

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>8</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>9</i>
M3.3.2.2.1	General procedures.....	9
M3.3.2.2.2	Notification of CIP pre-publication changes	10
<i>M3.3.2.3</i>	<i>Specific elements</i>	<i>11</i>
<i>M3.3.2.4</i>	<i>Call numbers</i>	<i>12</i>
<i>M3.3.2.5</i>	<i>Maintaining monograph records with nonroman data.....</i>	<i>12</i>
M3.3.3	Maintaining Less-Than-Full Records	12
M3.3.4	Canceling Records	13
<i>M3.3.4.1</i>	<i>Inputting cancellation message.....</i>	<i>13</i>
<i>M3.3.4.2</i>	<i>Retrieving items in LC collections</i>	<i>13</i>
<i>M3.3.4.3</i>	<i>Tracking canceled LCCN.....</i>	<i>14</i>
<i>M3.3.4.4</i>	<i>Transferring holdings data and item records</i>	<i>14</i>
<i>M3.3.4.5</i>	<i>Preparation for re-labeling.....</i>	<i>14</i>
<i>M3.3.4.6</i>	<i>Deleting record or requesting deletion.....</i>	<i>14</i>
M3.3.5	Changes in Type of Record (Leader/06)	14
<i>M3.3.5.1</i>	<i>General</i>	<i>14</i>
<i>M3.3.5.2</i>	<i>Exceptional changes permitted in bibliographic Leader/06.....</i>	<i>15</i>
M3.3.6	Changes in Bibliographic Level (Leader/07).....	16

M3.4	AUTHORITY RECORD MAINTENANCE.....	17
M3.4.1	Distribution of Responsibility for Maintenance	17
M3.4.1.1	<i>Determining eligibility</i>	17
M3.4.1.2	<i>Determining responsibility</i>	17
M3.4.1.3	<i>Distributing workload</i>	17
M3.4.2	Guidelines for Doing Record Maintenance	18
M3.4.2.1	<i>Coding records as “Being updated”</i>	18
M3.4.2.2	<i>Specific elements</i>	18
M3.4.3	Canceling Records	18
M3.4.3.1	<i>Inputting cancellation message</i>	18
M3.4.3.2	<i>Tracking canceled LCCN</i>	19
M3.4.3.3	<i>Deleting record or requesting deletion</i>	19
M3.4.3.4	<i>Determining and expediting needed database maintenance</i>	19
M3.4.4	Changing Kind of Authority Record	20
M3.5	APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS	21
M3.5.1	General	21
M3.5.2	Procedure	21
M3.6	APPENDIX 2: FORMER UPGRADING PROCEDURES.....	22
M3.6.1	Upgraded Less-Than-Full-Records	22
M3.6.2	Inactive CIP Records	22

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 LC's subject cataloging manuals, with special attention to the following:

<i>Subject Headings Manual</i> , H 165	Subject Heading Changes in Bibliographic Records
<i>Subject Headings Manual</i> , H 193	Changing a Heading or Deleting a Subject Authority Record
<i>Classification and Shelflisting Manual</i> , F 50	Classification Proposals
<i>Classification and Shelflisting Manual</i> , F 170	Call Number Changes
<i>Classification and Shelflisting Manual</i> , ILS Supplement, Workflow #20	Changing Call Numbers (www.loc.gov/staff/aba/psd/WF20.PDF)

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 LCRIs), 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.

See M3.3.1 and M3.4.1 for guidance on who performs record maintenance. 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

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 get cooperation from colleagues with needed expertise or resources to do it.

1) Eligibility	Is this record eligible for modification within the LC ILS system?
2) Responsibility	Can you do the maintenance needed in this record yourself? Or should you get cooperation from someone with necessary expertise to do it?
3) Workload	Do you absorb maintenance into your local workload? Or do you send maintenance requests to PSD?

***Default:* If in doubt concerning who should do maintenance on a record or group of records, send a maintenance request to ABA Policy and Standards Division, Data Integrity Section (ABA/POLICY/DATA), as instructed in M3.3.1.3.**

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:

<p>906 \$g Maintenance Prefix</p>	<p><i>Instruction to catalogers:</i></p>		
<p>n-</p>	<p>The record is not eligible for maintenance modifications within the LC ILS.</p> <p><i>Background:</i> The “master” record is in another system (usually, OCLC). Staff 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>		
	<p>906 \$g code</p>	<p><i>Request cooperation from:</i></p>	<p><i>Identifies:</i></p>
<p>n-oclserc</p>		<p>ABA serials cataloging (Leader/07 = “s”) or integrating resources (Leader/07 = “i”) cataloging staff</p>	<p>Bibliographic record created and maintained in OCLC</p>
<p>z-</p>	<p>Cataloging staff 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>		
<p>y-</p>	<p>The record is eligible for maintenance modifications within the LC ILS.</p> <p>Determine next whether maintaining the record fits your expertise or requires cooperation from other staff (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 serial record lacks 906 \$g, assume the code is “n-oclserc”. • <i>Note:</i> If a serial 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, send a request to PSD. 			

