

Quality Assurance

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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

The Expert Community is an expansion of master record editing capabilities to all full level cataloging users. It was tested as the Expert Community Experiment in 2009. At the end of the experiment, the expanded capabilities were permanently added to the full level authorization.

For detailed cataloging instructions, see the Expert Guidelines: <http://www.oclc.org/support/documentation/worldcat/cataloging/ece/>.

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 them and replace the record, provided it has not been edited to become a PCC or CONSER-authenticated record. See the section 5.2, “Replacing Records” for instructions on locking and replacing the master record.

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.

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 to become Full-level records, or you may upgrade Abbreviated and Partial level records to Minimal level.

- 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)

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

5.1 OCLC Member Quality Assurance (continued)

set and there are no other holdings. Full-level authorization cannot be used to change **Type** and **BLvl** in Full-level records (**ELvl** coded \emptyset , *I*, *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 The Expert Community is an expansion of master record editing capabilities to all full level cataloging users. It was tested as the Expert Community Experiment in 2009. At the end of the experiment, the expanded capabilities were permanently added to the full level authorization.

For detailed cataloging instructions, see the Expert Guidelines: <http://www.oclc.org/support/documentation/worldcat/cataloging/ece/>.

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.

Types of modifications In addition to replacing your own records (records you created), the system also allows Minimal-level upgrades, Database Enrichment, Enhance, and CONSER replace capabilities on records entered by others. Non-PCC and non-CONSER authenticated serials records can also be replaced. For detailed cataloging instructions, see the Expert Guidelines: <http://www.oclc.org/support/documentation/worldcat/cataloging/ece/>.

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

- Minimal-level upgrades
- Database Enrichments
- Enhances
- CONSER upgrades

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.

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 |

5.2 Replacing Records (continued)

| Tag | Name |
|---------|--|
| 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 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.

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.

5.2 Replacing Records (continued)

Authorization Levels and Replace Capabilities

This table describes authorization levels and their relationship to replacing your own records; and Minimal-level Upgrade, Database Enrichment, Enhance, and CONSER replace capabilities. **Note:** In some contexts, authorization levels are called “modes.”

| Level | Replace capabilities |
|-----------------------------------|--|
| Limited | You can lock, edit, and save the record, but you cannot replace it. Save the record. Log on in whatever level you are authorized for (Full level, Retrospective conversion level, 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, Database Enrichment, and Expert Community capabilities, as appropriate. |
| Retrocon | You can lock, edit, and replace your own records, and you can use Minimal-level Upgrade, Database Enrichment, and Expert Community capabilities, as appropriate. |
| Enhance | In Regular Enhance and National Enhance, you can lock, edit, and replace your own records and use Minimal-level Upgrade, Database Enrichment, and Expert Community 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 levels, you can lock, edit, and replace your own records and use Minimal-level Upgrade, Database Enrichment, and Expert Community 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): *0*, *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, if authorized | 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 member with a full-level authorization 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.

These rules apply to fields:

505 Formatted Contents Note

5.3 Database Enrichment (continued)

- 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-level 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 levels. **Note:** In some contexts, authorization levels are called “modes.”

