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Government Printing Office

Cataloging Guidelines

Fourth Edition, 2002

Cataloging Branch
Library Programs Service
U.S. Government Printing Office
Washington, DC

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Plan for updating the 4th ed. of the GPO Cataloging Guidelines: The edition statement will be changed only if a complete revision is made. Changed text and new text are noted by the use of shadowing and similar methods. Deleted text is indicated by the use of strikeout. The date of the last update appears at the bottom of the title page. A list of changes is located at the end of the text. Minor changes that do not change the meaning of the original text are not listed.

In this update, the GMD "electronic resource(s)" has been substituted for "computer file(s)." All new GPO records created on or after Dec. 1, 2001 for electronic resources have the GMD, electronic resource, rather than "computer file."

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INTRODUCTION

This is the fourth edition of the Government Printing Office Cataloging Guidelines. The Guidelines were developed by the Cataloging Branch of the Government Printing Office (GPO) primarily as an internal working document. They are limited in their scope and are used by GPO catalogers in conjunction with generally accepted standards. These standards are: The Anglo-American Cataloging Rules, Second Edition, 1998 Revision; The Anglo-American Cataloging Rules Amendments 1999 and Amendments 2001; The University of Chicago's Chicago Manual of Style; The Library of Congress Rule Interpretations (LCRIs); The Library of Congress Subject Headings, LC's Subject Heading Manual: Subject Headings; OCLC's Bibliographic Formats and Standards, various technical bulletins, and other instructions. In addition, GPO catalogers follow a number of specialized cataloging standards. Serial catalogers follow the CONSER Cataloging Manual and the CONSER Editing Guide. Map catalogers follow the rules in Cartographic Materials, a publication of the Anglo-American Cataloguing Committee for Cartographic Materials.

There have been a number of changes in GPO's cataloging practices since the third edition appeared a decade ago. AACR2 has been revised several times and other standards have been changed. The USMARC standards have been revised by the Library of Congress's Network Development and Standards Office, in cooperation with the National Library of Canada, and have been renamed MARC 21. A number of GPO's internal policies also have changed and new guidelines have been added. Some guidelines were renamed or have merged with others. Some include only a few changes and others have been extensively changed.

During the past decade, GPO has continued to be increasingly involved in cooperative activities. In February 2000, GPO became a member of BIBCO, which is the monograph component of the Program for Cooperative Cataloging (PCC). GPO now participates in all PCC components. GPO has long been a member of CONSER (Cooperative Online Serials), NACO (Name Authority Cooperative), and SACO (Subject Authority Cooperative).

In 1990, most of the documents that GPO cataloged were printed documents. Since then, the number of microfiche, CD-ROM, and electronic publications cataloged has grown. A significant number of the documents that GPO catalogs each year are electronic publications. The number continues to increase rapidly. Federal agencies are changing the format in which they disseminate many of the documents they issue from paper to online. In addition, GPO has also been actively transferring dissemination from paper or microfiche to online.

Further revisions to the guidelines should be expected in the future as government publishing and cataloging practices evolve. The guidelines will continue to be helpful, as they have been in the past, to those who desire additional insight into the cataloging practices of the GPO Cataloging Branch.

In addition to the Monthly Catalog, GPO cataloging records appear in the catalogs of depository libraries and of other libraries throughout the world. Despite the many changes that have taken place in

cataloging practices during the past decade, GPO's mission of creating quality cataloging records to serve the general public and depository users in an efficient and timely manner remains the same.

For the first time, the guidelines are appearing in their entirety in electronic form. Access to them has been enhanced by this change to a new format. Guidelines already accessible through the Internet have been included in this revision. The guidelines are available in a HTML version and in a PDF version. The HTML version may easily be navigated through the general contents page and internal contents pages. It also has a number of other hypertext links. The PDF version may be accessed and used online or may be printed out in part or in its entirety.

CATALOGING POLICY

The Government Printing Office's mandate to produce the Monthly Catalog is based on Section 1711 of Title 44, United States Code, which states that "... the Superintendent of Documents shall prepare a catalog of Government publications which shall show the documents printed during the preceding month, where obtainable, and the price."

Format

In general it is GPO's policy to create a new record or adapt an existing cataloging record based on the format that was distributed or made accessible via the Federal Depository Library Program.

1. **Online documents:** If a document is included in the FDLP solely in an online format, GPO creates or adapts a cataloging record for the online version, and adds appropriate links to records describing a tangible manifestation with the same content. If GPO has already cataloged the tangible equivalent of an online document; the item number, SuDocs classification number, title (if different), access information, and software requirements are added to the existing record for the tangible equivalent.

   Separate records are made for the online and the tangible versions if:

   A. They are earlier or later editions of the same document.

   B. The tangible or online version summarizes or abridges the other.

   C. The tangible or online version is an expanded or enhanced version of the other.

   D. GPO is unable to confirm they are the same edition or that they are the same document.

   E. The online version was cataloged before a CD-ROM or DVD version that requires unusual or special software to view.

   F. Other reasons decided on a case-by-case.

2. **Documents made available in paper, microfiche, CD-ROM, and other physical media:** Normally, a catalog record for the tangible version is created or adapted to catalog the tangible version. If the online version of a document is cataloged prior to the time an equivalent tangible version is cataloged and the bibliographic details and content of both versions are the same, information regarding the tangible version, including distribution information is added to the record for the online version.

3. **Dual distribution documents:** These are distributed to some depository libraries in paper and to others in microfiche. Increasingly, an online version is also available. Information regarding the paper, microfiche, and online versions, if equivalent, is included in a single record. A record may be created or adapted for either the paper version or the online version. If a record representing the online version

is created or adapted prior to the time the paper is cataloged, information pertaining to the paper and microfiche versions is added to the record for the online version. If a record for the paper version, with information on the microfiche version, is created or adapted prior to or at the same time the online version is cataloged, information pertaining to the online version is added to the record for the paper version. If no distribution of the tangible versions takes place, GPO catalogs the online version as "online only" with links (as appropriate) to the records for the tangible versions.

Serials/Multipart Monographs/Maps

GPO catalogers follow AACR2, chapter 12 and LCRI 12.0A when deciding whether or not to catalog a document as a serial or a monograph. Prior to the January 2000 issue of the Monthly Catalog, multipart monographs and serials issued two times a year or less often were represented at the issue level. Detailed information for each issue was included in specially produced availability records. Since then multipart monographs and serials have been represented by collective records. A limited number of serial availability records continue to be produced for the United States Congressional Serial Set Catalog.

Because the individual parts of multiparts are normally issued over a period of time, updated multipart records appear in the Monthly Catalog as new parts are received. Records for currently published serials appear in the annual Serials Supplement to the Monthly Catalog as well as in the monthly issues. Updated serial records appear in the Monthly Catalog when significant bibliographic changes occur. New serial records are created for serials if their main entry changes and AACR2 requires a new record. GPO catalogs maps at the individual title or sheet level. This policy meets the needs of Monthly Catalog users who require detailed bibliographic information for specific maps.

LIST OF STANDARDS

Listed below are the standards the Government Printing Office follows in creating cataloging records. In the text each title is identified by the code shown in the right-hand column.

STANDARDS	CODES
Anglo-American Cataloguing Committee for Cartographic Materials. Cartographic Materials: A Manual of Interpretation for AACR2. Gen. Ed. Hugo L.P. Stibbe. Eds. Vivien Cartmell and Velma Parker. Chicago: American Library Association, 1982.	AACCM's CM
Anglo-American Cataloging Rules. 2nd ed., 1998 revision. Prepared under the direction of the Joint Steering Committee for the Revision of AACR2. Ottawa: Canadian Library Association; London: Library Association Publishing; Chicago: American Library Association, 1998.	AACR2

BIBCO Participants' Manual. (Planned/In Preparation)	**BIBCO PM**
Chicago Manual of Style: for Authors, Editors, and Copywriters. 13th ed., rev. and expanded. Chicago ; London: University of Chicago Press, 1982.	CMOS
CONSER Cataloging Manual. Ed. Jean L. Hirons. Washington, DC: Serial Record Division, Library of Congress: Distributed by the Cataloging Distribution Service.	CCM
CONSER Editing Guide. Washington: Serial Record Division, Library of Congress: Distributed by the Library of Congress, Cataloging Distribution Service.	CEG
~~Interactive Multimedia Guidelines Review Task Force. Guidelines for Bibliographic Description of Interactive Multimedia. Ed. Laurel Jizba, et. Al. Chicago: American Library Association, 1994.~~	~~GFBDOIM~~
Library of Congress. Office for Descriptive Cataloging Policy. Cataloging Rules for the Description of Looseleaf Publications. 2nd ed. Washington, DC: Cataloging Distribution Service, Library of Congress, 1989.	CRFTDOLP
Library of Congress. Cataloging Policy and Support Office. Descriptive Cataloging Manual Z1: Name and Series Authority Records. Washington, DC: Cataloging Service, Library of Congress.	LC's DCMZ1
---. Library of Congress Rule Interpretations. Ed. Robert M. Hiatt. Washington, DC: Cataloging Distribution Service, Library of Congress.	LCRIs
---. Subject Cataloging Manual. Subject Headings. Washington, DC: Cataloging Distribution Service, Library of Congress.	LC's SCM: SH
Library of Congress. Network Development and MARC Standards Office and National Library of Canada. Standards and Support. MARC 21 Format for Authority Data: Including Guidelines for Content Designation. 1999 ed. Washington, DC: Library of Congress, Cataloging Distribution Service; Ottawa: National Library of Canada, 1999.	MACR21 FFAD
---. MARC 21 Format for Bibliographic Data: Including Guidelines for Content Designation. 1999 ed. Washington, DC: Library of Congress, Cataloging Distribution Service; Ottawa: National Library of Canada, 1999.	MARC21 FFBD
NACO Participants' Manual. 2nd ed. Washington, DC: Library of Congress, Cataloging Distribution Service, 1996.	NACO PM
OCLC. Bibliographic Formats and Standards. 2nd ed. Last updated Dec. 2000. Dublin, Ohio: OCLC. Http://www.oclc.org/oclc/bib/about.htm	OCLC's BFAS
---. Cataloging User Guide. 2nd ed. Dublin, Ohio: OCLC Online Computer Library Center.	OCLC's CUG
---. Enhanced Training Outline. Rev. Jay Weitz. Jan. 2000. Http://www.oclc.org/oclc/cataloging/enhance/outline.htm	OCLC's ETS

---. Guidelines for National Level Enhance Participants. Rev. Jay Weitz. Dec. 1998 http://www.oclc.org/oclc/cataloging/enhance/guidelines.htm	OCLC's GFNLEP
SACO Participants' Manual. Adam L. Schiff for the Program for Cooperative Cataloging. Washington, D.C.: Library of Congress, Cataloging Distribution Service, 2001. Http://www.loc.gov/catdir/pcc/saco/sacomanual.pdf	SACO PM
Sandberg-Fox, Ann M. Cataloging Computer Files and Cataloging Interactive Media. (Note: Interactive Media instructions are no longer applied by the U.S. G.P.O. Cataloging Br.)	Sandberg-Fox's CCF&CIM
United States. Government Printing Office. GPO Classification Manual: A Practical Guide to the Superintendent of Documents Classification System. Ed. Marian MacGilvray. Rev. Jan. 1993. Washington, DC: Library Programs Service, Superintendent of Documents, U.S. Government Printing Office, 1993. Http://www.access.gpo.gov/su%5fdocs/fdlp/pubs/classman/index.html	USGPO's CM
---. List of Classes of United States Government Publications Available for Selection by Depository Libraries. Washington, DC: Depository Administration Branch, Library Division, Library Programs Service, Superintendent of Documents, U.S. Government Printing Office. Http://fedbbs.access.gpo.gov/library/download/CLASS/listclas.txt	USGPO's LOC
--- United States Government Printing Office Style Manual, 2000. Washington: U.S. Government Printing Office, 2000. Http://www.access.gpo.gov/styleman/2000/style001.html	USGPO's SM

ABRIDGED CATALOGING

BACKGROUND: AACR2 1.0D provides for different levels of bibliographic description. Most library cataloging is done at the second level, commonly called full-level. First-level and modified first-level, commonly called minimum-level, is employed by libraries to improve cataloging efficiency. GPO's rules for abridged cataloging, producing modified first-level AACR2 records, are used to speed up cataloging and to avoid indefinite cataloging delays.

GPO abridged cataloging records are simpler and take much less time to create than their full-level counterparts for three reasons: 1) authority work is reduced; 2) fewer name and subject added entries are provided; and 3) some descriptive cataloging elements are not provided or are less complete.

APPLICATION: GPO abridged cataloging rules are used to catalog only certain categories of monographs and to enhance existing minimum-level records already on the OCLC database. They are not used to catalog serials. The AACR2 Glossary (page 620) defines a monograph as: A non-serial item (i.e., an item either complete in one part or complete, or intended to be complete in a finite number of parts). The following categories of monographs are cataloged by GPO following its abridged rules.

1. Technical reports
   Technical reports usually contain a technical report or documentation page. For further information on identifying technical reports, see GPO-CG: Technical Reports.
2. Department of Defense technical manuals and bulletins
3. EPA summaries
4. ERIC documents
5. Fatalgrams
6. Flood insurance studies
7. Juvenile activity and coloring books
8. NASA documents, including NASA patents
9. Electronic publications, using online files
10. Open file reports, U.S. Geological Survey
11. Documents consisting of a single sheet measuring 8.5 x 11 or 8.5 x 14 and smaller (May be printed on one side or both sides, but is cataloged full-level if folded to create imposed pages)
12. Documents selected by fewer than one hundred libraries
13. Documents that are NOT distributed to depositories

Exceptions: The following kinds of document are cataloged full-level.

1. Electronic publications with physical carriers (CD-ROMs and floppy disks)
2. Congressional documents
3. General Accounting Office documents
4. GPO sales documents
5. Guides, travel brochures, and similar documents for U.S., state, and local government aquariums, arboretums, forests, historical sites, libraries, museums, parks, preserves, recreational areas, seashores, etc. (Tangible versions only)
6. Maps
7. Microfiche documents for which full-level microfiche reproduction records already exist or may be easily cloned from existing full-level records for the paper version. (Catalogers need to use judgement in applying this instruction. See instructions for new records below.)
8. Posters
9. Documents for which a full-level or core-level record already exists
10. Documents made up of more than one item without part numbers that are contained in cases, envelopes, folders, portfolios
11. Documents with existing records coded K-level or minimum-level that meet or almost meet the full-level standard (These records are re-coded either ELvl: blank, if BIBCO standards are met, or ELvl: I, if regular OCLC standards are met.)
12. Serials
13. Single sheet documents with complex layouts or folded with imposed pages
14. Subject bibliographies
15. Treaties

NEW ABRIDGED RECORDS:

New Original Records: New abridged records created by GPO are encoded K-level, which is OCLC's code for records that are less than full-level. If a cataloger inadvertently includes a field in a new abridged record that is NOT required by abridged standards, but is allowed or required by full-level standards, it is retained.

New Records Created by Cloning Existing Records: The words cloned and cloned record, as used by GPO, means creating a new record from an existing record for the same document in a different format. GPO usually uses cloning to create records for reproduction microfiche from records for the printed versions.

When creating a new record by cloning an existing record in a different format, catalogers do NOT delete information included in the existing record (either full or abridged) just because it is not required by abridged record standards. GPO retains this information if provided for/allowed by AACR2, the LCRIs, and other accepted standards. Data that incorrect, or is not allowed by accepted cataloging standards, is removed.

Catalogers use judgement to determine whether cloning a full-level record or creating a new abridged record would require the least time and effort, and choose the least labor-intensive method. New records created by cloning an existing full-level record are coded either blank level or I-level rather than K-level if either BIBCO standards or general OCLC, i.e., I-level, standards are met with only a few additions or changes. New records created by cloning a core-level record are coded core-level if core-level standards are met. Otherwise, they are coded K-level.

EXISTING RECORDS: If a full-level OCLC database record is found, it is adapted following full-level standards.

OCLC rules do not allow GPO or other OCLC members to replace existing full-level cataloging records with less complete records, e.g., GPO abridged records, or change the encoding level to a lower level. Records coded blank, I, or 7 may not by changed to OCLC K-level. Nor may information be removed from existing K-level records to meet GPO abridged-level standards for new records. Only information that AACR2 does not allow to be included in its highest-level records may be removed.

If a core-level record is found on the OCLC database, it is adapted following core-level standards. If GPO finds an existing K-level record or an LC minimum-level record on OCLC, GPO enhances the record to include all the elements required to bring it into compliance with these guidelines. Optional descriptive fields and note fields already in existing records are retained, if correctly used, even though GPO would not include them in its original K-level records. Fields that are incorrectly used are deleted or corrected. All other errors are corrected.

GPO ABRIDGED STANDARDS: The following list prescribes GPO cataloging practice for various parts of new abridged cataloging records. It is not all-inclusive; only the most commonly used fields are specifically addressed. In deciding whether to include other fields or information in the records, catalogers should consider that the guiding principle of abridged cataloging is brevity.

Sources of Information: The standards normally followed are those in AACR2 and the LCRIs. Bibliographic data appearing in the 245, 250, and 260 fields must be from the document being cataloged unless supplied in brackets by the cataloger. The sources used to catalog reproduction microfiche are those in the paper originals, not the eye-readable header or frames added during the manufacturing process. An exception is made for ERIC microfiche that contain title pages added during the manufacturing process that were not part of the paper originals. If these appear in an ERIC microfiche, GPO usually accepts them as the chief source. Further instructions on transcribing bibliographic data in records for microfiche are included in GPO-CG: Microfiche.

Fixed Field Requirements: The encoding level (ELvl) must be coded K**.** Optional fixed fields are NOT used: Audn, Biog, Cont, LitF, Ills, and Indx.

Variable Fields:

Tag	Field Name	Status	GPO Practice

006	Additional material characters	R	Add to original records for electronic resources; retain in all existing and cloned records, if used as required.
007	Physical description fixed field	R	OCLC does not provide for the inclusion of 007 fields in abridged-level records for paper versions of documents that are text "Type: a". GPO does not include 007 fields in abridged-level records for electronic resources coded "Type: a" or "m." However, GPO does include 007 fields in abridged-level records coded "Type: g," "Type: i" and "Type: j." GPO also include 007 fields in abridged records coded "Type: a" for original microform (COM) and reproduction microfiche regardless of the original format. GPO retains 007 fields in all existing records, including adapted or cloned records, if used as required per MARC21.
010	LC control no.	R	Include when available.
020	ISBN	R	Use subfields "a," "c," & "z" as needed.
027	Standard technical report no. (STRN)	O	Include when included on the technical report page even if found elsewhere in a document.
034	Coded mathematical data	O	Omit from original records
037	Stock number	O	Use subfields "a," "b," "c," & "f," if needed. ERIC and NASA identification numbers are recorded in subfield "a" of this field.
043	Geographic area code	O	Omit from original records; retain in existing & cloned records
052	Geographic classification code	O	Omit from original records; retain in existing & cloned records.
074	GPO item number	O	GPO considers mandatory for documents with item numbers assigned to them.
086	SuDocs class		GPO considers mandatory for documents with SuDocs classes assigned to them. Incorrectly assigned SuDocs class numbers, including those appearing on microfiche headers, are recorded in subfield "z."
088	Report number	O	Omit from original records; retain in existing & cloned records if used in accordance with GPO-CGs for full-level; record STRNs in 027 field even if also found outside technical report page.
099	Local free text Call number	O	GPO considers mandatory for documents with SuDocs classes.

100 110 111	Main entry	R	Use as required by AACR2; confirm all headings in the NACO authority file. Personal names that are NOT already established are recorded in AACR2 format without a name authority record being established. Corporate body and conference headings that are not already in the authority file must be established. Only persons responsible for authoring a document may be included in the 100 field of AACR2 records. The names of persons identified as principle investigators may be recorded in the 100 field of AACR2 records if it is clear they are the authors of a document. Program directors are not been recorded in the 100 field unless there is definite proof that they are the primary authors of a document.
130	Uniform title main entry	O	Omit from original records. Retain if appropriately used in adapted records.
240	Uniform title	O	Omit from original records. Retain if appropriately used in adapted records.
245	Title statement and responsibility area	M	Use subfields "a," "b," "c," "h," "n," & "p" as needed. GPO records the phrases such as final report, preliminary report, and similar phrases as other title information unless they are grammatically linked with the rest of the title, e.g., Final report of the…. Prepared for statements are not added recorded in new and existing records, but are retained in existing records.
246	Varying form of title	R	Use to record corrected titles, cover titles, added title page titles, and other titles given such prominence by typography or by other means that it is reasonable to assume that the publication is known by it or that some persons might think that it is the main title. GPO does NOT add title added entries for to its original abridged records permutations related to titles proper as provided for in LCRI 21.30J, page 5-12.
250	Edition statement	R	Use only subfield "a" in original records. Supply edition statement for ERIC and NASA to distinguish their versions of documents from other versions, e.g., 250 [ERIC ed.] or 250 [NASA ed.].
255	Mathematical data area	R	For atlases only.
260	Publication, distribution, etc., area	M	Use subfields "a," "b," "c" & "g" in original records. 1. Supply the place of publication without a question mark, e.g., [Washington, DC] if not included in the document. 2. Record only the first publisher if it is a Federal agency.

260	Publication, distribution, etc., area (cont.)	M	3. Record the first non-Federal publisher followed by the first Federal publisher if the non-Federal publisher appears first. 4. Record the ERIC clearinghouse involved as the 1st or 2nd publisher. 5. Limit the number of publishers recorded in new records to two. Retain all 260 subfields in existing records if properly included. 1. If the number of publishers are properly recorded in an existing record is 3 or less, retain all. 2. If more than 3 publishers are recorded in an existing record, retain only the first unless the first is not a Federal body and one or more of the other bodies are Federal bodies. 3. If the Federal body issuing a Federal document is not named in it, supply the Federal publisher, based on the SuDocs class as follows: a) in brackets in the 260 subfield "b" if one or two publishers are already properly included; b) in a 500 note if three non-Federal bodies are properly recorded in the 260 field; or c) in the 533 subfield "c" of a reproduction microfiche.
300	Physical description	M	Use only subfields "a" & "e" in original records; record pagination in new records as 1 v. or 1 sheet where appropriate. Retain explicit pagination in subfield "a" and subfields "b," "c," and "e" in existing & cloned records. Do NOT include 300 fields in records for online documents.
440	Series statement, title (traced)	O	Use only to record established series that are traced the same.
490	Series statement, not traced or traced differently	R	Record established series traced differently and use 490 1 & 830. Series authority work is not required for K-level records. If series is not established, record in 490 0, untraced. Also record variant forms of a series that are not included in its authority record in 490 0, untraced. Series that have changed their titles and have not been reestablished and series with uniform titles that are no longer appropriate per LCRI 25.5B are not considered established. See also GPO-CG, Authority Records, 5A.

5XX	Notes	O	Nearly all notes are optional for level K. Omit most notes in original records, including description based on notes in records for multiparts, except for: 1. Notes relative to depository distribution status, such as shipping list numbers and distribution notes. 2. Notes indicating the edition that is being "superseded" or "reprinted." Usually included in records for Dept. of Defense technical manuals. 3. Notes containing information needed for identification (e.g., "Community numbers" on flood insurance studies, "supersedes" and "reprint notes" on Dept. of Defense technical manuals). 4. Retain notes on existing records if used correctly; add notes relative to depository distribution and those needed for identification if lacking. Retain in existing & cloned records. 5. Notes regarding online access and, if needed, system requirements. 6. Notes containing the title and issue designation of individual serial issues and articles that have been reissued as separate documents, e.g., "Journal of Education, Vol. 25, No. 4."
505	Contents note	O	GPO includes in collective records for multiparts if required.
506	Restrictions on access	O	GPO includes in all records if required.
513	Type of report and period covered	O	Omit on new records; retain in existing records if correctly used.
530	Other formats available	R	Use to record information regarding versions available, including online versions per instructions in GPO-CG: Linking Fields.
533	Photo-reproduction note	R	Use for items not originally published as microforms, i.e., microfiche reproductions. Includes publishing and distribution information on microfiche (533 subfields "b," "c," & "d"), physical description (533 subfield "e"), series statement for MF reproduction (533 subfield "f"), MF reproduction notes (533 subfield "n"), & serial designation (533 subfield "m"). Include the number of microfiche preceding the word "microfiche" in the 533 subfield "e" if known. Do not include the word "negative" following the word "microfiche" in new records, but retain it in existing records if appropriately used.
536	Funding information note	O	Omit on new records; retain in existing records if used correctly.

538	System details Mode of access	R	Use only in electronic resource records to record system requirements for electronic documents and access information for online files.
539	Fixed-length data elements of reproductions	O	Omit from original & cloned records; retain in existing records if correctly used.
590	Local note	O	Required for GPO internal use.
650	Subject added entries	O	Original records: Add at least one Library of Congress Subject Heading added entry except to records for NASA documents. New LCSH authorities are NOT established for K-level records. Existing records & cloned records, including NASA records: Retain and correct, if necessary, all LCSH added entries if established & appropriate. Add NASA thesaurus terms from NASA CASI records to new and existing NASA records instead of LCSH added entries.
700 710 711	Added entries	O	All headings should be confirmed in the authority file. 1. Personal names may be used in AACR2 format without NACO work. 2. Corporate or conference headings not in file must be established to be included. 3. Non-Federal bodies appearing the publication, distribution, etc., area are NOT traced in new records. 4. Non-Federal bodies are NOT traced in "cloned" and existing records if not previously established. 5. Always make an added entry for the issuing Federal agency unless used as the main entry. 6. Include an added entry for the National Aeronautics and Space Administration in records for its publications if none of its lower bodies is traced. 7. Include an added entry for the Educational Resources and Information Center in records for its publications if none of its clearinghouses or other subordinate bodies are traced. 8. Corporate bodies appearing in "prepared for" statements are NOT traced in new records and are not retained in "cloned" and existing records if not previously established.
730	Added entry, uniform title	R	Omit from original records; retain in existing & cloned records if used correctly.
740	Added entry, uncontrolled materials, analytical title	R	Use as required by MARC21 instructions & instructions for "single record" online files.
810	Series added entry-corp. name	R	Use to record form of an established series entered under corporate body.
830	Series added entry-uniform title	R	Use to record form of an established series entered under uniform title.

856	Electronic location and access	R	Use subfield “u” to record GPO PURL; use subfield “3” to record material specific information and subfield “z” to record other information.

Key to status codes: **M** = Mandatory; **R** = Required if applicable or readily available; **O** = Optional

SEE ALSO: Cataloging Priorities; Electronic Resources; Creating New OCLC Database Records; Technical Reports.

ADAPTING OCLC DATA BASE RECORDS

BACKGROUND: As an OCLC member, GPO adapts appropriate OCLC database records to catalog the documents it receives and distributes. As a participant in PCC, BIBCO, CONSER, NACO, SACO and as a National-level Enhanced OCLC member, GPO makes changes to database records where required, but does not make changes that are NOT allowed by these programs.

Note: The term "copy cataloging" is used by LC, OCLC, and others instead of "adapt" to describe the use of existing records from other libraries, even though extensive changes may be made.

INSTRUCTIONS: When adapting existing OCLC records, GPO follows the general standards listed in the introduction and the standards listed below.

1. Monographs:

   OCLC's BFAS. http://www.oclc.org/oclc/bib/about.htm

   OCLC's CUG, ch. 6.