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 **your** expertise is appropriate for doing maintenance in **that** record. Make the following decisions in the following order.

Heading-only or non-heading maintenance?: If the record requires **maintenance only in headings**, generally you (individual/unit) can do the maintenance yourself (see also M3.3.2.1). If the record requires **changes in other record elements** (in

addition to or instead of heading changes), proceed to the next decision point, considering the record's processing status.

In-process record or previously cataloged?: If the record is still an **in-process record** (that is, 906 \$b has “ibc” or “vip”) and you (individual/unit) have the ability to complete it as well do any maintenance, generally you should do so. If you are not able to do that, give the record and a maintenance request to the individual or unit working on it, as identified in field 955. If there is difficulty identifying any such individual or unit, give the record and a maintenance request to ABA Policy and Standards Division.

If the record is a **previously completed record** (that is, 906 \$b has any other value than “ibc” or “vip”), proceed to the next decision point, considering whether your (individual/unit) expertise and resources are sufficient for doing the maintenance required in that record.

Do it yourself or get someone's cooperation?: If you (individual/unit) have expertise and resources appropriate for performing the non-heading maintenance in the previously cataloged record, generally you can do so. Decide whether to absorb the maintenance workload or send a maintenance request instead to ABA/POLICY/DATA (see M3.3.1.3).

If doing the maintenance needed in the record requires expertise or resources that you (individual/unit) cannot provide, get the cooperation of colleagues with the necessary expertise and resources. Stakeholder codes in 906 \$g indicate likely sources of cooperation, as shown in the following table. If in doubt about where to get the cooperation you need, send a maintenance request to ABA/POLICY/DATA.

Code in 906 \$g:	<i>Good sources of cooperation to do non-heading maintenance:</i>
y-geogmaps	Geography and Map Division, Technical Services Section
y-folklife	American Folklife Center
y-gencompf	ABA electronic resources cataloging staff
y-gencatlg	ABA cataloging staff
y-genmicro	<i>United States materials:</i> USAN, US Serials and Microforms Section <i>Non-US materials:</i> ABA microforms cataloging staff in appropriate divisions
y-genmusic	Music Division, Bibliographic Access Section
y-genrareb	USAN, Rare Materials Section
y-manuscri	Manuscript Division

Code in 906 \$g:	Good sources of cooperation to do non-heading maintenance:
y-movingim	Motion Picture, Broadcasting, Recorded Sound Division, Moving Images
y-nonroman y-rlinjack n-rlinjack	ASME or GS division, appropriate sections
y-printpho	Prints and Photographs Division, Technical Services Section
y-soundrec	Motion Picture, Broadcasting, Recorded Sound Division, Recorded Sound
n-oclcserc	ABA serials cataloging staff (if Leader/07 has “s”) or integrating resources cataloging staff (if Leader/07 has “i”)
y-ilsserca ilsserca	ABA serials cataloging staff
y-undeterm n-undeterm	ABA Policy and Standards Division, Data Integrity Section

M3.3.1.3

Distributing workload

Do record maintenance as needed within the local unit or send maintenance requests for the records to ABA/POLICY/DATA. Units determine their own criteria for that decision. Number of records affected is not necessarily a deciding factor.

If keeping the maintenance work within the local unit, expedite completion of the record maintenance through the local workflow as soon as possible. If sending maintenance requests for it to ABA/POLICY/DATA, submit such requests promptly, as instructed below.

Include the following information in every database maintenance request submitted to ABA/POLICY/DATA:

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

Submit maintenance requests to ABA/POLICY/DATA by using the electronic Database Maintenance Request form available at www.loc.gov/staff/aba/psd/dbiu-form.php. If circumstances make them more practical, other methods of communication (such as email to dbiu@loc.gov or internal mail to ABA/POLICY/DATA, mail stop 4261) 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 Publisher Liaison Section (USPL/CIPL) 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 style="text-align: center;">rix</p> <p>Revised data are not sent to publisher.</p>	<p><i>If either:</i></p> <p>1) Changes are only 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 more than one year old (with change anywhere in the record)</p>
<p style="text-align: center;">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 other than 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 one year or less old or has not arrived yet</p>

When an ECIP record is still at the prepublication state and not yet in a CIP verification state (263=1111), it is important to notify the U.S. Programs, Law, and Literature Division CIP Publisher Liaison Team (USPRLL/CIPPL) if a change is made, especially if there is a change to an access point. Such notification applies to situations when the change is done outside the normal Traffic Manager change request workflow. Changing 906 \$b to “rip” does not automatically send revised CIP data to the publisher. A CIP Publisher Liaison sends revised CIP data to the publisher and updates the information in the Traffic Manager to indicate that revised CIP data was sent.

