premarc* in field 042 [Authentication Code]). However, if a non-CONSER serial record has 10 or fewer holdings, you can edit most fields in the record and add new information. If more than 10 holdings, you can only add fields described as part of the Database Enrichment capabilities.

Program for Cooperative Cataloging

The Program for Cooperative Cataloging (PCC) seeks to increase participation in national programs by lowering participants' cost without lowering cataloging standards and quality. The PCC initiated the Core-level standard. See chapter 2.4, "Full, Core, Minimal and Abbreviated-Level Cataloging," for information about the Core-level standard.

The Library of Congress along with bibliographic utilities and other national library cooperative programs created the Cooperative Cataloging Council in November 1992. This Council created the Program for Cooperative Cataloging in February 1995. The following programs are components of the PCC:

- BIBCO for bibliographic record input

- NACO for name authority input

- SACO for subject authority input

- CONSER for master serial records

For information about the goals of the PCC and/or participating, see the Program for Cooperative Cataloging (PCC) at http://lcweb.loc.gov/catdir/pcc/pcc.html.

5.5 Multiple Records

Definition Multiple records are two or more bibliographic records for the same item. They are occasionally permissible, but are often undesirable duplicates. This section describes multiple records and how to select which record to use if multiple records exist.

Permissible duplicate records
- If the only serial record for a publication is latest entry cataloging, then you may create successive entry cataloging records. See below for more information.

- If a record is cataloged in a language other than that used by your library (indicated by field 040, subfield ‡b), you may create a parallel record for the same item in your own language of descriptive cataloging. Only one record per language, however, will be allowed for each title. For more information on parallel records, see chapter 3.10, "Parallel Records for Language of Cataloging."

Monographic records If more than one record for a monograph exists, choose the record requiring the least local editing or containing the most needed information.

Serial records If more than one record for a serial exists, choose a record according to these rules:

- For printed or microform textual serials, choose only records that are in the serials format (*Type* code *a*, *BLvl* code *s*).

- For nontextual serials (e.g., a serial sound recording), choose a record that is appropriate to the type of material (*Type* codes *c, e, g, i, j, k, m, o, r*).

Successive entry records To choose between successive entry records (*S/L* code *0*):

- Choose an authenticated record that has one of the following codes in field 042:

isds/c	ISSN Network/Canada
lc	Library of Congress
lcac	LC Annotated Children's Cataloging Program
lccopycat	LC Copy Cataloging
lcd	CONSER Full Authority Application
msc	CONSER Minimal Authority Application
nlc	Library and Archives Canada
nsdp	National Serials Data Program
pcc	Program for Cooperative Cataloging
premarc	LC PreMARC Retrospective Conversion Project

- Choose the record that adheres most closely to AACR2 choice and form of entry.

- Choose the record with the most information.

Latest entry records If the only serial record for a publication is latest entry cataloging (*S/L* code *1*), you may create successive entry records for the titles your institution holds. Use either latest entry or successive entry records if there are duplicates. Prefer successive entry records.

5.5   Multiple Records (continued)

If duplicate latest entry records exist, compare the title (field 245) and/or heading (fields 100–111) and former titles (field 247). Use the record that most nearly matches the publication pattern of the serial.

5.6 Reporting Errors

Overview

You may find an original record that does **not** comply with AACR2, LC Rule Interpretations and OCLC standards. In some cases, you can replace the master record to enrich it, upgrade it or correct errors. In other cases, you should report errors or omissions to OCLC.

You can also correct and modify a working copy of any record and Produce, Update or Export the record. If your changes are the result of your judgment or changes in local policy, do **not** report them as errors.

Kinds of errors and reports

OCLC encourages you to report Type and BLvl code changes, filing indicator changes, duplicate records, name and subject corrections and other changes, corrections and additions to bibliographic records.

Final disposition of reports is at OCLC's discretion. OCLC may return reports to the reporting library for clarification, forward the reports to the inputting library or other holding libraries for verification or discard reports that are completed incorrectly, illegibly or without proper verification.