   OCLC's ETS. http://www.oclc.org/oclc/cataloging/enhance/outline.htm

   OCLC's GFNLEP, http://www.oclc.org/oclc/cataloging/enhance/guidelines.htm

2. Serials: The CCM, the CEG, sections B and C, and OCLC's BFAS, http://www.oclc.org/oclc/bib/about.htm

POLICIES:

GPO does not create a new record if there is a record already in the OCLC database that matches the document being cataloged.

If a cataloger is uncertain about adapting an existing OCLC record after comparing it with the document in hand, a new record is created.

Existing records are changed as little as possible. For example, GPO normally does not change the main entry from title to corporate or move information on a corporate body that could be recorded as part of the title, as a statement of responsibility, or as the publisher.

DETERMINING IF AN OCLC DATABASE RECORD SHOULD BE ADAPTED:

The bibliographic and physical characteristics described in existing records are compared with the document before a decision is made to adapt a record. Adapted records must be appropriate for the document being cataloged. To determine if a record should be adapted, both fixed and variable fields are checked. The text is checked to determine if it contains information about events that occurred after the

catalog record was created. The specific location in the cataloging record of the descriptive elements is not critical. The choice of main entry and the subject headings in an existing record are also not determining factors in whether or not to adapt. The final determination is based on the descriptive elements, both bibliographic and physical.

1. Descriptive Elements Checked:

- Title, part designations (i.e., letters, numbers, etc.), part titles
- General materials designator
- Other title information
- Statements of responsibility (personal authors, corporate bodies, editors, illustrators, translators, etc.)
- Edition statements
- Publisher/issuing body
- Dates (copyright, publication, issuance, and other. Later impressions or printings must have an updated contents or textual changes)
- Extent of item (pages, volumes, computer optical discs, maps, microfiche, etc.)
- Illustrations and other special features
- Size
- Accompanying materials
- Series titles and numbers
- Notes (including microfiche reproduction notes, dates of issuance, identification numbers, report numbers, etc.)
- Language
- Format (CD-ROM, paper, microfiche, etc.)
- Contents, including the text, special features, etc.
- Differences in software requirements, i.e., PC versus UNIX, etc.
- Publisher of the reproduction (microfiche, etc.)

2. Reprints: It is not always easy to determine if a document is a reprint or a revised version. GPO attempts to avoid creating new records for reprints of documents previously cataloged for the Monthly Catalog, while also avoiding identifying a later edition of a document or a different document as a reprint.

A. New Documents: All are examined for reprint statements and for new or revised information.

i. If the newly received document has the same bibliographic description as a previously cataloged document, with the exception of the date of publication and/or date of issuance, it is probably a different edition.

ii. If a reprint statement is included in a document, it may be a reprint of a document that has already been cataloged.

B. GPO Records:

i. Records for Earlier Printings: If a document is a reprint and GPO has already created a record for an earlier printing, the latter printing is handled as a duplicate and returned un-cataloged to Depository Administration Branch with a note indicating it is a reprint.

ii. Records for Later Printings: If the document in hand is an earlier printing of a document described in an existing record, the record is updated to describe the earlier printing following LCRI 1.4G4, but is NOT produced.

C. Other OCLC Records:

i. Records for Earlier Printings: If a newly received document is a later printing of a document that is already represented in the OCLC database by a record for an earlier printing, GPO adapts the record for the earlier printing. A note is added to it indicating that a later printing has been distributed to depositories and the record is produced for the Monthly Catalog. The original fixed field dates and publication dates in the 260 subfields "c" and "g" are not changed. See GPO-CG: Notes and the example below.

500 Reprint for 2000 distributed to depository libraries, shipping list no.: 2001-0001-P.

ii. Records for Later Printings: If the newly document in hand is an earlier printing of a document represented by a non-GPO record for a later printing, it is updated following LCRI 1.4G4. Its description is changed to represent the earlier printing and the record is produced for the Monthly Catalog.

CHOOSING BETWEEN MULTIPLE RECORDS: If an OCLC data base search retrieves multiple records for the same document, catalogers determine which record to adapt based on the following:

1. Collection, Monograph, or Serial: The bibliographic level of the record being adapted (i.e., collection, monograph, or serial) must be appropriate for the type of publication or group of publications being cataloged.

A. Collection-Level Records: Online files appearing at a single Web site may be cataloged using existing collection-level records (bibliographic level (BLvl): c). Online files that are part of a series available from a single site may be cataloged as a collection rather than as individual documents.

B. Monograph Records: Existing monograph records (bibliographic level (BLvl: m), including existing series analytic records, are adapted for documents that qualify to be treated as monographs per the monograph definition on page 620 of AACR2 or per LCRI 12.0A.

C. Serial Records: Existing serial records (bibliographic level (BLvl: s) are adapted for documents that qualify to be treated as serials per the serials definition on page 622 of AACR2, as modified by LCRI 12.0A.

2. Format: With the exception of online files, records adapted must match the format of the document that is being cataloged. For example, if the document in hand is a microfiche document and has been distributed only in microfiche, a microfiche record is adapted. If the document being cataloged is a CD-ROM and has been distributed only as a CD-ROM, a CD-ROM record is adapted.

There are two types of microfiche documents: original microfiche, including computer output microfiche (COM) documents, and reproduction microfiche. Microfiche reproduction records, i.e., those created following LCRI 11.0 and containing 533 fields, may NOT be adapted for COM microfiche. However, GPO does treat some original microfiche, such as the USGS Open-File Reports, as microfiche reproductions.

If a document has also been distributed in a second format (whether intentionally or inadvertently) and no unusual equipment or programming is required for its use, an additional record is NOT made. Distribution notes are used to provide information about the version distributed in a second or third format. Only the paper version of dual distribution documents, i.e., documents that are intended to be distributed both in paper and microfiche, are cataloged.

3. Bibliographic Elements and Content, Including the Text:

A. Bibliographic Difference: The bibliographic elements checked and compared when choosing between multiple OCLC records are the same elements compared when determining whether or not to adapt a record for the document in hand. These are listed in the section above entitled: Determining If an OCLC Database Record Should Be Adapted.

B. Contents, Including Textual Differences: The contents, including the text, of documents also must be considered. Some government documents have exactly the same bibliographic elements and physical description, but have a different text or other significant differences in content. Edition statements are supplied in new records when this occurs. See GPO-CG: Edition Statements. Example:

250 [Maine, New Hampshire, and Vermont ed.].

4. Cataloging Authority:

A. Monograph Records: Library of Congress (LC) records and BIBCO records are preferred over records created by other libraries. Records from National Agricultural Library, National Library of Medicine, and other national or specialty libraries are preferred over records from other libraries.

B. Serial Records: Serials catalogers consult the CEG, Sections B and C for guidance on adapting existing serial records. Serial catalogers must search the OCLC database without a year qualifier, in order not to miss a possible serial record.

5. Encoding/Authentication Level: Catalogers select the OCLC record with highest encoding/authentication level. See OCLC instructions. A record with the encoding level of blank is preferred over an I-level record and an I-level record is preferred over a K-level record. LC and BIBCO records coded 4 and 7 are preferred over other records included in the OCLC database.

Encoding level and completeness of an existing record usually determine whether or not to adapt it when GPO would normally use GPO abridged cataloging standards to catalog the document. Minimum-level OCLC records (i.e., those encoded K-level) are NOT adapted by GPO if the OCLC database also has a full level record (i.e., with encoding level blank, 2, or I) or a LC minimum-level record (i.e., encoding level 7) for the same document in the same format.

6. Completeness and Accuracy of Records: If after applying the conditions in 1-5 above, the selection of a particular record cannot be made, the quality, completeness, and accuracy of existing records are considered in selecting a record. A new record is created if all of the existing records appear to be inappropriate for the document to be cataloged.

MODIFYING EXISTING RECORDS:

1. General policy: GPO's current policy is to limit changes to existing records that are adapted for the Monthly Catalog to a minimum. As a PCC member and a National-Level Enhanced member of OCLC, GPO follows the cooperative principle of respecting variations in style and policy allowed by AACR2, the LCRIs, etc.

GPO does NOT make changes in areas that are problematic nor does it remove information from existing records to apply local practices it follows when creating new records. With the exceptions of correcting transcription errors (spelling, etc.) and making changes to CIP records after the actual document is published, GPO does NOT usually delete or change information included in Library of Congress, National Library of Agriculture, National Library of Medicine, BIBCO and CONSER records. Existing multipart and serial records are updated as required as new parts or volumes/issues are published.

In the past, GPO removed some information when adapting OCLC records, but it now retains this information. Examples include: 1) corporate names that were originally transcribed in parentheses following personal names in the responsibility area by LC and other libraries as provided for by LCRI

1.1F7 and 2) statements of responsibility for persons transcribed from non-prescribed sources by LC and other libraries in the note area.

2. Serials, including Periodicals: As issues are received, GPO makes additions and changes to serial records, if required, and produces them again for the Monthly Catalog and for its annual Serials Supplement.

3. Multiparts: When cataloging multiparts using the collective records (comprehensive entry) method, GPO adds information for new volumes to existing OCLC database records as they are received by Cataloging Branch and produces them again for the Monthly Catalog.

A. GPO does NOT remove information from OCLC database records that pertains to individual parts that have been published and recorded by another library, but not received by Cataloging Branch.

B. However, information pertaining to individual parts that have not been received is removed from unlocked records for Monthly Catalog production.

C. Typographical and transcription errors are routinely corrected.

4. CIP Records: The bibliographic information in CIP records may differ greatly from the final version of a CIP document. GPO makes all required database changes when adapting a CIP record. It does not make changes because of interpretational differences.

A. Descriptive elements that may be changed include the title and statement of responsibility, edition statement, place of publication, name of publisher, place of distribution, name of distributor, and dates.

B. The physical description which is normally lacking in CIP records must be added. Notes may need to be added, changed, or deleted.

C. The projected date of publication appearing in the 263 field is NOT removed.

5. Looseleafs: If a new title page is received for a looseleaf, the OCLC record is updated as required by the instructions in LC's CRFTDOLP. For further information on adapting looseleafs, see GPO-CG: Basic Manuals.

6. Special Information Added: GPO adds special information to both adapted records and new records, including those created by cloning, that is not usually included by other cataloging organizations. Special information added includes:

A. Information on Federal agency involvement in supporting, preparing, and issuing is added to all GPO catalog records, even though this information is not available from the actual document. For details, see GPO-CG: Notes and Publication, Distribution, etc., Area.

B. Corporate body added entries for Federal agencies issuing documents, including those that do not appear in the document being cataloged, are also added. For details see GPO-CG: Corporate Body Access Points.

C. SuDocs class. For details see GPO-CG: SuDocs Classification Numbers.

D. Distribution information, including item numbers. For details see GPO-CG: Item Numbers and Notes.

E. Sales information. For details see GPO-CG: Sales Information.

F. Federal Internet access information, including PURLS. For details see GPO-CG: Electronic Resources.

Additional instructions on adding, modifying, and removing information from full-level OCLC database records are in the table below. Other GPO cataloging guidelines are referred to in this table. These instructions pertain only to OCLC records encoded (ELvl:) blank, 7, or I. For details on adapting OCLC K-level, i.e., minimum-level records, see GPO-CG: Abridged Cataloging.

Tag	Field Name	Status	GPO Practice
006	Additional material Characteristics	O	Add or correct if appropriate.
007	Physical description fixed field	O	Add or correct if appropriate.
010	LC control no.		Add to records authenticated for CONSER.
020	ISBN	R	Subfield “a”: Add or correct if it appears in monograph documents. Do NOT add to serial documents. Subfield “c”: Add to records for monographs currently sold by GPO in the same format.
027	STRN	R	Add if available.
037	Source of acquisitions	O	Subfield “a”: Add to records currently sold by GPO or sold by another agency. Subfield “b”: Initials of agency selling a document. Subfield “c”: price of serial issues in serial availability records and monograph records only when sold in a different format. Subfield “f”: format of version sold.
042	Authentication code		LC record codes: lc, lccopycat, lcd & pcc. Add pcc to records authenticated for BIBCO; Add lcd to records authenticated for CONSER.
074	GPO item no.	O	Add to records for documents distributed in a tangible version.
086	SuDocs class	O	Add to records for tangible documents.
088	Report no.	R	Add if available.

099	Local call no.	O	Add to records produced for the Monthly Catalog
245	Title statement	M	Add elements and correct as needed, but with caution; consider a record may be a different edition or document.
246	Varying form of title	R	Add 246 2 (search only) based on each cataloger's personal judgement on the needs of OCLC users. Otherwise add as required by AACR2 & LCRIs with indicators 0, 1, 3.
250	Edition statement	R	Transcribe as required; supply to distinguish between documents with the same bibliographic & physical description but with different contents.
260	Publication, distribution, etc., area	M	Add/supply the name of the Federal agency issuing a document if needed, as well as a place of publication. Add/supply GPO sales statement if currently for sale even if not found in the document. (Note: GPO also considers non-Federal bodies, such as local, regional, and state agencies, secondary and higher educational institutes, research laboratories, private organizations, & similar bodies found in explicit publishing statements or in the imprint area to be publishers and records/retains them as such.)
300	Physical description	R	Correct and add elements with caution; create a new record if the differences between the physical characteristics of the document in hand and the details in 300 field in an existing record seem to indicate it is a record for a different document.
440 490	Series area		Correct or add series statements if necessary.
5XX	Notes	O	Add notes regarding distribution of tangible versions to depositories and availability of online versions. Add notes to justify added entries for personal authors that do not appear prominently, but do appear in formal or informal statements located in sources that are initially seen by readers when examining a document, (t.p., t.p. verso, cover, caption, & last page of text of books, etc.). Add other notes as required by established standards: AACR2, LCRIs, GPO-CG: Electronic Resources, Notes, Report Numbers, Technical Reports & other GPO-CG's.
6XX	Subject added entries	R	Add and modify as required by LCSH, LC's SCM: SH, & GPO-CG: Subject headings. Add NASA thesaurus terms to records for NASA technical reports.

7XX	Added entries	R	Add and modify as required by AACR2, LCRIs, and GPO-CG: Corporate Body Access Points and Personal Name Access Points. Add personal author added entry for 2nd & 3rd personal authors named in formal or informal statements in sources that are initially seen (t.p., t.p. verso, cover, caption, & last page of text of books, etc.) if no more than 3 are named. Add corporate body added entries for the Federal agency issuing a document even if they are not named in the document.
856	Electronic location	O	Add assigned GPO PURLS as appropriate.

7. Fields to be Retained in Existing Records:

Tag	Field Name	Status	GPO Practice
FF	Fixed fields		Normally do NOT change DLC, AGL, NLM, BIBCO & CONSER records. Change other records as per BIBCO & CONSER instructions.
006	Additional material characters	O	Retain if properly included; correct, if incorrectly or incompletely coded.
007	Physical description fixed field	O	Retain if properly included; correct, if incorrectly or incompletely coded.
010	LC control no.	R	Retain without changing in records created or claimed by LC.
015	Natl. bibliography no.		Retain without changing in DLC, AGL, NLC, NLM, records.
020	ISBN	R	Retain in monograph records if used as required.
025	Overseas acquisitions no.		Retain without changing in DLC records.
027	Standard technical report no. (STRN)	O	Retain if properly included. (Do NOT record or retain in serial records if assigned to a specific issue.)
030	CODEN	R	Retain without changing in DLC, AGL, NLC, NLM, and records input by other CONSER members.
034	Coded mathematical data		Retain & correct as appropriate.
037	Stock number	O	Subfield “a”: Retain & correct in all records. Subfield “b”: Substitute OCLC code for full address for production only. Subfield “c”: Remove if no longer for sale. Subfield “f”: Retain & correct.
039	Core record designator	R	Obsolete practice. ELvl fixed field value should remain as 4 unless record is upgraded to a full-level BIBCO record.

040	Cataloging source	R	Serial records only: Summarize to reduce the number of subfield "d"s in GPO production records. Retain codes (one each) for DLC, DGPO, AGL, NLM, NSD, NSDP, NST, OCLC. (Exception: If the code in the last subfield "d" is for CONSER members other than those listed above, retain it also.)
042	Authentication code	O	Retain, add, & correct in DLC, AGL, NLC, NLM, PCC, BIBCO, & CONSER records as indicated by codes: lc, lccopycat, lcd, msc, nlc, nsdp, pcc, etc.
043	Geographic area codes	O	Retain in DLC, AGL, NLC, NLM, records, as well as records input by other PCC, BIBCO, & CONSER members.
045	Time period of contents	O	Retain without changing in DLC, AGL, NLC, NLM, records, as well as records input by other PCC, BIBCO, & CONSER members.
050	Library of Congress call no.	R	Retain without changing in DLC, AGL, NLC, NLM, records, as well as records input by other PCC, BIBCO, & CONSER members.
051	Library of Congress copy, issue, offprint statement		Retain without changing in DLC Records.
052	Geographic classification codes	0	Retain and correct in all records for cartographic materials (atlases, maps, etc.).
055	Call nos. assigned in Canada	R	Retain in DLC & NLC records. Delete from other records for productions only.
060	National Library of Medicine call nos.	R	Retain without changing in DLC & NLM records. Delete from other records for production only.
061	National Library of Medicine copy statements	R	Retain without changing in NLM records. Delete from other records for production only.
070	National Agricultural Library call no.	R	Retain without changing in DLC & AGL records. Delete from other records for production only.
071	National Agricultural Library copy statement	R	Retain without changing in AGL records. Delete from other records for production only.
072	Subject category code	R	Retain without changing (particularly in DLC & AGL records).
074	GPO item number	O	Retain & correct in records for documents distributed to depositories or available online.
080	Universal decimal classification no.	O	Retain without changing.

082	Dewey decimal call no.	O	Retain without changing.
086	SuDocs class	R	Retain & correct.
088	Report nos.	R	Retain & correct if needed.
100	Main entry-personal name	R	Retain in DLC, AGL, NLC, NLM, PCC, BIBCO, & CONSER records. Also retain in all other records if justified by personal author statements (both formal & informal) found anywhere in the document to three or fewer persons. Also retain if attributed principally to only one person. Correct as needed to match the name authority file.
111	Main entry-corporate meetings/conferences	R	Retain in DLC, AGL, NLC, NLM, PCC, BIBCO, & CONSER records. Correct transcription errors if needed.
130	Uniform title		Correct other records following AACR2 & LCRI instructions.
245	Title statement	M	All subfields: Normally retain as originally recorded in existing records, particularly in DLC, AGL, NLC, NLM, PCC, BIBCO, & CONSER records. (Exceptions: Make changes for looseleafs & multiparts as required by the rules.) Realign subfields, if in wrong order in full-level records, and correct transcription errors: typos, capitalization, etc. Subfield "c": Move information extracted from statements of responsibility that are not prominent to 500 notes.
250	Edition statement	R	Normally retain as originally recorded, particularly in DLC, AGL, NLC, NLM, PCC, BIBCO, & CONSER records.
260	Publication, distribution, etc., area	R	Normally retain as originally recorded, particularly in DLC, AGL, NLC, NLM, PCC, BIBCO, & CONSER records. Retain publishers from explicit publishing statements & from the imprint area of chief source. Add Federal authors in brackets as required.
300	Physical description	R	Retain for tangible formats. Do not use for online files. Subfield "b": In accordance with LCRI 2.5C2, retain full information on illustrative matter, if correct. Subfield "c": Do NOT change the recorded size unless the difference is problematic, i.e., more than 2 millimeters. Do NOT change DLC, AGL, NLC, NLM, BIBCO CONSER records. Subfield "e": Always retain information on accompanying materials in master records. Delete for production only if not distributed with a document or at all.

440 490	Series statements	R	Retain DLC, AGL, NLC, NLM, PCC, BIBCO, & CONSER records. Correct records if necessary & establish series authorities for full-level records if needed.
5XX	Notes, including general notes		Retain all notes justifying personal authors main entries & added entries even if they are extracted from informal statements and internal sources. Retain notes justifying corporate body main entries & added entries including those from a secondary location, e.g., near the central area of the t.p. or p. 4 of cover or the colophon. Add, retain, and correct as required. Retain information in 505 notes pertaining to all pts./vols. of multiparts whether or not they have been received by GPO for cataloging. Add information to 505 notes on new pts./vols. Received by the Cataloging Branch.
6XX	Subject headings	O	Retain and correct LCSH in DLC, AGL, NLC, NLM, records, as well as records input by other PCC, BIBCO, & CONSER members. Retain MESH in NLM records. Change AGL subjects to LCSH. Retain NASA Thesaurus Terms (i.e., 650 -7 >2 nasat) & revise if necessary. Do NOT delete subject heading with 2nd indicators 1, 4 through 6, or 8 from OCLC data base records, but do delete them for the Monthly Catalog production.
7XX	Added entries	R	Retain, add, & correct as needed. Do NOT remove personal authors added entries justified by notes extracted from informal statements and/or internal sources. Do NOT remove corporate body added entries for contractors not accompanied by contract numbers. Also do NOT remove corporate body added entries justified by statements in a secondary location, such as the central area of the t.p., p. 4 of cover or the colophon.
810 830	Series added entries	R	Retain, add, correct, or delete as necessary.
856	Electronic location	O	Retain, add, or correct as necessary. Replace & move URLs to 538 or 530 in all records with GPO PURLS.

SEE ALSO: Abridged Cataloging; Basic Manuals; Electronic Resources; Corporate Body Access Points; Creating New OCLC Database Records; Microfiche; Multipart Items; Notes; Personal Name Access Points; Publication, Distribution, etc., Area; Report Numbers; Sales Information; Subject Headings; Technical Reports.

AUTHORITY RECORDS

BACKGROUND: The inclusion of standard access points in catalog records aids users to retrieve information and to identify and locate specific publications.

1. To facilitate consistency, AACR2 and other standards provide for the establishment of corporate body names, jurisdictional geographic headings, multiparts (collective titles), personal names, series, series-like phrases, and uniform titles in standard forms.

2. LC's SCM: SH provides for the establishment of topical subject headings, the addition of new subdivisions, non-jurisdictional geographic names, and the updating of authority records.

3. Both standards provide for the creation of authority records, cross references for variations, and updating of existing authority records.

4. As a member of the Program for Cooperative Cataloging (PCC) name authority cooperative component, NACO, and subject cooperative component, SACO, GPO does not have its own inhouse authority files.

5. GPO catalogers access LC/NACO authority records and the LC/SACO authority records via OCLC's authority file system.

6. GPO creates new authority records in the required form provided for by:

   A. AACR2 and contributes them to the LC/NACO authority file.

   B. LC's SCM: SM and contributes them to the LC/SACO authority file.

7. GPO updates existing LC/NACO and LC/SACO as required by GPO, NACO, and SACO policies.

INSTRUCTIONS:

1. The primary sources consulted are:

   AACR2, chapters 21 through 25

   LCRIs, chapters 21 through 25

   LC's DCMZ1

   LC's SCM: SH

   MARC21 FFAR

NACO PM

SACO PM

2. In addition to the sources listed above, the authority liaisons, and occasionally catalogers, may need to consult other sources. Some of these are:

   Carroll's Federal Directory: Executive, Legislative, Judicial. Retain all issues for recent years and retain at least two non-consecutive issues for past years.

   Carroll's Federal Regional Directory: Executive, Legislative, Judicial. Retain all issues for recent years and retain at least one issue for past years.

   Congressional directory. All tangible, e.g., paper, issues retained permanently; current issue also available via Internet, http://purl.access.gpo.gov/GPO/LPS194

   The United States government Manual. All tangible, e.g., paper, issues retained permanently; recent issues available via Internet, http://purl.access.gpo.gov/GPO/LPS2410

POLICIES: GPO's participation in NACO and SACO is limited to the following:

1. **Corporate Names:** New corporate name authority records, including those for conferences, are created and existing authority records are updated for all documents requiring corporate body access points, including main entries (110 and 111 fields), subject added entries (610 and 611), or added entries (710 and 711 fields).

   A. Variant Names: Variant forms of corporate names appearing in documents cataloged after an authority record has been created are added to existing records.

   B. Conferences Authority Records: These are not created for individual conference papers nor are conference access points included in bibliographic records for individual papers.

   C. Ranger Districts: Forest Service ranger districts and other ranger districts may be set up in the LC/NACO authority file under the Forest Service or other appropriate higher administrative bodies.

   D. Land and Water Areas: See 2, B, ii below.

   E. Non-Federal Corporate Bodies: These are set up and traced for full-level records. They are recorded in the description of new GPO abridged-level records but are not traced even if previously established. Non-Federal corporate body access points included in OCLC minimum-level records are retained if established but are not retained if not established.

2. **Jurisdictional Geographic Headings:**

A. **All Documents:** New jurisdictional geographic heading authority records are created in the LC/NACO authority file if needed to create a corporate body authority record.

i. Cross-References: Variant forms are added as they are discovered.

ii. Non-jurisdictional Geographic Headings: These are moved to the LC/NACO authority file if needed to establish a corporate body.

B. **Documents Cataloged Full-level or Core-level, Including Cartographic Materials and Congressional Documents:** Authority records are created for the LC/NACO file if they are needed for subject headings**.**

i. New Authority Records: Requests to establish new authority records for monographs are submitted to the cataloging supervisor for approval.

ii. Land and Water Areas: Usually the names of land and water areas are recorded as part of the title or in a note, if appropriate. They are usually established in the LC/SACO file and only appear as subject subdivisions or added entries. Land and water areas include government controlled or owned areas, such as national, state, and local forests, monuments, parks, seashores, etc. They may be established as corporate bodies in the LC/NACO name authority file or used as a main or added entry if there is acceptable evidence that the organization administrating an area has the same name as the area administered. Required evidence is their appearance in explicit statements of responsibility, e.g., prepared by ... National Forest. Federal agencies that administer or manage national forests, etc., may be established, recorded in the statement of responsibility area of catalog records, and recorded in main or added entries.

C. **Abridged-Level:** Jurisdictional geographic headings are recorded as subject headings or a subject heading subdivision only if previously established.

3. Personal Names:

A. Congressional Documents: Personal name authority records are created and existing authority records are updated only for Congressional documents with personal name access points, including main entries (100 field), subject added entries (600 field), or added entries (700 field). GPO adds new cross references for variant forms of personal names in Congressional documents, but does not add them for other documents.

B. Other Documents: Personal names needed to catalog other documents are confirmed in OCLC's authority file. New personal name authority records are NOT created. Existing personal name authority records are NOT updated. For information on recording personal names in access points, see GPO-CG: Personal Name Access Points.

4. **Multipart (Collective Titles):** New authority records are created and existing records are updated for use in full-level bibliographic records only if a multipart collective title is to be recorded in the series statement area of a record per GPO policy. Variant forms found in documents cataloged following full-level standards are added to authority records. See GPO-CG: Multipart Items.

5. **Series:** Series titles and series numbering are always confirmed in OCLC's authority file.

   A. Documents (Except for Individual Issues of Serials and Articles from Serials):

   i. Full-Level Records: New series authority records are created and updated only for documents cataloged full-level. Series statements are recorded in either the 440 or 490 fields and, if the established form differs, they are traced in the 810 or 830 series added entry field.

   ii. Abridged-Level and Core-Level Records:

   a. If a series has been established, the series title and numbering are recorded in either the 440 or 490 fields in the form they appear and are traced in either the 810 or 830 fields in the form required by the authority record.

   b. If a series has been established and the form appearing in the document being cataloged following core standards or GPO abridged standard is a variant form, the variant is recorded without it being added to the authority record. The established form is traced in the 810 or 830 fields.

   c. If a series has not been established, it is recorded in a 490 field as it appears in the document, but is NOT traced.