| Type | Authorized to Replace |
|--|--|
| Regular (OCLC enhance) | <ul style="list-style-type: none"> • Full-level non-serial records (all Encoding Levels except <i>Ø</i>, 1, and 4 when field 042 is coded <i>pcc</i>) • Nonprint serial records not authenticated by CONSER |
| National (PCC) | <ul style="list-style-type: none"> • Full-level non-serial records (all Encoding Levels including <i>Ø</i>, 1, and 4 when field 042 is coded <i>pcc</i>) • Nonprint serial records not authenticated by CONSER |
| Notes: | |
| <ul style="list-style-type: none"> • 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 Enhance capabilities | National Enhance participants have the previously listed capabilities of Regular Enhance participants and can enhance records with Encoding Level 0 blank) (Full-level input by national library), <i>1</i> (Full-level, material not examined), and <i>4</i> (Core-level, Program for Cooperative Cataloging records, when field 042 is coded <i>pcc</i>). They can also change the Encoding Level for <i>8</i> (Prepublication-level CIP) Books format records. |
| Enhance restrictions | Enhance participants, Regular and National, do not have the following capabilities: <ul style="list-style-type: none">• Add, change, or delete field 019 (OCLC Control Number Cross-reference) or field 029 (Other System Control Number).• Change field 040 (Cataloging Source) subfield \ddaggerc (Transcribing agency).• Delete a master record from WorldCat.• Enhance Type: Serial records (Type: <i>a</i>).• Change a Type Code between bibliographic formats, except locally on an unlocked record. |
| Enhance participation and more information | If you are interested in Enhance participation, information, including requirements and application instructions, is on the Web: Current Enhance Participants Enhance Evaluation Procedure Enhance Training Outline Enhance requirements and application instructions Guidelines for National Enhance participants Program for Cooperative Cataloging at the Library of Congress |
| CONSER program | The CONSER (Cooperative Online Serials) program provides for the upgrade and replacement of master serial records. See the <i>CONSER Editing Guide</i> (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 record rule | You cannot use Database Enrichment or Full level capabilities on Serial records authenticated by CONSER (records having code <i>isds/c</i> , <i>lc</i> , <i>lcac</i> , <i>lccopycat</i> , <i>lcd</i> , <i>msc</i> , <i>nlc</i> , <i>nsdp</i> , <i>pcc</i> , or <i>premarc</i> in field 042 [Authentication Code]). |

5.4 Cooperative Programs (continued)

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://www.loc.gov/catdir/pcc/>.

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 that the system will not allow you to change.

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)

Most errors on master records that do not contain field 042 can be corrected with a full-level or higher authorization. Libraries that do not want to replace master records, can report them to OCLC for correction.

| 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 <i>Type</i> and <i>BLvl</i> 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 |

5.6 Reporting Errors (continued)

| Report this error | Notes/Examples | Proof? |
|--|--|--------|
| Bibliographic information omitted from records | Fields 6xx | Yes |
| 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 | |

5.6 Reporting Errors (continued)

| Do not report | Notes/Examples |
|--|---|
| Information needed only to complete the 300 field in CIP records | Use the Lock and Replace procedure with a full-level or higher authorization to complete this field |
| 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*)

5.6 Reporting Errors (continued)

- 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 are obvious MARC errors, such as subfield codes are missing from field 245, tags for the 260 and 300 fields are reversed, or a personal name is tagged as a corporate body, etc. 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 | <p>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.</p> <p>Include your name and e-mail address in case questions arise.</p> |
| Reporting methods available | <ul style="list-style-type: none">• Error reporting via Connexion (see section 5.8, “Submitting Errors via Connexion”)• Letters• OCLC forms (submitted by e-mail (including attachments), fax, or mail)<ul style="list-style-type: none">—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 | <p>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.”</p> |
| Changes that require proof (photocopy) | <p>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.</p> <p>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.”</p> <p>For more information on when proof is required, see 5.6 “Reporting Errors.”</p> |
| Submitting forms | <p>Submit proof (photocopy) as required. On the WorldCat Record Change Request form, you may report:</p> <ul style="list-style-type: none">• <i>Type</i> and <i>BLvl</i> code changes• Filing indicator changes• Serial collapse requests <p>You may also mark the changes on a printout and submit the printout with the change request instead of completing the entire form.</p> |

5.7 Submitting Reports (continued)

- 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 and BLvl changes

Report *Type* code or *BLvl* changes if the system does not allow you to change the record. See 5.1, OCLC Member Quality Assurance, Type and BLvl changes.

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 permissible 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.

5.7 Submitting Reports (continued)

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)
- 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 level: 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 | <p>In the Report Error dialog, check or complete the required fields at the top of the window: OCLC Symbol, User Name, and E-Mail.</p> <p>Note: System-supplied information</p> <p>The system automatically inserts the OCLC symbol associated with the authorization number you used to log on.</p> <p>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.</p> <p>The client retains this information the next time you open the Report Error dialog.</p> |
| 4 | <p>In the large text box, type a description of the record error(s).</p> <p>Include any information that may help OCLC staff verify the error or duplicate. For example, include other sources you consulted and identify related records.</p> |
| 5 | <p>Click Report Error to send the error report.</p> <p>Connexion sends your message and a copy of the text of the record to OCLC.</p> |

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>

5. Quality Assurance (continued)
