

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
B5.12	Appendix 7: New Input	B5.12.2.1 revised to reflect the fact that records containing nonroman data are now input/updated in the LC ILS Database
C6	Providing Guidelines for Dividing Large Unbound or Softbound Volumes Before Binding	Revised to reflect the fact that this processing is now done solely by BCCD, and therefore such volumes should be sent directly to BCCD. C6.43 revised to include a guideline for cataloging staff to provide an item barcode in a manner that it can be used on each intended volume (except the last) after a resource is divided
C12	Multipart Items and Added Volumes	C12.4 and C12.5 revised to reflect the fact that records containing nonroman data are now input/updated in the LC ILS Database
C16	LC Local Bibliographic Record and Local Data Fields: Concise Version	C16.10.2.7 revised to update and add information about 906 \$g stakeholder codes and maintenance for LC ILS records with nonroman data
M3	Bibliographic and Authority Database Maintenance in the LC ILS	<p>M3.1-M3.2: Revised to delete references to RLIN processing</p> <p>M3.3.1.1: Revised to update information about maintenance for LC ILS monograph records with nonroman data</p> <p>M3.3.2.3: Revised to add instructions about maintaining 880 and 906 fields in LC ILS monograph records with nonroman data</p> <p>M3.3.4: Revised to update information about referring LC ILS monograph records with nonroman data for cancellation</p> <p>M3.4.3: Revised to delete reference to RLIN processing</p>

B5.12

Appendix 7: New Input

TABLE OF CONTENTS

B5.12.1

GENERAL

B5.12.2

PROCEDURES

B5.12.2.1

Main Entry Card

B5.12.2.2

Method Of Providing Up-To-Date Record

B5.12.2.3

Cataloging Conventions

B5.12.2.4

Guidelines For Individual Data Elements

B5.12.2.5

Holdings Records (HRs/IRs)

B5.12.2.6

End Stage Processing

B5.12.1 GENERAL

"New input" is the term used for:

- 1) converting data from an existing manual catalog card into machine-readable form for the first time (with or without item in hand);
- 2) updating/confirming that an already existing PREMARC or OCLC REPLACEMENT record reflects the data contained in the original source card (with or without item in hand) and, for multipart items, that fields 260, 300, and 505 reflect LC holdings;
- 3) recataloging (usually with item in hand) an item represented by a PREMARC or an OCLC REPLACEMENT record.

For the most part, catalogers are involved with new input when adding a newly-received published volume of a nonanalyzable multipart item but there is no collected set record in the LC Database (LCDB; see DCM C12.4-5). In rare book cataloging or other work with older materials, catalogers may also perform the NEW INPUT procedure for any type of material that may be represented in various card catalogs and files in the Library. If the item is represented by a PREMARC record (906 \$c = "premunv" or "premver") or an OCLC REPLACEMENT record (906 \$c = "oclcrlp"), it is necessary to update the record to reflect current cataloging as described below. If the item is not represented in the LCDB, it is necessary to provide a record using information from the existing catalog card. The record can be newly input or it can be imported from an external source and modified accordingly.

Once the NEW INPUT procedure is completed, the content of the record should be complete in relation to the original source card, the record should reflect LC holdings, particularly with respect to fields 260, 300, and 505, and the heading structure should reflect current LC practice (no heading remains that contains the label "[from old catalog]"). With respect to OCLC REPLACEMENT records, the only evidence of such replacement remaining in the record will be the 985 field (cf. DCM B5.12.2.4 "Guidelines For Individual Data Elements" below).

B5.12.2 PROCEDURES

B5.12.2.1 Main Entry Card

Remove the main entry card from the Official Name Catalog (ONC) or from the Add-On-Catalog (AOC; cards for JACKPHY items) to use as the basis for the new input. It is not necessary to leave an "out card" if the new input will be done promptly. If the ONC or AOC main entry card is not available, obtain a substitute, e.g., a photocopy of the shelflist card, a photocopy of the version printed in the NUC, or a replacement card from CDS.

Nonroman cards for romanizing languages only: If an ONC card in nonroman script is used for a language that is now a romanizing language, make a photocopy of the card to use in cataloging and refile the original nonroman card in the ONC as a permanent record of the original script cataloging). Retain the copy of the card with the item being cataloged as a source of information until all aspects of cataloging (including decimal classification) have been completed. At

that point discard it.

Cards for rare materials only: If an ONC card is used, the Rare Book Team retains the card in a place the team judges convenient and for a length of time the team judges necessary to satisfy all its needs for referring to the information recorded on the ONC card.

B5.12.2.2 Method Of Providing Up-To-Date Record

Select the method of providing an up-to-date record (update of an existing PREMARC or OCLC REPLACEMENT record or, if none exists, newly input a record or import an existing one). The objective is to complete an up-to-date record; the method of doing this is at the discretion of the team. Use the data element guidelines listed below in DCM B5.12.2.4.

B5.12.2.3 Cataloging Conventions

Follow the guidelines in DCM C12.4-5 with respect to:

- a) recataloging to AACR 2;
- b) treatment of access points;
- c) older cataloging conventions;
- d) nonroman scripts/data.

B5.12.2.4 Guidelines For Individual Data Elements

LDR The descriptive cataloger is responsible for correctly adjusting the following Leader elements:

type

If a record is newly input, use the correct value for the type of record. If the type of record value in an existing record needs to be changed, consult CPSO on how to proceed.

bib/l

If a record is newly input, use the correct value for the bibliographic level. In the unlikely event the value for bibliographic level in an existing record needs to be changed, consult CPSO on how to proceed.

enc/l

Use blank (full level, material examined) if the material is reexamined, i.e., the original volume(s) have been recataloged.

Use value "1" (full level, material not examined) if all the information as found on the extant description is input BUT the material is not reexamined, i.e., the original volume(s) have not been recataloged.

Use value "2" (less-than-full level, material not examined) if not all the information as found on the extant description is input AND the material is not reexamined.

form

Use value blank for pre-ISBD records.

Use value "i" for AACR 1 records with ISBD punctuation supplied according to Revised Chapter 6 of AACR 1.

Use value "a" for AACR 2 cataloging.

008 Staff doing the descriptive/subject aspects are responsible for the fixed fields. Note especially:

Modified Record (*use only for the nonroman condition*)

Use value "blank" (record includes vernacular data) for nonroman records.

Use value "o" (fully romanized) for nonroman script languages whose catalog records are romanized

Cataloging Source

Use value "c" for a card reflecting pre-1983 cooperative cataloging.

906

\$a For newly input records, set to "0" (do not distribute); when the record is completed, change to "7" (distribute) at end stage processing. Either "0" or "7" will be present in an existing record, depending upon the situation. At a minimum, ensure value "7" at end stage processing; ideally, value "0" would be set until all work on the record is completed and then the value changed to "7" at end stage processing.

\$b Ensure "cbc".

- \$c Ensure the appropriate code (“premver” for monographs; “serprem” for serials; in the case of OCLC REPLACEMENT records, change “oclrpl” to “premver”).
- \$d New input is priority 1.
- \$e Ensure “ncip”.
- \$f Ensure 18 (1800-1899) or 19 (1900-1999) or 20 (2000-) as appropriate.
- \$g Ensure appropriate code (usually “y-gencatlg” or “y-genrareb”; “y-nonroman” if newly inputting a retrospective nonroman script record or now adding nonroman script to an existing record in the LCDB (cf. DCM C16.10.2.7.3, full version).
- 925 Not required unless there has been a change in the selection decision.
- 955 Use a 955 charging field to identify the process the record is going through. Input "NEW INPUT" in the functional subfield for what is being accomplished.
- 010 Retain the existing LCCN; see *MARC 21 Bibliographic Format* for information on older LCCNs and prefixes.
- 035 For OCLC REPLACEMENT records, delete the 035 field that contains the OCLC control number.
- 040 For a card reflecting pre-1983 cooperative cataloging, give the name of the library in subfield \$a (cf. the conversion manual for details). For all other records, including OCLC REPLACEMENT records, ensure that the symbols in all subfields are “DLC”.
- 042 Ensure that the record does NOT contain an 042 field = premarc.
- 050 Add/use the existing call number so that it will be available during the cataloging process. A shelflister reviews this field and has final responsibility for it.

- 952 If the item is not recataloged, add a 952 field that indicates the changes made regarding entry/access points, i.e.,
- 952 Choice/form AACR 2: [code] [date]
(choice of m.e. and form of access points changed to AACR 2)
- or
- 952 Form AACR 2: [code] [date]
(form of access points changed to AACR 2)
- 985 For OCLC REPLACEMENT records, retain the 985 field = OCLC REPLACEMENT.
- 991 If the 991 field is the sole 991 field AND represents the copy in hand AND comes from the BOOKS or PREMARC file, it can be deleted (any correction required with respect to the sublocation should be made in the holdings record 852 \$m). If there are multiple 991 fields AND one of them reflects the copy in hand AND comes from the BOOKS or PREMARC file, it can be deleted (any correction required with respect to the sublocation should be made in the holdings record 852 \$m). If a 991 field is from other sources such as CCF, it must be retained.

B5.12.2.5 Holdings Records (HRs)/Item Records (IRs)

Ensure a complement of HRs/IRs appropriate to the item(s) being processed.
Do shelflist compare if adding copies or volumes.

B5.12.3.6 End Stage Processing

Ensure 906 \$a = 7, ensure there are no “[from old catalog]” labels remaining in headings, and provide appropriate tracking data in the 955 field.

C6 Providing Guidelines for Dividing Large Unbound or Softbound Volumes Before Binding

C6.1 BACKGROUND

This DCM applies only to monograph volumes. For the treatment of serial volumes to be divided, see the Serial Record Division Web site (<http://lcweb.loc.gov/staff/srd/>).

For preservation purposes, it is sometimes necessary to split or divide a particularly **thick and heavy** volume into two or more smaller volumes. This dividing is done only when a volume meets **ALL** of the following conditions:

- 1) it is “overly thick”: i.e., its thickness measured at the spine is more than two inches, excluding the cover (this is known as the “two-inch thick” rule), **and**
- 2) it is also “overly heavy”: i.e., the volume is difficult to lift with one hand, **and**
- 3) it is issued in “packaging” that requires binding (e.g., unbound, softbound, housed in a binder), **and**
- 4) it is complete, i.e., it is not intended to receive additions.

If a volume meets all of these conditions, the cataloger (monographs only) determines where the volume should be divided for binding and provides guidelines to the Binding and Collections Care Division (BCCD) Library Binding Section (LBS) as specified in DCM C.6.2. If a volume is very thick, it may be necessary to divide it into more than two physical volumes to meet the basic guideline stated above. If there is doubt about whether a volume should be divided, do not divide it.

Based on the guidelines for dividing the volume provided by the cataloger, BCCD staff perform the special procedures described in DCM C.6.5 and then take the necessary steps to get a volume actually divided.

C6.2 PROVIDING GUIDELINES TO BCCD

C6.2.1 General

In determining the division(s) of a volume, do not divide an intellectual unit, i.e., do not divide a chapter or similar unit of a volume. Instead, choose a point between or among units as the place to divide. This is to preclude the intellectual content of a unit being separated physically.

C6.2.1.1 Volumes with accompanying material in a different format

Treat volumes that are candidates for dividing that are also accompanied by a computer file, a sound recording, or a videorecording as follows:

- 1) if the volume and accompanying material are stored together as one “package” (e.g., volumes accompanied by computer files housed in “c-MRC” or “c-LL ... AUTO”), exclude the volume from the dividing procedure;
- 2) if the volume and accompanying material are stored separately (e.g., a volume on music accompanied by a computer file or a volume accompanied by a sound recording), the volume is a candidate for the dividing procedure; catalog the volume and the accompanying material according to existing procedures, then

apply the dividing procedure to the volume as described in DCM C6.2-C6.4.5 and forward the accompanying material according to normal routines.

C6.2.1.2

Volumes with accompanying loose material

Treat volumes that are candidates for dividing that are also accompanied by loose material that will be tipped in or housed in a pocket according to the dividing procedure. Staff in BCCD will be responsible for accommodating the loose material.

C6.2.1.3

Newly cataloged loose-leaves

If a newly cataloged loose-leaf is not going to be updated (590 = “LC copy not updated.”; location is generally “c-GenColl”), it is a candidate for dividing. If it is going to be updated (590 = “LC copy updated.”; location is generally other than “c-GenColl”), it is not a candidate for dividing.

| C6.2.2

| **Communicating Dividing Guidelines To BCCD**

| Do not physically divide a volume; instead, convey to BCCD instructions for dividing it as follows:

- 1) if a volume includes tabs (dividers), insert the tabs in the appropriate place in the volume so that they can potentially be retained when the volume is divided and bound;
- 2) determine where a volume should be divided;
- 3) indicate on a Binding Instructions slip (824) the number of volumes the volume is to be divided into;
- 4) indicate the extent of each physical volume, including volume/unit designation, e.g.:

v. 1: ch. 1-19
v. 2: ch. 20-31

or

v. 1: p. 1-425
v. 2: p. 426-790

- 5) if the instruction to divide is in terms of pages, give it using only the main sequence of paging, ignoring other sequences such as paging preliminary to or following the main sequence, since this is an instruction, not a matter of description; if a volume is in various pagings, word the instruction so that it is clear where the volume is to be divided;
- 6) if the volume to be divided is a volume in a multipart set, use “part” to designate the subunit of the volume, e.g:

v. 3, pt. 1: p. 1-425
v. 3, pt. 2: p. 426-790

- 7) insert the Binding Instructions slip in the volume; ensure that the “FROM:” portion of the slip is filled in;
- 8) for multiple copies, make the division the same for each copy.

C6.3 BIBLIOGRAPHIC RECORD

Record in field 300 the physical description of the volume as issued according to standard procedure. Record in field 590 (Local Note) the specific details of LC’s local binding practice, e.g.:

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300    $a 790 p. . . .
590    $a LC copy bound in 2 v.: v. 1, p. 1-425; v. 2,
        p. 426-790.