Reporting errors with proof (if needed)

Report this error	Notes/Examples	Proof?
An incorrect form of heading if it is **not** the AACR2 or AACR2-compatible form from the OCLC Authority File or if it is **not** the latest LC form	1xx, 240, 4xx, 6xx, 7xx and 8xx fields	No
Incorrect assignment of indicator values, including filing indicators		No
Incorrect or missing subfield codes or fixed-field elements, including fill characters		No
Incorrect *Type* and *BLvl* codes	Members with Limited and higher authorization levels can change the code locally on all unlocked and locally edited bibliographic records	No
Incorrect use of a field		No
Incorrectly formatted call numbers		No
Omission of fixed fields and variable fields and subfields specified as Mandatory or Required		No
Records created **after** February 1, 1995 **not** using Format Integration, phase 1 content designation		No
Added entries	Fields 6xx, 7xx and 8xx	Yes
Additional serial linking entries	Fields 76x–78x	Yes
Bibliographic information omitted from records	Fields 6xx	Yes

5.6 Reporting Errors (continued)

Report this error	Notes/Examples	Proof?
Collapse of serials request	Report only those records encountered in normal workflow and those already needing changes	Yes
Corrections to CIP records that affect retrieval	Titles, tagging errors, access points, subject headings	Yes
Errors in transcription of bibliographic data	Missing or transposed letters, numbers, words and punctuation affecting indexing	Yes
Inappropriately merged records	OCLC can undo inappropriately merged records only if the merge took place in the last 90 days	Yes
An incorrect heading associated with a record	A work attributed to the wrong author	?
Duplicate records	Report duplicates of all formats	?
Headings converted incorrectly by the system during automated authority control projects	Library and Archives Canada (NLC) or British Library (BL) UK MARC headings that differ from OCLC Authority File entries

OCLC modifies NLC and BL headings to match the Authority File | ? |
| Incorrect assignment of subject headings or class numbers | | ? |

No   Proof is **not** generally required.
Yes   Proof is required. See subsections in this chapter for details.
?   In some circumstances, proof is required. See subsections in this chapter for details.

Do not report	Notes/Examples
Changes in the 4xx series fields that represent local variations in policy for series tracing	OCLC changes 4xx fields affecting tracing policy only on request of the inputting institution
Changes that would, in effect, recatalog the entire record to different cataloging rules	Adding ISBD punctuation to a non-ISBD record or changing the choice of access points
Changes to classification numbers caused by revision of classification schedules	
Errors or additions you can correct with your level of authorization	See the section 5.3 "Replacing Records" for more information on replacing master records
Indicator values reflecting local series tracing policies if there is **no** series authority record	
Information needed only to complete the 300 field in CIP records	Use the Lock and Replace procedure with a full-mode or higher authorization to complete this field

Do not report	Notes/Examples
Insignificant variations in punctuation, capitalization and abbreviation, including final punctuation in any field or spacing in field 300	
Records created **before** February 1, 1995 **not** using Format Integration, phase 1 content designation	
Use of the "Basic" option or "Enhanced" option in field 505	

Verification

The authority to change a record is the same as the authority needed to catalog the item originally. Photocopies from the chief source of information for the format of the bibliographic record are required for OCLC to change a record. For example, the title page of a book is the sole authority for changing the transcription of the title proper (field 245).

- Name headings are established from the item itself, the Name Authority File and other records or reference sources.

- Subject heading authority is established from the item itself, the Subject Authority File and standardized lists of headings.

Changing and adding information

The authority for adding information may be different from that needed to change information. For example, an 028 field could be added based on the 262 field, but the 028 field would be changed only with appropriate proof from the item (e.g., a copy of the record label).

OCLC cataloging practice follows the LCRIs and other LC documentation. LC copy is the authority for correcting transcription errors in member-input records that are based on LC cataloging.

Library and Archives Canada (NLC) and British Library UK MARC (UKM) records are **not** authoritative sources because their cataloging practices differ from LC practice.

Proof not needed

OCLC makes the following changes without proof:

- Changes to incorrect tags, indicators and subfield codes

- Changes to a record by the institution that entered it, providing the record has **not** been modified by another institution (check field 040, subfield ‡d)

- Changes to local data (e.g., locally assigned call numbers) requested by the institution that entered the record

- Changes evident from other information in the record (e.g., corrections to the fixed-field element *Form*)

- Apparent errors in transcription, lacking brackets and coded as AACR2
  —AACR2 1.0F prescribes that an inaccurate or misspelled word be transcribed as it appears on the item, followed by bracketed information or missing letters supplied in brackets
  —Alternate spellings may require proof

Proof needed

Proof is essential for changes unless there is an obvious tagging error in transcription of the title page. Title page and imprint information, including typographical idiosyncrasies, are taken directly from the item. OCLC frequently refers questions to the creator of the record and is conservative when evaluating change requests for LC MARC (OCLC symbol DLC) records.

Proving a change is valid includes verifying that the item in hand is the exact item being described in the bibliographic record. If proof from the item is required, send clearly labelled photocopies with the error report. Mark the pages as:

- Title page

- Title page verso

- Cover, spine, etc., if change involves these areas

- Publication information pages

- Other pages from the item depending on the request, e.g., bibliography pages differ on the item from what is on the bibliographic record

Serial cessations and title changes

Changes involving serial cessations or changes in title always require information from both titles showing all pertinent title and publication information.