   B. Documents that Are Individual Issues of Serials and Articles from Serials: To avoid confusion, series authority records are NOT created for these.

   i. The serials title and designation in which an individual article or group of articles appears is recorded in a note. Example:

   500 "Journal of elementary education, volume 50, number 1."

   ii. The title of the individual article or the title given to a group of individual articles is recorded in the title and statement of responsibility area of the record. Hypothetical example:

   100 1 Smith, Jane
   245 10 Effective instruction >h [microform] / >c Jane Smith.
   500 "Journal of elementary education, volume 50, number 3."

iii. If the individual issue of a serial has its own individual title, the individual title is recorded in the title area of the cataloging record. The serials title and numbering are recorded in a note. See hypothetical example below.

245 00 Los Angeles and the future of secondary education.
500 "Journal of elementary education, volume 52, number 11."

iv. If the individual issue does not have its own title, the title and issue numbering are recorded in the title and statement of responsibility area. See hypothetical example below.

245 04 The journal of elementary education, >n Volume 52, Number 11.

6. Series-Like Phrases: In the past GPO established series-like phrases for full-level records, but no longer establishes them regularly. Authority records are created only for series-like phrases that are frequently confused with one or more series and are inadvertently, but frequently, recorded as series. Notes giving instructions on usage are added to multipart and series authority records. Example:

130 NPS D
667 Document
667 Give as a quoted note, including the number, if present, e.g., "NPS D-6"; not a report no., but designates a geographic area covered by the publication, do not enter in fields used to record report numbers

A. Full-Level Records: Series-like phrases that qualify to be recorded in full-level records per the instructions in GPO-CG: Report Numbers are confirmed for full-level records. Authority records are created only if required for the reasons indicated above.

B. Abridged-Level and Core Level-Records: Series-like phrases are not confirmed or recorded in new GPO abridged-level records by GPO. Series-like phrases are confirmed and retained in existing minimum-level and core-level records.

7. Topical Headings, Non-Jurisdictional Geographic Names, and Other Headings Established in the LC/SACO Authority File:

A. **Congressional Documents:** New authority records are created and existing authority records are updated for Congressional documents if required. Topical headings are recorded in 650 fields and geographic names are recorded in the 651 fields. Some subject entries, e.g., buildings, etc., are recorded in the 610 field.

B. **Cartographic Materials:** New non-jurisdictional geographic headings are created, if needed.

C. **Other Documents:** With the exception of personal names and uniform titles that do not need to be established, all subject headings entries and subject heading subdivisions appearing in GPO

records must be confirmed in the OCLC authority files, LCSH, LC's SCM: SH, or in GPO's monthly listing of Subject Headings Proposals Submitted to LC During....

8. Uniform Titles: Uniform titles are included in full-level records but not in GPO abridged-level records.

A. If a uniform title that must be established is not in the LC/NACO authority file, it is established following the instructions in LC's DCMZ1 and LCRIs, chapter 25.

B. Authority records for uniform titles may be created and contributed to the LC/NACO authority file per LC's DCMZ1 instructions only if cross-references need to be made. This is usually the case with private and public laws and treaties involving three or more countries. Often the official name of the public law appears on a document in several manifestations (e.g the official name, the name of the law in a citation, and the public law number).

C. If there are no cross references, an authority record is NOT created. Uniform titles are included in bibliographic records, if required, even though they have not been established.

D. Uniform titles are required for documents published simultaneously with different titles (AACR2 25.3C1), in different languages (AACR2 25.3C2), or that are translations (AARC2 21.14 and 25.5). However, LC/NACO authority records are not created for them by GPO.

i. If a document is a simultaneously published version of another document in a different language, it is described in the note area as a version, not as translation, e.g., 500 Spanish version.

ii. Consider a document a translation rather than a version in a different language if it contains explicit translation statements, e.g., 500 "Translated by ..." or 500 "Translation of ...."

iii. The Library of Congress has requested that GPO not establish uniform titles for translations of individual journal articles.

9. Errors: Transcription errors and other errors occurring in existing authority records are corrected if they were created by GPO or referenced by GPO to catalog a document.

GPO AUTHORITIES RECORD LIAISONS: Certain GPO catalogers are assigned the responsibility of creating, updating, and contributing LC/NACO and LC/SACO records in compliance with the generally accepted standards listed above. Liaisons have final authority, along with the Library of Congress's authority record contacts, as to the form of entries, cross-references added, notes for supporting documentation, etc. In addition, authority record liaisons advise other catalogers on whether or not a new authority record is needed or an existing record needs updating. They also advise catalogers on the inclusion of specific access points in bibliographic records and the inclusion of supporting information in notes or elsewhere in the record. Catalogers who are not liaisons are responsible for preliminarily determining if a new authority record is needed or an existing authority record needs to be updated.

1. **Name Authority Liaison:** He or she is responsible for records contributed to or updated for the LC/NACO file, with the exception of records for multiparts, series, and series-like phrases.

2. **Series Authority Liaison:** He or she is responsible for all records for multipart, series, and series-like phrases contributed to or updated for the LC/NACO files.

3. **Subject Authority Liaison:** He or she is responsible for all records contributed to or updated for the LC/SACO file.

RESPONSIBILITIES OF THE CATALOGER:

1. Using the preferred forms of established names and uniform titles as indicated in the 100, 110, 111, and 130 fields of OCLC authority records in access points added to bibliographic records.

2. Correcting recording series statements and series-like phrases in the 088, 440, 490, and 500 fields and using the established uniform titles for series and multiparts and established number forms in 440, 810, and 830 fields.

3. Correctly assigning and recording subject added entries in the 600, 610, 611, 630, 650, and 651 fields.

4. Searching and verifying all headings for main entries and added entries included in the cataloging record in the OCLC authority file.

5. Identifying personal names, corporate bodies, jurisdictional geographic names, or uniform titles that may need to have authority records established for them, identifying existing authority records that may need modification based on the document in hand.

6. Preliminarily determining and requesting if a new topical subject heading or non-jurisdictional geographic name authority record is needed to catalog a Congressional document, atlas, or map.

7. If authority work is needed, completing a "PROPOSED AUTHORITY HEADING" form and forwarding it, along with the document being cataloged, to the proper liaison. The form, with the physical document or information from online files attached, is placed in the proper "authority box" by the cataloger.

RESPONSIBILITIES OF THE AUTHORITY RECORD LIAISONS:

1. Determining if a new authority record is needed or an existing one needs revision.

2. Determining if other additions, including additional cross references, or other changes need to be made to existing records.

3. Contacting the Library of Congress's Cooperative Cataloging Team for information and advice.

4. Contacting, if necessary, individuals, as well as governmental and non-governmental organizations outside of GPO for information on the names of corporate bodies, geographic names, personal names, other names, and uniform titles being established in the NACO or SACO authority files.

5. Creating new authority records and updating existing authority records for the LC/NACO file through the OCLC authorities system.

6. Requesting new authority records and requesting updates to existing authority records for the LC/SACO file via e-mail to the Library of Congress's Cooperative Cataloging Team.

7. Returning the documents submitted for authority work in a timely manner. The control number of the authority record is written on the returned "PROPOSED AUTHORITY HEADING" form. Sometimes there are delays because of a need to contact issuing organizations, persons, or the Library of Congress.

8. Making and retaining printouts of new and updated authority records and, when necessary, making and retaining surrogates of sources, e.g., photocopies of pages of printed materials, frames of microfiche, etc., for future reference and for ongoing quality review. Surrogates of sources are normally not made for documents available online.

SEE ALSO: Cartographic Materials; Corporate Body Access Points; Contractors and Contract Numbers; Multipart Items; Personal Name Access Points; Publications, Distribution, etc., Area; Report Numbers; Series; Statements of Responsibility.

BASIC MANUALS

BACKGROUND: Some of the documents GPO catalogs consist of basic manuals that are updated by separately published changes, transmittals, amendments, etc. Some publications of this type have separate updates that are not interfiled into the basic volume. Others, called looseleafs, have update pages that are interfiled into the basic. GPO receives and catalogs many of these kinds of documents.

INSTRUCTIONS: In addition to this guideline, special looseleaf cataloging instructions are included in AACR2, chapter 2; LCRIs, chapter 12, and LC's CRFTDOLP.

MONOGRAPH OR SERIAL: Documents that consist of basic volumes and updates, including looseleaf updates, that are regularly reissued (usually annually or biennially) as consolidated or cumulated reprints are cataloged as serials if all of the other requirements for serial treatment are met. The serial definition in AACR2, Appendix D (page 622) and LCRI 12.0 are followed when determining if documents consisting of a basic manual and updates, including those that are looseleafs, are serials.

MICROFICHE REPRODUCTIONS: Sometimes GPO distributes microfiche reproductions of the basic volumes and their updates to depository libraries. GPO cataloging policies are the same, whether cataloging microfiche or paper reproductions of basic volumes and updates.

CATALOG RECORDS: Basic volumes are cataloged following the instructions below.

1. **Basic manual:** In all cases, the cataloging record entered into the OCLC data base and produced for the Monthly Catalog describes the basic manual, not the update, change sheets, or the accompanying transmittals.

   A. Title area: If appropriate, record the part or section number in a title in the 245 subfield "n" and record the part or section title in 245 subfield "p." If the elements of the title are presented in a different order than they are to be recorded, record them in the required order. Separate the subfield "n" from the subfield "a" by a full stop, and the subfield "n" from the subfield "p" by a comma.

   B. Edition Statements: Revised or consolidated reprints of basic manuals that are monographs are treated as new editions and new database records are created for them. Phrases, such as "Consolidated reprint," "Cumulated reprint," or "Revised and updated with changes 1-8," are recorded as edition statements in MARC21 FFBD, 250 field. Revised or consolidated reprints of basic manuals that are serials are treated as individual serial issues.

   C. Date of Publication, Distribution, etc., Area: The publication date recorded in the 260 subfield "c" is left open.

   D. Physical Description:

i. **Monographic Basic Manuals That Are Looseleafs with Single Binders:** In all cases, if a basic manual is a monograph and a looseleaf, and is meant to be filed into a single binder, record the extent of the item in the 300 subfield “a” as: "1 v. (looseleaf)" in the OCLC database record.

ii. **Monographic Basic Manuals That Are Looseleafs with Multiple Binders:** If a basic manual is intended to be filed in 2 or more binders, record the extent of item as: 2 v. (looseleaf), etc.

iii. **Monographic Basic Manuals That Are Not Looseleafs:** If a basic manual is a monograph, but is not looseleaf, record the extent of item as "1 v.", “2 v.”, etc.

iv. **Serial Basic Manuals:** If the basic volume is a serial, use simply “v.”

2. **Updates, Changes, Transmittals, etc.:** OCLC records are NOT created for basic manual updates, change sheets, transmittal sheets, etc. All are listed in the special materials section of the Monthly Catalog and are processed in following the instructions in GPO-CG: List of Special Materials.

SALES INFORMATION: Record sales information for basic manuals following GPO-CG: Sales Information instructions.

SEE ALSO: List of Special Materials; Sales Information; Multipart Items; Serials.

CARTOGRAPHIC MATERIALS

BACKGROUND: Cartographic materials include atlases and maps. They may accompany or be included as part of other documents.

INSTRUCTIONS: The following standards are followed for cartographic materials cataloging:

AACR2

AACCM's CM

LCRIs

CARTOGRAPHIC MATERIALS ACCOMPANYING OTHER DOCUMENTS: These are treated as accompanying material in the cataloging record.

1. **Separate SuDocs Class and Title:** If individual maps are separately classified and titled, those classes and titles are included in the catalog record.

2. **Physical Description:**

   A. Cases, Envelopes, Folders, Portfolios, etc.: If a case, etc., contains one or more printed documents with text and illustrations and separately printed maps, the entire contents of the case, etc., are described in the 300 subfield "a" of the catalog record. Example:

   300 1 case (1 v., 25 maps)

   B. Maps in Pockets: If printed maps are contained in a pocket or pockets in a bound document**,** the contents of the pocket are described in the 300 subfield "b" and a note. Example:

   300 ix, 250 p. **>**b : ill., maps ; **>**c 32 cm.

   500 Ten maps in pockets.

CARTOGRAPHIC MATERIALS APPEARING INDEPENDENTLY FROM OTHER DOCUMENTS:

1. **Multi-Sheet Maps:** A multi-sheet map, such as a large forest set, is cataloged as a single map record in both the Monthly Catalog and OCLC.

   A. Occasionally, the print output **restrictions** of the Monthly Catalog may require that the set appear in more than one record, but in these cases the records will be derived from a single OCLC record.

B. Individual sheet titles are recorded in the contents note of a single record in both the Monthly Catalog and the OCLC database.

C. The classes of the individual sheets are entered into multiple 099 fields for the Monthly Catalog.

2. **Map Series:** Quadrangles are cataloged for the Monthly Catalog at the individual sheet level. This practice allows GPO to provide specific distribution and identifying date information for each quadrangle.

3. **Serial Maps:** These are cataloged following AACR2, chapters 3 and 12, CCM, CEG, and OCLC Serials Work forms.

4. **Microfiche Reproductions:** GPO's general policies for cataloging reproduction microfiche are followed when cataloging map microfiche created by photographing the paper originals.

   A. GPO treats all microfiche, with the exception of computer output microfiche (COM), as reproductions. The instructions in LCRI 11.0 are followed instead of those in AACR2, chapter 11.

   B. Included are maps in the USGS Open-File Report series which were formerly cataloged as original microfiche. The instructions in OCLC's BFAS, http://www.oclc.org/oclc/bib/about.htm and the OCLC maps work-form are used.

SEE ALSO: Electronic Resources; Microfiche; Series; Serials; SuDocs Classification Numbers.

CATALOGING PRIORITIES

BACKGROUND: The scope of GPO's cataloging responsibilities is codified in 44 U.S.C. § 1710 and 1711, which requires a "comprehensive index of public documents" that must represent all publications published by all U.S. Government agencies.

POLICY: Within this universe of potential resources GPO applies judgment to identify documents of immediate or continuing public interest and assign them highest priority cataloging irrespective of publishing agency, format, or media.

1. High priority levels are one and two in this list, given the close association between public interest and many of the publications chosen for the Sales Program.

2. GPO catalogs online Federal Depository Library Program (FDLP) documents at partner sites and U.S. Government databases using the same priority system.

3. All other factors being equal, preference is given to an online version of a high priority title distributed to libraries solely in online format rather than to the same title in other media.

4. When high priority documents are distributed in a tangible format and are also available online, both the tangible version and the online version are considered high priority. In this circumstance, a cataloging record for the tangible version may also include the title, access information and the PURL (Persistent Uniform Resource Locator) for the online version.

5. Records representing tangible versions of high priority titles will be updated as online versions are discovered, as long as such efforts do not impede processing of uncataloged high priority work. Record updates of high priority resources will take precedence over cataloging works of less than high priority.

GPO CATALOGING PRIORITIES (FROM HIGHEST TO LOWEST)

1. Documents of immediate or continuing public interest, irrespective of publisher, format, or media.

2. Documents sold by GPO.

3. Other documents distributed or made accessible to depository libraries.

4. Technical reports, irrespective of publishing agency or content.

5. Titles not distributed or made accessible to depository libraries.

6. Titles included in a series or other larger body of work for which bibliographic control is provided by another Federal agency.

COLLECTION-LEVEL RECORDS

BACKGROUND: Federal agencies often organize their online files in groups. The individual documents within the groups may be accessed from clickable listings, clickable indexes, or database search boxes. Documents may be grouped by series title, technical and research report groups, or by topic. These sites may contain both clickable listings and search boxes. Below are examples of Web sites and Web pages with documents grouped together:

C 1.91:	Item 0128-P (online)	STAT-USA/Internet
	http://www.stat-usa.gov/stat-usa.html	
HE 20.6230:	Item 0508-05 (online)	Healthy People 2000 Statistical Notes
	http://www.cdc.gov/nchswww/products/pubs/pubd/hp2k/statnt/statnt.htm	
S 1.123:	Item 0862-B (online)	Background Notes
	http://www.state.gov/www/background_notes/index.html	

General Policies for Collection-Level Records

1. GPO creates collection-level records for groups of online files as provided for in AACR2 1.0A2, with the following exceptions:

   A. Online multipart sets. Volumes, parts, etc., of online file multipart sets are cataloged in collective set, multipart, records, when all the parts can be recorded in the 505 field, per GPO-CG Multiparts. When all the parts, etc., of an online file cannot be recorded in the 505 field, GPO creates a collection-level record.

   B. Online serials. Issues of an online serial are cataloged in a serial record.

2. The PURL assigned to a collection-level record connects to a page of an electronic site where all the individual works in the record are available to the user via (preferably) a clickable index, or via a search window.

3. Some individual works included in a selected collection-level record may also be cataloged separately, e.g., online titles-in-series documents, Congressional documents, General Accounting Office documents, documents distributed individually in tangible versions, etc. Individually cataloged documents with URLs that connect directly to the individual works are assigned individual PURLs. Individual PURLs cannot be assigned to documents that do not have individual URLs. For instructions on determining the encoding-levels to individual online records, see GPO-CG: Abridged cataloging.

4. The decision on whether to create individual records for a particular electronic site is determined by the

characteristics of the site, the characteristics of the documents, means of retrieving individual documents, user convenience, and other factors. For example, it is sometimes more convenient for users to access individual documents through a collection record for a small group of documents rather that from individual catalog records, if the parts of a multipart cover a specific region, state, county, metropolitan area, city or town. An opposite example is an electronics site with access to hundreds of documents that are individually accessible only through a search window.

5. Serial records are usually assigned unique PURLs, even though they sometimes may lead to the same Web site as a PURL that is included in a collection-level record. Including unique PURLs in serial records is intended to minimize potential changes to serial records due to Web site reorganizations.

6. Separate records are not created for individual online documents represented by collection-level records if their physical equivalents have previously been cataloged by GPO or are being cataloged at the same time. Instead, the following is added to the records for the physical equivalents:

   A. An apn number (035 field) (but not in single record multipart records & serial records)

   B. An additional item number followed by the word "online" (074 field)

   C. A note indicating online availability and the URL for the file (530 note field)

   D. A PURL and other access instructions (856 field)

   The information about the online version is transcribed only in the 035, 074, 538, and 856 fields of the record for the tangible version. The URL transcribed in the 538 field and the PURL transcribed in the 856 field should lead to the online file group, NOT to the individual online file.

CREATION OF COLLECTION-LEVEL RECORDS FOR ONLINE FILES

Generally, GPO policies are the same for creating collection-level records for online file groups and for creating new online file records for individual documents. See GPO-CG: Electronic Resources. The specific instructions follow:

1. Fixed Field Coding:

A. Type: Collection-level records for online file groups that are textual are coded "Type: a." Cartographic materials are coded "Type: e." Databases are coded "Type: m." For information on coding other types of online files, see: MARC21 FFBD or OCLC's BFAS, <http://www.oclc.org/oclc/bib/about.htm>.

B. Bibliographic level: The bibliographic level is always recorded as "BLvl: c."

C. Level of Records: All new collection-level records created by GPO are coded: "Elvl: K." If a collection-level record already exists on the OCLC database for a group of online files with a higher level, e.g., blank or I, GPO retains the higher level. It does NOT contribute adapted and

new collection-level records to either BIBCO or CONSER and, therefore, does NOT upgrade the encoding level for any collection-level records to blank.

D. Form: Since all GPO collection-level records are for electronic resources, records created using OCLC workforms wfm (text), wfme (maps), and wfmg (visual materials) are coded "Form: s."

E. File: The File: fixed field in records created using the OCLC workform wfmm, must be coded to indicate the type of electronic resource. Catalog records for electronic resources that primarily consist of statistical tables are cataloged using the workform wfmm and are coded "File: a."

F. Type of Date: If documents represented by a collection-level record were published over a range of years, the records are coded "DtSt: k."

2. Fixed Length Data Elements (006 Fields): If the Type: fixed field is coded anything other than "m", an 006 field is also added in the record.

3. ACSIS Publication ID Numbers (035 Field): If a group of online files is described in a single ACSIS record, the ACSIS publication ID number for the group is included as instructed in GPO-CG: Electronic Resources. If individual online files are entered individually in ACSIS and no group record is included in ACSIS, an 035 field is not included in the record.

4. SuDocs Class (086 and 099 Fields): If the documents included in an online file group all have the same class stem but different class extensions, record only the class stem in the record. If an online file group includes documents with different SuDocs class stems, GPO records up to nine SuDocs class stems in the 099 fields.

5. Title (245 Field): If available, the title from a group Web site is recorded in the 245 field. If the Web site does not include a group title, the group title recorded in the New Electronic Titles (NET) listing is bracketed into the title area of the record. If the title at the Web site is embedded within other wording, bracket in the title as found within the wording. All new records for electronic records created on and after Dec. 1, 2001 must include the GMD, "electronic resource," rather than "computer file." See hypothetical examples below:

Web Page Title	NET title	Catalog Record
Publications	SL Publications	245 00 [SL publications] >h [electronic resource].
About the Educational Research Series	Educational Research Series	245 00 [Educational research series] **>**h [electronic resource].

3. Date of Publication (260 Subfield "c"):

A. If easily determined, the date for the earliest document published is recorded as the first (beginning) publication date for an online file group. If it is not possible to determine the correct beginning publication date for an online group, the earliest verifiable publication date is recorded. The dates

for a numbered series group, which contains all volumes/parts in that series, can usually be determined. Examples:

Beginning Date Known: >c 1975-

Beginning Date NOT Known: >c <1993- >

C. Normally, a hyphen is included following the date as shown in the examples. Do not use a hyphen if all the documents in a group were published the same year and it is determined that no other documents will be added.

D. If it is certain a document with an earlier date will not be added later, record the date without angle brackets. For example, a beginning publication date for a long established series group could be added without brackets. Otherwise, record dates in angle brackets.

E. If the earliest publication date cannot easily be determined, record:

i. The earliest publication date in angle brackets if found during a cursory review of the documents,

ii. The current year in angle brackets if publication dates are not available or if a cursory review would be meaningless because of the large number of documents in the group being cataloged. Example:

>c <1998- >

B. A closing date is added if it is certain that additional documents with later dates will not be added to the group. Example:

>c <1983>-1998.

4. System Requirement (538 Field): Include if instructed to do so by GPO-CG: Electronic Resources.

5. Mode of Access (538 Field): Follow GPO-CG: Electronic Resources, 5, G unless the name of the Web site is exactly the same as the title for the online file group accessed. If the name of the Web site and the overall title of an online file group are exactly the same, use only the word "Internet" following the required introductory phrase "Mode of Access." The URL first assigned to a GPO PURL is recorded in the mode of access note. Examples:

	NOT
538 Mode of access: Internet. Address as of 2/27/98: http://www.stat-usa.gov/stat-usa.html; current access available via PURL.	538 Mode of Access: Internet via the STAT-USA/ Internet web site. Address as of 2/27/98: http://www.stat-usa.gov-usa.html; current access available via PURL.

6. **Source of Title (500 Field):** Always include the source for the title. Examples (See also 5 above):

   500 Title from title screen.

   500 Title from GPO New Electronic Titles listing.

7. **Not Distributed Notes and Distribution Notes (500 Field):** These are NOT included in collection-level records. If it is known a fee is charged for all or part of the documents in an online file group, a note indicating this is included is in the record. Example:

   500 Free access to users at U.S. Federal depository libraries; fee-based to other users.

8. **Summary, etc., Notes (520 Field):** These are NOT normally included in GPO collection-level records. They are included only if needed to provide significant information about the documents that is not provided by the title, statements of responsibility, publication and distribution statements, or the subject headings.

9. **Cataloger's Note (590 Field):** Include the letters CLR following the cataloger's name in the quality control note. Example:

   590 [cat:xtc;CLR] ¶

10. **Linkings (765-787 Fields):** These are NOT added to collection-level records.

11. **Electronic Location and Access Field (856):** The assigned PURL recorded in a collection-level record depends on the organization of the Web site. The PURL may lead to a clickable listing or index, a search box, or, if appropriate, to an introductory page. Example:

    856 40 >u http://purl.gpo.gov/GPO/LPS254

SAMPLE A (Record for Web site with both clickable listing and search box.)

```
 OCLC:  38524743                  Rec stat:      c
    Entered:    19980227          Replaced:      20000510      Used:      20000328
    Type:  m       ELvl: K       Srce:  d       Audn:         Ctrl:              Lang:  eng
    BLvl:  c       File:  a      Gpub:  f                     Mrec:              Ctry:  dcu
    Desc:  a                                    Dtst: k       Dates: 1998,9999 ¶
    1   040      GPO >c GPO ¶
    2   035      (GPO)apn95-022325 ¶
    3   074      0128-P (online) ¶
    4   086      C 1.91: ¶
    5   099      C 1.91: ¶
    6   049      GPOO ¶
    7   245 00   STAT-USA Internet >h [electronic resource]. ¶
    8   246 3    STAT-USA ¶
    9   260      [Washington, D.C.] : >b U.S. Dept. of Commerce,>c <1998-  > ¶
```

10	538		Mode of access: Internet. Address as of 2/27/98: http://www.stat-usa.gov/stat-usa.html ; current access available via PURL. ¶
11	500		Title from title screen. ¶
12	500		Free to users at U.S. Federal depository libraries; other users are required to pay a fee. ¶
13	520		Site provides access to approximately 3,000 statistical publications including economic and trade related records. ¶
14	590		[cat:xtc;CLR] ¶
15	650	0	Federal government >z United States >v Statistics. ¶
16	856	40	> >u http://purl.gpo.gov/GPO/LPS254 ¶

SAMPLE B (Record for series Web site.)

OCLC: 38578683 Rec stat: c
Entered: 19980310 Replaced: 20000510 Used: 20001019
Type: m ELvl: K Srce: d Audn: Ctrl: Lang: eng
BLvl: c File: a Gpub: f MRec: Ctry: mdu
Desc: a Dtst: k Dates: 1991,9999 ¶

1	040		GPO >c GPO ¶
2	035		(GPO)apn95-022325 ¶
3	074		0508-G-05 (online) ¶
4	086		HE 20.6230: ¶
5	099		HE 20.6230: ¶
6	049		GPOO ¶
7	245	00	Healthy people 2000 statistical notes >h [electronic resources]. ¶
8	260		[Hyattsville, Md.] : >b National Center for Health Statistics, >c <1991- > ¶
9	538		Mode of access: Internet. Address as of 3/10/98: http://www.cdc.gov/nchswww/products/pubs/pubd/hp2k/statnt/statnt.htm; current access available via PURL. ¶
10	500		Title from title screen. ¶
11	520		A listing of publications from the Healthy people 2000 statistical notes series, most of which are accessible online. ¶
12	590		[cat:xtc;CLR] ¶
13	650	0	Public health >z United States >v Statistics. ¶
14	650	0	Health surveys >z United States. ¶
15	710	2	National Center for Health Statistics (U.S.) ¶
16	856	40	> >u http://purl.gpo.gov/GPO/LPS151 ¶

SAMPLE C (Record for a multipart group Web site.)