                                or

300    $a 5 v. . . .
590    $a LC copy of v. 3 bound in 2 v.: v. 3, pt. 1,
        p. 1-425; v. 3, pt. 2, p. 426-790.

```

Since this is a matter of providing information instead of description, give the paging only in terms of the main sequence of paging, ignoring other sequences such as paging preliminary to or following the main sequence. If the divided volume consists of various pagings, limit the statement to the number of volumes and omit any reference to paging (e.g., “LC copy bound in 2 v.”).

C6.4 END-STAGE PROCESSING

C6.4.1 Call Number

Write the call number, including the volume number and copy number, on the verso of the title page (the intended v. 1) of each copy of the item in hand. This information will be used by BCCD to write the call number on the verso of the title page for each copy of each subsequent intended volume according to the special procedure described in C.6.5.

C6.4.2 Holdings Record

Ensure there is a holdings record for each copy according to standard procedure. Record a public note in subfield \$z of field 852 indicating the number of volumes the LC copy is bound in, followed by the instruction “Submit a request for each v.” Use English terminology and abbreviations in all cases.

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852 0 $b c-GenColl $h R121 $i .C676 1998 $t Copy 1
        $z LC copy bound in 2 v. Submit a request for
        each v.

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C6.4.3 Item Record/Item Barcode

Ensure there is an item record for each copy of each intended volume according

to standard procedure. Include the volume enumeration of each intended volume in standard form, e.g., v. 1 (or v. 3, pt. 1 if a volume in a multipart set needs to be divided). Do not provide a date in the Year area. These data are important because information from the holdings record and the item record is used to print the label on the spine of each copy of each intended volume.

Ensure there is an item barcode in the item record for each intended volume. If the volume in hand already contains an item barcode, that part of the volume will be the last intended volume after dividing it. Ensure that the item record containing that barcode is the last item record in the sequence of item records. If the volume has not yet been barcoded, add one according to standard procedure, and assure that an item record containing that item barcode is the last item record in the sequence of item records. For each additional intended volume, attach an item barcode to a blank sheet of alkaline paper (use the paper used for photocopying) approximately 1/4th inch below the center top edge. Scan the item barcode into the item record in the usual manner for each intended volume. Resequence the item records if necessary to assure the correct sequence.

Place the piece of paper with the item barcode on it in the publication where the publication is to be divided per the instruction(s) in C6.2.2. This is the means BCCD will use to assure all volumes are barcoded once the publication is divided (cf. C6.5).

If the volume in hand contains loose material to be housed in a pocket, that pocket will be added in the last intended volume. Therefore, ensure that the piece count in the item record for the last intended volume reflects the count of the pieces plus the count of the last intended volume.

C6.4.4 Forward Volume To BCCD

Forward the volume directly to BCCD (do not send it to Dewey). If the volume to be divided is a volume in a multipart set and other volumes in the set are being processed at the same time, forward the other volumes together with the volume to be divided. Each division is responsible for the means of transporting the material to BCCD.

C6.5 BCCD PROCESSING

Based on the instructions on the Binding Instructions slip for dividing the volume, staff in BCCD make a double-sided photocopy of the recto and verso of the title page on alkaline paper, registered to align the same as the original, trim it to the size of the original, and insert it at the front of each copy of each subsequent intended volume. Based on the pattern written on the verso of the title page of the original volume in cataloging, they then write in pencil the call number, including volume number and copy number, on the verso of the photocopy of the title page for each copy of each subsequent intended volume. They also trim each piece of paper with an item barcode provided by cataloging staff to the size of the text block and insert the sheet of paper at the end of each copy of each intended volume except for the last intended volume.

TABLE OF CONTENTS

C12.1	DEFINITION	3
C12.2	APPLICATION OF DCM	3
C12.3	BASIC POLICY	3
C12.3.1	Analyzable/Nonanalyzable	3
C12.3.2	Basic Processing Activities	4
C12.4	PROCESSING NONANALYZABLE ITEMS COVERED BY AN EXISTING AACR2 COLLECTED SET RECORD	4
C12.4.1	General	4
C12.4.2	Description	5
C12.4.2.1	<i>The part in hand</i>	5
C12.4.2.2	<i>Temporary data</i>	5
C12.4.2.3	<i>Cataloger's note (952 field)</i>	5
C12.4.2.4	<i>Closing the entry</i>	5
C12.4.3	JACKPHY Upgrade/Update Conventions	5
C12.4.3.1	<i>Nonroman card available</i>	5
C12.4.3.2	<i>Nonroman card not available</i>	5
C12.4.4	CIP/ECIP Multipart Monographs	6
C12.4.4.1	<i>CIPs at the pre-publication stage</i>	6
C12.4.4.1.1	Nonanalyzable CIP multipart monographs	6
C12.4.4.1.1.1	<i>New multipart monograph, no collected set record exists</i>	6
C12.4.4.1.1.2	<i>Collected set record exists</i>	6
C12.5	PROCESSING NONANALYZABLE ITEMS NOT COVERED BY AN EXISTING AACR2 COLLECTED SET RECORD	6
C12.5.1	Description	7
C12.5.1.1	<i>Changes in cataloging rules</i>	7
C12.5.1.2	<i>Adding information</i>	7
C12.5.2	Access Points	7

DESCRIPTIVE CATALOGING MANUAL
Multipart Monographs and Added Volumes

C12 Page 2
rev. Nov. 2007

C12.5.3	Procedures	7
C12.5.3.1	NEW INPUT	7
C12.5.3.2	Holdings	7
C12.5.3.3	Cards	7
C12.5.3.3.1	Roman/nonroman JACKPHY	7
C12.5.3.3.2	Nonroman for romanizing languages	8

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C12.1 DEFINITION

AACR2 defines a multipart monograph as “a monograph complete, or intended to be completed, in a finite number of separate parts.” This definition does not mean that the number of volumes has been predetermined or that this information must be available from the item in hand. Instead, it means either that the subject matter is limited in scope or that there are restrictions of time, activity, etc., that make a limitless continuation unlikely. (Do not apply the theory that one could write on any subject forever.) A multipart monograph may be numbered or unnumbered.

Close scrutiny is required to decide if an item is part of a multipart monograph or a serial (monographic series) in order to avoid creating two collected set records for the same resource as both a multipart monograph and a monographic series. When making this decision, take into consideration the subject matter covered by both the collective and analytic titles. For example, if the title of the part is “Allegheny County” and the collective title is “Counties of Maryland,” one can predict that the resource is part of a multipart monograph. On the other hand, if the title of the part is “Lecture notes in medical informatics,” the resource in hand is much more likely to be that of a serial (monographic series).¹

The following types of publications are generally considered to be multipart monographs:

- 1) publications issued on the occasion of a specific event (although they often do not contain material concerning the event itself);
- 2) publications of specific censuses, expeditions, excavations, projects, surveys, etc.

When still in doubt (“I don’t know and I can’t guess”), consider the item to be part of a monographic series.

C12.2 APPLICATION OF DCM

This DCM does not apply to these categories of materials:

- 1) books issued in fascicles (see DCM C17);
- 2) unnumbered multipart monographs processed as made-up sets (called “2A cataloging” in LC; see DCM C18).

C12.3 BASIC POLICY

C12.3.1 Analyzable/Nonanalyzable

If analyzable, catalog and classify separately (see DCM M5). If nonanalyzable, search the LC ILS Database for a bibliographic record for the multipart monograph as a whole (a collected set record). If no record is found but there is reason to believe earlier volumes have been received, search the ONC (Official Name Catalog) (and the Add-On Catalog (AOC) for nonroman script cards). Always search the ONC and AOC for JACKPHY multipart monographs not yet in the LC ILS Database or not yet in the LC ILS Database in nonroman form. If no record is found, consider the item to be new to the Library. If records are found, see DCM C12.4 or C12.5 below as appropriate.

¹See LCCN examples: 22003587; 83006712; 84048549; 94003825; 2001406422.

C12.3.2 Basic Processing Activities

The basic activities when processing a volume of a multipart monograph vary depending upon two general factors: 1) if the multipart monograph itself is new to the Library and 2) the classification and analysis decisions applicable to the multipart monograph.

Decision	New multipart monograph	Added volumes
	Bibliographic records?	
Classified separately – analyzed in full	Analytic* record only	Create analytic record for each part
Classified as a collection – not analyzed	Collected set** record only	Add information to the existing collected set record
Classified as a collection – not analyzable		

*Analytic record = bibliographic record for the part

**Collected set record = bibliographic record for the multipart monograph as a whole

For information about shelflisting procedures, barcodes, holdings records, and item records, see SCM: SL (ILS version) workflows #4, #8, and #10. For more information on the relationship of holdings and item records for multipart monographs, see the DCM Z1 Appendix for LC Staff. For information on multipart items within the context of current LC policy on series, see DCM M5, particularly M5.2, M5.7, and M5.8.

C12.4 PROCESSING NONANALYZABLE ITEMS COVERED BY AN EXISTING AACR2 COLLECTED SET RECORD

C12.4.1 General

Use these procedures to add a newly-received nonanalyzable published volume to an existing AACR2 collected set record for a multipart monograph. These instructions do not apply to CIPs at the pre-publication stage. They require special procedures, given below in DCM C12.4.4.1.

In general, update the record to reflect the item in hand. Follow all pertinent sections of the *Descriptive Cataloging Manual* (especially DCM M3 on record/catalog maintenance) and LCRI 1.0C.

C12.4.2 Description

C12.4.2.1 The part in hand

Examine the part in hand to be added. Compare all information from the part to the description in the collected set record. If the part in hand shows variations from the description of the collected set record, make any necessary changes to the record. Note that rules 21.2A1 and 21.3A2 allow for exceptions whereby a part other than the first may be used both as the basis of the description and for determining choice of main entry for the item as a whole.

C12.4.2.2 Temporary data

Record temporary data and holdings according to LCRI 1.0C (i.e., within angle brackets if the set is incomplete). Indicate the numbers/designations of the parts inclusively (if they are consecutive) or individually (if they are not consecutive). All holdings must be recorded in the bibliographic record. When adding another volume to a bibliographic record with the note "Holdings listed in shelflist only," create a 505 field beginning with the volume being added; then, send a printout of the collected set record to CPSO.

C12.4.2.3 Cataloger's note (952 field)

Supply a cataloger's note indicating any action taken according to DCM B9. Do not add a 952 field solely to indicate the adding of a part.

C12.4.2.4 Closing the entry

If the part being added completes the set, update the record to reflect in all aspects the completed multipart monograph (e.g., ending publication date in 008 and 260 fields, extent in 300 \$a).

C12.4.3 JACKPHY Upgrade/Update Conventions

For nonanalyzable volumes in monographs represented by a less-than-full JACKPHY collected set record (cf. DCM B5.11) in the LC ILS Database, use the following procedures:

C12.4.3.1 Nonroman card available

If a collected set card is available in the ONC or AOC, use the information on that card to **upgrade** the brief record to a full one, including nonroman script, making any modifications required by a change in the nature of the item or that are needed to maintain the record. Add holdings; also add a contents note, if appropriate.

C12.4.3.2 Nonroman card not available

If a collected set card is not available, **update** the LC ILS Database brief collected set record to a full one, including nonroman script, making any modifications required by a change in the nature of the item or that are needed to maintain the record. Add holdings; also add a contents note, if appropriate.

C12.4.4 CIP/ECIP Multipart Monographs
[“CIP” as used below applies to both CIP and ECIP.]

C12.4.4.1 CIPs at the pre-publication stage
CIP “added” volumes at the pre-publication stage are handled differently from any other type of added volume in that the collected set record is not updated at the pre-publication stage; updating is deferred until the published item is received. (When the online record contains an error and needs to be updated anyway, make that correction according to usual procedures. Then follow the procedures below.)

C12.4.4.1.1 Nonanalyzable CIP multipart monographs
As of May 1995, once a collected set record for a nonanalyzable multipart monograph is created, subsequent volumes are not candidates for CIP.

C12.4.4.1.1.1 New multipart monograph, no collected set record exists
If a multipart monograph is new to the Library, in the ECIP environment, assure that the CIP record is a collected set record.

If a conventional paper CIP (less and less likely), a CIP record is begun by CIP Division staff and the CIP material is forwarded to the appropriate team in the usual manner. The team assures that the resulting record is a collected set record. After the cataloging is completed in the team, forward the materials to Dewey. Dewey returns them to the CIP Division, and that division sends the resulting CIP data for the collected set record to the publisher.

C12.4.4.1.1.2 Collected set record exists
Once a collected set record exists, materials for subsequent volumes are not forwarded by the CIP Division at the pre-publication stage. If this inadvertently occurs, return the materials to the CIP Division with a CIP Problem Routing Slip indicating that the item is a nonanalyzable multipart monograph.

C12.5 PROCESSING NONANALYZABLE ITEMS NOT COVERED BY AN EXISTING AACR2 COLLECTED SET RECORD
Use these guidelines in addition to those in DCM C12.4 when adding a newly-received published nonanalyzable volume and one of the following situations exists:

- 1) there is an existing pre-AACR2 collected set record in the LC ILS Database;
- 2) there is an existing collected set card in roman script in the ONC;
- 3) there is an existing collected set card in nonroman script for a romanizing language in the ONC;
- 4) there is an existing collected set card in nonroman script for a JACKPHY item in the ONC or AOC.

Use the following general guidelines applicable to all the special situations described above.

C12.5.1 Description

C12.5.1.1 Changes in cataloging rules

A collected set record being newly input to the LC ILS Database or an existing pre-AACR2 collected set record already in the LC ILS Database may be recataloged to AACR2 at the discretion of the team.

Exception: If an existing collected card has a dashed-on entry for a supplement, index, etc., do not recatalog to AACR2 (both the parent work and any dashed-on entries would need to be recataloged). Consult CPSO.

C12.5.1.2 Adding information

When adding information to a record, generally follow the style of the original cataloging rules. As a rule, do not mix ISBD and non-ISBD styles or AACR2 and pre-AACR2 styles. Add a contents note, if appropriate, when adding to the record for an item previously thought to be complete in one part. When adding to the record of a resource already known to be multipart, do not add a contents note if it was omitted under earlier policy. If the style used in the contents note is clear, follow it when adding new items. If anything is unclear (e.g., inclusion or omission of subtitles or statements of responsibility for individual items), follow the pattern already in the record. This may mean, for example, omitting an author statement from the item in hand because items already in the contents note lack the statement of responsibility.

C12.5.2 Access Points

Convert all access points on the collected set card or in a pre-AACR2 record already in the LC ILS Database to the AACR2 form.

C12.5.3 Procedures

C12.5.3.1 NEW INPUT

If the multipart monograph is not represented in the LC ILS Database by a collected set record, use the conventions of the NEW INPUT procedure stated in DCM B5.12 (Appendix 7).

C12.5.3.2 Holdings

Include the part(s) being cataloged now. Send a printout of the collected set record to CPSO.

C12.5.3.3 Cards

Use existing collected set cards as the copy for the NEW INPUT procedure.

C12.5.3.3.1 Roman/nonroman JACKPHY

In cases of roman script cards and JACKPHY nonroman script cards, use the actual ONC or AOC card by removing it from the ONC or AOC. If the ONC or AOC card is unavailable, use a copy of the shelflist card or a copy of the card from the NUC.

| **C12.5.3.3.2**

| **Nonroman for romanizing languages**

| In cases of nonroman script cards for languages that are now
romanizing languages, make a **copy** of the ONC card, and use that copy for NEW INPUT. Annotate the original card to indicate that the record is being input into the LC ILS Database. Print "MARC" in the lower right-hand corner under the card number; on the back, give "MARC [cataloger's code] [date]." Refile the card in the ONC as a permanent record of the original script cataloging. If the ONC card is unavailable, use a copy of the shelflist card, or a copy of the card from the NUC.

| Romanize the collected set record added to the catalog, and
| indicate this with value "o" in 008 fixed-length data element 008/38.

**Local Data Fields and Other Elements in the LC Local Bibliographic Record for
Monographs and Integrating Resources**

TABLE OF CONTENTS

C16.1	GENERAL	2
C16.2	ORDER OF VARIABLE DATA FIELDS	3
C16.3	LOCAL VARIABLE DATA FIELDS—GENERAL INFORMATION	4
C16.4	249 FIELD: LOCAL VARYING FORM OF TITLE	4
C16.5	590 FIELD: LOCAL NOTE	5
C16.6	591 FIELD: LOCAL “WITH” NOTE	5
C16.7	592 FIELD: LOCAL ACQUISITION NOTE	6
C16.8	859 FIELD: LOCAL ELECTRONIC LOCATION AND ACCESS	6
C16.9	890 FIELD: LC VISIBLE FILE ENTRY	7
C16.10	906 FIELD: LOCAL PROCESSING DATA	8
C16.11	920 FIELD: LOCAL SELECTION DECISION	13
C16.12	922 FIELD: LOCAL BOOK SOURCE	14
C16.13	923 FIELD: LOCAL SUPPLIER INVOICE OR SHIPMENT ID	14
C16.14	925 FIELD: LOCAL SELECTION DECISION	15
C16.15	952 FIELD: LOCAL CATALOGER’S PERMANENT NOTE	18
C16.16	955 FIELD: LOCAL TRACKING INFORMATION	19
C16.17	963 FIELD: LOCAL RELATED CIP OR PCN DATA	24
C16.18	984 FIELD: LOCAL SHEFLIST COMPARE STATUS	25
C16.19	985 FIELD: LOCAL RECORD HISTORY	26
C16.20	987 FIELD: LOCAL CONVERSION HISTORY	28
C16.21	991 FIELD: LOCAL LOCATION INFORMATION	29

C16.22	992 FIELD: LOCAL LOCATION INFORMATION	30
C16.23	LEADER, 008, AND 006 FIELDS	31

C16.1 **GENERAL**

These guidelines apply primarily to LC monograph and integrating resource bibliographic records.

See the following sources for information on specific data elements and local fields used in LC serial bibliographic records:

- 1) CONSER Editing Guide, Section E;
- 2) *Serial Record Manual* M2.2, LC Local Fields Used in Serial Bibliographic Records ([http://www.loc.gov/staff/srd/SRM-M2\[1\].020204.pdf](http://www.loc.gov/staff/srd/SRM-M2[1].020204.pdf)).

Note: These symbols conventionally represent here the following values in MARC 21 content designation:

- # = blank space
- \$ = subfield delimiter

C16.2 ORDER OF VARIABLE DATA FIELDS

Order of Variable Fields in LC ILS Bibliographic records		
906	Local Processing Data	
925	Local Selection Decision	
955	Local Tracking information	
<p>The correct sort order for all other variable fields – except 906, 925, and 955 – is by “century block” (i.e., by the first number in the tag: all 1XX come before all 2XX, etc.)</p>		
0XX (010, 040, etc.)	Numbers and codes	In tag number order [0XX fields on records imported from OCLC are not necessarily in strict tag number order. Staff may – but are not required to – resequence this block of fields.]
1XX	Main Entry field	
2XX (240, 245, etc.)	Titles, edition, imprint, etc.	In tag number order
3XX	Extent, etc.	In tag number order
4XX	Series statement	Fields 4xx-8xx accepted ↓ in order input ↓ [keep 4XX together, keep 5XX together, etc.] (See appropriate documentation, e.g., AACR2, LCRIS, DCMs, etc. for specific order)
5XX	Note fields	
6XX	Subject access fields	
7XX	Added entry fields	
8XX	Series added entry fields	
Other 9XX (952, 984, etc.)	Local fields	In tag number order (except 906, 925, 955, which go first – see above)

Follow the preceding guidelines when creating or deriving a new bibliographic record in the LC database. Also follow them when importing records one at a time; in those cases, move fields 906, 925, and 955 to the beginning of the record, as necessary.

Accept variations in field order that result from batch loading processes rather than retrieve batch loaded records individually only to move fields. See DCM B13.11 for other instructions in the context of LC copy cataloging.

C16.3 LOCAL VARIABLE DATA FIELDS—GENERAL INFORMATION

When using an existing bibliographic record to derive a new record for another resource, delete any local data fields that came from the source copy, as necessary. Input or retain only those local fields needed for the resource that the new record represents.

When importing records one at a time, assess the result of each record merger: see whether the loading process inserted duplicate local fields or inappropriate ones or failed to provide ones that are needed; take corrective action, as necessary. (See other guidelines in DCM B13.11 for handling mergers resulting from use of the Z-Processor, etc.)

Accept duplicate local fields and similar imperfections that result from batch loading processes, rather than retrieve and evaluate batch loaded records individually.

Note: Some local fields and practices described here have no current use by LC monograph and integrating resource catalogers. These guidelines identify them to clarify their presence in LC database records that catalogers will encounter, but this does not authorize their further use.

C16.4 249 FIELD: LOCAL VARYING FORM OF TITLE (R) [*Limited use*]

C16.4.1 Content Designation Summary

Local field 249 has the same indicators and subfields as defined for field 246 in *MARC 21 Format for Bibliographic Data*. LC uses only the following *indicator* values:

First Indicator – Note Controller/Title Added Entry

0 : Note, no title added entry [Only value used]

Second Indicator – Type of Title

: No information provided [Only value used]

C16.4.2 General Description and Instructions

Field 249 contains a title needed *locally* at LC as an access point.

Monograph and integrating resource catalogers: Generally do not input 249 fields in new records and do not change or delete 249 fields found in existing records.

C16.5 590 FIELD: LOCAL NOTE (R)

C16.5.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.5.2 General Description and Instructions

LC local holdings of multipart: Input a 590 field (or update an existing one) with information about LC's local holdings when the record used for *copy cataloging* a multipart item has a contents note including parts that are not held in LC (see DCM B13.7.2).

590 ## \$a LC has: pts. 1-2, 4-7 only.
(Contents note in 505 lists titles of parts 1-7.)

LC local binding practice: Record details of LC's local binding practice in field 590 when LC divides a very thick and heavy volume into parts before binding (see DCM C6).

590 ## \$a LC copy bound in 2 v.: v. 1, p. 1-1322; v. 2, p. 1323-2695.

There are records in the LC database with other, discontinued uses of field 590. Generally leave those as found but do not imitate them.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.6 591 FIELD: LOCAL "WITH" NOTE (R) *[No active use]*

C16.6.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.6.2 General Description and Instructions

Field 591, defined for local information notes when LC had two or more different resources *locally* bound together or combined on the same microfilm reel, has no active uses currently in LC bibliographic records. Do not input 591 fields in new records. Generally do not change or delete 591 fields found in existing records.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.7 592 FIELD: LOCAL ACQUISITION NOTE (R)

C16.7.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.7.2 General Description and Instructions

Field 592 contains notes with LC local acquisition information or handling instructions. Newer records created in the LC ILS generally use notes in the acquisitions module instead, but acquisitions units still input 592 field notes for some purposes.