Authoritative sources for changes

The authority for a requested change may be any standard classification, descriptive or subject cataloging manual. If you cite a document, give its volume, issue number, page number, rule number, etc. Do **not** send a photocopy of the page. Sources:

- *Anglo-American Cataloguing Rules*

- *Library of Congress Subject Headings*

- *Library of Congress Rule Interpretations*

- *MARC 21 Format for Bibliographic Data*

- OCLC documentation

If another document is the authority, supply a photocopy of the relevant part. If another record or an OCLC Authority File record is the authority, cite the record's control number. Do **not** supply a printout of the record.

Authority for a change is whatever leads you to believe that a change should be made. OCLC is conservative when making changes, especially those changes that alter the essential nature of a bibliographic record.

5.7 Submitting Reports

Reporting options

OCLC offers several options that allow you to report changes, corrections, additions and duplicates. You may use any or all of these methods depending on your preference and the types of errors.

Include your name and e-mail address in case questions arise.

Reporting methods available

- Error reporting via Connexion (see section 5.8, "Submitting Errors via Connexion")

- Letters

- OCLC forms (submitted by e-mail (including attachments), fax, or mail)
  - E-mail bibliographic requests to: bibchange@oclc.org
  - E-mail authority requests to: authfile@oclc.org
  - Fax requests toll-free to: 1-866-709-6252 (in the United States)
  - Mail paper change requests to:
    OCLC
    Quality Control Section MC139
    6565 Kilgour Place
    Dublin, OH 43017-3395

- OCLC forms on the web site (see section 5.9, "Instructions and Forms")

Changes that do not require proof

Changes in fixed-field elements, subfield coding, tagging and obvious typographical errors in nondescriptive elements are examples of changes that do **not** require proof. Generally, duplicate record reports for bibliographic records do **not** require proof. For more information on when proof is required, see 5.6 "Reporting Errors."

Changes that require proof (photocopy)

When proof (photocopy) is required, such as changes in the descriptive fields (245–4xx), submit photocopies from the item with a WorldCat Record Change Request form. These can be attached to an e-mail message with your requested changes or sent with a completed WorldCat Record Change Request form.

Method: You can print and fill out the PDF version of the WorldCat Record Change Request form from the OCLC web site and submit it via fax or mail. See section 5.9, "Instructions and Forms."

For more information on when proof is required, see 5.6 "Reporting Errors."

Submitting forms

Submit proof (photocopy) as required. On the WorldCat Record Change Request form, you may report:

- *Type* and *BLvl* code changes

- Filing indicator changes

- Serial collapse requests

5.7   **Submitting Reports** (continued)

You may also mark the changes on a printout and submit the printout with the change request instead of completing the entire form.

- Duplicate records by format, i.e., BKS, CNR, MAP, SCO, REC, etc., can be reported using the WorldCat Duplicate Record Merge Request or emailed to bibchange@oclc.org.

Type code changes

Report a *Type* code change when an item has been cataloged on an incorrect workform. Report a *BLvl* code change when a serial has been cataloged on a monograph workform or vice versa. This situation is **not** the same as a single issue of a serial cataloged as a monograph.

OCLC member libraries with Limited and higher authorization levels can change the *Type* code on all unlocked or locally edited bibliographic records to another valid *Type* code. This allows members to continue work on such records without serious disruption of workflow. OCLC encourages members to continue reporting *Type* code changes to the master record.

Supply the following information:

- OCLC control number

- Format change

- Your OCLC symbol

- Your name, telephone number and e-mail address

Method: Submit via fax, e-mail, mail or the web.

Form: WorldCat Record Change Request

Filing indicator changes

Definition of indicator: The filing indicator represents the number of characters (including spaces) to be ignored in filing when the title begins with an article. For example, an English title beginning with *The* has a filing indicator value *4*.

Filing indicators do **not** affect catalog card sorting. However, OCLC uses the filing indicator to index title fields for retrieval.

Method: Submit via e-mail, fax, mail or the web.

Form: WorldCat Record Change Request

Duplicate records

Report a duplicate record when the same item is described in two or more records and is not one of the permissable duplicates. See section 5.5 "Multiple Records" and chapter 4, "When to Input a New Record," for more information.

If your OCLC symbol is on a record to be merged, you do **not** need to delete your symbol. It will transfer to the retained record.

Do **not** report:

- A single part of an item cataloged separately (e.g., one track on a sound recording, one issue of a serial and one volume of a set) as a duplicate of a record describing the item as a whole

- A set of duplicate records for a serial, one of which is successive entry cataloging, while the other is latest entry cataloging

- Records cataloged in different languages for the same manifestation. These are considered parallel records. (See Chapter 3.10, "Parallel Records for Language of Cataloging.")