OCLC: 38578711 Rec stat: c
Entered: 19980310 Replaced: 20001030 Used: 20000412
Type: a ELvl: K Srce: d Audn: Ctrl: Lang: eng

BLvl: c Form: s Conf: 0 MRec: Ctry: dcu
Cont: GPub: f Indx: 0
Desc: a Ills: Fest: 0 Dtst: k Dates: 1991,9999 ¶

1 040 GPO >c GPO ¶
2 006 [m df] ¶
3 074 0862-B (online) ¶
4 086 S 1.123: ¶
5 099 S 1.123: ¶
6 049 GPOO ¶
7 245 00 Background notes >h [electronic resources]. ¶
8 260 [Washington, D.C.] : >b U.S. State Dept., >c <1991- > ¶
9 538 Mode of access: Internet. Address as of 3/10/88: http://www.state.gov/www/background%5Fnotes/index.html; current access available via PURL. ¶
10 500 Title from title screen. ¶
11 520 A collection of recent State Department area studies, arranged by region, and reports on various international agencies. ¶
12 590 [cat:xtc;CLR] ¶
13 650 0 Area studies >z United States. ¶
14 650 0 Political geography. ¶
15 650 0 Historical geography. ¶
16 650 0 International agencies. ¶
17 710 1 United States. >b Dept. of State. ¶
16 856 40 > >u http://purl.gpo.gov/GPO/LPS2003 ¶

SAMPLE D (Record for a group of documents from the same agency)

OCLC: 43533527 Rec stat: c
Entered: 20000228 Replaced: 20000510 Used: 20000428
Type: a ELvl: K Srce: d Audn: Ctrl: Lang: eng
BLvl: c Form: s Conf: 0 MRec: Ctry: dcu
Cont: Gpub: f Indx: 0
Desc: a Ills: Fest: 0 Dtst: k Dates: 2000,9999 ¶

1 040 GPO >c GPO ¶
2 006 [m df] ¶
3 035 (GPO)apn00-010643
3 074 0723-A-02 (online) ¶
4 086 J 21.19:00010643 ¶
5 099 J 21.19:00010643 ¶
6 049 GPOO ¶
7 245 00 Immigration and Naturalization Service, forms and fees >h [electronic resources]. ¶
8 260 [Washington, D.C.] : >b Immigration and Naturalization Service, >c <2000- > ¶

▸	9	538		Mode of access: Internet. Address as of 2/28/2000: http://www.ins.usdoj.gov/graphics/formsfee/forms/index.htm ; current access available via PURL. ¶
▸	10	500		Title from title screen. ¶
▸	11	590		[cat:xtc;CLR] ¶
▸	12	610	10	United States. >b Immigration and Naturalization Service >v Forms. ¶
▸	13	650	0	Immigrants >z United States. ¶
▸	14	710	1	United States. >b Immigration and Naturalization Service. ¶
▸	16	856	40	> >u http://purl.gpo.gov/GPO/LPS4036 >z Click under "Form Number" from listing of available titles to view ¶

SEE ALSO: Abridged Cataloging; Adapting OCLC Database Records; Electronic Resources; Creating New OCLC Database Records; Multipart Items.

CONTRACTORS AND CONTRACT NUMBERS

BACKGROUND AND POLICIES: GPO includes either a main entry or added entry for non-Federal corporate bodies that prepare Federal documents under contact if the specific contract number under which it is prepared appears in a document.

1. **Determining if a Contractor Should Be Given an Entry:**

   A. Both the name of the contractor and the contract number must appear on a prescribed source or bibliographic data sheet.

   B. Only corporate bodies with a contractual relationship that results in the production of specific documents are given an entry. No entry is given a corporate body which operates a government facility under contract to an agency. For example, GPO does NOT trace or name a corporate body that operates a laboratory for a Federal agency under a facilities management contract.

2. **Determining the Version of the Contractor's Name to Record in an Entry:** The version of the contractor's name appearing in the chief source or in areas 1 and 2 for the class of material being cataloged is preferred over versions of a contractor's name appearing in another source, e.g., the technical report documentation page, etc. If the contractor's parent body is named on the title page, and a lower unit is named on the technical report documentation page; the name of the parent body is recorded as it appears on the title page.

3. **Recording Contractors in a Statement of Responsibility or in a Note:** Contractors may be recorded in either a statement of responsibility or in a note as appropriate to the document being cataloged.

CONTRACT NUMBERS (includes grant, project, task, and work unit numbers): If a specific document is prepared under a specific contract, that contract number should appear in the cataloging record if it appears on a prescribed source or bibliographic data sheet.

1. **Technical Reports:** If a document is a technical report, the contract number should appear in a 536 field if a full-level record is adapted.

2. **Documents That Are NOT Technical Reports:** If a document is not a technical report, the contract number may be transcribed in a note or in the statement of responsibility area (245 subfield "c"). See GPO-CG: Statements of Responsibility, for information on the conditions under which contract numbers may appear in the statement of responsibility.

SEE ALSO: Corporate Body Access Points; Statements of Responsibility; Notes; Technical Reports.

CORPORATE BODIES ACCESS POINTS

BACKGROUND: AACR2 provides cataloging organizations with the authority to record corporate bodies that have a relationship to a publication. AACR2 21.30E, 21.30F, and 21.30H give cataloging organizations broad authority to include the corporate body added entries they feel are needed to fully meet the needs of those served by their organizations. Both BIBCO and CONSER records may include added entries for corporate bodies that have a relationship to the publication other than that of preparation, sponsorship, issuance, or publishing. Optionally, in the interest of timeliness and economy, cataloging organizations may limit the information and added entries included to those required.

Providing access to documents through entries for the Federal agencies that prepare and issue them is a basic function of GPO cataloging records. Therefore, GPO catalogers supply information regarding the Federal agency involvement in preparing and issuing a document based on the SuDocs class if none is included in the prescribed sources for areas 1 and 2 for the class of material to which the document belongs. This information is recorded in the name of publisher, distributor, etc., area (260 subfield "b") or in a note. Corporate bodies that appear only in the title of a document, but are responsible for preparing and/or issuing a document, may be used as the main entry or as an added entry based only on their appearance in the title.

CORPORATE BODY MAIN ENTRIES:

1. New Records:

If a Federal or non-Federal corporate body qualifies to be the main entry of a new record under AACR2 21.1B2, it is recorded as such.

The main entry in a new record created by cloning does not need to match the main entry in the original record.

Records for GAO reports and environmental impact statements are always given corporate body main entries.

2. Existing Records: GPO does NOT modify existing DLC, AGL, NLC, NLM, BIBCO, and CONSER records to change the existing main entry. GPO may change the main entry of other existing records to a corporate body main entry or from a corporate body main entry to a title main entry if the cataloger definitely feels it is required by AACR2 21.1B2. GPO may change records in compliance with the special GPO entry rules noted above. Otherwise, the main entries for existing records are not changed.

CORPORATE BODY ADDED ENTRIES:

1. New Full-Level Records: When creating full-level records without cloning existing records, GPO limits added entries for both Federal and non-Federal bodies to:

A. Corporate authors named in a formal statement of responsibility

B. Those that are recognized as being a publisher, that have a function that is more than merely publishing and distributing a document, or whose responsibility for the preparation of the document is shown by the appearance of their name in one of the following locations:

i. Explicit publishing statement

ii. Imprint area of the chief source of printed documents and microfiche reproductions and similar locations for other types of publications, e.g., the areas above and below the title on a CD-ROM disc label or a jewel case insert, etc.

iii. Secondary location on the same source on which the name of the higher body appears. The lower body will be used only if it is:

- Formally presented;
- Not a place of employment; and
- A lower body is NOT shown in a preferred location on the same source.

For books and pamphlets, a secondary location on the same source would be the central area of the title page, or if a title page is lacking, the central area of page 1 of cover.

iv. Other prescribed sources for areas 1 or 2 for the class of publication being cataloged, such as a colophon or p. 4 of cover for a book or pamphlet and printed instructions accompanying a CD-ROM, with the same exceptions as in iii above.

C. Non-Federal bodies; e.g., local, regional, and state agencies, secondary and higher educational institutions, research laboratories, private foundations, and similar bodies are recorded in GPO catalog records and given added entries, if both of the following conditions are true:

i. They appear in one of the locations listed in Section B.

ii. They are recognizable as the publishers or preparers of the work, because of the location of the name or by explicit wording in the document. In this case, the body is recorded and given an entry. A contract number or statement that the publication was produced under contract is not required.

D. Contractors that are identified as such by the presence of a contract, grant, or other funding number named in areas 1 and 2 for the class of publication cataloged.

E. Federal corporate bodies added to the name of publisher, distributor, etc., area of a record in brackets or recorded in an "issued by" note based on the SuDocs class because no Federal body is named in a prescribed source for areas 1 and 2 for the class of publication being cataloged.

F. Federal corporate bodies under which the SuDocs class has been assigned by GPO that do not appear on the same source as an upper or lower body recorded in the statement of responsibility area or as the publisher in the name of publisher, distributor, etc., area.

G. Only the lowest unit of corporate bodies that are presented hierarchically in statements of responsibility or publishing statements are given entries.

i. Unless it is the main entry, the lowest body recorded in a statement of responsibility is always given an added entry regardless of whether or not a lower body is recorded in the name of publisher, distributor, etc., area or in a note.

ii. The lowest body recorded in the name of publisher, distributor, etc., area is given an added entry unless:

- It is the main entry;
- It merely publishes or distributes a document, or
- A lower body is recorded in the statement of responsibility area or a note.

H. GPO does not provide added entries for Federal agencies that are responsible only for the distribution of a document.

2. New GPO Abridged-Level Records: GPO includes added entries for Federal bodies in new abridged-level records that it inputs originally (creates without cloning an existing record), but does NOT include added entries for non-Federal bodies. Although it does not include added entries for them, GPO does record non-Federal bodies in the statement of responsibility area and the publisher, distributor, etc., area of new abridged records, following the instructions in GPO-CG: Abridged Cataloging.

3. Previously Existing Full-Level, Core-Level, and Minimum-level OCLC Records:

A. GPO retains all added entries included in previously existing DLC, AGL, NLC, NLM, BIBCO, and CONSER records.

B. GPO retains all required added entries and all optional added entries, if established, in other previously existing records.

C. Excepting DLC, AGL, NLC, NLM, BIBCO, and CONSER records, catalogers may remove added entries for corporate bodies from existing records if they are not established and are not required by AACR2, the LCRIs, or GPO policies. If GPO staff judge that an added entry for a

corporate body that has not been established is needed by users, catalogers may choose to request that the corporate body be established and retain the added entry.

D. If a corporate body is not recorded in its established form, the added entry is corrected.

E. Obvious transcription errors in added entries are corrected and information justifying added entries is added if missing.

F. Added entries that are required by GPO for Federal authors and statements justifying each added entry are added.

G. Authority records are established for corporate body added entries required by instructions A and B above.

See GPO-CG: Adapting OCLC Data Base Records, for information on assigning ELvl: codes to existing records that have been adapted.

4. New Full-Level and GPO Abridged-Level Records Created by Cloning Existing Records: Generally, added entry requirements for new records that are created by cloning are the same as those for existing OCLC records that are adapted. Added entries and statements justifying them may be readily removed by catalogers if they are not required or are inappropriate. However, GPO does not remove them from new records cloned from AGL, NLC, LC, BIBCO, and CONSER records.

5. Added Entries That Are Not Included in GPO Catalog Records for Certain Kinds of Documents:

A. Bodies for Which GAO Reports Are Prepared: GPO does NOT include added entries in catalog records for the Congressional committee or Federal agency for which a GAO report was prepared.

B. Bodies to Which Documents Are Submitted in Fulfillment of Law: Added entries are NOT included for corporate bodies to which a document is submitted in fulfillment of law, i.e., the President, Congress, etc.

C. Conferences: GPO does NOT enter individual conference papers under the name of the conference at which they were presented, nor does it include added entries for conferences in individual papers.

D. Land and Water: The names of private and public areas, including national, state, and local forests, monuments, parks, seashores, etc., are normally established in the LC/SACO file only. They may be established through LC/NACO and used as corporate names access points if they appear in explicit statements of responsibility. For details, see GPO-CG: Authority Records, Policies, 2 B ii.

E. Programs and Projects: For instructions on recording programs and projects that qualify to be corporate bodies in GPO catalog records and on making corporate body access points for them, see GPO-CG: Programs and Projects.

F. Sponsors: GPO does NOT include added entries for corporate sponsors, except for those that are also the publisher of a document and those that sponsor a conference. GPO does NOT include added entries for conference sponsors in records for individual conference papers. See LCRI 21.30E.

SEE ALSO: Abridged Cataloging; Adapting OCLC Database Records; Authority Records; Contractors and Contract Numbers; Creating New OCLC Database Records; Programs and Projects; Statements of Responsibility.

CREATING NEW OCLC DATABASE RECORDS

BACKGROUND: Most GPO records are original, not adapted from existing records. GPO creates records for many different kinds of documents. The trend is toward an increasing number of online files and fewer tangible documents: CD-ROMs, DVD-ROMs, floppy disks, microfiche, and paper documents. The many kinds of documents cataloged include: annual reports, atlases, basic manuals, books, budgets, censuses, hearings, investigative reports, laws, letters, looseleafs, maps, multiparts, pamphlets, periodicals, posters, regulations, online files, research reports, serials, sheets, statistics, statutes, treaties, technical reports.

INSTRUCTIONS: Because GPO catalogs so many different kinds of documents, many different specialized instructions must be followed. Many of these are listed at the beginning of individual guidelines referred to in the section on policies below. The general instructions followed are:

AACR2

CMOS

LCRIs

LCSH

LC's SCM: SH

MARC 21 FFBD

As a National-level Enhanced OCLC member and as a participant in a PCC and BIBCO, GPO also follows the OCLC instructions listed below when creating new monographs records:

1. OCLC's BFAS. http://www.oclc.org/oclc/bib/about.htm

2. OCLC's GFNLEP http://www.oclc.org/oclc/cataloging/enhance/guidelines.htm

3.OCLC's ETS http://www.oclc.org/oclc/cataloging/enhance/outline.htm

4. OCLC's CUG, ch. 6.

POLICIES:

1. **Justifications for New Records:** A new record is created if it is apparent it is needed after the document in hand has been compared with the existing OCLC records in accordance with the instructions in GPO-CG: Adapting OCLC Data Base Records.

2. **Differences That Do NOT Justify New Records:**

A. SuDocs class (086 field)

B. Choice of main entry (100, 110, 111, 130, 245 fields)

   i. Personal name versus corporate body or title or uniform title

   ii. Corporate body versus personal name or title or uniform title

   iii. Title versus corporate body or personal name or title or uniform title

   iv. Uniform title versus corporate body or personal name or title

C. Completeness and arrangement of information in the title and statement of responsibility area (245 Field)

D. The recording of personal names or corporate bodies that do not appear prominently in the statement of responsibility area (245 subfield "c").

E. The transcription of information extracted from statements of responsibility for corporate bodies in the name of publisher area (260 subfield "b")

F. The location of corporate bodies that appear isolated from the text may be transcribed as part of the title (245 subfield "a", "n", "p"), statement of responsibility area (245 subfield "c"), name of publisher or distributor area (260 subfield "b"), or note area (500 field), as appropriate.

G. Place of publication if in same country (260 subfield "a")

H. Form of publisher's name, including changes in publisher's name (260 subfield "b")

I. Series statement fields (440 and 490 fields)

J. Notes (5XX fields), except for reproduction note (533 field)

K. The area within a catalog record that other bibliographic information is transcribed in

L. Subject headings

M. Application of new cataloging rules (i.e., new AACR2, LCRIs, MARC, and other generally accepted standards)

N. Application of special GPO cataloging practices

O. Need for additional information

P. Errors, both in applied rules and transcription errors

3. **New Records Treated as Duplicates by OCLC:** Some of the new records GPO creates are identical except for the series statement or the contents note. OCLC considers these to be duplicates and automatically deletes them. To prevent this, GPO adds edition statements in brackets to these records. For further information, see GPO-CG: Edition Statements.

4. **New Records Created by Cloning Existing Full-level Record**s: These are coded either blank level or I-level rather than K-level if either BIBCO standards or general OCLC, i.e., I-level, standards are met with only few additions or changes. Catalogers use judgement to determine if cloning a full-level record would take less time to create than an abridged-level record. If less effort is needed to create an abridged-level record, it is created instead.

5. **Documents NOT cataloged:**

    1. **Special Materials:** The kinds of publications listed in the List of Special Materials are not cataloged.

    2. **Duplicates**: Duplicates are not cataloged. These include:

        i. Reprints of documents previously cataloged

        ii. Documents distributed a second time:

            a. In a different format (microfiche, paper, etc.)

            b. Under a different item number

            c. Under a different SuDocs class

        iii. Tangible versions of documents represented by records for their online versions.

DETAILED INSTRUCTIONS: For more detailed instructions, consult the other GPO cataloging guidelines listed in the General Table of Contents above.

EDITION STATEMENTS

BACKGROUND: AACR2 Glossary defines the term edition in different ways for different kinds of publications. All copies of a particular edition are to have essentially the same content and be issued by the same entity. Edition statements are included in documents for a variety of reasons. They are often included to indicate a difference in physical characteristics, such as size or type of binding. More important are edition statements indicating differences in content. Edition statements may indicate a document has been revised, is intended for a special audience, or is more complete or less complete than another version. Examples of edition statements follow:

First Edition	Limited Edition	Student Edition	Enlarged Text
Second Edition	Enlarged Ed.	Teacher Edition	Rev. version
New Edition	2nd Rev. Edition	Version 1.3	1999 edition
Revised Edition	Pocket Edition	Rev. 06-30-00	Edition 2

INSTRUCTIONS: General instructions on recording and supplying edition statements are included in:

AACR2 1.2, 2.2, 3.2, 9.2, 11.2, 12.2

LCRI 1.2, 2.2, 3.2, 9.2, 11.2, 12.2

MARC21 FFBD, 250 field

OCLC's BFAS, http://www.oclc.org/oclc/bib/about.htm

POLICIES:

1. If only a single edition statement appears prominently in a document, it is recorded in the 250 field following the instructions below.

2. If the only edition statement in a printed document appears at the last page, it is recorded either:

   A. Without brackets if it is located within a colophon based on the LCRI for the AACR2 colophon definition.

   B. In brackets if the area at the end of the last page of text does not include a colophon.

3. If there is more than one edition statement on the title page, chief source, or a preferred source, the statement that is the most meaningful based on its location in relation to the title, size of print, and wording is recorded. For example, an edition statement containing the word edition that is located in the vicinity of the title is preferred over statements that consist of the word revised followed by the date.

4. If edition statements appear in two or more sources, a statement appearing in the same source as the title is preferred. A statement on the cover of printed documents is preferred to one in the colophon area. A statement on the label of a CD-ROM is preferred to one appearing in accompanying materials.

5. If a new record needs to be created for the Monthly Catalog per GPO policies but has characteristics that would cause it to be automatically identified as a duplicate and deleted from the OCLC database, GPO supplies an edition statement in brackets in accordance with LCRI 1.2B4.

SUPPLIED EDITION STATEMENTS: GPO supplies edition statements in the following situations:

1. Minor Bibliographic Differences: GPO sometimes catalogs documents that are bibliographically and physically the same except for the:

A. SuDocs class

B. Series or series numbering

C. Notes

EXAMPLE: Congressional documents I
ssued both as a House document and in a Committee print version are classed under two different SuDocs classes. Except for the fact that one version has a series statement and the other has Committee print on the title page, both versions are the same. The standard edition statements supplied are:

250 [House doc. ed.].
250 [Committee print ed.].

2. Regional Editions: Some documents received for cataloging have the same bibliographic elements and pagination, but have different contents or partially different contents. Sometimes the differences are substantial and sometimes less important. The differences in contents may amount to only a difference in telephone number, contact address, or some other special information, which is of interest only to residents of a particular part of the country, a particular state, or people in different occupations, etc.

EXAMPLE: Two pamphlets about the ACTION program are received which have contents aimed at different audiences on the east and west coasts. Bibliographic elements are the same on both, but they have different SuDocs classes. In addition, there are different contact phone numbers and different contact addresses.

Title: 245 ACTION

Date:	260	>c 1992.
Paging:	300	4 p. : >b ill. ; >c 28 cm.

Edition statements developed by cataloger:

250	[Eastern ed.].
250	[Western ed.].

3. Different Contents: Sometimes different documents have the same bibliographic and physical characteristics, but have substantially different contents.

EXAMPLE: A number of Congressional documents issued each year have the title: "Proposed rescission of budget authority." All these have the same publication date and the same number of pages, and series title. The only bibliographic difference is the numbering of the rescission proposal, but the text of each is substantially different from the others.

Edition statement developed by cataloger:

250 [Rescission proposal no. R92-80].

SEE ALSO: Adapting OCLC Data Base Records; Basic Manuals; Electronic Resources; Creating New OCLC Database Records; Multipart Items; Star Prints; SuDocs Classifications Numbers.

ELECTRONIC RESOURCES

BACKGROUND: Electronic resources are defined by AACR2 Amendments 2001, Appendix D: Glossary as: "Material (data and/or program(s)) encoded for manipulation by a computerized device. This material may require the use of a peripheral directly connected to a computerized device (e.g., CD-ROM drive) or a connection to a computer network (e.g., the Internet)." Definitions for specific kinds of electronic resources and terms relating to electronic resources, such as: File (Electronic resources) and Optical disc (Electronic resources) are also included in the Glossary. Before the issuance of AACR2 Amendments 2001, "electronic resources" were identified in AACR2 as "computer files."

INSTRUCTIONS:

1. General instructions are located in the following:

   AACR2, chapter 9 and other relevant chapters

   LCRIs

   OCLC's BFAS: <http://www.oclc.org/oclc/bib/about.htm> and the MARC21 FFBD are followed for MARC coding. (Latest edition of the BFAS is available online only.)

2. Special instructions for some kinds of documents are located in the following:

   - IMGRTF's GFBDOIM
   - AACCM's CM

3. Serials are cataloged following the CEG and the CCM.

4. Instructional materials such as Ann M. Sandberg-Fox's CCFACIM may be followed as long as they do not conflict with AACR2, the LCRIs, the special instructions listed above, or GPO instructions.

ELECTRONIC TANGIBLE VERSIONS (CD-ROMS, COMPUTER DISKS, ETC.)

Because of the need to provide users with complete information on system requirements while keeping cataloging requirements to a minimum, GPO follows the policies below when cataloging electronic resources (maps, monographs, serials) published within tangible physical carriers (CD-ROM, etc.):

1. **Level of Records:** Follow full-level cataloging rules. Use encoding levels blank or I for both existing and new records. Fixed field ELvl: is coded I rather than blank if the record is to contain a personal name main entry and added entries that have not been established in the LC/NACO authority file.

2. **Separate Records:** GPO creates separate catalog records for tangible electronic resources if special equipment or software that is not normally available on standard computers is required. Otherwise, if a

record for the online version already exists, GPO uses the record for the online version to catalog the tangible versions.

3. **Recording Information about Online Version:** If a document is discovered to be available as an online file after or during the time a tangible electronic resource is being cataloged, GPO does NOT create a separate record for the online file.

4. **OCLC Workforms:** Depending on the contents and publishing patterns, OCLC workforms wfm, wfme, wfmg, wfmm, and wfms may be used to catalog electronic resources.

5. **Special Instructions for Required and Optional Fields:**

006 and 007 Fields: Additional Material Characteristics and Physical Description: Included in both new and existing records.

041 Field: Language: Use language field on new records for tangible electronic resources only if they are entirely textual. (GPO records language information for accompanying textual materials in 041 subfield "h.")

522 Field: Geographic Coverage Note: GPO does NOT include a geographic coverage note if geographic information is already included in:

- The 245 field (subfields "a," "n," "p," "b")
- The 505 field: Formatted contents note.

538 Field: System Requirements: Notes on system requirements should be as complete as possible.

538 Field: Computer Languages: Record computer programming language in a 538 field when known. Example:

538 Written in FORTRAN.

516 Field: Formats: GPO fully records information on format elements (516 field), as they appear in a carrier, disk labels, or accompanying material. Example:

516 Written in dBaseIII+ format.

530 Field and 580 Field: Additional Form Availability Note and Linking Field Complexity Note: If an online file is available, add a 530 note to new and existing records for the tangible version. Include a 580 field in existing records if required by GPO-CG: Linking Fields.

700 Field: Personal Authors: GPO does not make added entries (700 field) for the following kinds of authors on new records:

- Authors of accompanying materials
- Producers of electronic resources
- Copyright holders

710 Field: Corporate Bodies: Do NOT make added entries (710 field) for the following kinds of corporate bodies on new records:

- Producers of electronic resources (unless qualified to receive an added entry for some other reason)
- Copyright holders

765-787 Fields: Linking Entry: Included if required by GPO-CG: Linking Fields or by CONSER instructions.

ONLINE FILES: GENERAL POLICIES

The following policies apply to all online files (maps, monographs, and serials).

1. **Use of Tangible Version Records to Catalog Online Files:** GPO does NOT create a record for an online document if a tangible equivalent is being cataloged at the same time or has previously been cataloged by GPO. GPO adds access information for the online version to the record for the tangible version and produces it for the Monthly Catalog.

2. **Use of Online File Records to Catalog Online Files:** GPO creates a new record for the online file if it has not previously cataloged a tangible equivalent. GPO adapts an existing record for the online file if applicable.

3. **Use of Online File Records to Catalog Tangible Versions:** If GPO has already cataloged the online version of a document and there are no existing records for the tangible version versions, GPO usually adds information about the tangible version to the existing online file record rather than creating a record for the tangible versions.

4. **Differences in Contents:** If there is evidence that the tangible version and online version have different contents, separate records are created. Significant differences include: different dates of publication or issuance, differences in intended audiences, different information included in preliminary and prefactory pages, differences in pagination, text, illustrations, tables, charts; other indications that the tangible and online version are earlier and later editions or are different for some other reason or purpose. If the tangible version or the online version is a reprint, different dates of publication or issuance may not be significant. If a specific section of the tangible version of a document is available online, such as the executive summary, tables, statistical data, a 530 field and 856 41 may be included

in the record for the tangible version pointing to the part of the tangible version, available online, e.g., 530 Executive summary also available….

5. **Item Numbers and SuDocs Classes:** If an online file record is being used to catalog a tangible version, item numbers and SuDocs classes for both the online file and the tangible versions are included in the record.

6. **Federal and Non-Federal Sites:** GPO catalogs Federal online files that are available from Federal Internet sites and from non-Federal sites (university sites, etc.) if provided in cooperation with the Federal agencies that issue them. GPO does not catalog Federal online files available through non-Federal sites without the involvement of the issuing agencies. Evidence that a Federal document is being made available as an online file at a non-Federal site in cooperation with a Federal agency is usually included in the online document or in its tangible equivalent (paper, microfiche, CD-ROM, etc.).

7. **Online Files That Are No Longer Available:** Online files that are no longer available are not cataloged.

8. **Monograph/serial:** Rules used to determine if an online file is a monograph or a serial are strictly followed. (See serial definition on page 622 of AACR2.) Online files which do not qualify as serials are cataloged as monographs. Sites providing access to multiple online files are cataloged following collection-level instructions.

9. **PURLs:** Connecting Catalog Records Directly to Online Files: Since 1998, GPO's Library Programs Service has assigned PURLs (Persistent Uniform Resource Locators) to the Internet documents selected for its online collection. The PURLs are used in place of URLs in GPO catalog records. The use of PURLs rather than URLs makes it easier for GPO to repair broken links.

   A. If possible, GPO links assigned PURLs directly to the online file being cataloged. If an online document cannot be accessed directly, GPO provides the most specific link possible.