```
592 ## $a Send loose-leaf replacement pages called "Code cases,
nuclear components" and "Code cases, boilers and
pressure vessels" unchecked to ST&B.
592 ## $a order cancelled; Blackwell's reports this title
discontinued.
```

C16.8 859 FIELD: LOCAL ELECTRONIC LOCATION AND ACCESS (R)

[Implementation in process]

C16.8.1 Content Designation Summary

Local field 859 has the same indicators and subfields as defined for field 856 in *MARC 21 Format for Bibliographic Data*.

C16.8.2 General Description and Instructions

Field 859 contains electronic location information for a resource that is not necessarily accessible from LC. It records the same information as MARC 21 field 856, but does not display electronic location information or create a Web link in the LC OPAC.

Conversion programs for LC CONSER serial bibliographic records and cataloging procedures for some Web resources initiated by LC use 859 fields.

```
859 41 $u http://www.aihw.gov.au/publications/hwe/npher98-99/
859 ## $3 The United States, Spain, and the American Frontier:
Historias Paralelas. Selections from the Library of
Congress Geography and Map Division $u
http://hdl.loc.gov/loc.hisp/esphtml.0004 $q u
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.9 890 FIELD: LC VISIBLE FILE ENTRY (R) [*Limited use*]

C16.9.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Visible file entry (NR)

i : Control number (R)

C16.9.2 General Description and Instructions

Field 890 contains a visible file entry formerly used in LC's manual Serial Record. Field 890 appears in a monograph or integrating resource record when there was a pre-ILS serial check-in record for it, such as for updating loose-leaves.

```
890 ## $a Labor law reporter ... $i 66-1961
```

LC monograph and integrating resource catalogers: Do not input 890 fields in records. Generally do not change or delete 890 fields found in existing records.

C16.10 906 FIELD: LOCAL PROCESSING DATA (NR) [*High use*]

C16.10.1 General

C16.10.1.1 Content designation summary
First and Second Indicators
: Undefined

Subfields

- a** : Distribution controller (NR)
- b** : Local record completion state (NR)
- c** : Local processing workflow (NR)
- d** : Priority (NR)
- e** : CIP/PCN flag (NR)
- f** : Century flag (NR)
- g** : Stakeholder code (NR)

C16.10.1.2 General description and instructions
Field 906 contains data supporting management of bibliographic control and processing of bibliographic records at LC.

```
906 ## $a 0 $b ibc $c orignew $d 2 $e epcn $f 20 $g y-gencatlg
906 ## $a 7 $b cbc $c copycat $d 2 $e ncip $f 20 $g y-genmusic
906 ## $a 0 $b acq $c acqwork $d u $e ncip $f 20 $g z-acqworks
```

C16.10.2 Subfields

C16.10.2.1 \$a Distribution controller (NR)
Subfield \$a contains a code that controls whether the Cataloging Distribution Service distributes the record outside LC or not. Codes include the following:

- 0** : Do Not Distribute Record
- 7** : Distribute Record
- p** : Never Distribute Record

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.2 \$b Local record completion state (NR)
Subfield \$b contains a code that indicates the state of the record with respect to whether its cataloging has been completed or not. Alternatively, it identifies some records created in support of a function other than cataloging. Codes include the following:

- acq** : Acquisition Support Record
- acc** : Accession Record
- bbc** : Basic Bibliographic Control (*Serials only*)

- cbc** : Completed Bibliographic Control

cbu : Completed Bibliographic Control (Unverified)
cir : Circulation Support Record
ibc : Initial Bibliographic Control
par : Partial Bibliographic Control (*Serials only*)
rip : Revised CIP Cataloging/Revised CIP Data
rix : Revised CIP Cataloging/No Revised CIP Data
vip : CIP Verification in Process
und : Undetermined

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.3

\$c Local processing workflow (NR)

Subfield \$c contains a code that indicates the "cataloging stream" in which the record was created or a subgroup that Stats-O-Matic needs to count for statistics. Codes include the following:

acqwork : Acquisition Processing Stream
copycat : LC Copy Cataloging Stream
gpocoop : GPO Cooperative Cataloging Stream (*Obsolete*)
muzenew : Compact Disc Workflow
nccpada : NCCP Adapt
nccpuna : NCCP Unadapt
nucmaps : NUC Maps Stream
oclrpl : OCLC Replacement Record
origcop : LC Copied from LC
orignew : LC Original Cataloging
origode : LC Original ODE Cataloging
origres : LC Original Resource-File-Based Cataloging
pccadap : PCC Adapted Cataloging
pccunad : PCC Unadapted Cataloging
premunv : PREMARC Unverified Record
premver : PREMARC Verified Record
serasst : Non-CONSER Copy (began to be used with Stats-O-Matic)
sercoop : CONSER Copy (began to be used with Stats-O-Matic)
serials : Serial Bibliographic Record (used before Stats-O-Matic; after Stats-O-Matic implementation, used if no other serial code applies)
serissn : ISSN Record Created/serial not selected or not yet selected by LC (began to be used with Stats-O-Matic)
serorig : Originally Cataloged Serial (began to be used with Stats-O-Matic)
serlocs : SERLOC Serial Control Record
serprem : PREMARC Serial Record
srrepla : Sound Recording Replacement

undeter : Undetermined

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.4 *\$d Priority (NR)*
Subfield \$d contains the priority assigned to the processing of the resource. Codes include the following:

- 1** : Priority 1
- 2** : Priority 2
- 3** : Priority 3
- 4** : Priority 4
- 5** : Priority 5 (*No longer assigned*)
- u** : Undetermined

C16.10.2.5 *\$e CIP/PCN flag (NR)*
Subfield \$e contains a code indicating whether LC's Cataloging in Publication (CIP) or Preassigned Card Number (PCN) programs created the record. Codes include the following:

- ecip** : Originally an electronic CIP record
- epcn** : Originally an electronic PCN record
- ncip** : Not originally either a CIP or PCN record
- ocip** : Originally a CIP record
- opcn** : Originally a PCN record
- unde** : Undetermined

C16.10.2.6 *\$f Century flag (NR)*
Subfield \$f contains a code indicating the century of the year portion of the LCCN that appears in field 010, subfield \$a, of the record. This resolves ambiguity in LCCNs with two digits in the year portion of the number. Always include subfield \$f in field 906, even when the LCCN has a four-digit year portion. Codes include the following:

- 18** : 1800-1899
- 19** : 1900-1999
- 20** : 2000-2099

C16.10.2.7 *\$g Stakeholder code (NR)*

C16.10.2.7.1 **General**
Subfield \$g contains a two-part code consisting of a one-letter maintenance prefix separated by a hyphen from an eight-letter stakeholder code.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.7.2 **Maintenance prefixes**

The maintenance prefix indicates whether or not to do maintenance of the record completely within the LC ILS system; this depends on where the “master” bibliographic record resides. Prefixes include the following:

n- : This prefix indicates staff do not do maintenance completely within the LC ILS, usually because the “master” record is in another system (for example, LC CONSER serials in OCLC) and staff do maintenance there.

y- : This prefix indicates staff do maintenance completely within the LC ILS according to established guidelines.

z- : This prefix indicates cataloging staff do not do maintenance, because the record supports a function other than cataloging (for example, acquisitions).