Method: Submit via e-mail, fax, mail or the web.

Form: WorldCat Duplicate Record Merge Request

Deleting records: Generally, OCLC does **not** remove from the database:

- Any record for which no other record exists

- Any record solely because the inputting institution no longer owns the item, unless the record represents a locally produced item that has been discarded

Merged duplicate records

OCLC staff merge duplicates. Merges result in several changes:

- Holdings and local data records are consolidated

- The OCLC control number from the deleted record is cross-referenced in field 019 of the retained record

- Under certain conditions variable fields may also transfer

Inappropriately merged records

OCLC can undo merged records only if the merge took place in the last 90 days.

Method: Send an e-mail or a letter or form with a printout or photocopy of the deleted record to OCLC. Submit via fax or e-mail attachment.

Form: WorldCat Record Change Request

Requesting the collapse of a serial

The term *collapse* describes the process of representing in one record a serial run that was formerly represented by two or more records. To determine whether the collapse of several serial records is warranted, apply LCRI's for AACR2, rules 21.2A, 21.2C and 21.3B.

Request the collapse of serials by reporting these records to OCLC. OCLC forwards the requests involving CONSER authenticated records to LC. OCLC uses the following criteria when considering requests:

- At least one record must be an AACR2 record. OCLC does **not** generally recatalog pre-AACR2 records

- Surrogates must be sent so that variations can be clearly traced. Document all variations (e.g., title, frequency, publisher, and place of publication)

5.7   **Submitting Reports** (continued)

- OCLC normally chooses the record with the earliest coverage dates as the single record to represent the entire run
  - — When requesting a collapse, give details of the changes necessary to make the record represent the entire run

Method: Submit via e-mail attachment, fax, or mail.

Form: WorldCat Record Change Request

Write "COLLAPSE REQUEST" at the top of the form and attach appropriate proof.

Report only those records encountered in normal workflow and, preferably, those already needing changes for some other reason.

5.8 Submitting Errors via Connexion

Procedure

Submitting errors via Connexion should only be used if the error does **not** require proof from the item. See section 5.6 "Reporting Errors" for more information on what types of changes do **not** require proof.

Authorization mode: You must have cataloging Search-level authorization or higher.

	Action
1	Retrieve the bibliographic record that contains the error.
2	On the Actions menu, click **Report Error**.
3	In the Report Error dialog, check or complete the required fields at the top of the window: OCLC Symbol, User Name, and E-Mail. **Note:** System-supplied information The system automatically inserts the OCLC symbol associated with the authorization number you used to log on. The system also automatically supplies your name and e-mail address if you already entered them. In the client, you enter them in the Contact Support dialog (Help>Contact Support). In the browser, you enter them on General tab>Admin Options>User Information screen. The client retains this information the next time you open the Report Error dialog.
4	In the large text box, type a description of the record error(s). Include any information that may help OCLC staff verify the error or duplicate. For example, include other sources you consulted and identify related records.
5	Click **Report Error** to send the error report. Connexion sends your message and a copy of the text of the record to OCLC.

More information

For more information on reporting errors, see the help systems or documentation for the client and browser:

- Client: *Take Actions on Bibliographic Records* available at http://www.oclc.org/support/documentation/connexion/client/cataloging/bibactions/

- Browser: *Edit Bibliographic Records* available at http://www.oclc.org/support/documentation/connexion/browser/cataloging/edit_bib_records/

5.9 Instructions and Forms

OCLC provides instructions and forms in several formats to report errors and changes to bibliographic records and to report duplicate records. You may use any or all of these methods depending on your preference and the types of errors.

- Use HTML to submit electronically

- Use PDF to print and submit via fax or mail

Submit
- E-mail bibliographic record requests to: bibchange@oclc.org

- E-mail authority record requests to: authfile@oclc.org

- Fax requests toll-free to: 1-866-709-6252

- Mail paper change requests to:
  OCLC
   Quality Control Section MC139
   6565 Kilgour Place
   Dublin, OH 43017-3395

Instructions

Instructions for using the electronic version of the WorldCat Record Change Request and the WorldCat Duplicate Record Merge Request:

- http://www.oclc.org/worldcat/support/bibins.htm

WorldCat Record Change Request
- https://www3.oclc.org/app/bibchg/

- http://www.oclc.org/support/forms/pdf/bibrec.pdf

Authority Record Change Request
- https://www3.oclc.org/app/authrec/

- http://www.oclc.org/support/forms/pdf/autfil.pdf

WorldCat Duplicate Record Merge Request
- https://www3.oclc.org/app/bibdup/

- http://www.oclc.org/support/forms/pdf/bibdup.pdf