   B. PURLs are not linked to URLs for a Federal agency's overall Web site or to a general site for its documents.

   C. If a document is part of a database, access may be provided only to a search screen, title listing, index, etc.

10. **Dual Sites:** If an online version is available from GPO and the Federal agency issuing it, access is provided to both.

11. **Abbreviations:** If the Federal agency that is providing a document at a Web site is known by a commonly recognized abbreviation or initialism, include the abbreviation or initialism in the 530 note rather than the full name. Examples:

530 Also available via Internet at the EPA web site. Address as of.... ; current access available via PURL.

538 Mode of Access: Internet at the HUD web site. Address as of.... ; current access available via PURL.

12. Multiple Modes of Access: Some of the online files GPO catalogs are available through more than one mode of access. GPO normally records only one mode of access in its catalog records, in the following order of preference:

- World Wide Web
- FTP
- Telnet
- dial-up
- email
- other

A. GPO may occasionally record a second mode of access if, in the judgement of the cataloger, the second access mode is significant.

B. When adapting an existing OCLC database record, GPO retains all access modes recorded in the existing record if they are valid. Existing example:

856 1 fedbbs.access.gpo.gov >u ftp://fedbbs.access.gpo.gov/gpo_bbs/epa_885
856 2 fedbbs.access.gpo.gov >p 3001 (t vt100
856 3 1-202-512-1387 >j 2400-9600 >m help@eids.gpo.gov >n U.S. G.P.O., Office of Electronic Information Dissemination Services, Mail Stop SDE, Washington, DC 20401
856 41 >u http://fedbbs.access.gpo.gov/libs/epa_885.htm

13. Multiple Formats: Some of the online files GPO catalogs are available in more than one electronic format.

A. If there is a complete PDF version, the PDF version is preferred to other versions.

B. If a PDF version is not available and a complete HTML is available, the HTML version is preferred over other versions.

C. If a document is available in text only, MS-Word only, WordPerfect only, etc., the text, Word, WordPerfect version is cataloged and linked to from the GPO cataloging record.

D. If the version in the preferred format is incomplete and a more complete version is available in another format, the version that is more complete is cataloged and linked to from the cataloging record.

14. Verifying Access Information and Locating the Specific Internet Address: As part of the cataloging process, catalogers verify the correctness of Internet addresses (URL, etc.) included in catalog records by checking them on the Internet.

If the online address discovered in a tangible version is too general or is incorrect, the cataloger determines the correct address and completes cataloging of both the tangible version and the online file.

A. A correct address may be easily determined if there is an obvious "typo" in the address provided by the publisher.

B. A specific address may be obtained from an online index or listing at a Federal agency's site.

C. A specific address may already have a PURL assigned and may already be included in the NET Web site. Catalogers use the GPO PURL resolver and NET to determine if a PURL has already been assigned to an address.

15. Recording Changes to Access Information: The mode of access and/or the addresses for online files may change at any time. New issues/volumes of the multiparts and serials are regularly checked by CB staff to determine if the mode of access or addresses have changed. The PURL resolver is also used to find and repair broken links. PURLs are systematically monitored for access changes. If broken links have not had PURLs assigned to them, PURLs are assigned for the new links. If the online version ceases to be available via Internet, access information is removed from the catalog record and notes indicating it is no longer available are added. CB staff does not monitor the Internet for other changes.

CATALOGING AN ONLINE FILE USING A TANGIBLE VERSION RECORD

If a tangible version and an equivalent online file are both being cataloged for the first time (because there are not existing OCLC records for either), GPO creates a new record only for the tangible version. Information on the online file, including access information, is included in the tangible version record.

If GPO has cataloged a tangible version prior to the time its online equivalent is discovered, information on the online file is included in the tangible version record. Information on the online file may be found within the tangible version, in an existing catalog record for the tangible version, or in an existing record for the online file. Fields added include: the item number field (074 field) with (online) following it, an additional forms available note (530 field) and one or more electronic location and access fields (856 field).

If the online version of the tangible document has minor modifications that do not result in bibliographic and content differences, the catalog record for the tangible version is used to record information about the online version. If the online version contains information that indicates it is an earlier or later edition, a new online file record is created. Information about online files that supplement tangible versions is recorded in the records for the tangible versions.

If there is any possibility that the tangibledocument is a different document (see LCRI 1.0), a new record for the online file is made.

A PDF file, which can be read using Adobe Acrobat, generally should be a reliable source for correcting an existing catalog record. HTML files can be used if sources used to catalog the tangible version are intact and therefore can be used to make corrections. Be less certain about using existing records if only text files are available and there are bibliographic differences between the online file and the existing catalog record.

A tangibledocument may notify the user that an online version is available.

If after initial efforts the correct address for an online file cannot be found, only the tangible version is cataloged.

1. Access Information for Online Files:

The URLs that link to online files at the time they are first cataloged are recorded in an additional form available note (530 field) or a mode of access note (538 field).

If a document is available as an online file, an electronic location and access field (856 field) with a PURL is added to the catalog record. Sometimes catalog records may have more than one 856 field. The second 856 indicator may be coded 0, 1, 2 depending on the kind of record to which a PURL is added. See examples in OCLC's BFAS.

GPO no longer adds a "PDF only" note to its records. ~~If an online file is available only in formats which require special software (in addition to Internet software) to view, the type of file is indicated in the 530 note. The name of the required software is included in the 856 subfield "z" if it differs from the name of the file format.~~ Substitute the following for the above: If an online file requires a special kind of software to view, add a note in the 856 subfield "z." indicating the type of software required. Example:

> ~~530 Also available via Internet from the NCES web site (PDF only). Address as of... ; current access available via PURL.~~
> 856 41 >u http://..... >z Adobe Acrobat Reader required >z URL accesses listing of general NCES publications

2. SuDocs Class (086 & 099 fields): Normally, the SuDocs class for the online file is the same as the one assigned to the tangible version. However, if a document is not distributed to depository libraries in a tangible version, the class number for the online version consists of the class stem followed by the ACSIS publication ID. Examples :

086 0 D 1.6/2:96-024961	086 0 A 98.2:2001011637
099 D 1.6/2:96-024961	099 A 98.2:2001011637

If an online document is part of a numbered series, the series numbering is used to cutter the SuDocs

class. Examples:

086 0 A 13.88:RMRS-GTR-68 086 0 I 19.76:00-017
099 A 13.88:RMRS-GTR-68 099 I 19.76:00-017

If an earlier edition or version of a document was assigned a cuttered SuDocs class number, the edition date or publishing date of the new edition is normally added at the end of the SuDocs class for the earlier edition to created a SuDocs class for the new edition. This is done when the new edition is made available in a tangible version and when a document is made available only online. Example:

086 0 I 19.76:C 42/999
099 I 19.76:C 42/999

3. **Added Title Entry for Online File:** If the title proper of the online file differs from the title proper of the tangible version, GPO makes an added entry for the title of the online file using an added entry--uncontrolled related/analytical title field (740 field) and records it in the additional forms available note (530 field). Hypothetical examples:

   245 00 Estimations of U.S. population in the year 2000

   740 0 Population estimations 2000.

   530 Also available via Internet from the Census Bureau web site, with title: Populations estimations 2000. Address as of.... ; current access available via PURL.

4. **Replacement of Previously Existing Distribution Information:** If distribution information, such as the shipping list number, has been removed from a record previously used by GPO to catalog a tangible version, it is replaced.

5. **Notes Indicating a Document Is No Longer Available as an online File:** If a document was available as an online file but is no longer available, make a 500 field note indicating this. Example:

   500 No longer available via Internet.

~~6.~~ **Not Distributed Notes (500 field):** GPO no longer adds a "Not Distributed to Depositories in a Physical Form" note to any of its records. ~~If the document being cataloged has not been distributed in a physical form (paper, microfiche, CD-ROM, etc.), a 500 note is added as follows:~~

   ~~500 Not distributed to depository libraries in a physical form.~~

7. **Availability Notes for Online Versions:** If an existing record does not contain an additional forms available note (530 field) directing users to the online file, GPO will add one, in one of the styles shown below. The basic style for the 530 note is "530 Also available via Internet..." Also, include the actual Internet address in the 530 note following the information on the Web site. Example:

530 Also available via Internet from the OAQPS web site ~~(PDF only)~~. Address as of 3/2/99: http://www.epa.gov/ttn/chief/pom.html; current access is available via PURL.

856 41 >u http://purl.access.gpo.gov/GPO/LPS2435 >z Adobe Acrobat Reader required

A. If the existing record being corrected has both a URL and PURL in the 856 field, move the URL to the 530 and record it as shown above.

B. If only a URL is found in the 856 field of an existing record, move the URL to the 530 field and record the PURL in the 856 field.

8. Additions Made to Existing Records for Tangible Versions Used to Catalog Online Files:

035 Field, subfield "a": ACSIS Publication ID Numbers (apn): These are recorded in Local System Control Number field of the record if already assigned. The apn is preceded by "(GPO)apn" with no spaces. Example:

035 (GPO)apn2000-021908

074 field: Item numbers: Item numbers for the online file are followed by the word "online" in parentheses.

If a document has been distributed to depository libraries in tangible form (paper, microfiche, etc.), item numbers for the tangible versions and for the online file are added in separate 074 fields. Normally the same item number is assigned to both the tangible version and the online file. Examples:

Paper and Online:	074	0544
	074	0544 (online)
Microfiche and Online:	074	0546-D-01 (MF)
	074	0546-D-01 (online)
Paper, Microfiche, and Online:	074	0996-A
	074	0996-B (MF)
	074	0996-A (online)
	074	0996-B (online)

530 Field: Additional Form Availability Note: If statements in the online file or tangible version indicate that only some of the information found in the tangible version is included in the online file, this is indicated in the 530 note. Examples:

530 Executive summary also available from the DOD web site. Address as of... ; current access available via PURL.

530 Some statistical data also available from the DOJ web site. Address as of... ; current access available via PURL.

530 Tables in part B also available separately via Internet from the Census web site. Address as of... ; current access available via PURL.

A. Serials: Since Internet sites do not usually include all issues of a serial, 530 notes for serials document usually begin with "530 Some issues also available via Internet ..." (This form is used when the contents of the online file are arranged by volume and/or issue.) The style varies in special situations. If statistical data included in a tangible version is available at a site but other parts of the document are not, the note would be "530 Some statistical data available via Internet..." If arrangement by issue is not maintained in the online version of a serial and only individual articles can be accessed, the note would be "530 Some articles also available via Internet ..."

B. Monographs: For monographs, GPO uses the general styles shown below if they are appropriate but may design special 530 notes if needed.

(GPO Web Site General Example)
530 Also available via Internet at the GPO web site. Address as of... ; current access available via PURL.

(Federal Bulletin Board General Example)
530 Also available on the Federal Bulletin Board via Internet at the GPO web site. Address as of... ; current access available via PURL.

(GPO Access Example)
530 Also available from the GPO Access web site. Address as of... ; current access available via PURL.

(Other Federal Web Sites)
530 Also available via Internet from the Census Bureau web site. Address as of... ; current access available via PURL.

(Map or Atlas Example)
530 Also available via Internet from cartographic database at the USGS web site. Address as of... ; current access available via PURL.

(Examples for Non-Federal Organizations that Make Available Online Documents for Federal Organizations by Agreement)
530 Also available via Internet from the World Wide Web. Address as of... current access available via PURL.

Examples for documents that have NOT been distributed to depository libraries in a tangible

version. The word "Also" is not included:

(GPO Web Site Example)
530 Available via Internet at the GPO web site. Address as of...

(Example for other Federal Web sites)
530 Available via Internet from the Higher Education Center web site. Address as of...

CATALOGING AN ONLINE FILE USING AN ONLINE FILE RECORD

1. Adapting Online File Records:

A. If a cataloging record for an online file already exists on the OCLC database, GPO adapts the existing record. Online file records may be identified by the presence of a 538 field (mode of access note) and the code "m" in either the Type: fixed field or in a 006 field, subfield "a."

B. If GPO is cataloging an online file and is not planning to catalog the tangible version at the same time, GPO adapts an existing online file record or creates a new one. In rare cases, serials catalogers may adapt an acceptable tangible version record in lieu of creating a new online file record.

2. Source of title: If the title of an online file appears in more than one source within the file, the source with the most information is used as the chief source, unless:

A. One of the electronic pages is explicitly called the title page.

B. It is apparent that a source in an online file is an equivalent to the source that would be used to catalog the tangible version. (Applied when PDF publications are cataloged.)

3. Encoding Levels: Detailed instructions on assigning encoding levels to online files is included in GPO-CG: Abridged Cataloging.

A. Existing Records: Records that meet or exceed GPO encoding-level standards for encoding K-level records retain the encoding-levels previously assigned. K-level and existing I-level and blank level records remain as coded. Existing records that do not meet minimum standards for their encoding level (whether full or K-level) are upgraded. All existing bibliographic elements allowed by AACR2, the LCRIs, etc., are retained.

B. New Records: New records are cataloged at K-level, I-level, or blank level. See instructions in GPO-CG: Abridged Cataloging and Creating New OCLC Records.

4. **Linking Records:** If there are also existing records for the tangible version (paper, etc.) versions of a document, these are linked to the existing record for the online version following GPO-CG: Linking Fields.

5. **Recording Distribution Information on Tangible Form Versions:** If a paper or microfiche version of a document is received for cataloging after the online file record has been cataloged by GPO, GPO uses the record for the online file to catalog the paper or microfiche version. The item numbers and SuDocs class for the paper or microfiche version are added to the record for the online file. A distribution note (500 field) or a other formats available note (530 field) is added to the record with information on the tangible version.

6. **Sources for Descriptive Cataloging Data:** The sources for descriptive cataloging information transcribed in the 245, 250, 260, 440 or 490 fields etc., are those listed in AACR2 9.0B1 & B2.

7. **Key Bibliographic Elements Included in New Online File Records (and Added to or Retained in Existing Records):**

   Existing online file records used for copy cataloging are required to have the key bibliographic elements listed below. Required elements missing from an existing online file record that is being used to catalog an online file are added.

   Type Fixed Fields: The "Type:" fixed field is coded following the MARC21 FFBD instructions in all new records. New MARC records for electronic resources that are primarily textual are coded "Type: a;" cartographic materials, "Type: e;" graphics (projected) "Type: g;" sound (non-music), "Type: **i**;" numeric data, computer media, and databases "Type: m." If an existing record is coded "Type: m," but should be coded "Type: a," etc., based on current instructions, GPO does NOT request a coding change from OCLC. Instead the record is adapted without changing the Type: coding. For further information see, MARC21 FFBD or OCLC's BFAS, <http://www.oclc.org/oclc/bib/about.htm>.

   Form Fixed Fields: Online file records created using OCLC workform wfm (text) wfme (maps), wfmg (visual materials), and wfms (serials) are coded "Form: s."

   File Fixed Fields: Online file records created using the OCLC workform wfmm must be coded to indicate the type of electronic resource. Catalog records for electronic resources that primarily consist of statistical tables are cataloged using the workform wfmm and are coded "File: a."

   006 Field and 007 Field: Additional Materials Characteristics--Fixed-Length Data Elements and General Information--Physical Description Fixed Field: 006 fields are required in all new records for online files, including those created through cloning, with the exception of records coded "Type: m" in the OCLC fixed field. OCLC has not implemented the MARC21 FFBD provision for including 007 fields for text documents printed on a tangiblemedia, e.g., paper, etc. GPO does not include 007 fields in records for electronic resources coded "Type: a" or "Type: m" unless they are authenticated for BIBCO or CONSER. GPO does include 007 fields in records for electronic resources coded "Type: e," "Type: g," "Type: i," and "Type: j."

035 Field, Subfield "a": ACSIS Publication ID Numbers: These are recorded in Local System Control Number field if already assigned. Precede the apn with (GPO) and leave no spaces. Example:

035 (GPO)apn2000-021908

037 Field: Sales Information: If a K-level record is being created, GPO includes only the sales information for tangible versions available for sale by GPO, ERIC, NASA, NTIS. Prices are included only if the tangible versions are sold by GPO. Example:

037 065-000-00523-9 ‡b GPO ‡f paper ‡c $2.50

GPO ceased adding prices for serials to OCLC database and Serial Supplement records as of Oct 1, 1999. Prices are still added to Congressional serial set availability records if appropriate.

074 Field and 086 and 099 Fields: Transcribing Item Numbers and SuDocs Class: Add item number and class.

Normally only the item number for the online file is included in an online file record. The word "online" is added following the item number in the 074 subfield "a."

If the online file and the tangible version are cataloged on separate records, only the item number for the online file is included in the 074 field.

245 Field, Subfield "h": General Materials Designation: Always include for electronic resources. Example:

245 >h [electronic resource]

256 Field: Electronic Resource Characteristics: Do not add to K-level or serial records.

260 Field: Publication, Distribution, etc. Area: For K-level records follow instructions in GPO-CG: Abridged Cataloging. DO NOT bracket statements if found anywhere in the online file. If a publisher is not listed within an online file, GPO adds a publisher based on the class provided by DAB. The publisher name is recorded as found in the name authority record. (Qualifiers included in authority records are NOT transcribed. Use the abbreviation U.S. for United States.) Do NOT record distribution and sales statements in the 260 field even though they appear prominently. If the paper version is available for sale by GPO, add a 500 field note indicating this as instructed in GPO-CG: Sales Information.

300 Field: Physical Description: Online file catalog records do not contain 300 fields.

538 Field: System Requirements: Normally not included in K-level records, but the field is included

if special software, an unusual amount of memory, or unusual (or special) hardware is required. Examples:

538 System requirements: Adobe Acrobat Reader.

538 System requirements: Adobe Acrobat Reader required to access PDF version.

538 Field: Mode of Access Notes: These notes contain detailed Web site information, including the actual Web site address. They are added to all records. Example, together with 856 field with PURL:

538 Mode of access: Internet from the OPM web site. Address as of 4/1/98: http//www.opm.gov/ocs/aws/index.htm; current access is available via PURL.

856 40 >u http://purl.access.gpo.gov/GPO/LPS450

(GPO Web Site Example)
538 Mode of access: Internet at the GPO web site. Address as of....

(Federal Bulletin Board Example)
538 Mode of access: Federal Bulletin Board via Internet at the GPO web site. Address as of...

(GPO Access Example)
538 Mode of access: Internet from the GPO Access web site. Address as of...

(Example for Other Federal Web Sites)
538 Mode of access: Internet from the Census Bureau web site. Address as of...

(Example for Non-Federal Web Sites)
538 Mode of access: Internet from the World Wide Web. Address as of...

If the examples listed above are not appropriate, use the following:

538 Mode of access: Internet. (Add additional language as needed, e.g., "through FTP," "through Telnet," etc.) Address as of...

500 Field: Source of Title Notes: In accordance with AACR2, chapter 9, source of title note is included in all records for online files. Example:

500 Title from online title screen.

500 Field: Paper Version Available for Sale: If the paper version of an online document is currently available for sale by GPO or the paper version was previously available for sale by GPO and is no longer for sale, add appropriate notes indicating that the paper version is for sale or was previously for sale as instructed in GPO-CG: Sales Information.

500 Field: Not Distributed Note: GPO no longer adds a "Not Distributed to Depositories in a Physical Form" note to any of its records regardless of the format. ~~Do NOT add "500 Not distributed to depositories in a physical form" note on online file records~~.

500 Field: Distribution Notes: If the document being cataloged has been distributed in a tangible version (paper, microfiche, CD-ROM, etc.), add a 500 note indicating this.

(Example of Note Added When Tangible Version (paper and microfiche only) Cataloged on a Separated Record)

500 Distributed to depository libraries in paper. ...in microfiche. ...in CD-ROM. ... in paper and CD-ROM. ...etc.

(Example of Notes to Monograph Records)
500 Distributed to depositories in paper (ix, 26 : ill. ; 28 cm.), shipping list no: 97-1234-P.

500 Distributed to depositories in microfiche, shipping list no: 97-2345-M.

(Example of Note Added to Congressional Monograph Records)
500 Distributed to some depositories in paper (ix, 26 : ill. ; 28 cm.), shipping list no: 97-1234-P, or microfiche.

(Example of Note Added to Congressional Serial Records)
500 Some issues distributed to some depositories in paper or microfiche.

(Example of Notes Added to Other Serial Records)
500 Some issues distributed to depositories in paper.

500 Some issues distributed to depositories in microfiche.

500 Field: No Longer Available as an Online File: Add as instructed in 4, F above (if discovered after cataloging is completed and record added to OCLC database).

520 Field: Summary, etc. Notes: Summary notes are NOT included in new K-records for online files but are retained in existing records.

530 Field and 580 Field: Additional Form Availability Note and Linking Entry Complexity Note: Add 530 or 580 notes when linking the catalog record for the online file being cataloged to catalog records for four or more tangible versions (as required by GPO-CG: Linking Fields). A 530 field note is also included if an existing online file record is being used to catalog a tangible version that was NOT distributed to libraries. A 530 field is not added to an online file record if a "500 Distributed to depository libraries in ..." note needs to be added to the record.

Examples:

530 Also available in paper.

530 Also available in paper microfiche, CD-ROM, and computer disk.

580 Continues: Schools in Major U.S. cities : with supplementary statistical tables. 3rd ed. (Available in paper, microfiche, CD-ROM, and Computer Disk.)

6XX-7XX Fields: Added Entries: Make added entries as instructed in the GPO Cataloging Guidelines. Follow GPO-CG: Abridged Cataloging, when creating or using existing K-level records.

765-787 Field: Linking Fields: Serial catalogers should use linking fields as instructed by the CONSER instructions. Map and monograph catalogers use the additional forms available field (776 field), the preceding entry field (780 field), and the succeeding entry field (785 field) to link records for online files with records for tangible version as instructed in GPO-CG: Linking Fields.

856 Field: Electronic Location and Access Field: Follow instructions in 3, above. If CB is notified that a document is no longer available as an online file, the 856 field is removed.

SEE ALSO: Abridged Cataloging; Collection-Level Records; Linking Fields.

ITEM NUMBERS

BACKGROUND: Item numbers provide a way for depository libraries to select the documents they are to receive. Individual documents or groups of related documents of interest to the users of a particular depository library are selected by this means. Item numbers are included in GPO catalog records. They are used in location software to pinpoint depository libraries that may have certain documents. Information on item numbers that relate to a given SuDocs class stem is included in GPO's List of Classes of United States Government Publications Available for Selection by Depository Libraries.

POLICIES:

1. Item numbers are recorded in the cataloging records for documents which are distributed to depository libraries.

2. Item numbers are not recorded in records for tangible versions if they are not distributed.

3. The item number recorded in the 074 field of a cataloging record for a monograph distributed in tangible version by GPO represents the actual item number under which a document was distributed to depositories. Because it represents an actual occurrence, the item number recorded in the catalog record is the one used to distribute a document, not the one it should have been distributed under. The item number remains unchanged even if the SuDocs class is corrected.

4. Sometimes an individual monograph is distributed to depositories in a different format than the one indicated for a particular item in the List of Classes.

   A. If a monograph in a document group that normally is distributed in microfiche is distributed in paper instead, the item number actually used to distribute it is recorded in the 074 field. However, the initials (MF) are not recorded following the item number.

   B. If a monograph that is normally distributed in dual formats (paper (p) and microfiche (mf)) is distributed to libraries in only one format, the item nos. for both formats are included in the record. If the distribution is in paper, neither item number is qualified. If the distribution is in microfiche both item numbers are qualified with (MF). A note is included in the record indicating the distribution format.

   C. If a monograph belongs to a document group that normally is distributed in paper is distributed in microfiche instead, the item number is recorded in the 074 with the initials (MF) following it.

   D. If a monograph in a documents group that is normally made available only online is distributed to depositories in paper, the item number is recorded without the qualifier (online). In addition, if a

monograph in group that is normally made available online is distributed in microfiche, the item number normally recorded for the group is qualified by (MF) rather than online.

5. Item numbers recorded in serials records represent the correct item numbers for the SuDocs class stem, as shown in the List of Classes. Due to circumstances, the item number under which an individual issue is actually distributed may differ from the one shown in the List of Classes. In this case, the item number under which an issue of a serial is actually distributed is normally not recorded, but may be recorded in a note.

6. Item numbers are also recorded for online files (Internet) documents to aid depository libraries.

STYLE USED TO RECORD ITEM NUMBER IN 074 FIELD: To make it possible for electronic devices to differentiate between item numbers such as 24, 240, and 2400, item numbers are recorded in 074 fields in the style that they appear in the List of Classes. Item numbers appearing in the standard form have four digits in the first set of numbers and two digits in the second set of numbers following the letter. The first number, letter, and second number are separated by dashes. Examples:

074	0004	**NOT**	074	4
074	0015-A	**NOT**	074	15-A or 15A
074	0040-A-02	**NOT**	074	40-A-2
074	0137-A-09	**NOT**	074	137-A-9
074	0512-G-29	**NOT**	074	512-G-29

1. **Electronic Resources (CD-ROMs, DVD-ROMs, and Floppy Disks), VHS Cassettes, Etc., and Paper Documents:** These kinds of documents normally have "djc" (i.e., depository joker copy) written under the item number on the cover or title page of the classified copy. Item numbers should be transcribed in the cataloging records for these documents only if "djc" appears on them or they are listed in a shipping list.

2. **Microfiche Documents:** The covers or title pages of paper originals used to manufacture reproduction microfiche usually have item numbers recorded on them, but "djc" does not appear. Documents that have been converted to microfiche usually have "Original" stamped on them. The item number is transcribed in a 074 followed by "MF" in parentheses. Example:

   074 0710 (MF)

   It may be necessary to look up an item number for a microfiche in the List of Classes or in a shipping list, if:

   A. The item number on the microfiche version is unreadable.

   B. A document is a dual distribution document.

C. A microfiche is an agency microfiche or a computer output microfiche (COM).

3. **Dual Distribution Documents:** Documents distributed to depository libraries in both paper and microfiche and cataloged using a single record have two item numbers assigned to them. One item number is for the paper version and the other is for the microfiche. Each item number is recorded in a separate 074 Field. The item number for the paper version is recorded before the microfiche version.

   A. Paper and Microfiche:
   Examples:

		NOT	
074	1033	074	1033, 1033-A (MF)
074	1033-A (MF)		

   B. Paper, Microfiche, and Online: If a dual distribution document is available as an online file, each item number is recorded again followed by the word online in parentheses. Examples:

074 0996-A
074 0996-B (MF)
074 0996-A (online)
074 0996-B (online)

4. **Online Files:** If a document is an online file, the item number is transcribed in an 074 field followed by "online" in parentheses. Example:

074 0830-C (online)

5. **Tangible Versions (Electronic Resources (CD-ROMs, DVD-ROMs and Floppy Disks), Microfiche, or Paper), and Online Files:** If a document is available in a tangible version and as an online file, the formats are indicated.

   A. Electronic Resource or Paper and Online Files:

074 0128-M-02
074 0128-M-02 (online)

   B. Microfiche and Online Files:

074 0624-H (MF)
074 0624-H (online)

   C. Electronic Resource or Paper, Microfiche, and Online Files:

   Hypothetical example:

074 0026-A-05
074 0026-A-05 (MF)
074 0026-A-05 (online)

6. **Documents Issued More than Once in the Same Format, but under Different Item Numbers and Classes:** If a document is distributed more than once in the same format under different item numbers and in different classes, the 074 fields and class number fields are arranged in such a way as to indicate which item number pertains to which class. The first item number listed should match the first class listed. The second item number should match the second class listed, etc. Examples:

074 0466-A-03 (MF)
074 0455 (MF)
086 0 ED 1.310/2:
086 0 ED 1.1:

7. **Multiparts:** If a part is distributed a second or third time in the same format but under different item numbers, separate 074 fields are added to the catalog record for each item number. The item numbers are arranged in the record in part number order. The part number is recorded in parentheses following the item number. If a part also has both a different item number and a different class, then the instructions in section 6 above are followed.