Nonroman record maintenance: Follow the instructions in DCM M3.3.2.5 for maintaining monograph records with data in nonroman scripts, regardless of whether 906 \$g has “n-rlinjack,” “y-rlinjack,” or “y-nonroman” (see C16.10.2.7.3). *Nonroman cataloging staff* change code “n-rlinjack” in 906 \$g to “y-rlinjack” if they update the record. Other staff do not change the 906 \$g code in that way if they update the record (only fields that do not have nonroman script or subfield \$6; see DCM M3.3.2.5).

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.7.3

Complete Stakeholder Codes

The eight-letter stakeholder code indicates the service area that has main responsibility for the bibliographic record. Combinations of maintenance prefixes and stakeholder codes currently authorized for use include the following:

ilsserca :	See z-ilsserca
n-geogmaps :	Geography and Map Division, LC Local <i>(Obsolete)</i>
n-oclserc :	Serial Record Division, LC CONSER
n-rlinjack :	Bibliographic Access Divisions, JACKPHY Record Maintained in RLIN 21 until August 18, 2007
n-undeterm :	Stakeholder Undetermined, No Regular Maintenance
y-folklife :	American Folklife Center
y-gencatlg :	Bibliographic Access Divisions, General Cataloging
y-gencompf :	Bibliographic Access Divisions, Computer Files/Microforms Team
y-genmicro :	Bibliographic Access Divisions, Computer

	Files/Microforms Team
y-genmusic :	Bibliographic Access Divisions, Music Teams
y-genrareb :	Bibliographic Access Divisions, Rare Book Team
y-geogmaps :	Geography and Map Division
y-ilsjacph :	Bibliographic Access Divisions, JACKPHY (Record Maintained in LC ILS)
y-ilsserca :	Serial Record Division, LC Non-CONSER (Record NOT Created/Maintained in OCLC, but Subject to Regular Maintenance)
y-manuscri :	Manuscript Division
y-movingim :	MBRS Moving Image
y-nonroman :	Bibliographic Access Divisions, Nonroman Record Maintained in LC ILS (since August 20, 2007)
y-printpho :	Prints and Photographs Division
y-rlinjack :	Bibliographic Access Divisions, JACKPHY Record Maintained in LC ILS (since August 20, 2007)
y-soundrec :	MBRS Recorded Sound
y-undeterm :	Stakeholder Interest Undetermined, Regular Maintenance
z-acqworks :	Acquisitions Directorate
z-cadworks :	Copyright Acquisitions Division (CAD)
z-ilsserca :	Serial Record Division, LC Local Serials Acquisition Control (Record NOT Subject to Regular Maintenance)
z-noregmai :	No Regular Maintenance

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.11 920 FIELD: LOCAL SELECTION DECISION (NR) *[No active use]*

C16.11.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Selection decision (R)

C16.11.2 General Description and Instructions

Field 920 has no active uses now in LC bibliographic records. In the past, LC used 920 fields for selection information. Input selection information in 925 fields in new records. Generally do not change or delete 920 fields found in existing records. Do not do maintenance in 920 fields; instead, record new or changed selection information in field 925. Generally do not create a new 925 field for the same selection decision as in a 920 field that is already present in the record.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.12 922 FIELD: LOCAL BOOK SOURCE (NR) *[No active use]*

C16.12.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Book source acquisition information (R)

C16.12.2 General Description and Instructions

Field 922 has no active uses currently in LC bibliographic records. In the past, LC used field 922 for a code indicating source of material. Do not input new 922 fields. Generally do not change or delete 922 fields found in existing records.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.13 923 FIELD: LOCAL SUPPLIER INVOICE OR SHIPMENT ID (R)

C16.13.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Additional information (R)

d : Formatted date (NR)

n : Shipment/invoice number (NR)

s : Supplier (NR)

C16.13.2 General Description and Instructions

Field 923 contains local shipment and invoice information. Generally LC cataloging staff are not involved with inputting 923 fields. Do not change or delete 923 fields found in existing records.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14 925 FIELD: LOCAL SELECTION DECISION (R) [*High use*]

C16.14.1 General

C16.14.1.1 Content designation summary

First Indicator–Current Decision

- 0** : Current decision
- 1** : Former decision

Second Indicator

- #** : Undefined

Subfields

- a** : Selection decision for LC (NR)
- b** : Number of shelf copies/sets desired (NR)
- c** : Acquisition conditions (NR)
- d** : Disposition of unwanted material with outside agency (R)
- e** : Comment related to selection decision (R)
- h** : Custodial division (R) (*Only in Copyright records*)
- x** : Responsibility for selection decision (NR)
- y** : Office copy request (R)
- z** : Reference assignment request (R)

C16.14.1.2 General description and instructions

Field 925 contains information related to the selection of the resource for LC use. This field is mandatory in new bibliographic records that represent *published* resources, but not in those for resources that are unique, such as manuscripts and rare books.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2 Subfields

C16.14.2.1 \$a Selection decision for LC (NR)

Subfield \$a contains a standard statement of the decision to retain the resource or not in LC. It is mandatory in all 925 fields. Standard statements include the following:

- acquire** : LC retains shelf copies of the resource.
- do not acquire** : LC does not retain shelf copies of the resource.
- undetermined** : LC has not received the resource and it is not possible to make a decision prior to receipt.

```
925 0# $a acquire $b 2 shelf copies $x policy default
925 0# $a do not acquire $d NLM $x Sel Off
925 0# $a undetermined $x ers beonline+
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.2

\$b Number of shelf copies/sets desired (NR)

Subfield \$b contains a statement of the number of copies of the resource LC has decided to retain. It is mandatory when subfield \$a has an “acquire” decision and is absent when subfield \$a has “do not acquire” or “undetermined.” The statement is in the form shown in the following examples:

```
925 0# $a acquire $b 1 shelf copy ...
925 0# $a acquire $b 2 shelf copies ...
925 0# $a acquire $b 3 shelf copies ...
etc.
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.3

\$c Acquisition conditions (NR)

Subfield \$c contains a statement of any conditions on how a resource may be acquired.

```
925 0# $a acquire $b 1 shelf copy $c if unable to acquire via
copyright, then purchase ...
925 0# $a acquire $b 2 shelf copies $c Copy 2 reported missing in
inventory 04-15-1998; do not replace by purchase per
HSS (ejj) ...
```

C16.14.2.4

\$d Disposition of unwanted material with outside agency (R)

Subfield \$d contains an identification of an agency outside LC to which resources not wanted in LC are to be sent.

```
925 0# $a do not acquire $d NAL ...
925 0# $a do not acquire $d NLM ...
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.5

\$e Comment related to selection decision (R)

Subfield \$e contains a note with information concerning the selection decision that is not better recorded in another subfield of field 925.

```
925 0# $a acquire $b 1 shelf copy $e changed from do not acquire,
6-23-2004 ...
```

C16.14.2.6

\$x Responsibility for selection decision (NR)

Subfield \$x contains a statement of who is responsible for making the selection decision recorded in subfield \$a. Subfield \$x is mandatory in all 925 fields. The statement of who is responsible takes one of the following forms (preferably followed by a date):

“policy default” : if the decision is based on general LC policy and

no selection officer made the decision actively

925 0# \$a acquire \$b 2 shelf copies \$x policy default

initials : if a selection or recommending officer made or changed a decision

925 0# \$a acquire \$b 1 shelf copy \$x jpm 2005-02-14
925 0# \$a do not acquire \$x sh98 2005-01-10

“Sel Off” : if a selection or recommending officer made or changed a decision but the initials cannot be recorded for some reason.

925 0# \$a acquire \$b 1 shelf copy \$x Sel Off 2003-08-21
925 0# \$a do not acquire \$d NLM \$x Sel Off

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.7

\$y Office copy request (R)

Subfield \$y contains a statement alerting staff to assign an extra copy (beyond the number of shelf copies retained in LC, as recorded in subfield \$b) to an LC office unit that has requested one. Name the requesting unit and the requester in the statement (preferably followed by a date).

925 0# \$a acquire \$b 1 shelf copy \$x LS 04-15-99 \$y o-APLO,
S.Hayduchok, 07-22-99
925 0# \$a acquire \$b 1 shelf copy \$x policy default \$y o-RCCD,
Crego \$z r-AMED, Avdoyan

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.8

\$z Reference assignment request (R)

Subfield \$z contains a statement alerting staff to assign an extra copy (beyond the number of shelf copies retained in LC, as recorded in subfield \$b) to an LC reference collection that has requested one. Name the requesting reference location and the requester in the statement (preferably followed by a date).

925 0# \$a acquire \$b 2 shelf copies \$x policy default \$z r-MRR
BIOG, J. Robinson, 07-29-00
925 0# \$a acquire \$b 1 shelf copy \$x policy default \$z jr
20020328 reference copy for r-MRR

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.15 952 FIELD: LOCAL CATALOGER'S PERMANENT NOTE (R)

C16.15.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Cataloger's note (NR)

C16.15.2 General Description and Instructions

Field 952 contains information primarily of interest to cataloging staff, often concerning sources consulted during cataloging or modifications that were made or should be made in an existing record. LC staff working in RLIN 21 input cataloger's notes in RLIN 21 field 902 (Local data element), which converts to field 952 in the LC ILS.

See DCM B9 for instructions on using 952 fields and cataloger's permanent notes in LC bibliographic records. (CPSO will re-evaluate DCM B9 and C16.15 at a later date and consider combining them in the same document when LC issues a new series of cataloging documentation.)

C16.16 955 FIELD: LOCAL TRACKING INFORMATION (R) [*High use*]

C16.16.1 General

C16.16.1.1 Content designation summary

First and second indicators

: Undefined

Subfields

- a** : IBC processing/other forwarding or tracking information (R)
- b** : [*Unused subfield*] (R)
- c** : Descriptive cataloging tracking information (R)
- d** : Subject cataloging tracking information (R)
- e** : Shelflisting/end-stage processing tracking information (R)
- f** : CIP verification tracking information (R)
- g** : CIP verification end-stage processing tracking information (R)
- h** : MLC tracking information (R)
- i** : Whole item cataloging tracking information (R)
- j** : ISSN pre-publication assignment tracking information (R)
[Serial Record Div. only]
- k** : ISSN post-publication assignment tracking information (R)
[Serial Record Div. only]
- l** : Holdings conversion and inventory tracking information (R)
[Serial Record Div. only]
- m** : Bibliographic record cancellation tracking information (R)
[Serial Record Div. only]

C16.16.1.2 General description and instructions

LC staff input *charge statements* in field 955 (see C16.16.1.3) in order to record tracking information of two kinds:

- 1) locations of items that are in process (see C16.16.2);
- 2) completion of specific functional aspects of the cataloging process (see C16.16.5)

For the latter, field 955 has separate subfields \$c-\$m defined for different stages of the cataloging workflow that have been completed (see C16.16.6 in the full official DCM C16). Acquisitions and Bibliographic Access Directorate (ABA) managers derive statistical reports from data in those subfields. Units outside ABA, especially those with incompatible workflows, do not use these functional aspect tracking subfields.

Although field 955 is repeatable, use one 955 field for main tracking information in a record. Input additional, temporary 955 fields for special added copy and added volume forwarding procedures (see C16.16.3 and C16.16.4).

C16.16.1.3 *Field 955 charge statements*

In each 955 charge statement, input the following mandatory elements in the following order:

- 1) a four-character alpha/numeric staff or team code;
- 2) the date in the form **yyyy-mm-dd**.

Following those, when appropriate, also input:

- 3) forwarding or action information, usually about where the item was sent and why it was sent there.

```
... jg00 2004-01-14 ...  
    (Code with "00" indicates a team rather than an individual)  
... ta05 2001-07-15 to HLCD for subject ...  
... jp14 2005-01-26 to Dewey ...
```

Generally input different charge statements in separate subfields and do not also input semicolons for separation.

```
955 ## $a jg02 2003-01-08 $c jg02 2003-01-08 to subj. $d jg16  
2003-01-14 $e jg08 2003-01-14 to Dewey  
    (Current practice in ABA bibliographic access units)
```

Input 955 charges in chronological order of processing, *not* necessarily in alphabetical order by subfield codes.

```
... $d xz05 2005-04-11 $c xz07 2005-04-13 ...  
    (Someone did subject cataloging first; then someone else  
    did descriptive cataloging afterward)
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.16.2 **Tracking Locations of In-Process materials**

Location information in a 955 field charge represents either:

- 1) the location IN which an action is done or which accepts the item in custody—represented by the staff/team code at the *beginning* of the charge statement; or
- 2) the location TO which an item is sent for processing, custody, assistance, etc.—represented by “to” and an identification of the destination (for example, “to Dewey”) at the *end* of the charge statement.

Input the latter (that is, a “to” location) when discharging an item from your team and sending it to another unit. It is not mandatory to track “to” locations between different persons or actions in the same team (for example, “to shelflisting”); but individuals and teams *can* track those optionally if they consider it useful to do so.

- ... \$e jj93 2005-03-16 to Dewey
(After end-stage processing, someone **mandatorily** tracked forwarding the item out for Decimal classification)
- ... \$d jj10 2005-02-07 to shelflisting ...
(After subject cataloging, someone **optionally** tracked forwarding the item for shelflisting in the same team)
- ... \$d zq03 2005-04-06 \$e zq99 2005-04-11 to BCCD
(After subject cataloging, someone did not track forwarding the item for shelflisting in the same team; after shelflisting/end-stage processing, someone **mandatorily** tracked forwarding the item out to BCCD)

See DCM B5 Appendix 1 (section B5.6.3.3) for guidelines on when to charge monographs and integrating resources that are in process and who should charge them. See DCM B6 for guidelines on referring items for cataloging assistance. Follow the instructions here in DCM C16.16, however, regarding format and content of charge statements.