To provide notification of a pre-publication change outside of the standard Traffic Manager change request workflow, please send an email to a CIP Publisher Liaison or to a CIP Program Specialist with the LCCN of the pre-publication record that has been changed, and indicate that the CIP data needs to be resent.

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, following procedures in <i>CONSER Editing Guide</i> C2.2.2 and working in OCLC, are able to 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, when that is appropriate.</p> <p>Do not re-use LCCNs from canceled bibliographic records in new records.</p> <p><i>Exception:</i> Designated CIP 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 example, to correct a typographical error or because of reclassification). Also follow instructions for maintaining holdings records and item records in *Classification and Shelflisting Manual, ILS Supplement, Workflow #20* (www.loc.gov/staff/aba/psd/WF20.PDF) and DCM C8 (Procedures Applicable to Materials Stored Off-Site).

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 request cooperation from 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 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:

- 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).

Request the cooperation of local serials cataloging staff to cancel serial bibliographic records. (Doing that may require deleting records from the CONSER database in OCLC as well as from the LC ILS database.) Serials catalogers may also cancel or annotate monograph records, as necessary, when recataloging a resource from monograph to serial, following instructions in the ABA Serials Manual 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 *Classification and Shelisting Manual, ILS Supplement, Workflow #20* (www.loc.gov/staff/aba/psd/WF20.PDF) for instructions on handling call number changes affecting reference copies.

- *copies stored off-site*: 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 records 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. Have items re-labeled, 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 PSD immediately the record’s LCCN and a request to restore the record (so that a cataloging policy specialist can retrieve the record from a CDS file).

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 PSD 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.

Change Leader/06 in the existing bibliographic record only if:	<i>Identification:</i>
1) CDS has not received or queued the record yet.	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 <i>same day</i> when you are changing Leader/06 (determine this from "History" in the LC ILS bibliographic display).
2) The record is in the CDS "manuscripts" distribution set, which includes all Leader/06 types.	906 \$g = y-manuscri

Change Leader/06 in the existing bibliographic record only if:	<i>Identification:</i>	
3) The change is from one code to another within certain groups, which have 008 elements in common and correspond to CDS distribution sets:	<i>Group:</i>	<i>includes Leader/06 types:</i>
	a) Books 008	“a” (language material) “t” (manuscript language material)
	b) Maps 008	“e” (printed cartographic material) “f” (manuscript cartographic material)
	c) Music 008	“c” (notated music) “d” (manuscript notated music) “i” (nonmusical sound recording) “j” (musical sound recording)
	d) Visual Materials 008	“g” (projected medium) “k” (two-dimensional nonprojectable graphic) “o” (kit) “r” (three-dimensional artifact/naturally occurring object)

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)

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

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.

Request the cooperation of local serials cataloging staff to change the cataloging of a resource from non-serial to serial, observing the guidelines in DCM M4.

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. *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, send a maintenance request to ABA Policy and Standards Division, Data Integrity Section (ABA/POLICY/DATA).

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 you. See M3.4.1.3 for guidance on the decision whether to absorb the maintenance workload in the local unit or send a maintenance request to ABA/POLICY/DATA.

If you lack necessary expertise to do authority maintenance that originates from an outside request, request cooperation from a unit/individual that has the resources to do it. When you are uncertain where to request such help, send a maintenance request to ABA/POLICY/DATA.

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) obtain the cooperation of 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 deciding whether to do authority record maintenance work locally or send a maintenance request to ABA/POLICY/DATA.

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 OCLC. 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.

<i>Example</i>	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 or request that maintenance be done in affected bibliographic records as instructed in M3.3.

Do maintenance or request that maintenance be done in affected authority records 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. 		
<i>Change TO</i>	<i>Name / Title / Name-Title NAR (100, 110, 111, 151, 130)</i>	<i>Subject Heading AR (100, 110, 150, 151)</i>
Change FROM		
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 Headings Manual</i> .
Subject Heading AR (100, 110, 150, 151)	Propose canceling subject heading AR, per instructions in <i>Subject Headings Manual</i> . Create new NAR (with new LCCN).	Propose changing subject heading AR, per instructions in <i>Subject Headings Manual</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 section, 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 C12.3);
- 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).