SINGLE CLASS		MULTIPLE CLASSES	
074	0156-K-35	074	0621 (V.1)
074	0156-K-17	074	0620 (V.2)
074	0156-K-14	086 0	I 19.2:W 68/2
086 0	C 3.223/11:1990 CPH 3-115 A/MAPS	086 0	I 19.3:1620

8. **Serials:** Sometimes different volumes or parts of a particular serial are distributed to depositories under different item numbers at different times. The 074 fields are arranged so that the earliest item number assigned is recorded in the first 074 field. The most recent item number assigned is recorded in the last 074 field listed. Examples:

074 0956
074 0956-F
086 0 T 22.2:T 19/20/
086 0 T 22.57:

If some volumes or parts are distributed to depositories in paper and microfiche (dual distribution), the instructions in 3 above are followed. If some volumes or parts are distributed more than once in the same format under different item numbers, the instructions in 6 above are followed.

9. **074 Subfield "z"**: This subfield is used when an item number is incorrectly recorded in the cataloging record and is later changed. The correct item number is recorded in subfield "a" and the incorrect item number is recorded in subfield "z." Subfield "z" is used to record typos and other transcription errors made by the cataloger at the time the record was first produced. If a document is actually distributed under an incorrectly assigned item number, GPO does NOT record or move the incorrectly assigned item number to an 074 subfield "z." This is because the distribution of a document under an incorrect item number is an actual event. The item number under which the document is actually distributed remains in the 074 subfield "a." The Administrative Notes Technical Supplement provides corrected item number information.

10. **Documents That Are Not Distributed:** 074 fields are not added. Instead GPO catalogers add the following note to the record.

    500 Not distributed to depository libraries.

    A dummy item number, 3000-A, is recorded in the ACSIS system and sometimes appears on copies of documents sent to Cataloging Branch for cataloging. This dummy item number is for internal use only and is not included in cataloging records.

11. **Documents Marked DUMP:** Some documents that are not sent to depositories are stamped with the word DUMP. This does not mean that documents marked DUMP should be disposed of by the Cataloging Branch. Instead these documents are cataloged without item numbers in the record as instructed in 10 above. After these documents are cataloged, they are sent to the National Archives. Before being placed in a National Archives box, each document is marked "ARC".

12. **Documents Distributed To All Depository Libraries:** Documents assigned item numbers 0154-B, 0556-C, and 1004-E are distributed to all depository libraries. The item number written on the document is recorded in the 074 field of the catalog record. If a document is marked "All Libraries" without an item number, the appropriate item is obtained from the List of Classes and recorded in the catalog record.

SEE ALSO: Electronic Resources; Microfiche; Notes; SuDocs Classification Numbers.

LINKING FIELDS

BACKGROUND: Linking entry fields (fields 765 through 787) are optional MARC 21 fields which may be used to link catalog records for various types of related publications. Linking entry fields contain bibliographic information about publications related to the one being described in a catalog record. Linking note fields (530 and 580) are optional MARC 21 fields, which may be used in conjunction with or in place of linking entry fields.

There are two other linking fields, the 760 & 762 fields, which are used only by the Library of Congress, ISDP Center and therefore are not covered in this guideline.

INSTRUCTIONS: For specific information on linking entry and note fields, consult OCLC's BFAS and the MARC21 FFBD. Serial catalogers should consult the CEG and the CMM. GPO policies and instructions on use of linking fields are included below.

BASIC PROCEDURES: When adding linking entry fields and related notes fields to catalog records or when evaluating linking entry fields and notes on existing records used for copy cataloging, carefully review work to assure that links are made only when necessary and that the appropriate fields are used. Please be aware of the following:

1. The OCLC database should be thoroughly searched each time a new record is created or an existing record is used for copy cataloging.

2. Records should be checked carefully to be certain linking entry fields, including existing fields, are correctly used. Check instructional sources above and local instructions below for correct use information.

USE OF LINKING NOTE FIELDS IN CONJUNCTION WITH LINKING ENTRY FIELDS: Linking note fields are used when the relationship between documents cannot adequately be expressed by the computer generated print/display constants produced when linking entry fields are used alone or when not enough record space is available to add all linking entry fields needed. These fields are the **additional forms availability note** (530 field), which is used only with the 776 field, and the **linking field complexity note** (580 field), which is used with other linking fields. When the 530 and 580 fields are used, the first indicator position of the related linking entry fields (776, 780, 785, etc.) is coded 1 (one). This coding stops the computer from generating a note from the linking entry field. The information in the 530 or 580 field takes the place of the generated note. Specific GPO policies on linking notes are found below.

When a linking note is NOT used, the first indicator of the linking entry field is coded 0 (zero). Coding the first indicator 0 (zero) causes a computer-generated note with a standard print/display constant to be produced. The print constant describes the relationship between the document represented by the catalog record and the document described in the linking entry field. It is used only when linking an original paper document with a microfiche reproduction (776 field only). GPO includes subfields "b" and "h" only in linking fields for maps and monographs.

BASIC SUBFIELD ELEMENTS: The basic subfield elements and delimiters for linking fields 765-787 are listed below. They are used only if the publishers of related documents differ.

>a Main entry heading
>b Edition
>c Qualifying information
>d Place, publisher, date
>g Relationship information
>h Physical description
>s Uniform title
>t Title
>w Record control no.
>z Intl standard book no.

The 76X-78X, subfield "w" is mainly used to record the OCLC number and LCCN numbers of the documents being linked to. A subfield "w" for an OCLC number begins >w (OCoLC){number}. A subfield "w" for a LCCN number begins >w (DLC) {number} and always includes 11 characters. Usually the first three are blank, then two for the year, and the last six are sequential numbers. If the sequential number has less than six numbers, add zeros at the beginning of the sequential number. Example: >w (DLC) 96000321

Other subfield elements may also be included in linking fields. Consult the instructional sources listed above for specific instructions.

GPO POLICIES FOR LINKING ENTRY FIELDS AND LINKING NOTE FIELDS:

1. **General Policies and Practices for All Documents (Maps, Monographs, and Serials):** When linking catalog records using linking entry fields and notes, GPO applies the following special practices:

   A. Required Use of Linking Notes When Linking Between Tangible Versions and Online Files: An **additional forms availability note (**530 field), indicating that a document is available as an online file, or a **linking entry complexity note** (580 field), indicating a later edition or issue is available as an online file, is always included in the cataloging records for the tangible versions regardless of the type of publication (maps, monographs, or serials).

   B. Style of Linking Notes Used to Link Tangible Versions to Online Files: When linking records for tangible versions to online files, GPO records access information to the online file in linking notes (530 and 580 fields) in standard styles noted below.

      i. Style of Additional Forms Availability Note (530 field): If a tangible version has the same or similar contents as an online file, a 530 note field is included in the general style shown below. For further details and examples, consult GPO-CG: Electronic Resources. Map, Monograph, and Serial Example:

      530 Also available via Internet from the GPO web site. Address as of … ; current access available via PURL.

ii. **Style of Linking Entry Complexity Note (580 field):** If a tangible version is replaced by an online file (i.e., the tangible version is no longer published, but instead only the online file is being published), a 580 note field is included in the general style shown below. (For maps and monographs, the tangible version is the earlier edition and the online file is the revised later edition. For serials the tangible versions are earlier issues and online files are later issues.) For further examples for serials, as well as maps and monographs, see 2 E below. General (hypothetical) example for maps and monographs:

580 Continued by: Birds of the Great Plains. 4th ed. (Available via Internet from the NPS web site. Address as of 1/12/96: http//www ... ; current access available via PURL)

C. Linking Abstracts, Abridgement, Summaries, Supplements, Partial Updates, or Errata, Etc., Appearing as Online Files to Tangible Versions:

i. GPO does NOT link catalog records for abstracts, etc., that appear as online files, without the full work, to catalog records for a tangible version that contains the full work (but not the abstracts, etc.).

ii. Catalog records for abstracts, etc., that appear separately from the full work as online files may be linked to catalog records for separately appearing abstracts, etc., that are tangible versions.

iii. If a full work and its abstract, etc., are issued separately and cataloged separately as tangible versions but appear together and are cataloged together as an online files, GPO links both the separate catalog records for abstracts, etc., and the full work (appearing as separate tangible versions) to the record for the online file (containing both).

iv. If an abstract, etc., is published as part of the full work in tangible version, but is published separately as an online file, GPO links the record for the tangible version full work to the online file record for the abstract, etc.

v. GPO uses the **additional form linking entry fields** (776 field) to link catalog records in the instances noted in ii-iv above.

vi. An **additional forms availability note (530 field)** in the general style shown below is included in the records for the tangible versions, in addition to the 776 field. (The first indicator is coded "1" (one) as indicated above.) Hypothetical example:

530 Executive summary also available via Internet from the Office of Naval Research web site. Address as of (date): http://www.orr.gov/publications/RptSurvey.html; current access available via PURL.

776 1 United States. Office of Naval Research. >t Report of survey. Executive summary >w (OCoLC)00000000

856 40 >u http://purl.access.gpo.gov/GPO/LPS0000

D. Links to Four or More Records: If a record is related to four or more other records, linking notes are used instead of linking entry fields to describe the relationship. (If a serial is being cataloged, apply the instruction in the CEG and CCM when there is a conflict.)

For example, if an online file has the same kind of relationship (e.g., the same or similar content) to four (or more) tangible tangible versions (e.g., paper, microfiche, CD-ROM, computer disk, etc.), GPO adds linking entry fields only to the records for the tangible versions. The record for the online file would have only an **additional forms availability note (**530 field) or **linking field complexity note** (580 field) describing the relationship with the tangible versions. Linking entry fields (765-787) would not be included in the record for the online file. Conversely, if a tangible version has a relationship with four or more online files, linking entry fields would be included in the records for the online files. A linking note with information on the related documents only is always added to the record without linking entry fields.

2. Links Between Map (Non-serial) Records and Between Monograph Records:

A. General Policies for Maps and Monographs:

i. Retaining Existing Linking Entry and Linking Note Fields: When adapting existing OCLC map or monograph database records that contain linking entry fields (765-787), GPO will do the following:

a. Retain all linking entry and notes fields already in existing records if properly included.

b. Correct any errors found in existing links. (Since there are few existing links included on map and monograph records, check any changes with the Administrative Librarian, Cataloging Policy.)

ii. Adding Linking Entry Fields to New and Existing Records: When cataloging maps and monographs (either by creating a new record or adapting existing records), GPO adds only 776, 780, and 785 linking entry fields to records.

a. If online files and tangible versions are represented (or are to be represented) by separate catalog records, GPO adds linking fields when the following applies:

- If contents of the online files are the same or similar to one, two, or three other tangible versions, GPO uses one or more **additional form linking entry fields (776 field)** to link the records for online files to the records for the tangible versions. (Examples in B-C below.)

- If an earlier edition of a map (non-serial) or a monograph is published only as a tangible version and the later edition is published only as an online file, GPO uses

preceding entry fields (780 field) and **succeeding entry fields** (785 field) to link the records. (Examples in D below.)

b. However, GPO does NOT add linking entry fields (765-787) to catalog records for maps and monographs to link:

- Catalog records for tangible versions (paper, microfiche, CD-ROM, etc.) to other records for tangible versions.
- Catalog records for online files to other records for online files.

iii. Linking Note Fields: 530 and 580 linking notes are included only under the following circumstances:

a. When required by the **General Policies and Practices**, for linking note fields, described in 1 A-B, above.

b. If users would not be able to determine from a note generated from the linking entry fields the format of the documents being linked.

B. Distribution Notes: Sometimes, the online version of a document is cataloged by GPO and produced for the Monthly Catalog prior to the arrival for cataloging of one more tangible versions of the same document. In accordance with this Guideline, GPO usually links the record for the online version with existing records for the tangible versions when the online version is cataloged.

i. If one or more of the tangible versions are later distributed to depository libraries, GPO adds a distribution note (500 field) to the record for the online version with information on the distribution of the tangible version. Example:

500 Distributed to depository libraries in paper (iv, 234 p. : ill. ; 28 cm.), shipping list no. 20001-5342-P.

ii. For other examples, see GPO-CG: Electronic Resources

iii. In addition, the first indicator in the **additional form linking entry fields (776 field)** on the online record is changed from 0 to 1.

C. Examples of Monograph Records for Online Files Linked to Monograph Records for Tangible Forms with the Same or Similar Contents: The following examples show how **additional form linking entry fields (776 field)** and/or **additional forms availability note (530 field)** are added to the records for both the tangible versions and the online file as noted by 2 A ii, above.

i. Example of Online Monograph Record with Links to the Paper Version (The GMD, "electronic resource," must be use in new records for electronic resources created on or after Dec.

1, 2001, rather than "computer file.")

OCLC: 34306686
110 2 Commission on the Role and Capabilities of the United States Intelligence Community.
245 10 Preparing for the 21st century >h [electronic resource] : >b an appraisal of U.S. Intelligence.
260 [Washington, D.C. : U.S. G.P.O. >c 1996]
538 Mode of access: Available via the Internet at the GPO web site. Address as of 4/1/96: http://www.access.gpo.gov/int/pdf/report.html; current access available via PURL.
776 0 Commission on the Role and Capabilities of the United States Intelligence Community. >t Preparing for the 21st century : an appraisal of U.S. Intelligence >h 1 v. (various pagings) >w(OCoLC)34331746
856 40 >u 856 40 >u http://purl.gov/GPO/LPS3432

a. GPO includes only the extent of item portion of the physical description in the 776 subfield "h" of the record for the online file. This is the same information recorded in the 300 subfield "a" of the tangible version record.

b. Other tangible versions availability note is added to the example above if the document appears in four tangible versions. A 776 field would not be added. Example:

530 Also available in paper, microfiche, CD-ROM, and computer disk.

c. If one or more tangible versions have been or are scheduled to be distributed to depository libraries, follow the instructions in B above

ii. Example of Monograph Record of the Paper Version with Links to the Paper Versions:

OCLC: 34331746
110 2 Commission on the Roles and Capabilities of the United States Intelligence Community.
245 10 Preparing for the 21st century : >b an appraisal of U.S. Intelligence.
260 [Washington, D.C.] : >b The Commission : >b For sale by U.S. G.P.O., Supt. of Docs., >c [1996]
300 1 v. (various pagings): >b col. Ill. ; >c 28 cm.
530 Also available via Internet at the GPO web site. Address as of 01/25/00: http://www.access.gpo.gov/int/pdf/report.html; current access available via PURL.
776 1 Commission on the Role and Capabilities of United States Intelligence Community. >t Preparing for the 21st century : an appraisal of U.S. Intelligence >w(OCoLC)34306686

D. D. Online Files Related to More than One Tangible Version:

i. If an online file is related to more than one edition of the same kind of tangible form, GPO links only to the catalog record of the most recent edition of the tangible version.

ii. If one or more of the different forms (tangibleand online) in which a document appears are known to be significantly different in content from the versions in other forms, GPO indicates the differences in a single **additional forms availability note** (530 field). The first indicator for all the **additional forms entry fields** (776 field) included in the record are coded 1 (one). Hypothetical example:

500 Distributed to depository libraries in paper and CD-ROM.
530 Also available in CD-ROM and paper (without part B of observation tables). Address as of 01/25/00 … ; current access available via PURL.

776 1 >t Observations from the J7 Satellite >h 1 computer optical disc >w(OCoLC)00000000
776 1 >t Observations from the J7 Satellite >h ix, 365 p. >w(OCoLC)00000000

If there are more than three tangible versions, only the 530 note is included and Additional Form Entry fields (776 fields) are not included.

E. Hypothetical Examples of Records Where an Earlier Edition (Issued Only as a Tangible Version) Is Linked to a Later Edition (Issued Only as an online File): The following examples show how GPO uses **preceding entry fields** (780 field) and **succeeding entry fields** (785 field) to link the records as required by Part 2, Section A, Instruction ii, above.

(Record for Earlier Edition issued in Paper, but not as an online File)
OCLC: 00000000
245 00 Schools in major U.S. cities : with supplementary statistical tables.
250 3rd ed.
260 [Washington, D.C.] : >b U.S. Dept. of Education, >c [1992]
300 ix, 365 p. : >b ill. ; >c 28 cm.
580 Continued by: Schools in major U.S. cities : with revised supplementary statistical tables. 4th ed. (Available via Internet from the DOE web site. Address as of 01/21/00: http://www.edu.gov/pubs/SchoolsInMajor/index.html; current access available via PURL).
785 10 >t Schools in major U.S. cities : with revised supplementary statistical tables >b 4th ed. >w(OCoLC)00000000
856 42 >u http//purl.access.gpo/GPO/LPS4324

(Record for Later Edition Available only as an online File; the GMD, electronic resource, must be use in new records for electronic resources created on or after Dec. 1, 2001.)

OCLC: 00000000
245 00 Schools in major U.S. cities >h [electronic resource] : >b with revised supplementary statistical tables.
250 4th ed.
260 [Washington, D.C.] : >b U.S. Dept. of Education, >c [1995?]

538 Mode of access: Available via Internet from the DOE web site. Address as of / / : http://www.edu.gov/pubs/SchoolsInMajor/index.html
500 Supplementary statistical tables revised 1995.
780 00 >t Schools in major U.S. cities : with supplementary statistical tables >b 3rd ed. >h ix, 365 p. >w(OCoLC)00000000
856 42 >u http://purl.access.gpo.gov/GPO/LPS2402

F. Other Examples of 580 Continued by: Notes:

(Hypothetical Example for GPO Web site)
580 Continued by: Energy handbook. Rev. 9/96. (Available Internet at the GPO web site. Address as of 01/21/00: … ; current access available via PURL).

(Hypothetical Example for Federal Bulletin Board)
580 Continued by: Energy handbook. Rev. 9/96. (Available from the Federal Bulletin Board via Internet at the GPO web site. Address as of 01/21/00: … ; current access available via PURL and through FTP, Telnet, and dial-up).

(Hypothetical Example for GPO Access)
580 Continued by: Environmental report. 1997 ed. (Available from GPO Access via Internet at the GPO web site. Address as of 01/21/00: … ; current access available via PURL).

(Hypothetical Examples for Non-Federal Sites That Make Documents Available for Federal Organizations by Agreement.)
580 Continued by: Becoming an American citizen. 3rd rev. ed. (Available via Internet from the World Wide Web. Address as of 01/21/00: … ; current access available via PURL and through FTP, Telnet, and dial-up).

580 Continued by: Your investments. Rev. ed. (Available via Internet through gopher).

3. Linking Between Serial and Monograph Records: If a serial in tangible version is continued by online files which do not qualify as serials, the catalog records are linked using **preceding entry fields** (780 field) and **succeeding entry fields** (785 field). If the online version of a document is a monograph (based on a strict application of the AACR2 serial definition) and the tangibleversions are serials, the catalog records are linked using **Additional Form Linking Entry Fields (776 field)**. Otherwise serial records and monograph records may not be linked.

Monograph catalogers are responsible for updating or creating the bibliographic records for the monograph online files that are related to serials tangible versions. However, because of CONSER requirements, linking entry and note fields may be added to serial records only by serial catalogers. When an online file that is a monograph is linked to a serial, the appropriate linking entry fields and notes for both records will be determined by the serial cataloger.

4. Linking Between Serials Records (Including Records for Map Serials):

A. When cataloging serials, GPO includes all (765-787) linking entry and linking note fields as required by CONSER instructions (i.e., CCM and CEG) for full-level serial records.

B. GPO special policies described in **General Practices and Policies**, above, are applied to serials as well as to maps and monographs. 530 and 580 notes indicating a serial document is available as an online file are included in serial catalog records where appropriate. These notes are in the special-styles described in 2 C-D above.

5. Updating Linking Entry and Linking Note Fields: Linking fields may become outdated. This is particularly true for online files, serials, and multipart works. Links to online files are very dynamic. Linking note and entry fields on cataloging records that describe them may become outdated quickly along with other bibliographic details. GPO will revise links to online files, when necessary, if notified about changes in online files that require changes to catalog records.

SEE ALSO: Electronic Resources.

LIST OF SPECIAL MATERIALS

BACKGROUND: Some categories of Federal documents are not cataloged by GPO, but are instead included in the List of Special Materials that appears in the Monthly Catalog. The documents included do not warrant full bibliographic description; therefore, no full-level cataloging record will appear on OCLC for these items.

ARRANGEMENT OF LIST: The List of Special Materials is in SuDocs class number order.

INFORMATION PROVIDED: Each entry includes title, date, item number, stock number, price, shipping list number, and an indication of the type of material, as applicable.

SPECIAL MATERIALS:

Announcements
Binders
Change notices
Dividers
Errata sheets
Forms
Individual pages of documents
Labels
News releases
Notices
Stickers and decals
Transmittals

SEE ALSO: Basic Manuals.

MICROFICHE

BACKGROUND: Many of the documents GPO distributes to depositories are microfiche documents. The majority of these are GPO microfiche. Some are issued by other agencies, such as ERIC, GAO, and NASA. Some are original microfiche. Most are reproduction microfiche.

1. **Computer Output Microfiche (COM):** These are created from large electronic database files.

   A. The equipment provides an eye-readable header as entered by the equipment operator. The information in the individual frames is created directly from databases. There are no intervening paper copies produced.

   B. Supply and parts catalogs, financial information, inventories, listings, and other large microfiche documents are created this way. The issues of the microfiche version of the Library of Congress Subject Headings are COM.

   C. Some agencies create both paper and COM versions of documents from the same database. Since paper originals are not required, COM are considered to be original microfiche.

2. **Microfiche Reproductions:** These are created or manufactured by photographing individual documents.

   A. The original paper versions are first cut apart and then photographed using special cameras.

   B. A major problem with this method is that alterations to the original paper are often made and there are problems with the quality of manufacturing.

      i. The cover or some pages of the cover, often pages 2-4 are not included. The spine is rarely included.

      ii. Illustrations, and other pages thought to be unimportant by the manufacturer are removed or are illegible, often because the original was in color.

      iii. The text and other contents of the original may not appear in the microfiche.

      iv. The header may be for a completely different document than the one photographed and appearing in the frames.

      v. More than one microfiche reproduction may be published for an original document. GPO and another publisher, Federal or private organizations may publish microfiche reproductions of the same document.

3. **GPO Reproduction Microfiche:** Most of the reproductions now cataloged by GPO are GPO microfiche.

A. These may have the word "Original" stamped on the cover prior to photographing.

B. Often the pages of the original paper document used to manufacture GPO microfiche are re-numbered manually.

4. **Federal Agency Microfiche:** Although some agency microfiche are COM documents, most are created by photographing paper pages or sheets.

   A. Most of these are reproductions of paper documents that were originally made available to the public by the Federal agency or another publisher in paper.

   B. Sometimes the original paper versions of documents are not distributed by the agencies originating them. Instead they are distributed only in microfiche created by photographing paper originals.

   C. Some agency microfiche contain collections of individual documents that are originally issued in paper and distributed to select regional audiences. The original paper documents are then grouped, microfiched, and reissued for national and international audiences. An example of these are serials issued in paper by the National Weather Service and then grouped and reissued in microfiche.

INSTRUCTIONS: Microfiche are cataloged following the instructions below:

1. **AACR2, Chapter 11 and Other Relevant Chapters:** These rules are followed when cataloging original microfiche. The internal sources and the eye-readable header may be used as sources of information for the cataloging record.
2. **LCRIs, Chapter 11:** These rules are followed when cataloging microfiche reproductions.

   A. Descriptive information on the original paper document is recorded in the title and statement of responsibility area, edition area, publication, distribution, etc., area, physical description area, series area, and notes area of records. Only the frames for the original paper document may be used to obtain information on the descriptive and physical characteristics described in the fixed fields, bibliographic description, physical description and notes other than the reproduction note. The eye-readable header, frames with pages added by the producer of the microfiche, and accompanying material normally may NOT be used as sources of information for the descriptive fields and notes. If the frames of a microfiche reproduction are unreadable, the title may be transcribed from the equivalent paper version or a surrogate created from the paper original or equivalent online version without brackets. If the original document is altered prior to being microfiched so that the correct title is not obtainable, a title and other descriptive information may be supplied and bracketed into the title area of the record based on the title in the header or other frames added by the manufacturer. The title and other descriptive information may be supplied from technical report documentation pages included in technical reports or similar kinds of pages in other kinds of publications.

B. Information about the publishing of microfiche reproductions, i.e., the place of publication, publisher, distributor, date of publication; number of microfiche; size of the microfiche, if required; series titles and series numbering added by the publisher of the microfiche; and notes pertaining only to microfiche reproductions are recorded in reproduction notes (533 field). The only allowable sources of information for the reproduction note are the eye-readable headers, frames added by the producer of microfiche, and accompanying materials. The frames containing the pages of the original may not be used for sources for data recorded in reproduction notes.

3. **MARC21 FFBD:** This standard contains instructions on coding fixed fields and variable fields, including reproduction notes (533 field). For example, information on series and series numbering added during the manufacturing of a microfiche reproduction are recorded in the 533 subfield "f" and traced in a 810 or 830 field.

4. **OCLC's BFAS:** This standard contains information on OCLC's application of MARC 21 FFBD, including special fields such as its fixed-length data elements reproduction note (539 field), <http://www.oclc.org/oclc/bib/about.htm>.

POLICIES: GPO's general policies for microfiche cataloging follow:

1. **Microfiche Not Cataloged:** There are three instances in which microfiche distributed by GPO are not cataloged. Instead information about their distribution is provided in records for versions in other formats.

   A. **Dual Distribution Microfiche:** Documents that are distributed to some depository libraries in paper and to others in microfiche are represented by a single record describing the paper version and providing distribution information for both versions.

   B. **Microfiche Cataloged After Online Version:** If the microfiche version of a document is to be cataloged after the online version has been cataloged, information about the distribution of the microfiche version is noted in the record for the online file. See GPO-CG: Electronic Resources for details.

   C. **Microfiche Created for Documents Scheduled To Be Distributed in Paper or as a Electronic Resource:** Sometimes microfiche are created inadvertently or purposely for documents that are supposed to be distributed in paper or as a electronic resources. Distribution notes and item numbers for the microfiche are added to existing records for the paper or electronic resource in the OCLC database but they are not produced for the Monthly Catalog.

2. **Recording of Information about the Distribution of Microfiche in Records for Other Versions:**

   A. **Item Numbers:** "MF" in parentheses, followed by the item number for the microfiche, is recorded following the item number for the paper version and before the item number for the online version.

For further information and examples, see GPO-CG: Item Numbers.

B. Distribution Notes: Information on the distribution of the microfiche version is included in the records for other versions. Examples:

i. Record for paper version:

500 Distributed to depositories in microfiche, shipping list no: 97-2345-M.

ii. Dual distribution (Congressional documents):

a. Record for paper version:

500 Distributed to some depository libraries in microfiche.

b. Records for online file records:

- Monograph records:

  500 Distributed to some depositories in paper (ix, 26 : ill. ; 28 cm.), shipping list no: 97-1234-P, or in microfiche.

- Serials records

  500 Some issues distributed to some depositories in paper or microfiche.

3. Source of Cataloging Information: Microfiche cataloged by GPO are cataloged from the actual microfiche, not the paper version as was done in the past.