Examples

- 955 ## \$a oe05 2003-06-18 to SSCD \$a sb00 2003-06-27
(An acquisitions unit received the item and forwarded it for processing; a team charged it in)
- 955 ## \$a ok23 2002-12-24 to ASCD \$a jf00 2003-01-14 \$a jf02
2003-12-15 to SerCat
(An acquisitions unit received the item and forwarded it for processing; a team charged it in; someone in that team discharged it and forwarded it as a possible serial)

C16.16.3 Tracking Added Copies

An “added copy” in these instructions is a copy of a resource received after another copy has already moved forward for processing (as tracked in the record’s first 955 field). Track the receipt and forwarding of an added copy or copies in an additional, temporary 955 field with a forwarding message as shown in the following example:

- 955 ## \$a pc14 2001-05-16 \$a pv06 2002-06-10 to SSCD \$c sh27
2004-02-12
- 955 ## \$a pv10 2002-08-03 ADDED COPIES: another copy to SSCD

Delete temporary 955 fields for added copies at end-stage processing.

C16.16.4 Tracking added volumes

An “added volume” in these instructions is a part of a resource received after some other part(s) already moved forward for processing (as tracked in the record’s first 955 field). Track the receipt and forwarding of added volumes in additional, temporary 955 fields with forwarding messages as shown in the following example:

- 955 ## \$a pv06 2003-09-22 to ASCD \$a jf00 2003-10-01 \$c jf03
2003-11-22
- 955 ## \$a pv11 2004-01-28 ADDED VOLS: v. 2 to ASCD
- 955 ## \$a px02 2004-02-04 ADDED VOLS: v. 3 to ASCD

Delete temporary 955 fields for added volumes at end-stage processing and incorporate tracking into the permanent 955 field for the volumes that were added, as shown in the following example:

```
955 ## $a pv06 2003-09-22 to ASCD $a jf00 2003-10-01 $c jf03
      2005-03-22 $a jf16 2004-03-04 v. 2-3 added
      (Temporary 955 fields with "ADDED VOLs:" deleted)
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.16.5 Tracking Functional Aspects of Cataloging

When you complete a function in the cataloging workflow, input a charge (per C16.16.1.2-C16.16.1.3) in the 955 functional aspect subfield corresponding to it (see information on subfields \$c-\$m in C16.16.6 in the full official DCM C16). Also give forwarding information or not per C16.16.2.

When one person completes multiple functions, input an “umbrella” subfield combining those functions if one exists (for example, subfield \$i) and is applicable. If there is no applicable “umbrella” subfield, input multiple subfields for all the functions that the person completed.

```
... $i cc17 2005-01-16 $e cc93 2005-01-18 ...
not ... $c cc17 2005-01-16 $d cc17 2005-01-16 $e cc93 2005-01-18 ...
      (The same person did whole item cataloging, that is,
       descriptive and subject cataloging)

... $c xz07 2005-04-07 $d xz05 2005-04-11 $e xz05 2005-04-11 ...
      (The same person did subject cataloging and also
       shelflisting and end-stage processing)
```

There are *no* 955 subfields for the following, which may occur in the cataloging process:

- 1) Decimal classification
- 2) Review

Examples

```
955 ## $a oe17 2004-04-19 to SSCD $a sb00 2004-04-30 $i sb15
      2004-05-14 $e sb21 2004-05-20 to Dewey
      (An acquisitions unit received an item and forwarded
       it for processing; a cataloging team charged it in;
       someone did whole item cataloging; someone did
       shelflisting/end-stage processing; the last person
       discharged the item and forwarded it for Decimal
       classification)

955 ## $a pc21 2002-04-09 to SSCD $c sf02 2002-04-10 $a sf11
      2002-04-19 to HLCD $d le03 2002-04-23 $e le02 2002-04-23
      to Dewey $a aa03 2002-04-23 $a pv24 2002-12-18 bk
      rec'd, to CIP ver. $f le28 2003-06-03 $g le28 2003-06-03
      to BCCD
```

DESCRIPTIVE CATALOGING MANUAL Concise C16 Page 23
The LC Local Bibliographic Record and Local Data Fields *rev. November 2007*
Concise Version

(A CIP Division team received a CIP galley and forwarded it for cataloging; someone did descriptive cataloging; someone else charged the CIP galley out of that team and forwarded it to another division for subject cataloging; other people did subject cataloging and shelflisting; the last person discharged the CIP galley and forwarded it for Decimal classification; someone did Decimal classification; a CIP Division team received the item matching the CIP pre-publication record; someone did CIP verification and CIP verification end-stage processing, then discharged the item and forwarded it to BCCD)

955 ## \$a pc10 2003-09-10 \$a pv12 2004-06-23 to sscd \$h sj05
2004-11-30 \$e sj05 2004-11-30 to shelf

(A CIP Division team created a preassigned control number record; another team received the item and forwarded it for processing; someone did minimal level cataloging and end-stage processing; the same person discharged the item and forwarded it for shelving)

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.17 963 FIELD: LOCAL RELATED CIP OR PCN DATA (R)

C16.17.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Publisher contact name/phone (R)

b : Miscellaneous note (R)

c : Congressional loan legend (R)

C16.17.2 General Description and Instructions

Field 963 contains temporary data used in CIP and PCN records. Delete this field when the published item is received and CIP verification is done, that is, at the same time as deleting field 263 (Projected Publication Date).

If field 963 has “CONGRESSIONAL LOAN” in subfield \$c, complete processing at the highest level of priority and hand carry the item through the stages in its workflow, according to team or division practice.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.18 984 FIELD: LOCAL SHEFLIST COMPARE STATUS (R)

C16.18.1 General

C16.18.1.1 Content designation summary
First and Second Indicators
: Undefined

Subfields

a : Comparison file (NR)

csl : Cartographic materials (G&M) card shelflist
gsl : General card shelflist
lars : LARS binding prep database
lbsl : Law binding shelflist
lsl : Law Library card shelflist
lmlx : Law Microlinx
ncf : Newspaper microfilm card file
rsl : Rare Book shelflist
sr3x5 : Serial Record 3 x 5 file
srmf : Serial Record microform file
srssl : Serial Record sheet shelflist
srvf : Serial Record visible file

b : Note (NR)

d : Date of comparison (**yyyy-mm-dd**) (NR)

C16.18.1.2 General description and instructions

Field 984 indicates that LC staff or contractors have compared a bibliographic record's holdings and/or item records with data from an LC manual inventory file, completing Shelflist Compare (see *Subject Cataloging Manual: Shelflisting, ILS Supplement*, Appendix A: <http://www.loc.gov/staff/catdir/cpso/SCMSLApA.html>) or procedures for another local file.

Do not delete a 984 field found in an existing record. Do not add or modify a 984 field except as part of doing Shelflist Compare or another inventory file comparison procedure.

```
984 ## $a gsl
984 ## $a lsl $d 2000-07-27
984 ## $b Referred - holdings discrepancy
984 ## $a gsl $b Referred for SLC
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.19 985 FIELD: LOCAL RECORD HISTORY (R)

C16.19.1 General

C16.19.1.1 Content designation summary
First and Second Indicators
 # : Undefined

Subfields

- a** : Agency that keyed record/record history (NR)
- b** : Network used for first level keying (NR)
- c** : Network transmitting record to LC (NR)
- d** : Date record entered in original or transmitting network (NR)
- e** : Responsible LC application or project (NR)
- f** : Online cataloger maintenance [staff code] (NR)
- g** : *PREMARC* maintenance history (NR)
- h** : *PREMARC* maintenance comment (NR)

C16.19.1.2 General description and instructions

Field 985 contains information about record source, loading, and maintenance. Generally, do not delete or change a 985 field found in an existing record.

```
985 ## $c OCLC $e srreplace 2002-02
985 ## $e ODE-rj
985 ## $a DLC $e NUC
985 ## $a rarebk/pre1801 $e rbc $f cel2 ...
985 ## $a wln $c wln $e cacyrillic
985 ## $a rlin $c rlin $e marcadia
985 ## $e VENDOR LOAD
985 ## $a NLMCIP $d 2004-09-20
985 ## $e PREMARC $g enh 050dvc $h revised copy for reprint
985 ## $e ATLAS MIG
985 ## $a rarebk/bside $e ammem
```

C16.19.2 Subfield \$g *PREMARC* maintenance history (NR)

Subfield \$g contains one or more maintenance codes that indicate content designation checks, data validation, and other data enhancements that have been made on a *PREMARC* record or on specified field(s) in one.

A maintenance code appended to a MARC field tag indicates performance of maintenance on that field rather than the entire record. A fourth digit following the field tag and preceding the maintenance code identifies which of multiple occurrences of that field was the object of the maintenance activity.

Maintenance codes are as follows:

- cd** Content Designation Checked (*appended to a MARC field tag*).
- dv** Data Validated (*appended to a MARC field tag*).
- dvc** Data Validated as Current.
- enh** Enhanced.

DESCRIPTIVE CATALOGING MANUAL Concise C16 Page 27
The LC Local Bibliographic Record and Local Data Fields rev. November 2007
Concise Version

fed Full Content Designation Checked.

fdv Full Data Validated.

```
985 ## $e PREMARC $g enh
985 ## $g 650cd
985 ## $g 245dv
985 ## $g fdv
985 ## $f cj09 $g enh $h original PREMARC record lacked 260 field;
dummy field added
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.20 987 FIELD: LOCAL CONVERSION HISTORY (R)

C16.20.1 General

C16.20.1.1 Content designation summary
First and Second Indicators
: Undefined

Subfields

- a** : Romanization/conversion identifier (NR)
- b** : Agency that converted, created, or reviewed romanization/conversion (NR)
- c** : Date of conversion or review (**yyyymmdd**) (NR)
- d** : Status code (NR)
- e** : Version of conversion program used (NR)
- f** : Note (NR)

C16.20.1.2 General description and instructions

Field 987 contains temporary information about the conversion status of MARC 21 records, for purposes of the Pinyin Conversion Project and potential future conversion projects.

```
987 ## $a PINYIN $b DLC-R $d c
987 ## $a PINYIN $b CStRLIN $c 20001214 $d r $e 1.0 $f [access
not affected] See field: 500(1)
987 ## $a PINYIN $b DLC $c 20020605 $d c
987 ## $a PINYIN $b CStRLIN $c 20010109 $d c $e 1.0
987 ## $a PINYIN $b OCoLC $c 20001201 $d c
```

C16.20.2 Subfield \$d Status Code (NR)

Subfield \$d contains a mandatory code indicating the degree to which the project has converted or reviewed the information in the MARC 21 record. Status codes for the Pinyin Conversion Project are as follows:

- c** Record Fully Romanized
- n** Record Processed but Not Converted
- r** Record Requires Manual Review

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.21 991 FIELD: LOCAL LOCATION INFORMATION (R) [*Limited use*]

C16.21.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

- a : Copy location code (NR)
- b : Sublocation of collection (R)
- c : Shelving location (R)
- d : Date of location change (R)
- e : Box number (R)
- f : Oversize location (R)
- g : Location (R)
- h : Classification part (NR)
- i : Item part (R)
- k : Call number prefix (NR)
- l : Copy location code (NR)
- m : Call number suffix (NR)
- o : Item type (NR)
- p : Piece designation (NR)
- r : Item use count (NR)
- t : Copy number (NR)
- u : Volume chronology (NR)
[or, in Copyright records: URL for electronic copy (R)]
- v : Volume enumeration (NR)
- w : Source file (NR)
- x : Nonpublic note (R)
[or, in Copyright records: Retention (R)]
- y : Item record note (R)
- z : Public note (R)
[or, in Copyright records: Person responsible (R)]

C16.21.2 General Description and Instructions

Field 991 contains local location information used to generate holdings records in the LC ILS database. Many 991 fields are leftovers from migration to the LC ILS. There are some current uses, such as by the Geography and Map Division, some reference collections, and LC's overseas and Copyright offices. Staff involved in those have authorization and training to input and change 991 fields. Otherwise, generally do not input field 991 in new records and do not change or delete 991 fields found in existing records.

```
991 ## $b c-GenColl $h PN4784.R4 $i R58 1988 $t Copy 1 $w BOOKS
991 ## $b c-GenColl $h PN4784.R4 $i R58 1988 $p 00034721531 $t
Copy 2 $w CCF
991 ## $b r-MRR $h JF51 $i .B583 2004 $t Copy 1 $m Ref Desk $w
GenBib
991 ## $b c-GenColl $o am $p 00118308736
(Record created by an LC overseas office)
991 ## $b c-G&M $h G3804.N4:3Q4 1989 $i .H3 $t Copy 1 $w MAPS
```


C16.22 992 FIELD: LOCAL LOCATION INFORMATION (R) [*Limited use*]

C16.22.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

- a : Location (NR)
- b : Sublocation of collection (R)
- c : Shelving location (R)
- h : Classification part (NR)
- i : Item part (R)
- k : Call number prefix (NR)
- m : Call number suffix (NR)
- o : Item type (NR)
- p : Piece designation (NR)
- r : Item use count (NR)
- t : Copy number (NR)
- u : Volume chronology (NR)
- v : Volume enumeration (NR)
- w : Source file (NR)
- x : Nonpublic note (R)
- y : Item record note (R)
- z : Public note (R)

C16.22.2 General Description and Instructions

Field 992 contains local routing and temporary location information extracted from LC's former ACQUIRE and SERLOC files. It does not generate holdings records in the LC ILS database but only stores the migrated data. Do not input field 992 fields in new records. Generally do not change or delete 992 fields found in existing records.

```
992 ## $a SECT L EURR $w ACQUIRE
992 ## $a Unckd LL $h KF1155.C59 $k LLAB Loose $w SERLOC
```

C16.23 LEADER, 008, AND 006 FIELDS

The Leader, 008, and 006 fields are standard MARC 21 fields. See the following resources for most information on Leader, 008, and 006 elements and their coded values:

- 1) LC ILS dialog boxes with drop-down menus listing coded values for Leader, 008, and 006 elements;
- 2) *MARC 21 Concise Format for Bibliographic Data*, available via the Internet (<http://www.loc.gov/marc/bibliographic/ecbdhome.html>);
- 3) *MARC 21 Format for Bibliographic Data*, available in *Cataloger's Desktop* and in print.

The following guidelines give only key advice for using Leader, 008, and 006 values in the context of LC bibliographic records for monographs and integrating records.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.23.1 Leader

Type of record (Leader/06) and bibliographic level (Leader/07): See DCM M3.3.5 for restrictions and guidelines on changing type of record (Leader/06) in an existing record. See DCM M3.3.6 for restrictions and guidelines on changing bibliographic level (Leader/07) in an existing record.

Descriptive cataloging form (Leader/18): Use Leader/18 value “a” (“AACR2”) in new, original cataloging; record templates have that pre-coded. Generally leave any other value as found in older LC database records based on rules before AACR2, unless deliberately recataloging a record (for example, a still incomplete record created under earlier rules) to comply *completely* with AACR2. Do not change the Leader/18 value only because headings in the record have been updated to AACR2 forms.

C16.23.2 008 Field

Modified record (008/38): Do not use 008/38 values “d,” “s,” or “x” in new LC bibliographic records.

Cataloging source (008/39): Use 008/39 value “#” (“national bibliographic agency”) in new LC original bibliographic records; record templates have that pre-coded. Accept other values as found in cataloging copy imported from sources outside LC, except change code “u” to “d.”

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.23.3 006 Field in LC Integrating Resource Records

These guidelines address one use of field 006 in LC records for integrating resources, to record some data that cannot be entered in the 008 field. LC integrating resource catalogers input values for some 006 field elements and leave others uncoded.

More information is available in the full official DCM C16 on the CPSO staff home page.

<i>Position</i>	<i>Element</i>	<i>Instruction for LC Integrating Resources</i>
006/00	Form of material	Open 006 dialog box and select the "Serial/Integrating" tab (= code "s" in 006/00).
006/01	Frequency	Use MARC 21 code.
006/02	Regularity	Do not code. Accept prompted "no attempt to code."
006/03	ISSN center	Do not code. Accept prompted "no attempt to code."
006/04	Type of continuing resource	Use MARC 21 code: d : Updating database 1 : Updating loose-leaf w : Updating Web site
006/05	Form of original item	Do not code. Accept prompted "no attempt to code."
006/06	Form of item	<i>Updating database or updating Web site:</i> Use MARC 21 code "s" ("electronic") <i>Updating loose-leaf:</i> Do not code. Accept prompted "no attempt to code."
006/07	Nature of entire work	Do not code. Accept prompted "no attempt to code."
006/08-10	Nature of contents	Do not code. Accept prompted "no attempt to code."
006/11	Government publication	Do not code. Accept prompted "no attempt to code."
006/12	Conference publication	Do not code. Accept prompted "no attempt to code."
006/13-15	<i>[Unused]</i>	
006/16	Original alphabet	Do not code. Accept prompted "no attempt to code."
006/17	Entry convention	Use MARC 21 code "2" ("integrating entry").

TABLE OF CONTENTS

M3.1	SUMMARY	3
M3.2	GENERAL GUIDELINES ON MODIFYING RECORDS	4
M3.2.1	Basic Policy	4
M3.2.2	Basic Procedure	4
M3.3	BIBLIOGRAPHIC RECORD MAINTENANCE	5
M3.3.1	Distribution Of Responsibility For Maintenance	5
<i>M3.3.1.1</i>	<i>Determining eligibility</i>	<i>5</i>
<i>M3.3.1.2</i>	<i>Determining responsibility</i>	<i>6</i>
<i>M3.3.1.3</i>	<i>Distributing workload</i>	<i>9</i>
M3.3.2	Guidelines For Doing Record Maintenance	9
<i>M3.3.2.1</i>	<i>Heading maintenance guidelines</i>	<i>9</i>
<i>M3.3.2.2</i>	<i>CIP pre-publication record modification guidelines</i>	<i>10</i>
M3.3.2.2.1	General procedures	10
M3.3.2.2.2	Notification of CIP pre-publication changes	11
<i>M3.3.2.3</i>	<i>Specific elements</i>	<i>12</i>
<i>M3.3.2.4</i>	<i>Call numbers</i>	<i>13</i>
<i>M3.3.2.5</i>	<i>Maintaining monograph records with nonroman data</i>	<i>13</i>
M3.3.3	Maintaining Less-Than-Full Records	13
M3.3.4	Canceling Records	14
<i>M3.3.4.1</i>	<i>Inputting cancellation message</i>	<i>14</i>
<i>M3.3.4.2</i>	<i>Retrieving items in LC collections</i>	<i>14</i>
<i>M3.3.4.3</i>	<i>Tracking canceled LCCN</i>	<i>15</i>
<i>M3.3.4.4</i>	<i>Transferring holdings data and item records</i>	<i>15</i>
<i>M3.3.4.5</i>	<i>Preparation for re-labeling</i>	<i>15</i>
<i>M3.3.4.6</i>	<i>Deleting record or requesting deletion</i>	<i>15</i>
<i>M3.3.4.7</i>	<i>Referrals for record cancellation</i>	<i>16</i>
M3.3.5	Changes In Type Of Record (Leader/06)	16
<i>M3.3.5.1</i>	<i>General</i>	<i>16</i>
<i>M3.3.5.2</i>	<i>Exceptional changes permitted in bibliographic Leader/06</i>	<i>16</i>
M3.3.6	Changes In Bibliographic Level (Leader/07)	18

M3.4	AUTHORITY RECORD MAINTENANCE	18
M3.4.1	Distribution Of Responsibility For Maintenance	18
<i>M3.4.1.1</i>	<i>Determining eligibility</i>	18
<i>M3.4.1.2</i>	<i>Determining responsibility</i>	18
<i>M3.4.1.3</i>	<i>Distributing workload</i>	19
M3.4.2	Guidelines For Doing Record Maintenance	19
<i>M3.4.2.1</i>	<i>Coding records as "Being updated"</i>	19
<i>M3.4.2.2</i>	<i>Specific elements</i>	19
M3.4.3	Canceling Records	19
<i>M3.4.3.1</i>	<i>Inputting cancellation message</i>	20
<i>M3.4.3.2</i>	<i>Tracking canceled LCCN</i>	20
<i>M3.4.3.3</i>	<i>Deleting record or requesting deletion</i>	20
<i>M3.4.3.4</i>	<i>Determining and expediting needed database maintenance</i>	21
M3.4.4	Changing Kind Of Authority Record	21
M3.5	APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS	22
M3.5.1	General	22
M3.5.2	Procedure	22
M3.6	APPENDIX 2: FORMER UPGRADING PROCEDURES	23
M3.6.1	Upgraded Less Than Full Records	23
M3.6.2	Inactive CIP Records	23

Bibliographic and Authority Database Maintenance in the LC ILS November 2007

M3.1 SUMMARY

DCM M3 presents guidelines for maintaining bibliographic records and name, title, and name/title authority records in the LC ILS database. It does not explain all reasons why record and database maintenance may be necessary; those depend on cataloging guidelines (LCRIs, DCM, etc.) and on practical circumstances. It provides policies for carrying out LC ILS database maintenance once the need to do so has been determined. Although some staff use OCLC to do LC record maintenance, this document chiefly addresses maintenance done in the LC ILS system. Principal guideline topics are modifying records for maintenance purposes (M.3.3.1-M3.3.3, M3.4.1-M3.4.2), canceling records (M3.3.4, M3.4.3), and changes to bibliographic or authority records due to changes in cataloging approach (M3.3.5-M3.3.6, M3.4.4).

Note: Beginning in June 2006, LC catalogers do not maintain series authority records.

For guidelines on maintaining subject heading and classification authority records and subject elements in bibliographic records, see *Subject Cataloging Manual (SCM)*, with special attention to the following:

<i>SCM D 240</i>	Subject Heading Corrections in MARC Bibliographic Records
<i>SCM D 241</i>	MARC Call Number Changes
<i>SCM F 50</i>	Classification Proposals
<i>SCM H 193</i>	Changing a Heading or Deleting a Subject Authority Record
<i>SCM: Shelflisting (ILS Supplement), Workflow #20</i>	Changing Call Numbers (http://www.loc.gov/staff/catdir/cps0/WF20.PDF)

Note: When the planned ABA reorganization occurs, see the CPSO staff home page for timely information on where to send bibliographic record maintenance referrals in the new organization.

M3.2 GENERAL GUIDELINES ON MODIFYING RECORDS

M3.2.1 Basic Policy

Do maintenance as necessary in bibliographic and authority records in the LC ILS database in accordance with cataloging instructions and procedures used in LC (such as LCRIIs), workflows and operational decisions of LC divisions and units, and cataloger's judgment about the necessity and priority of maintenance for serving user's needs and LC's mission goals.

Apply guidelines in M3.3.1 and M3.4.1 to determine whether to perform record maintenance yourself or refer it to another unit/individual with appropriate expertise and/or resources to do it. Use the procedure in M3.2.2 when modifying any records within the LC ILS. Restrict modifications of certain record elements as instructed in M3.3.2, M3.3.5-M3.3.6, M3.4.2, and M3.4.4.

M3.2.2 Basic Procedure

Follow these steps when modifying any bibliographic or authority record in the LC ILS:

- 1) Change (add, delete, replace, or move) data in the record as necessary by any of the appropriate available mechanisms (manual keying, cut and paste, record import and merge, macros, etc.).
- 2) Input "\$d DLC" at the end of field 040 if that is not already the last subfield there.
- 3) Save the modified record in the LC ILS database (that is, "boat" it).
- 4) **Apply Validator** to the saved record in order to identify certain basic errors or confirm their absence (see DCM M7).
- 5) Correct any errors discovered in step 4, then repeat steps 3-4.

Exceptions: Some LC staff do bibliographic and authority record maintenance in the OCLC system as part of special workflows. Those staff follow the procedures for bibliographic and authority record maintenance there and have training and authorizations to do so.

M3.3 BIBLIOGRAPHIC RECORD MAINTENANCE

Note: When the planned ABA reorganization occurs, see the CPSO staff home page for timely information on where to send bibliographic record maintenance referrals in the new organization.

M3.3.1 Distribution Of Responsibility For Maintenance

Background: Your individual LC ILS authorization profile determines what kinds of records you *can* modify in the LC ILS system: bibliographic records, authority records, holdings records, etc. Authorization to modify *any* records of a given type in the LC ILS gives you the ability to modify *all* records of that type there. Therefore, exercise judgment and respect stakeholders' interests when using this ability.

Address the following decision points in the following order when determining whether *you* should carry out modifications in a particular record yourself or refer it elsewhere for maintenance:

- 1) Eligibility** Is this record eligible for modification *within the LC ILS system*?

- 2) Responsibility** Is doing maintenance in this record *in scope for your work expertise and responsibilities*? Or should you *refer this record to another area with the necessary expertise* to do maintenance in it?

- 3) Workload** Do you *absorb maintenance into your (individual/unit) workload*? Or do you *refer records to CPSO* for maintenance?

***Default:* If in doubt concerning who should do maintenance on a record or group of records, refer the record(s) to CPSO Database Improvement, as instructed in M3.3.1.3.** CPSO staff will do the maintenance or refer it to a unit with the necessary expertise.

M3.3.1.1 *Determining eligibility*

Determine first whether a bibliographic record that requires maintenance is a candidate for modification *within the LC ILS system*. Consult the 906 \$g maintenance/stakeholder code and apply the instructions in the following table:

<i>906 \$g Maintenance Prefix</i>	<i>Instruction to catalogers:</i>		
n-	<p>The record is <i>not</i> eligible for maintenance modifications within the LC ILS.</p> <p><i>Background:</i> The “master” record is in another system (usually, OCLC). Staff in stakeholder units maintain the record there. CDS gets the changed record for distribution from there, not from the LC ILS database.</p> <p><i>Exception:</i> See DCM C16.10.2.7.2-C16.10.2.7.3 about code “n-rlinjack” in monograph records with data in nonroman scripts after August 20, 2007.</p>		
	<i>906 \$g code</i>	<i>Refer for maintenance to:</i>	<i>Identifies:</i>
	n-oclserc	Serial Record Division, Serials Cataloging (mail stop 4160)	LC CONSER serial bibliographic record created and maintained in OCLC
z-	<p>Do not do maintenance in the record.</p> <p><i>Background:</i> The record supports a function other than cataloging (for example, acquisitions) and staff serving that function do maintenance as necessary.</p>		
y-	<p>The record <i>is</i> eligible for maintenance modifications within the LC ILS.</p> <p>Determine next whether maintaining the record fits <i>your</i> expertise or requires referral (see M3.3.1.2). See instructions in M3.3.2.5 on maintaining monograph records with data in nonroman scripts.</p>		
<ul style="list-style-type: none"> • <i>Note:</i> If a <i>serial</i> record lacks 906 \$g, assume the code is “n-oclserc”. • <i>Note:</i> If a <i>serial</i> record has only “ilsserca” in 906 \$g, assume the code is “y-ilsserca”. • <i>Note:</i> If any other bibliographic record lacks 906 \$g and needs maintenance, refer it to CPSO. 			

M3.3.1.2

Determining responsibility

If a bibliographic record is eligible for modification within the LC ILS (see M3.3.1.1), determine next whether doing maintenance in *that* record fits *your* expertise and responsibilities. Address the following decision points in the following order and apply the instructions in the tables following each:

1) Heading versus non-heading maintenance?

Bibliographic and Authority Database Maintenance in the LC ILS November 2007

Does the record maintenance require modifications only in headings (heading maintenance)? Or does it involve changes in other record elements (non-heading maintenance)?

<i>Then:</i>	<i>Instructions:</i>
If record requires:	
Only Heading Maintenance	All records eligible for modification in the LC ILS are in scope for you (individual/unit) to do heading maintenance (see also M3.3.2.1).
Any Non-heading Maintenance	Determine whether each record is <i>in process</i> or <i>previously completed</i> and take actions as instructed in 2) below.

2) In-process versus previously completed status?

If the record requires non-heading maintenance, is its status in-process or previously completed?

<i>Then:</i>	<i>Instructions</i>	<i>Identification</i>
If the record is:		
In Process	<p>In order of preference:</p> <ol style="list-style-type: none"> 1) Complete the record (including any maintenance), based on item(s) in hand, if doing so is <i>within your normal expertise and responsibilities</i>. 2) Refer the record for maintenance to the individual/team working on it, based on information in field 955, if you do not have item(s) in hand and/or expertise necessary to complete the record (or refer it to CPSO Database Improvement if in doubt about where to send it). 	<p>906 \$b = ibc (cataloging in process), <i>or</i></p> <p>906 \$b = vip (CIP verification in process)</p>
Previously Completed	Determine whether non-heading maintenance in the record is <i>within your normal expertise and responsibilities</i> or requires referral, as instructed in 3) below.	906 \$b = any other value

3) Coverage in your expertise/responsibilities versus referral?

If the record (a) requires non-heading maintenance and (b) is previously completed, do *your* normal individual/unit expertise and responsibilities include cataloging the type of resource that

Bibliographic and Authority Database Maintenance in the LC ILS November 2007

the record represents? If *yes*, determine next whether to absorb the maintenance workload or refer it to CPSO (see M3.3.1.3). If *no*, refer the record to another area that has the necessary expertise for doing maintenance in that case. Make referrals according to 906 \$g stakeholder codes as instructed in the following table (or refer them to CPSO Database Improvement if in doubt about where to send them).

Code in 906 \$g:	<i>Refer non-heading maintenance to:</i>
y-geogmaps	Geography and Map Division, Technical Services Section (mail stop 4652)
y-folklife	American Folklife Center (mail stop 4610)
y-gencompf	Special Materials Cataloging Division, Computer Files and Microforms Team (mail stop 4371)
y-gencatlg	CPSO Database Improvement [<i>if referral is necessary</i>] (mail stop 4305)
y-genmicro	Special Materials Cataloging Division, Computer Files and Microforms Team (mail stop 4371)
y-genmusic	Special Materials Cataloging Division, Music and Sound Recordings teams (mail stop 4373)
y-genrareb	Special Materials Cataloging Division, Rare Books Team (mail stop 4376)
y-ilsjacph	Regional and Cooperative Cataloging Division, JACKPHY teams (mail stop 4380)
y-manuscri	Manuscript Division (mail stop 4682)
y-movingim	Motion Picture, Broadcasting, Recorded Sound Division, Moving Images (mail stop 4692)
y-nonroman y-rlinjack n-rlinjack	<i>Nonroman cataloging staff</i> in ABA units for updating field(s) beginning with subfield \$6 (but all staff can maintain fields that do not begin with subfield \$6)
y-printpho	Prints and Photographs Division, Technical Services Section (mail stop 4732)
y-soundrec	Motion Picture, Broadcasting, Recorded Sound Division, Recorded Sound (mail stop 4699)
y-ilsserca ilsserca	Serial Record Division, Serials Cataloging (mail stop 4160)
y-undeterm n-undeterm	CPSO Database Improvement (mail stop 4305)

M3.3.1.3

Distributing workload

Each division/unit establishes its own criteria, determined by local resources and service goals, for either absorbing record maintenance into local workflows or referring records to CPSO Database Improvement for maintenance. Number of records affected may or may not be a deciding factor, according to the local preference and circumstances.

Individuals consider their local policy and the facts of the specific situation when deciding whether to do maintenance of a record or group of records within the local unit or refer the record(s) to CPSO Database Improvement. If keeping the work within the local unit, expedite completion of the record maintenance through the local workflow as soon as possible. If referring it to CPSO Database Improvement, submit a database maintenance request as soon as possible to CPSO as instructed below.

Include the following information in every database maintenance request submitted to CPSO:

- LCCNs of record(s) needing maintenance (or instruction to make change *in all records*)
- exact description(s) of change(s) required
- name and email address of person submitting request

Submit database maintenance requests to CPSO by using the electronic Database Maintenance Request form available on the CPSO staff Web site (<http://www.loc.gov/staff/catdir/cpso>). If circumstances make them more practical, other methods of communication (such as email to dbiu@loc.gov or internal mail to CPSO Database Improvement, mail stop 4305) are also acceptable, provided they include all necessary information, as described above.

M3.3.2

Guidelines For Doing Record Maintenance

Use the procedure in M3.2.2 when modifying any LC ILS database bibliographic record for maintenance purposes. Additionally, follow the bibliographic maintenance guidelines in M3.3.2.1-M3.3.2.4 when applicable.

M3.3.2.1

Heading maintenance guidelines

When a bibliographic record requires only heading maintenance, only take actions necessary to modify the heading for which you are doing maintenance. Do not routinely review other headings or data in the record(s) for possible maintenance opportunities, but fix obvious errors as necessary when you become aware of them in passing (for example, when Validator reports them).

M3.3.2.2

CIP pre-publication record modification guidelines

Apply the special instructions in M3.3.2.2.1-M3.3.2.2.2 to monograph and integrating resource bibliographic records with the following characteristics:

- Leader/17 (encoding level) = “8”
- 263 is present and has a value *other than* “1111”
- 906 \$b has a value *other than* “ibc” or “vip”

In all other cases apply regular maintenance procedures.

M3.3.2.2.1

General procedures

- 1) Follow regular procedures for distributing maintenance responsibility (see M3.3.1) and making necessary modifications in the bibliographic records.