4. Recording of Distribution Information: Items numbers are recorded in records for the actual microfiche following the instructions in 1 A i above. The shipping list numbers are provided in a 500 note for both original microfiche and reproductions. Example:

Shipping list no. 2000-0133-M.

Distribution notes for microfiche are not included in GPO cataloging records for the actual microfiche. See GPO-CG: Notes.

5. Rules Followed: Catalogers must exercise judgement when determining whether to follow AACR2, chapter 11, or LCRI 11.0.

A. Original Microfiche: At present GPO only treats the following as original microfiche:

i. Computer output microfiche (COM)

ii. Microfiche incorporating collections of other documents that were issued originally in paper. To be treated as a original microfiche, a microfiche must incorporate two or more previously issued documents.

B. Microfiche Reproductions: GPO treats all microfiche except for those listed in Section A above as microfiche reproductions.

6. Alterations and Quality Issues: Changes to original paper documents prior to photographing and poor quality manufacturing make it difficult to properly catalog some microfiche reproductions and ultimately make it difficult for users to identify and retrieve them. Removal of the cover and title pages may make it impossible to provide the real title in the catalog record, the series title and numbering assigned to the original paper document, or the correct physical description. To minimize the impact of alterations and poor quality manufacturing, GPO does the following:

A. Cloning of Records: If there is a reliable record on the OCLC database record for the original paper document, such as an original Library of Congress record, the exception being CIP records, GPO clones the record for the original to create a record for the microfiche reproduction.

B. Use of Original Document: If the original paper document is available to the GPO cataloger, it may used as a source of information for the descriptive cataloging (245, 250, 260, 300, 440, and 490 fields), and all notes fields, except the 533 field.

C. Treatment of Added Information: Information that is handwritten or stamped in original document is ignored or only recorded in the reproduction note (533 field).

i. Handwritten or stamped numbering added to the original pages by those preparing paper documents for microfiching is disregarded in favor of the original page numbering.

ii. If the pagination of the original paper document has been rendered illegible by the microfiche manufacturer, GPO uses one of the methods shown in AACR2, rule 2.5B8 to represent pagination in the 300 field. Normally, the pagination is recorded as: 1 v. if the original numbering is illegible.

iii. Handwritten or stamped on series statements are recorded in the series area of the reproduction note (533 subfield “f”).

iv. Information in the eye-readable header and frames added by the publisher of the microfiche is recorded in reproduction notes (533 field), if needed. For example, header titles should both be recorded in the 533 subfield “n” and traced in a 246 field with indicators coded 3 blank.

SEE ALSO: Adapting OCLC Database Records; Cartographic Materials; Item Numbers; Notes; Physical Description Area.

MULTIPART ITEMS

BACKGROUND: AACR2 defines a multipart item as: A monograph complete, or intended to be complete, in a finite number of separate parts. The characteristics of different multiparts vary greatly. The characteristics of different kinds of multipart items are outlined below.

1. The separate parts may be only bibliographically distinct or may be both bibliographically and physically distinct. Although the bibliographic parts and the physical parts normally coincide, sometimes they do not.

2. The individual parts that make up a multipart usually have individual titles (or part titles) as well as a collective title (or comprehensive title), but often they do not.

3. Sometimes the individual titles are dependent on the collective title and sometimes they are independent.

4. The individual parts may be numbered or unnumbered. However, multiparts without individual titles are almost always numbered.

5. If a multipart is essentially a large monograph that was published in two or more physical units because of its size, the collective title is more important bibliographically than the individual titles. The individual titles really serve only as a kind of finding aid to sections within the monograph.

6. Sometimes each individual part of a multipart is a separate monograph in itself. The individual titles are more important than the collective title. The collective title really serves the same function as a series title. The only difference between these kinds of multiparts and series is that the publisher did not intend to continue them indefinitely. The parts are only related because they are on the same general topic or are issued by a particular Federal agency and are the same kind of document. The collective title serves only to bring together individual works for the purpose of attracting a particular audience.

7. Part numbers sometimes follow the collective title and sometimes precede the individual titles.

8. Some multiparts have individual part titles and are individually numbered, but do not have an overall title. Unless the numbering is distinctive in some way, the lack of a comprehensive title makes it is impossible to bring the parts together in a catalog.

9. As in serials and series, the main entry and titles of multiparts change. Unlike serials and series, a new serial record or authority record is not made. If a multipart has been cataloged using a collective record, the collective record is adjusted.

10. The individual parts may be issued or distributed in different formats than other parts. Sometimes some parts in a multipart are distributed in paper and other parts in microfiche.

INSTRUCTIONS: Instructions on identifying, analyzing, and cataloging multipart items are included in:

AACR2 1.0H2, 1.7B7, 1.7B18, 13.3, 13.4, 21.2, and 21.3.

LCRI 1.6, 2.6, 21. 30L, and 25.5B

MARC 21 FFBD

OCLC's BFAS, http://www.oclc.org/oclc/bib/about.htm

POLICY: Because of the limitations on record size imposed by the systems GPO uses to create, update, and catalog records; it is not able to follow the requirements of AACR2, chapter 13, which provides for the creation of both comprehensive records and analytic records. GPO catalogs multiparts three different ways. These methods are: the single record method; multiple individual records method with the collective title recorded as the title proper; and multiple individual records method with the collective title recorded in the series area.

1. Single Records Method:

A. GPO's Policy on Single Records: A single collective, open entry, record is used if:

i. Individual titles are lacking, but the individual parts are numbered.

ii. The parts have individual titles, are numbered, and all of the individual titles can be recorded in the contents note (505 field) of a single record.

iii. A collective record has already been created by the Library of Congress, the National Agricultural Library, or the National Library of Medicine.

B. Detailed Instructions: If the single record method is chosen, catalogers:

i. Must be certain that all of the individually titles will fit in a contents note. If not all of the parts have been received, but the individual titles are of moderate length or short, and it appears that there will be twelve or fewer parts, the single record method is preferred.

ii. The limit of twelve parts should not be treated as a hard and fast rule. If all or almost all of the parts have been received and it is obvious all will fit in the contents note on a single record, a single record is prepared regardless of the number. If individual titles are long, judgement is used. Only three, four, or five individual titles may fit.

iii. The collective record is coded as an open entry until all of the parts are confirmed as being received and cataloged. Then the record is closed.

iv. If all of the parts of a multipart are distributed in both paper and microfiche (dual distribution), a collective record is created only for the paper version. A distribution note for the microfiche is added to the collective record for the microfiche.

v. If all of the parts of a multipart are distributed in paper or if all of the parts of a multiparts are distributed in microfiche and some or all of the parts are available via the Internet, a single collective record is created, as appropriate, for either the paper or for the microfiche version as appropriate.

vi. If a collective record is created or adapted for a multipart, records for the individual parts (analytic records) are NOT adapted or created by GPO.

C. Example of a single collective record produced for the Monthly Catalog:

110 1 United States. >b Congress. >b House. >b Committee on Appropriations.
>b Subcommittee on Dept. of Transportation and Related Agencies Appropriations. 245
Department of Transportation and related agencies appropriations for 2000 : >b hearings before a subcommittee of the Committee on Appropriations, House of Representatives, One Hundred Sixth Congress, first session / >c Subcommittee on the Department of Transportation and Related Agencies Appropriations.
260 Washington : >b U.S. G.P.O. : >b For sale by the U.S. G.P.O., Supt. of Docs., Congressional Sales Office, 1999-2000.
300 7 v. : >b ill. ; >c 24 cm.
500 Distributed to some depository libraries in microfiche.
500 Shipping list no.: 99-0174-P (pt. 1); 99-0197-P (pt. 2); 2000-0112-P (pt. 3); 2000-0137-P (pt. 4); 2000-0124-P (pt. 5); 2000-0123-P (pt. 6); 2000-0106-P (pt. 7).
504 Includes bibliographical references and indexes.
504 pts. 1-2. 2000 budget justifications: Department of Transportation, related agencies
pt. 3. Department of Transportation, Coast Guard ... -- pt. 4. Department of Transportation, Federal Highway Administration ... -- pt. 5. Department of Transportation, Amtrak Reform Council ... -- pt. 6. Air traffic control modernization ... -- pt. 7. Testimony of members of Congress and public witnesses.
590 [cat:hpl;7]
610 10 United States. >b Dept. of Transportation >x Appropriations and expenditures.
651 0 United States >x Appropriations and expenditures, 2000.

D. Multiple Collective Records: If different parts of a multipart are distributed or made available in different formats, e.g., paper, microfiche, CD-ROM, DVD-ROM, and online, multiple collective records are created.

i. If some parts of a multipart are distributed in paper and other parts are distributed in microfiche, GPO creates separate collective records for the paper and microfiche versions.

ii. If multiparts are initially distributed to depositories in paper and/or in microfiche and later parts are made available only as online documents, GPO makes a separate record for the online

version. Some multiparts are distributed partly in microfiche and partly in paper and are made available in their entirety online.

iii. If GPO has already cataloged some parts distributed in paper, following the instructions for paper documents, and has cataloged other parts made available in microfiche following instructions for microfiche prior to the time the online version is available, a separate record is also made for the parts made available online. A note is included in the record for the online parts indicating which parts were distributed to depositories in paper and which in microfiche.

iv. Separate records are not made for any of the individual parts when separate collective records have been created for a multipart with parts that have been distributed or made available in various formats.

2. **Multiple Individual Records Methods:** There are two different types of individual records that are created for multiparts. The collective title is recorded in different ways in different types of records.

A. The Collective Title Recorded as the Title Proper: The first way is to record the collective title as the title proper (245 subfield "a") and each individual title as the title part (245 subfield "p") in multiple records. If the parts are numbered, the numbering is recorded in the number area (245 subfield "n"). GPO uses this method in the following circumstances if the collective title precedes the individual title on the chief source, and:

i. The individual parts are unnumbered.

ii. The individual parts are numbered and have individual titles, but the parts are too numerous for their titles to be recorded in a contents note.

B. The Collective Title Recorded in the Series Area: The second way is to record the collective title in the series area (440 or 490 and 810, 811, or 830 Field). If the parts are numbered, the numbering is recorded in the series number area 440 or 490 subfield "v." GPO uses this method, if:

i. The collective title follows the individual title on the chief source or is presented in such a way that the catalog users might not realize it is a collective title.

ii. The collective title and individual title do not appear on the same source in a printed document or are separate from each other in other kinds of documents.

C. Detailed Instructions:

i. If the collective title is recorded as the title proper or the collective title is recorded in the series area (440 or 490 Fields) of a record that is less than a full-level record, GPO does not create a multipart authority record.

ii. If the collective title is recorded in the series area of a full-level record, a multipart authority record is created.

iii. Once a decision has been made to create an individual (analytical) record for each part, all the parts are cataloged individually in single, closed records.

SEARCHING THE OCLC DATABASE: Before a multipart is cataloged originally, GPO catalogers search the data base thoroughly to determine the correct record to adapt.

1. The OCLC database may contain a variety of records for a particular multipart.

2. While it is entirely permissible for the same bibliographic item to be represented by records for the individual parts and by a collective record in the OCLC database, GPO adapts either the collective record or the records for the individual parts but not both kinds for the same multipart.

3. Catalogers must be consistent in cataloging all parts in a multipart the same way.

4. The record selected depends on the characteristics of the multipart, GPO policies, the origin of the record, completeness, quality, and format.

   A. The selection of a collective record or a record for an individual part depends on the GPO policies outlined above.

   B. Library of Congress and BIBCO records are preferred over other records regardless of completeness.

   C. If a Library of Congress or BIBCO record is not available for a particular multipart, records are selected based on their completeness and quality.

   D. If some of the parts of a multipart have been distributed in microfiche and other parts have been distributed in paper, those parts distributed in microfiche are cataloged using microfiche records and those distributed in paper are cataloged using records for the paper.

ADAPTING AND CREATING COLLECTIVE RECORDS FOR MULTIPARTS: If a particular multipart is to be cataloged using a single collective record following GPO policy, an existing record is adapted or a new record is created for it.

1. **All Parts Cataloged at the Same Time:** If all the parts are available for cataloging at the same time, the entire multipart is cataloged using a collective record and the record is closed.

2. **Parts Cataloged at Different Times:** If the parts arrive for cataloging at different times, the collective record remains open. Sometimes the individual parts may arrive at different times over a period of months or years.

A. After an initial part is received and cataloged, GPO continues to add information to the OCLC database record.

B. If the parts have edition statements, GPO consults LCRI 2.2. The parts may all have the same edition statement or different edition statements.

C. Information added by other OCLC members is not deleted or changed unless it can be confirmed it is incorrect based on an actual piece in hand.

D. If some parts recorded in the contents note of the OCLC database record have not been received for cataloging by GPO, the information about them is NOT removed from the OCLC database record even though GPO has not yet received them. Instead, the unlocked OCLC record is modified for Monthly Catalog production only.

E. If the description of a multipart item is based on the part with the lowest numeric value and all of the parts have been received for cataloging sequentially, the versions of the record produced for the Monthly Catalog and the OCLC database record should be the same except for the 099 field and the 590 field which are temporarily added for production of the Monthly Catalog record.

F. With the exception of information on parts yet to be received by GPO for cataloging, the entire record is produced over again each time additional parts are received and added to the database records.

G. Unless all parts of a Congressional multipart are received before a Monthly Catalog production cycle ends, GPO holds individual parts until the last week of the cycle before producing them.

3. Notes for Collective Records:

A. Quoted Notes:

i. To show the source of quoted notes for multipart items, use both the part designation and the page designation. Examples.

500 "May 1982"--Vol. 1, cover.
500 "Report No. ABC-789"--Pt. 2, 1st prelim. p.

500 "Permanent Subcommittee on Investigations"--Pt. 3, t.p. verso.

ii. If the quoted information is on the chief source, only the part designation should be given. Examples.

500 "June 16, 18, July 16 and 24, 1981"--Pt. 1.

500 "Inorganic and Electrochemistry Division"--Vol. 3.

iii. For the use of "Vol." after a quoted note, see the LCRI 1.7A3.

B. Shipping List Notes: Multiple shipping list numbers should be placed in one note:

500 Shipping list no.: 90-0194-P (pt. 1), 90-0250-P (pt. 2), 90-0614-P (pt. 5).

C. Contents Notes: Some volumes of a multipart may have unique titles and other volumes may not. Formulate the contents note as follows:

505 0 [v. 1. Without special title] -- [v. 2] Summary.

See LCRI 2.7B 18 for further guidance.

4. Updating Collective Database Records: Records are updated to AACR2 standards using the LOCK and REPLACE command sequence. Notes and added entries pertaining to volumes that have not yet been cataloged by GPO are retained in the OCLC database record.

A. Additional Parts: As each part of a multipart is cataloged, the database record is updated to include all information required by AACR2 and the GPO Cataloging Guidelines. Elements that may need to be changed include:

i. Sales Information (020 subfield "c" and 037 field):

a. GPO Sales Status: The sales information for all parts sold or formerly sold by GPO is added and/or changed to reflect current sales status.

b. Other Agencies: Accession, catalog, identification, order, stock, etc., numbers are recorded in the 037 field for each part.

ii. Report Numbers and STRN (027 and 037 field): Record for all parts if provided. See GPO-CG: Abridged Cataloging, and Report Numbers.

iii. Main Entry: Make changes to main entry if required.

a. If, for example, the first part has three personal authors, the record is entered under the first author and the other two authors are recorded as added entries.

b. If another part that is received later has two different authors, the data base record must be changed to a title main entry. Only the first author of the first part is given an added entry. The added entry for the other authors of the first part are removed and added entries for all other authors are omitted. However, all authors are transcribed in the contents note.

c. If the majority of the other parts received have a different title than the part with the lowest numeric value, the description must be changed in accordance with AACR2 21.2B2.

iv. Bibliographic and Physical Description: If the part being added to the record has a lower value than the part previously used in the bibliographic and physical description, the record is updated if required.

a. If the database record being used by GPO to catalog a multipart is a 1) Library of Congress, National Agricultural Library, National Library of Medicine, or BIBCO record and 2) the part recorded in the description has a lower numeric value than the parts being cataloged by GPO, the bibliographic description is NOT changed either in the OCLC database record or for Monthly Catalog production.

b. If a part with a lower numeric value is received for cataloging and has different bibliographic characteristics than the later part previously used to record the description, the description is replaced with a description based on the part with the lower numeric value.

c. The dates in the date area (260 subfield "c") and in the Dates: fixed field area are to reflect the earliest publication date. The earliest publication date is not necessarily the date on the part with the lowest numeric value (i.e., volume 1 may be published later than volume 2).

d. The description is changed if AACR2 21.2B2 is applicable.

e. If the library creating a collective record is a library other than those listed in "a" above, the description is changed to reflect the earliest part cataloged by GPO.

f. If the description is based on a part other than the first, GPO normally adds a "Description based on" note indicating the part used as the basis for the description. This note is not added to Library of Congress records or records created by other libraries that record the parts received in angle brackets in the extent of item area (300 subfield "a"). Instead of adding a description based on note to these records, GPO adds the new volumes that the description is based on to the extent of item area. Examples:

GPO record:
500 Description based on v. 2.

LC record:
300 <2,3> : **>**b ill. ; **>**c 28 cm.

g. Description based on notes or the extent of item area are updated as earlier parts are received.

h. They are not included in new GPO abridged-level records, but are retained in existing records.

5. **Adding Temporary Fields and Making Other Temporary Changes to Records for Monthly Catalog Production:** Two temporary fields are added to collective records each time they are produced for the Monthly Catalog. Changes are made temporarily to unlocked records, not to OCLC database records.

   A. Temporary Fields: These fields are:

   i. The 099 Field, which contains the SuDocs class/classes for the parts produced.

   ii. The 590 Field, which contains production/quality control information.

   B. Temporary Changes: If all the volumes are not currently in hand:

   i. Fixed Fields: If the collective record in the data base is "closed" but GPO has not cataloged all the volumes, change the record to an open entry before it is produced for the Monthly Catalog.

   ii. Notes and Added Entries: Information for any volumes not added to the OCLC database record by GPO is removed from the unlocked record, including the content notes, other notes, and added entry area prior to Monthly Catalog but not the OCLC database record.

SEE ALSO: Adapting OCLC Data Base Records; Sales Information; SuDocs Classification Numbers.

NOTES

BACKGROUND: The addition of certain notes to catalog records is provided for in both AACR2 and the LCRIs. There are different requirements for each type of publication and for publications appearing in different formats. In addition, there are different requirements for different level catalog records. Notes provide information about publications that is not included in bibliographic or physical description areas of records. Rules require that:

1. Notes should be concise as possible. Brief information is provided rather than lengthy information.

2. Quoted notes are primarily used on full-level records to identify dates and numbers and to record concise bibliographical history information, i.e., reprint information, edition history, etc.

INSTRUCTIONS:

AACR2, 1.7, 2.7, 3.7, 9.7, 11.7, 12.7

LCRI 1.7, 2.7, 3.7, 9.7, 11.7, 12.7

MARC21 FFBD 027, 037, 246, 500, other 5XX fields, and other fields providing information in the note area.

OCLC's BFAS http://www.oclc.org/oclc/bib/about.htm

POLICIES: With the exception of general policies applying to all records and all types of documents, the policies provided below primarily pertain to individual books, pamphlets, and printed sheets and their microfiche reproduction equivalents that are cataloged following full-level standards. For details on GPO policies for other kinds of documents, including those cataloged following GPO abridged-level standards, cartographic materials, electronic resources, multiparts, serials, etc., consult the GPO guidelines pertaining to the specific kind of document being cataloged**.**

1. **All Records:** GPO does not quote non-essential information from sources outside of area 3 for the type of material being cataloged. Area 3 for printed books, pamphlets, and printed sheets includes the title page, other preliminaries, and the colophon.

   A. Identifying Sources: If the information in a quoted note is taken from a source other than the chief source, the source must be identified.

   B. Changes and Deletions: GPO does NOT change notes or delete notes in existing records due to minor policy differences and differences in style.

   C. Notes Added and Modified: GPO adds and modifies the notes it requires for GPO distribution and sales programs in its traditional note styles.

2. **All Library of Congress, National Agricultural Library, National Library of Medicine, BIBCO, and CONSER Records:** Changes to these records must be avoided with the exception of LC CIP records and obvious transcription errors.

   A. **Past Practices:** GPO no longer follows its past practice of removing and changing notes from regular Library of Congress records and other national-level records because of different understandings of AACR2 and the LCRIs.

   B. **Example of Past Practices:** A typical example of GPO's past practices is its former practice of removing notes in Library of Congress created records justifying personal name access points as well as the access points. These notes were deleted because of major differences in interpreting AACR2 rules regarding personal name access points. As a BIBCO member, GPO no longer removes information for this reason.

   C. **Library of Congress CIP Records:** It is often necessary to remove or change notes in these, as well as the bibliographic and physical description, because the actual book differed from information found on the CIP bibliographic worksheets. The projected date of publication appearing in the 263 fields is NOT removed.

   D. **Transcription Errors:** Changes should primarily be made only to correct transcription errors and to add notes. Changes in style and removal of notes GPO does not normally include should be avoided.

3. **Restrictions on Access:** The 506 field is used to record statements in all records and all types of documents indicating that availability is limited. Access to tangible versions and online files may be restricted by the issuing agency. Lengthy statements are not transcribed in full. They may be paraphrased into a shorter form. Example:

   506 For official use only.

NOTES FOR TANGIBLE VERSION DOCUMENTS: The instructions below apply to documents issued in a tangible version, including CD-ROMs, floppy disks, microfiche, and printed documents, both monographs and serials. They do NOT pertain to online files.

1. **Source of Title Proper:** If the title of a document is transcribed from a source other than the one specifically mentioned in AACR2 or in the LCRIs or is supplied in brackets from a source outside of the worked being cataloged, provide a note indicating the source. Examples:

   500 Running title.

   500 Title on header of microfiche reproduction.

2. **Distribution to Regional Depositories Only:** Some Federal documents are distributed only to regional depositories due to shortages. GPO's Depository Administration Branch staff adds notes to

documents notifying catalogers that distribution was limited to regional depositories. Catalogers add the note shown below to the record:

500 Distributed to regional depository libraries only.

3. Dual Distribution Documents:

A. Monographs: Example.

500 Distributed to some depository libraries in microfiche.

B. Multiparts and Serials: In addition to the note shown above, the following notes below may also be included:

500 Vol. 3- distributed to some depository libraries in microfiche.

500 Some issues distributed to some depositories in microfiche.

C. Electronic Resource Records: Notes added to electronic resource records for dual distribution documents:

i. Monograph records:

500 Distributed to some depositories in paper (ix, 26 : ill. ; 28 cm.), shipping list no: 97-1234-P, or microfiche.

ii. Serial records:

500 Some issues distributed to some depositories in paper or in microfiche.

4. Microfiche: Distribution notes are NOT included in cataloging records for microfiche indicating that they were distributed to depositories in microfiche. However, if an ERIC microfiche version of a document has been distributed to depositories in addition to the paper or a microfiche version issued by GPO or another agency, the following note is included:

500 ERIC version also distributed to depository libraries.

5. Documents Not Distributed: If a tangible version document is not distributed to depositories, the note shown below is added to the record. In addition, item numbers are not included.

500 Not distributed to depository libraries.

6. Shipping List Notes: These are included in most records for documents distributed to depository libraries.

A. Shipping list notes are included in:

   i. All records for tangible version monographs distributed to depositories.

   ii. Serial availability records produced for the United States Congressional Serial Set Catalog: Numerical Lists and Schedule of Volumes.

B. Shipping list notes are NOT included in serials database records nor in serial records produced for the Serial Supplement.

C. Shipping list numbers are normally stamped on joker copies of tangible version documents distributed to depository libraries.

D. The shipping list numbers are transcribed in the following standard style.

   500 Shipping list no.: 2000-0132-P.

E. The letters E, M, P, or S following the sequential number indicate the type of material. (E=electronic media; M=microfiche, P=paper and S=separate.)

   i. If a shipping list number is stamped or written on a document in a non-standard form, the cataloger should record it in the standard form.

   ii. The Depository Administration Branch is notified if shipping list numbers are not stamped on CD-ROMs, floppy disks, or printed documents.

7. Sales Information Notes: For instructions, see: GPO-CG: Sales Information.

NOTES IN MONOGRAPH RECORDS: Instructions on recording notes in records for tangible version monographs only, including microfiche, follow:

1. Style of Notes: Below are examples of notes included in new full-level records:

"September 1987"--Cover.

"Supplement to Department circular, public debt series - No. 37-83"--P. 4.

"OTA-H-229"--P. [4] of cover.

"Funded under grant no. GOO-83-02061 with the Office of Bilingual Education, U.S. Department of Education"--T.p. verso.

"Spons agency National Inst. of Education"--Doc. resume p.

2. **Notes for Documents with Two or More Groups of Numbered Pages:** Sometimes a note must be made for a document with two or more groups of numbered pages that are not differentiated by the publisher. GPO's practice is to add a qualifier to the page number recorded showing which group of pages is meant. For example, if a document has three numbered sequences of pages (p. 1-14, p. 1-25, p. 1-8) and the bibliography is on page 8 of the last group, the bibliography note will read as follows:

   504 Includes bibliographical references (p. 8, 3rd group).

3. **Notes for Documents with Caption Titles:** Documents that do not have title pages or covers are usually described using data from the caption area. The area below the caption must be cited in notes as page one.

4. **Notes for Documents with Cover Title:** If the cover is the chief source of a document, information quoted from page 2 of cover must be cited as being from "P. [2] of cover," not the 'T.p. verso."

   A. A t.p. printed on the same paper stock as the text, but in a different color, or in the same color but on a different paper stock, is treated as a cover.

   B. If a document does not have a cover, information on the last page is cited as being from an ordinary page, e.g., page [10], not as page [4] of cover.

5. **Notes for Cases, Envelopes, Folders, Portfolios, etc.:** Information from these sources is cited using the most appropriate descriptive term as the source. Example:

   500 "Mar. 90"--P. [4] of portfolio.

6. **Bibliographical References and Index Notes**: Bibliographic references to sources used to prepare a publication may appear throughout the text of a document or there may be a single listing of bibliographical references.

   A. If a document includes a single bibliography, the page numbers for bibliography are recorded at the end of the note.

      504 Includes bibliographical references (p. 501-538).

   B. If a document includes a single bibliography, as well as brief citations elsewhere that cite only publications listed in the bibliography, the page numbers for the bibliography are included as shown in the example in "A" above.

   C. If a document is a multipart, the volume or part number is recorded before the page number at the end of the note.

504 Includes bibliographical references (pt. 2, p. 1-2).

D. If there is more than one bibliography in a document, page numbers are not included.

504 Includes bibliographical references.

E. If there is single major bibliography, as well as other smaller bibliographies listing other publications and/or brief citations elsewhere citing other publications, page numbers are not included as shown in the example in "G" above.

F. If the paging in an entire document has the same letter preceding consecutive numbers, e.g., C-1 through C-256, the 504 note is recorded as follows:

504 Includes bibliographical references (p. 20-35).

G. If a document has two or more groups of numbered pages that are differentiated by letters, e.g., A-1 though A-26, B-1 though B-201, C-1 through C-35, the 504 note is recorded as follows:

504 Includes bibliographical references (C-20 - C-35).

H. The 504 "Includes bibliographical references" note may be combined with the 500 "Includes index" note. GPO does this in its new records only if no specific bibliographical references need to be cited. Example:

504 Includes bibliographical references and index.

I. If a bibliographic reference does need to be cited, it is included in a separate note.

504 Includes bibliographical references (p. 3-4).
504 Includes index.

J. GPO does not change combined notes in existing records even though specific references are cited.

504 Includes bibliographical references (p. 3-4) and index.

K. Advertisements and lists of other available sources of information and recommended reading, including publications sold by the same publisher, are not bibliographical references.