- 2) Leave the 906 \$a value as “7” (distribute record) during the modification process.
- 3) If record maintenance requires the work of more than one staff person, forward the item *promptly* according to regular workflow procedures.
- 4) *Last staff person completing the record modifications:* Change the code in 906 \$b of the record and notify CIP Division according to instructions in M3.3.2.2.2.

M3.3.2.2.2

Notification of CIP pre-publication changes

When making changes in CIP pre-publication records, apply codes “rix” and “rip” in 906 \$b as instructed in the following table.

<i>Make 906 \$b value:</i>	<i>Conditions for application:</i>
<p>rix</p> <p>Revised data are <i>not</i> sent to publisher.</p>	<p><i>If either:</i></p> <p>(1) Changes are <i>only</i> in one or more of the following:</p> <ul style="list-style-type: none"> • content designation • Leader, 008, 006, 007 • 020 • 04X • 260 or related date in 050 • 263 • 9XX <p><i>or:</i></p> <p>(2) Field 263's date is <i>more than one year old</i> (with change <i>anywhere</i> in the record)</p>
<p>rip</p> <p>Revised data are sent to publisher.</p>	<p><i>If both:</i></p> <p>(1) Changes are in any aspect of the record <i>other than</i> those listed above in (1) for “rix” (including but not limited to headings)</p> <p><i>and:</i></p> <p>(2) Field 263's date is <i>one year or less old</i> or has not arrived yet</p>

Notify CIP Division of changes made in a CIP pre-publication record, using a method corresponding to the way the item came to you for maintenance (for example, through the ECIP traffic manager if the maintenance request came that way, or using a printout and CIP Problem Routing Slip if you initiated the changes based on items or information in hand). If CIP Division sent physical pieces to you with a change request, return the package there.

M3.3.2.3

Specific elements

Bibliographic record element	<i>Instructions</i>
Leader/06 (Record type)	See M3.3.5.
Leader/07 (Bibliographic level)	See M3.3.6.
010 \$a (LCCN)	<p>Do not change the LCCN in 010 \$a of a bibliographic record.</p> <p><i>Exception:</i> LC/CONSER serials catalogers, working in OCLC, can delete a bibliographic record from the CONSER distribution database, change the LCCN in 010 \$a, and re-add the record with the new LCCN to the CONSER database, following procedures in <i>CONSER Editing Guide C2.2.2</i>.</p> <p>Do not re-use LCCNs from canceled bibliographic records in new records.</p> <p><i>Exception:</i> Designated CIP Division staff are authorized and trained to determine individual cases when CIP- or PCN-assigned LCCNs should be re-used in new records—generally to preserve LCCNs printed in resources at LC’s instruction—and apply special procedures for doing so without disrupting record distribution.</p>
050/051 (LC call numbers)	See M3.3.2.4.
906 \$g (Local processing data / Stakeholder code)	See DCM C16.10.2.7.2-C16.10.2.7.3 about code “n-rlinjack” in monograph records with data in nonroman scripts after August 20, 2007.
991 (Local location information)	<p>Do not modify 991 fields found in existing records.</p> <p><i>Exceptions:</i> Staff in some areas, such as Geography and Map Division and certain LC reference staff, add, delete, and change 991 field data and are trained to do so.</p>

*M3.3.2.4**Call numbers*

Change the information in field 050 or 051 of a bibliographic record when maintenance requires doing so for any reason (for example, to correct a typographical error or because of reclassification). Correct 050/051 in the bibliographic record as necessary regardless of whether you have been able to retrieve items carrying the incorrect call number or not.

Important: Call number changes in bibliographic records may involve maintenance of holdings and item records. See *Subject Cataloging Manual: Shelflisting (ILS Supplement)*, Workflow #20 (<http://www.loc.gov/staff/catdir/cps0/WF20.PDF>) and DCM C8 (Procedures Applicable to Materials Stored at Ft. Meade) and follow their guidelines concerning:

- 1) when to attempt and when not to attempt retrieval of items carrying the incorrect call number
- 2) when and how to correct holdings and item records at the same time as correcting the bibliographic record
- 3) when and how to annotate holdings and item records for later maintenance instead of correcting them immediately
- 4) when and how to request correction of holdings and item records for reference locations
- 5) when and how to annotate holdings records to show LC's policy of not correcting call numbers on copies stored at Ft. Meade (DCM C8.4)

*M3.3.2.5**Maintaining monograph records with nonroman data*

Do maintenance *in the LC ILS* system for monograph records that include data in nonroman scripts (in JACKPHY languages, etc.). Before August 20, 2007, those were maintained in the RLIN 21 database, because their "master" records resided there. Records of this kind processed before then may have "n-rlinjack" or "y-rlinjack" in 906 \$g; those created after then (in the LC ILS) have "y-nonroman" in 906 \$g. (See DCM C16.10.2.7.)

All staff do necessary maintenance in these records *if all the changes are in fields that do not begin with subfield \$6* (used to link fields that are different script representations of each other; see MARC 21 Format for Bibliographic Data, Appendix A). *Only nonroman cataloging staff* with appropriate language/script knowledge do maintenance in *fields beginning with subfield \$6*. General cataloging staff forward records to nonroman cataloging staff when maintenance requires changes in any of those.

M3.3.3**Maintaining Less-Than-Full Records**

Do maintenance as necessary in less-than-full bibliographic records in the LC ILS database, as well as in full/core bibliographic records.

For guidelines on upgrading brief JACKPHY records (that is, improving less-than-full JACKPHY records to full/core records), see M3.5 (Appendix 1: Upgrading Brief JACKPHY Records).

M3.3.4 Canceling Records

Cancel bibliographic records in order to eliminate duplicate or unnecessary records from the LC ILS database.

Follow your local division/unit workflows and routines for canceling and deleting bibliographic records in the LC ILS or requesting their deletion. Divisions and units may have different local operations with respect to division of responsibilities, workflow details, and who has authorization to delete records from the LC ILS database. Incorporate the following in any local workflows:

- Refer serial records and monograph records with nonroman data (JACKPHY, etc.) that need cancellation as instructed in M3.3.4.7.
- Carry out the requirements in M3.3.4.1-M3.3.4.6.
- Complete the steps in M3.3.4.1-M3.3.4.5 preceding (or at the same time as) final deletion of the record per M3.3.4.6.
- Where the local workflow has staff submitting deletion requests to someone with delete authorization, make clear how the deletion requests fit in with other workflow steps and what form(s) of deletion request to use (for example, annotated printouts).

Serials catalogers expedite the cancellation of non-serial records in conjunction with recataloging a resource as a serial, when that is appropriate, or add notes to affected serial and non-serial records to help users locate holdings, when cancellation is not appropriate. They follow instructions in the *Serial Record Manual* (<http://www.loc.gov/staff/srd/srmanual.html>) when doing so.

M3.3.4.1*Inputting cancellation message*

Input a message in the form “[staff code] [date] MESSAGE Being canceled” in 955 \$a of an LC ILS database bibliographic record when you determine that cancellation of the record will occur:

Example 955 ## \$a xx04 2005-11-15 MESSAGE Being canceled

Do this as soon as possible, in order to alert other catalogers and help prevent unnecessary processing. (Delete-authorized staff need not input the message right before deleting a record.)

Suppress the record from LC’s OPAC (unless there are unretrieved items associated with the record that potentially still could circulate).

M3.3.4.2*Retrieving items in LC collections*

Obtain copies (if any) of resources covered by the unwanted record that are shelved in LC’s collections *and* are going to be re-labeled as part of your record cancellation workflow. Examples of items *not* retrieved during record cancellation include:

- *copies in reference locations:* See *Subject Cataloging Manual: Shelflisting (ILS Supplement)*, Workflow #20 (<http://www.loc.gov/staff/catdir/cps0/WF20.PDF>) for

instructions on handling call number changes affecting reference copies.

- *copies stored in Ft. Meade*: LC does not correct call numbers on these items (see DCM C8.4).

M3.3.4.3 Tracking canceled LCCN

When canceling an unwanted bibliographic record in favor of a new or existing one, track the LCCN of the canceled bibliographic record in 010 \$z of the record retained in the LC ILS database. When canceling multiple records, input their LCCNs in separate 010 \$z subfields. (Do not track “sv”- or “unk”-prefixed numbers, which were LC-internal, not sent out in MARC distribution.)

M3.3.4.4 Transferring holdings data and item records

Where applicable and as necessary, transfer or re-link any holdings data and item records from an unwanted bibliographic record to the one retained in the LC ILS database before deleting the bibliographic record or requesting its deletion, according to your local workflow. Delete-authorized staff should confirm that necessary data have been moved before carrying out a deletion.

The LC ILS system requires first deleting any remaining item and holdings records linked to a bibliographic record (for example, ones lacking data or created in error) before finally deleting the bibliographic record itself.

M3.3.4.5 Preparation for re-labeling

Line through any LCCN or call number from the canceled record that appears on items retrieved from LC’s shelves. Route items for re-labeling, as necessary.

M3.3.4.6 Deleting record or requesting deletion

A delete-authorized staff member receives the deletion request and deletes the record from the LC ILS database (that is, clicks “Record / Delete”).

If you do not have LC ILS delete authorization, follow your local division/unit procedures for carrying out the steps in M3.3.4.1-M3.3.4.5 and requesting deletion of the bibliographic record. If other staff perform some of the steps in M3.3.4.1-M3.3.4.5 after you determine the record will be canceled, they (rather than you) may be the ones to submit the final deletion requests to someone with the necessary authorization.

Follow the instructions in DCM C7.3.1 for suppressing and modifying, instead of deleting, bibliographic records with linked Purchase Orders. LC ILS does not allow deletion of bibliographic records with P.O.’s linked to them. LC policies require retaining those as audit trail records, as explained in DCM C7.3.

If you delete a bibliographic record that (you realize too late) should remain in the LC ILS database, **do not “re-input” the record**. Instead, email to CPSO immediately the record’s LCCN and a request to restore the record (so that a CPSO specialist can retrieve the record from a CDS file).

M3.3.4.7 Referrals for record cancellation

Refer *serial* bibliographic records needing deletion from the LC ILS database to Serial Record Division, Serials Cataloging (mail stop 4160). LC serials cataloging staff must delete LC CONSER serial bibliographic records both from the CONSER database in OCLC and from the LC ILS database in the LC ILS.

Refer monograph bibliographic records with nonroman data (JACKPHY, etc.) that need deletion to nonroman cataloging staff in appropriate ABA units.

M3.3.5 Changes In Type Of Record (Leader/06)

M3.3.5.1 *General*

Generally, do not change the type of record (Leader/06) code in a record already saved in the LC ILS database. *Exceptions:* See M3.3.5.2 for circumstances in which changing Leader/06 in the same record *is* permissible.

If the existing record's Leader/06 value is incorrect, generally:

- 1) Cancel the incorrect record per M3.3.4, if possible.
- 2) Create a new record that has:
 - the correct Leader/06 value
 - a new LCCN in subfield \$a of field 010
 - the canceled record's LCCN in 010 \$z (see M3.3.4.3)

Consult CPSO for guidance if it is impossible to delete an incorrect record because it is linked to a Purchase Order or if it is important to use the canceled record's LCCN in the new record (for example, because it appears in CIP data printed in the resource).

Background: Changing Leader/06 in a bibliographic record already saved in the LC ILS database prevents distribution of the revised record in many cases. CDS begins queuing an LC ILS database record for its eventual distribution after it is first saved with an LCCN in 010 \$a, **even when 906 \$a has value "0."** The Leader/06 value is one of the factors determining which of different CDS distribution sets will include the record. If a record is queued for one CDS distribution product and a Leader/06 change means it belongs in a different one instead, CDS programs reject the changed record and subsequent revisions of it.

M3.3.5.2 *Exceptional changes permitted in bibliographic Leader/06*

Change the Leader/06 code as necessary in a bibliographic record already saved in the LC ILS database *if one of the conditions in the following table applies.* These are situations in which it is *certain* that changing Leader/06 does not switch the record into a different CDS distribution set than the one in which it was already queued.

<p>Change Leader/06 in the existing bibliographic record <i>only if</i>:</p>	<p><i>Identification:</i></p>	
<p>1) CDS has not received or queued the record yet.</p>	<p>a) Field 005 in the LC ILS database record has all zeros. <i>or</i> b) The record was first saved in the LC ILS on the same day when you are changing Leader/06 (determine this from “History” in the LC ILS bibliographic display).</p>	
<p>2) The record is in the CDS “manuscripts” distribution set, which includes all Leader/06 types.</p>	<p>906 \$g = y-manuscri</p>	
<p>3) The change is from one code to another <i>within</i> certain groups, which have 008 elements in common and correspond to CDS distribution sets:</p>	<p><i>Group:</i></p>	<p><i>includes Leader/06 types:</i></p>
	<p>a) Books 008</p>	<p>“a” (language material) “t” (manuscript language material)</p>
	<p>b) Maps 008</p>	<p>“e” (printed cartographic material) “f” (manuscript cartographic material)</p>
	<p>c) Music 008</p>	<p>“c” (notated music) “d” (manuscript notated music) “i” (nonmusical sound recording) “j” (musical sound recording)</p>
	<p>d) Visual Materials 008</p>	<p>“g” (projected medium) “k” (two-dimensional nonprojectable graphic) “o” (kit) “r” (three-dimensional artifact/naturally occurring object)</p>

In all cases other than these specific exceptions or when in doubt, do not change Leader/06 in the existing bibliographic record. Instead, cancel the incorrect record and process a new one, as instructed in M3.3.5.1.

M3.3.6 Changes In Bibliographic Level (Leader/07)

<p>Change Leader/07 in the existing bibliographic record <i>only if the change is from one code to another within one of the following groups:</i></p>	<p><i>Group includes Leader/07 bibliographic levels:</i></p>
<p>a) Non-serials</p>	<p>“m” (monograph/item) “c” (collection) “a” (monograph component part)</p>
<p>b) Serials</p>	<p>“s” (serial) “b” (serial component part)</p>

If the existing record’s Leader/07 value is incorrect and the change required is *between* these groups (that is, from serial to non-serial or vice versa), then changing the code requires cancellation of the incorrect record and creation of a new record.

Refer cases possibly requiring changes from non-serial to serial to Serial Record Division, Serials Cataloging (mail stop 4160) according to instructions in DCM M4.4.2.

M3.4 AUTHORITY RECORD MAINTENANCE

M3.4.1 Distribution Of Responsibility For Maintenance

Address the same decision points as defined in M3.3.1 – eligibility, responsibility, and workload – and apply the guidelines in M3.4.1.1-M3.4.1.3 when determining whether *you* should carry out modifications in a particular name, title, or name/title authority record yourself or refer it elsewhere for maintenance. *Note:* Beginning in June 2006, LC catalogers do not maintain series authority records.

Default: If in doubt concerning who should do maintenance on a record or group of records, refer the record(s) to CPSO Database Improvement. CPSO staff will do the maintenance or refer it to a unit with the necessary expertise.

M3.4.1.1 Determining eligibility

All name, title, and name/title authority records in the LC ILS database are eligible for modification in the LC ILS system.

M3.4.1.2 Determining responsibility

Consider any authority record maintenance made necessary by authority work *you* have done (for example, when your changing an established heading makes it necessary to change headings and/or references in other authority records accordingly) to be in scope for your expertise and responsibilities. See M3.4.1.3 for guidance on the decision whether to absorb the maintenance workload in the local unit or refer it to CPSO.

If you lack necessary expertise to do authority maintenance that originates from an outside request, refer the case to a unit/individual that has the resources to do

it. When you are uncertain where to refer such a problem, send it to CPSO Database Improvement for resolution or referral.

Maintenance needed in “being updated” records: If an authority record needs maintenance and is in “being updated” status (see M3.4.2.1) because someone else is already investigating it, either (a) refer a maintenance request for the record to the person whose code is in the 667 message or (b) wait until the authority record is out of “being updated” status (that is, until it has 008/32 “a”) and proceed with maintenance then, as necessary.

M3.4.1.3

Distributing workload

Apply the same guidelines as in M3.3.1.3 when:

- 1) deciding whether to absorb authority record maintenance work in the local unit or refer a maintenance request to CPSO; and/or
- 2) submitting an authority record maintenance request to CPSO Database Improvement.

M3.4.2

Guidelines For Doing Record Maintenance

M3.4.2.1

Coding records as “Being updated”

If an existing authority record requires action that cannot be completed right away, modify the record as follows to alert staff that revision is in process:

- 1) Change 008/31 to “b” (Record is being updated).
- 2) Input 667 with “MESSAGE Being updated [code] [date].” (*Optionally*, also give a brief explanation of the problem.)
- 3) Complete work on the authority record as soon as possible and then change 008/31 to “a” (Record can be used) and delete the 667 message.

M3.4.2.2

Specific elements

010 field: Do not change the LCCN in 010 \$a of an authority record. **Never re-use LCCNs** from canceled authority records in new ones, even if the record is for the same entity.

See DCM Z1 and *MARC 21 Format for Authority Data, LC Guidelines* for other information on LC’s use and maintenance of specific elements in authority records.

M3.4.3

Canceling Records

Cancel authority records in order to eliminate duplicate or unnecessary authorities from the LC/NACO Authority File.

Follow your local division/unit workflows and routines for canceling and deleting name, title, and name/title authority records in the LC ILS or requesting their deletion. Divisions and units may have different local operations with respect to division of responsibilities, workflow details, and who has authorization to delete records from the LC ILS database, but must satisfy the requirements of M3.4.3.1-M3.4.3.4 in any local workflows.

LC staff who do authority record maintenance in OCLC as part of special workflows may do the steps in M3.4.3.1-M3.4.3.2 and some of the record maintenance per M3.4.3.4 in those systems. Final deletion of an authority record in the LC/NACO Authority File, however, can only occur in the LC ILS database.

M3.4.3.1

Inputting cancellation message

Input a message in the form “MESSAGE Being canceled; covered by [LCCN] [staff code] [date]” in field 667 when you determine that cancellation of the authority record will occur.

Example

```
667 ## $a MESSAGE Being canceled; covered by  
no2006006789. xx04 2006-01-19
```

Do this as soon as possible, in order to alert other catalogers and help prevent unnecessary processing. (Delete-authorized staff need not input the message right before deleting a record.)

M3.4.3.2

Tracking canceled LCCN

When canceling an unwanted authority record in favor of another one, track the LCCN of the canceled authority record in 010 \$z of the authority retained in the LC/NACO Authority File. When canceling multiple authorities, input their LCCNs in separate 010 \$z subfields.

M3.4.3.3

Deleting record or requesting deletion

A delete-authorized staff member receives an authority record deletion request (identifying both the authority marked for deletion and the authority retained in its place, if any) and deletes the authority record from the LC/NACO Authority File (that is, clicks “Record / Delete”).

If you do not have LC ILS delete authorization, follow your local division/unit procedures for carrying out the steps in M3.4.3.1-M3.4.3.2 and requesting deletion of the authority record.

M3.4.3.4

Determining and expediting needed database maintenance

If the heading of the authority record being canceled is different from the heading being retained, search the LC ILS database for bibliographic and authority records using the canceled heading in main entries, added entries, subject entries, headings, references, qualifiers, etc. (LC serials catalogers also search in the CONSER database in OCLC and do heading maintenance in non-LC CONSER bibliographic records, as necessary.)

Do maintenance in affected bibliographic records or refer them elsewhere for maintenance as instructed in M3.3.

Do maintenance in affected authority records or refer them elsewhere for maintenance as instructed in M3.4.

M3.4.4

Changing Kind Of Authority Record

For various reasons (changes in rules, etc.), it is necessary sometimes to change a heading of one kind and/or with one tag to a different kind of heading and/or a different tag. In some cases, changing the existing authority record is sufficient; in others, distribution and other technical requirements make it necessary to cancel the existing record (see M3.4.3) and create a new one of the correct kind. The following table summarizes requirements for changing authority record kinds and tags for the same entity.

<ul style="list-style-type: none"> <i>Note:</i> Apply these guidelines to the authority record(s) for the same entity. Never “re-cycle” an existing authority record for a different entity. 		
Change TO \ / Change FROM	Name / Title / Name-Title NAR (100, 110, 111, 151, 130)	Subject Heading AR (100, 110, 150, 151)
Name / Title / Name-Title NAR (100, 110, 111, 151, 130)	Continue using same NAR, with same LCCN. Change 1XX (including tag, as necessary) in same NAR.	Cancel NAR. Propose new subject heading AR (with new LCCN), per instructions in <i>Subject Cataloging Manual: Subject Headings</i> .
Subject Heading AR (100, 110, 150, 151)	Propose canceling subject heading AR, per instructions in <i>Subject Cataloging Manual: Subject Headings</i> . Create new NAR (with new LCCN).	Propose changing subject heading AR, per instructions in <i>Subject Cataloging Manual: Subject Headings</i> . Continue using same subject heading AR, with same LCCN.

M3.5 APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS

M3.5.1 General

See DCM B5.11 for background on brief JACKPHY records in the LC ILS database.

Optionally, at the discretion of your team, upgrade brief JACKPHY records to full/core records when changing them to handle either of the following situations:

- 1) adding volumes to incomplete multipart item records (see DCM C12.5);
- 2) correcting erroneous attribution to the wrong person/body in the main entry heading.

If you do not upgrade in either of the above circumstances (and in cases where any other kind of maintenance is necessary), record the additional or corrected information in the existing brief JACKPHY record.

M3.5.2 Procedure

- Transfer information from the LC nonroman source card (if available) to the LC ILS database record.
- Record necessary information from any item(s) in hand (for example, publisher changes). Use any item(s) in hand as the basis for upgrading the record when no LC source card is available.
- Check or input specific elements in the record as instructed in the following table.

Element	<i>Instruction</i>
Leader/17 (Encoding level)	Change existing value (usually “7”) to “1.”
Leader/18 (Descriptive cataloging form)	Use value corresponding to cataloging rules applied in the record (usually “i” or “a”).
008/38 (Modified record)	Use value “r” (completely romanized/printed cards in script) in all cases.
010 \$a (LCCN)	Confirm LCCN matches LC source card (if available).
050	Confirm call number matches LC source card (if available).
955	Input the following, to identify record is in upgrade process: 955 ## \$a [staff code] [date] JACKPHY UPDATE

For information on bibliographic upgrading procedures no longer applied actively, see M3.6 (Appendix 2: Former Upgrading Procedures).

M3.6 APPENDIX 2: FORMER UPGRADING PROCEDURES

M3.6.1 Upgraded Less Than Full Records

During the years 1983-1996 various libraries, including some participants in a program called National Coordinated Cataloging Program (NCCP), worked directly in the LC input/update system. These libraries upgraded to full level cataloging records in two categories:

- 1) less than full records (LTF); records that had represented a brief form of cataloging in LC were upgraded to full cataloging; they were treated as cooperative cataloging and so identified;
- 2) minimal level cataloging (MLC); records that had been given MLC treatment by LC were upgraded to full level cataloging; if LC had assigned an MLC shelf number, that number was retained instead of the item being reclassified.

M3.6.2 Inactive CIP Records

In the 1970s and 1980s CIP records still in a CIP state for a long time and for which LC had not yet received an item were updated to remove them from being in that state. The first method of doing this was to search RLIN for completed cataloging. If found, the encoding level in the LC record was set to blank (Full level), the first indicator in field 050 was set to "1" (Not in LC), the record was upgraded to match the RLIN record, and a cataloger's note was added to indicate the source the completed cataloging was based on (cf. 81014893).

The second method of doing this was to assure an item had been published. If confirmed, the encoding level in the LC record was set to "1" (Full level, material not examined), the first indicator position in field 050 was set to "1" (Not in LC), and a 500 field was added containing "Cataloging based on CIP information" (cf. 74034472).