7. Reprint Distribution Notes: Sometimes GPO receives a reprint or printing of a monograph document that has not been previously been cataloged.

A. If the document in hand really is a new edition even if it is called a printing or reprint rather than an edition, a new record is created.

B. If there is already a record on the OCLC database for the first printing or an earlier printing, it is adapted by GPO.

C. The date of publication, distribution, etc., area (260 subfield "c") must not be changed unless there is evidence that the date or dates recorded there were incorrectly recorded. GPO adds a note to the existing record indicating the particular reprint distributed to depositories. Example:

500 Reprint for 1999 distributed to depository libraries, shipping list no. 2000-0001-M.

NOTES IN ONLINE FILE RECORDS THAT PERTAIN TO TANGIBLE VERSIONS: If a record for an online file is used to catalog a tangible version of a document distributed to depository libraries either in paper or microfiche, a distribution note with the shipping list number included is added to the record. In addition, information on the sale of tangible version equivalents is sometimes added to online files records. For details and examples, see GPO-CG: Electronic Resources.

ORDER OF NOTES:

1. **Monographs:**

   A. Books, Pamphlets, and Printed Sheets: See AACR2 1.7 and AACR2 2.7 for instructions on the order of notes and examples of other notes. Apply the same instructions to records for microfiche reproductions of books, etc. Also apply LCRI, chapter 11.

   B. Electronic Resources: Apply AACR2, chapter 9.

   C. Original Microfiche: Apply AACR2, chapter 11.

2. **Serials:** Follow the instructions in the CEG, Section E: 5XX.

SEE ALSO: Abridged Cataloging; Adapting OCLC Database Records; Creating New OCLC Database Records; Microfiche; Multipart Items; Report Numbers; Serials; Series.

PERSONAL NAME ACCESS POINTS

BACKGROUND: AACR2, chapter 21 provides for the entry of catalog records under personal authors, when there are three or less, and for added entries under joint authors. Personal name added entries are provided for in AACR2 21.29 through AACR2 21.36. These include added entries for collaborators, writers, editors and compilers, other related persons, persons used as headings for closely related other works, and those required for persons elsewhere in AACR2, chapter 21. AACR2 21.30F provides for an added entry under A... heading[s] for ... person[s]... having a relationship to a work not treated in 21.1-21.28 if ... [they] provide ... an important access point...." In practice, the personal name access point policies that GPO applies when creating new catalog records are more restrictive than those of the Library of Congress. With the exception of transcription errors, e.g., spelling, etc., GPO does not make changes to personal name access points in existing Library of Congress, National Agricultural Library, National Library of Medicine, and BIBCO records. GPO minimizes its changes to other records. The goals of GPO's policy are to: 1) maintain the efficient and timely production of catalog records, 2) provide adequate access to Federal documents, and 3) meet the informational needs of library users, including those of scholars.

INSTRUCTIONS: Instructions for personal name access points and establishment of personal names for authority records are provided in the following:

AACR2, chapters 21 through 22

LCRIs, chapters 21 through 22

LC's DCMZ1

MARC 21 FFAR

MARC 21 FFBR 100, 600, and 700 fields

POLICIES:

1. **Confirmation of Personal Names:** All personal names used in GPO records, main entries, added entries, and subject added entries are confirmed in the OCLC authority file.

2. **Establishment and Updating of Authority Records:** GPO creates and updates only those personal authority records needed to catalog Congressional documents. For further information, see GPO-CG: Authority Records.

3. **Form of Personal Names Recorded in Personal Name Access Points:**

   A. **Personal Names That Have Been Established:** If a personal name has been established, it is recorded in personal name access points in its established form in GPO records.

B. Personal Name Variations: If a personal name has been established but the form appearing in a non-Congressional document is a variant form that has not previously been added to the authority record, the established form is included as an access point without the variant form being added to the authority record.

C. Personal Names That Have Not Been Established: If a personal name appearing in a non-Congressional document has not been established, it is normally recorded as it appears in the document.

D. Personal Names That Are the Same: If a personal name appearing in a non-congressional document has already been established for a different person, a qualifier may be added to the current name to differentiate it from other personal names, based on information in the document in hand.

4. Sources from Which Personal Names Appearing in Access Points in New Records Are Recorded:

A. Main Entries and Added Entries:

i. Documents Authored or Created by a Single Person: If a document is known to have been authored or created by a single person and no other person has responsibility for it, GPO records that person as the main entry regardless of whether or not he or she is named in the document.

ii. Documents That Are the Responsibility of More than One Person: GPO includes main entries and added entries for persons responsible for the creation of a document whose names are immediately seen by those examining a document. GPO includes main entries and added entries for persons named in informal statements, as well as those in formal statements.

See GPO-CG: Statements of Responsibility for an explanation of what an informal statement is and instructions on recording personal names that appear in informal statements in catalog records.

a. Books, Pamphlets, and Printed Sheets: GPO's policies are less restrictive than AACR2, but more restrictive than Library of Congress's policy for books, pamphlets, printed sheets, and microfiche reproductions. (Library of Congress includes added entries for personal authors and other persons responsible named in internal sources, as well as those in sources initially seen.) GPO includes personal names appearing in areas 1 and 2 in main entries and added entries. In addition, GPO provides main entries and added entries for personal names appearing in the caption of books and pamphlets even though there is a cover and/or title page, the first and last pages of the text; and the first and last panel of a folder sheet with imposed paging.

- An example of a personal name appearing in area one for a printed book is a personal

name appearing on a title page, verso of the title page, or on the title page substitute.

- An example of a personal name appearing in area two is a personal name appearing on the cover of a book that has a title page, on the pages between the title page and the front cover, or in a colophon.

b. Electronic Resources (Tangible and Online) and Computer Output Microfiche: GPO's policy is more restrictive than AACR2 for electronic resources, including those with physical carriers and online files, and for computer output microfiche.

- **Online Files:** GPO normally limits main entries and added entries for personal names to those appearing at the beginning and end of online files, files listings, and pages that must be viewed before the actual document may be accessed and viewed. Many online documents (i.e., in text, PDF, and other formats), have areas that when displayed on a computer monitor screen, resemble the parts of a book, pamphlet, or printed sheet. When cataloging these, GPO provides added entries for personal names only from those areas that resemble the sources from which it records personal names when cataloging actual printed documents. See "a" above.

- **CD-ROMs, DVD-ROMs, and Floppy Disks:** Often GPO includes main entries and added entries only for persons appearing on labels on tangible electronic resources, on the first page of the jewel box inserts. Sometimes GPO includes main entries and added entries for persons appearing on title screens, contents listings, lists of files, internal instructions, introductory information and other internal files that might be initially viewed by a persons examining a document.

- **Computer Output Microfiche:** GPO includes personal name main entries and added entries for **persons** appearing on the eye-readable header, and on frames at the beginning and end of each document.

c. Documents in Cases, Envelopes, and Folders, Including Pocket Folders, Portfolios: GPO includes added entries for personal names appearing in statements on the container, cases, etc., as well as on materials inside the container.

5. Compilers of Bibliographies: GPO follows the established tradition of treating the compilers of a bibliography as its authors and entering them under the first compiler named when there are three or less.

6. Personal Name Subject Headings: If a person is the subject of a document and a subject added entry is required by LC's SCM: SH, a personal name subject heading is added to the record after it has been confirmed in the OCLC authority file.

7. Existing Records: GPO does not remove statements of responsibility and the personal name access points for them from previously existing records, including Library of Congress, National Agricultural

Library, National Library of Medicine, BIBCO, and other libraries simply because they do not appear in areas 1 and 2 for the class of material being cataloged.

A. Unless a record is for a multipart, GPO does not change the main entry for Library of Congress records and other national-level records even though GPO may feel an error was made.

B. GPO does change multipart records as required as new parts are received.

SEE ALSO: Authority Records; Subject Added Entries.

PHYSICAL DESCRIPTION AREA

BACKGROUND: When recording information in the physical description area, GPO normally follows standard AACR2 and LCRI practices. Because it catalogs some materials not normally cataloged by most libraries, GPO has developed its own traditional practices for these materials. Unnumbered items, single and multi-page letters, pamphlets, publications in folders and portfolios, and related items in pockets of the items they are related to are among the special items for which GPO has special rules.

UNNUMBERED PAGES OR LEAVES: Directions for determining the pagination of a book are found in AACR2 2.5B. Catalogers should consult AACR2 2.5B3 when referring to an unnumbered page or leaf in a note. That page or leaf must be shown in the 300 field in square brackets. Examples.

300 [1] leaf, vi, 96 p.

500 "B-163922"--Prelim. leaf.

OR

500 "B-163922"--Leaf [1].

300 [1], iii, 28 p. :

500 "B-178665"--P. [1].

300 x, 122, [3] p. :

504 Includes bibliographical references: p. [123 -125].

CASES, ENVELOPES, FOLDERS, PORTFOLIOS, ETC.:

1. **Cases, Portfolios:** The 300 field for documents that consist of a book and unbound sheets (e.g., maps) put together in a case or portfolio, should read as follows:

   300 1 case (1 v., 25 maps) : >b ill., maps ; >c 31 cm.

2. **Envelopes, Portfolios:** 300 fields for describing a portfolio and an envelope are given as shown below:

   300 1 portfolio (1 v., 8 sheets) : >b ill. ; >c 32 cm.

   300 1 envelope (2 folders, 1 letter, 1 guide) : >b ill. ; >c 28 cm.

   Subfield “b” should reflect illustrations in the book.

3. **Folders:** The 300 field for documents assembled in a pocket folder should read as follows:

300 1 folder (5 pamphlets) : >b ill. ; >c 38 cm.

GPO does NOT normally record the pagination of individual items within cases, envelopes, folios, portfolios, etc. However, if a single book or booklet is the primary item within such a document and a note citing one or more pages is required, the pagination of the book or booklet is recorded. Example:

300 1 portfolio (1 v. (58 p.), 5 maps) ; >c 30 cm.

500 Includes bibliographical references (p. 56-58).

PAGING CONSISTING OF LETTERS AND NUMBERS: Paging which consists of a letter or letters in combination with consecutive numbering should be described without the lettering. Examples:

Last Numbered Page	Description
A-321	321 p.
433-B	433 p.

FOLDED SHEETS: Catalogers should consult AACR2 2.5D4 when cataloging materials that are folded. Some documents have combinations of text that matches the folds in some places and does not in other places.

1. If the text matches the folds for at least half of the panels (imposed pages), consider the text to have been meant to be read as pages. Example:

   300 1 folded sheet (8 p.)

   All pages should be counted including blank and unnumbered pages.

2. If the text does not match the folds for less than half of the panels, cite as:

   300 1 sheet ; >c 19 x 46 cm. folded to 11 x 23 cm.

UNPAGED DOCUMENTS: GPO counts and records the number of pages for documents with 49 unnumbered pages or less. Documents with more than 49 unnumbered pages are described following LCRI 2.4B7.

300 1 v. (unpaged) ; >c 28 cm.

VARIOUS PAGINGS: GPO transcribes up to 4 groups of pages in the 300 subfield "a." Example:

300 xvi, 248, 6, 2 p. ; >c 28 cm.

If there are more than 4 groups, it is GPO policy to transcribe them as follows:

300 1 v. (various pagings) >c 28 cm.

MICROFICHE (REPRODUCTIONS): The pagination for the original paper version is transcribed in the 300 subfield "a" of cataloging records for microfiche reproductions following AACR2 2.5. The number of microfiche is transcribed in the 533 subfield "e." When original microfiche are cataloged, the number of microfiche is transcribed in the 300 subfield "a." In order to correctly record extent of item information in the 300 field, the cataloger must first determine if the document is original microfiche or a reproduction from an original paper copy. For guidance see AACR2 2.5B8 and the GPO-CG: Microfiche.

SEE ALSO: Microfiche; Notes.

PROGRAMS AND PROJECTS

BACKGROUND: Sometimes the words programs and projects are used to denote a special activity or project performed within and by a corporate body. Sometimes these words are part of the name of a corporate body. Organizations that are incorporated or provided for by law or administrative directive that include the words program or project in their names are clearly corporate bodies. Temporary teams that are informally formed within an established organization to perform a special assignment are clearly not corporate bodies. Currently Library of Congress instructions allow all programs and projects to be established in the LC/NACO authority file regardless of whether they qualify to be corporate bodies. Individual catalogers are responsible for determining if the program or project is a corporate body.

POLICY: GPO uses the following guidelines when establishing or using the names of programs and projects in corporate access fields or as subject headings:

1. If the name of a program or project has been established as a corporate name in AACR2 format, it may be included in a corporate body access point field (110 and 710 fields), provided that there is evidence it is actually a corporate body rather than an activity preformed by a corporate body or a group of corporate bodies. See 3 below.

2. If the name of a program or project has been established as a corporate body in the LC/NACO authority file or as a LC subject heading in the LC/SACO authority file, it may be used as a subject heading.

3. If the program or project is not established as a corporate body, it may be established through OCLC if the following conditions are met:

   A. It appears in a formal, explicit statement of responsibility or publishing statement or appears isolated from textual materials. Examples:

      Statement of responsibility, e.g., Prepared by ....

      Publishing statement, e.g., Published by... or Issued by ....

      The Northwest Project

   B. If there is evidence in the document or in other sources (The Federal Directory, The United States Government Manual, etc., or a Web site), that a program or project is a corporate body, it is established through OCLC's authority file system.

4. No phone calls are made or e-mail sent to verify the program or project's corporate status.

5. The statement of responsibility or other evidence that it is a corporate body is transcribed in the 670 field "Sources found" area of the OCLC/NACO work form: "Prepared by ... Project."

6. If the name of a program or project has not been established, does not appear in a formal statement of responsibility or appear alone isolated from textual materials, and there is no evidence in the sources mentioned above that it is a corporate body; no attempt is made to establish it in the LC/NACO authority file.

7. Programs and projects are only established in the LC/SACO file if needed to catalog a Congressional document.

8. If a program or project has not been established in either the LC/NACO or LC/SACO authority files, topical subject headings are substituted in the catalog record.

SEE ALSO: Authorities Records; Corporate Body Access Points; Statements of Responsibility

PUBLICATION, DISTRIBUTION, ETC., AREA

BACKGROUND: Publication and distribution statements aid the potential users of documents to identify and obtain them. Statements may contain information about the places of publication and distribution, the names of publishers and distributors, their addresses, and the date of publication. Sometimes the name of the manufacturer and the date of manufacture are included. These statements traditionally appear at the bottom of the title page and/or at the bottom of the front cover of printed books. This area is traditionally called the imprint area. (See USGPO SM, p. 20.) Federal publishers follow a variety of different practices when providing publication and distribution statements. Information on these practices follows:

1. Publication and distribution statements are not included in some documents and, in addition, some documents also do not have statements of responsibility.

2. Often the names of Federal agencies do not appear in the documents they issue or support. Instead, international organizations, foreign government agencies, state, regional, and local agencies; universities and other institutes of higher education, charitable organizations, foundations, national and local associations and foundations, etc., may appear in the imprint area of printed documents and their microfiche equivalents or be represented as publishers.

3. There may be multiple statements in the same source or in different sources.

4. Different organizational elements within a Federal agency issuing a document may appear in different locations. For example, the lowest organizational element may appear at the bottom of the back cover or at the end of the text, the highest element might appear above the title and a mid-level element might appear in the imprint area.

5. Statements that are isolated from textual material, e.g., Bureau of Labor Statistics, are sometimes interpreted to be an element of the title, a statement of responsibility, a publishing statement, or as a secondary statement.

6. Explicit statements, i.e., Published:... or Published by... often appear on the title page, verso of the title page, back of the front cover, and other locations.

7. Statements may also appear at the end of the last page of text and the top and bottom of the back cover. (See AACR2 Glossary and LCRI Glossary.)

8. They may appear at the top or bottom of the first page of text of a printed document, if it lacks a cover and/or title page; the last page of pamphlets, or at the top of printed sheets. (The area immediately surrounding a caption title is considered part of the caption; the area at the bottom of the first page is cited as page 1.)

9. The areas where they appear in reproduction microfiche are the same as those in printed documents.

10. They are included in eye-readable headers and in individual frames of computer output microfiche.

11. They often appear in the mastheads of serials, as well as on the title page, content pages, caption, the bottom of the first page of text, the end of the last page of text, and the front and back covers

12. They appear in internal sources in CD-ROMs, floppy disks, etc., as well as on labels, jewel boxes, and accompanying materials.

13. They are located in various places in online files.

INSTRUCTIONS: The basic instructions for transcription of place of publication, publisher, place of distribution, distributor, and date include:

AACR2 1.4, 2.4, 3.4, etc.

LCRI 1.4, 2.4, 12.4, etc.

MARC21 FFBD, 260 Field.

OCLC's BFAS, 260 Field, http://www.oclc.org/oclc/bib/about.htm

POLICIES: AACR2 and the LCRI provide differing standards for publications with differing publishing patterns, e.g., single monograph, multipart, or serials; differing formats, e.g., electronic resource, microfiche, or print; or differing contents, e.g., cartographic materials. The special policies GPO has developed for cataloging documents have developed over a number of years. The general policies in 1 below apply to all records and types of documents. The specific policies that pertain to individual books, pamphlets, and printed sheets and their microfiche reproduction equivalents that are cataloged following full-level standards are in 4 B below. For details on GPO policies for other types of documents, including those cataloged following GPO abridged-level standards, cartographic materials, electronic resources, multiparts, serials, etc., consult the GPO guidelines referred to in 2, 3, and 4A pertaining to the specific kinds of documents being cataloged**.**

1. All Records: The instructions below pertain to all records:

A. GPO does not use any of the following as sources for publication and distribution information. These include:

i. Suggested citations.

ii. CIP records for documents being cataloged, including those in OCLC and those included in the actual document.

iii. Information provided above, within, or below membership lists, lists of publications, etc., including those published by the same publisher, in the same series, etc.

iv. Advertisements for other publications, order forms, survey forms, etc., to be filled out and returned.

v. Statement identifying where to write for additional information.

vi. Other sources in which corporate bodies are named if there is clearly no intent to name them as the publisher.

vii. Contractors regardless of whether a contract number is provided with the exceptions indicated in Section D below.

viii. Places of employment unless LCRI 1.1F7 applies.

B. GPO normally follows the basic AACR2 rules for recording information in the publication, distribution, etc., area, but does not follow the instructions in:

i. AACR2 1.4C6 to give s.l. if a place of publication or distribution is not included in a document or cannot be inferred.

ii. AACR2 1.4D7 to give s.n. if the publisher or distributor is not included in a document.

C. Instead, the GPO supplies the place of publication, publisher, distributor (if sold by GPO), and date of publication.

i. The place of publication (260 subfield "a") is supplied in brackets based on the location of the headquarters of the lowest hierarchical unit of the Federal agency recorded in the name of publisher, distributor, etc., area (260 subfield "b"). GPO does not include a question mark after the place of publication if the headquarters of the Federal agency recorded in the 260 subfield "b" is located there. Example:

260 [Washington, D.C.] : >b ....

ii. The Federal publisher is supplied in brackets in the name of publisher, distributor, etc., area (260 subfield "b") based on the SuDocs class in the form appearing its authority record with the exception of differentiating qualifiers added in authority records. Example:

260 [Washington, D.C. : >b U.S. Dept. of Commerce],

iii. The date of publication is estimated and supplied (260 subfield "c") based on distribution information and other information. Add a question mark if a date is uncertain. Example:

260 [Washington, D.C. : >b U.S. Dept. of Commerce, >c 2000]

D. If organizations that are not U.S. Federal agencies, such as international organizations, foreign government agencies, state, regional, and local agencies, charitable, and non-profit organizations, etc., are represented as publishers, they are recorded in the name of publisher, distributor, etc., area (260 subfield “b”) as provided for in AACR2 and the LCRIs.

   i. These kinds of governmental or established non-profit private organizations are recorded regardless of whether or not they were involved in preparing a document under contract or whether a contract number is present or not.

   ii. For profit organizations, non-profit organizations that are created temporarily, and those created only for the purpose of preparing documents or providing other services under contract are not recorded in the name of publisher, distributor, etc., area.

   iii. For example, if Baker and Baker, Inc., Washington, DC, appeared in the "imprint" position of a printed document or elsewhere in a prescribed source for area 3, it is NOT transcribed as the publisher. If the State of North Dakota, the University of North Dakota, or American Association for... appear, they are transcribed.

E. If no other publishing statements appear in a document, statements may be taken from seals and logos. See LCRI 1.4A2.

F. If only non-Federal organizations are represented as publishers in a Federal document, the U.S. Federal agency issuing the document is supplied as a second or third publisher or recorded in a note. See examples below:

   260 Denver, CO : >b State of Colorado ; >a [Washington, D.C. : >b U.S. Dept. of the Interior], >c 1999.

   OR

   260 Seattle, Wash. : >b University of Washington, School of Forestry, >c 2000.

   500 Issued by: U.S. Forest Service.

G. If the name of a corporate body appears above or below a title and the title is presented as a column, catalogers use judgement to determine if the name of the corporate body is part of the title.

H. If the only corporate body name appearing in a document is a Federal agency appearing above the title, GPO normally records it as the publisher (260 subfield “b”).

I. If the name of a Federal agency issuing a document appears only in a statement of responsibility and there are no publication or distribution statements, GPO applies AACR2 1.4D4. (LCRI 1.4D4 optionally allows the cataloger to record the fuller form.) The name of the corporate body in the statement is transcribed in the 260 subfield “b” in a shortened form, e.g., The Bureau....

J. If the publisher and/or distributor statements are presented hierarchically in a single statement, GPO records the entire statement.

K. If one or more corporate bodies are named in explicit statements, e.g., Published by the National... , the corporate bodies appearing there are recorded in the name of publisher, distributor, etc., area in the form in which they appear.

   i. In addition, they are given preference over other corporate bodies represented as being the publisher or distributor, even those that appear in preferred sources, e.g., the imprint area.

   ii. For example, if an explicit statement appears on verso of the title page in a printed document and there is a different statement in the imprint position, the corporate body in the explicit statement is transcribed in the form it appears there.

L. If multiple publishers are named for a document, apply the "rule of 3" and record all of them if there are no more than three. Trace only the Federal publisher[s]. See LCRI 1.4D5.

M. If more than three publishers are named, record in the 260 field only the first one named. Trace it only if it is a Federal agency. If the Federal publisher is not the first one named, record it in a note and trace it. Trace only the first named Federal publisher when more than three publishers are named.

N. If a document is available for sale from GPO at the time it is cataloged, the GPO sales statement appearing in it is recorded.

O. If a document is available for sale from GPO at the time it is cataloged but lacks a GPO sales statement, a statement is supplied and recorded in brackets.

P. If there are two or three distribution statements included in a document, e.g., GPO, NTIS, etc., and it is still available from one or more Federal agencies at the time it is cataloged, the distribution statements for those agencies from which it is still available are recorded. See AACR2 1.4D5.

Q. If a document is no longer for sale by GPO at the time it is cataloged or it has never been sold, the GPO sales statement is not recorded.

R. If a document lacks a GPO sales statement but contains a statement indicating it is free, the statement indicating it is available free is not recorded.

2. Electronic Resource Records: For information on GPO policies, see GPO-CG: Electronic Resources.

3. Computer-Output Microfiche Records: For information on GPO policies, see GPO-CG: Microfiche.

4. Printed Books, Pamphlets, and Printed Sheet Records and Records for Their Microfiche Reproduction Equivalents:

A. Abridged-Level Records: For information on GPO policies, see GPO-CG: Abridged Cataloging.

B. Full-level Records:

i. If the hierarchical elements of the Federal agency issuing a document appear in separate statements in different places in a document and are isolated from textual material, those appearing:

a. In the imprint area of the title page or in the imprint area of the cover, if there is no title page, are recorded as publishers.

b. At the head of the title or in the vicinity of the title are recorded in the statement of responsibility area.

c. Near the center of the title page or front cover, when there is no title page, are recorded in quoted notes provided they are not a place of employment and are the lowest hierarchical element.

d. At the end of the text or on the back cover if the document is classed under a hierarchical element appearing in either location, are recorded in notes. If a document is not classed under one of the bodies appearing at the end of the text or on the back cover, they are ignored.

ii. Statements for corporate bodies appearing in the vicinity of the caption title that are isolated from textual material are recorded as statements of responsibility rather than publishers or distributors.

iii. If two or more statements that qualify to be recorded in the publication, distribution, etc., area appear in different places in a document, GPO follows the preference list below when deciding which statement or statements to record in the name of publisher, distributor, etc., area (260 subfield "b"). Publication statements and distribution statements do not need to be from the same source. See AACR2 1.0A1. The preference list below is arranged from highest to lowest preference. Highest preference is given to explicit statements and the lowest to seals and logos.

a. Explicit statement, i.e., Published: ... , Published by ..., or Published for.... appearing in the preliminaries, including verso of the title page.

b. The imprint area of the title page or the caption title

c. The area of the title on the title page.

d. Other location on the title page.

e. Verso of the title page

f. The imprint area of the front cover.

g. The area of the title on the cover.

h. Statements on the back cover.

i. Statements on the last page of text.

j. The mailing address on back cover only when no other complete imprint statement appears. See AACR2 2.0B2.

k. Seals and logos on title page, verso title, front cover, other pages of the cover, spine of cover.

l. If the Federal agency issuing a document appears in a statement of responsibility area and no other statements appear, a shortened form is recorded in the 260 subfield "b," e.g., The Bureau.

m. If the Federal agency issuing a document appears in the title and no other statements appear in the document, a shortened form is recorded in the 260 subfield "b," e.g., The Bureau.

n. If no publication and distribution statements appear in a document, the publisher is inferred from the SuDocs class and supplied in brackets.

C. Dates:

i. If a date of publication or distribution is not included in a document, a date may be supplied and bracketed into the 260 subfield "c" based on the following:

a. Date in an edition statement (250 field). AACR2 1.4F1 instructs catalogers to record the date in the edition statement as the date of publication area without brackets.

b. The date in the GPO colophon. See also LCRI 1.4F2.

c. Dates of issuance, including dates of release and transmittal. LCRI 2.7B specifies that dates of release or transmittal are not publication dates. Examples:

May 1979
May 1, 1979
Issued May 1979

ii. Below are examples showing the various ways dates appear in documents and the way the dates are transcribed in the 260 subfield "c."

title page, etc.:	2000
edition statement:	2001
date used:	260 … >c 2001.

title page, etc.:	Dec. 21, 2001, [H.J. Res. 80] 99-139 –02 – (96)
note on cataloging record:	500 Signature date: 2002.
date used:	260 … >c [2002]

title page, etc.:	November 1999
colophon:	2000
date used:	260 ... >c [2000]

title page, etc.:	January 1992
colophon:	1991
date used:	260 ... >c [1991]

title page, etc.:	Issued October 30, 1992
colophon:	1993
date used:	260 ... >c [1993]

title page, etc.:	Revised 8/95
250:	Rev. 8/95
colophon:	No date
date used:	260 ... >c 1995.

title page, etc.:	1997
colophon:	1998
date used:	260 ... >c 1997 [i.e. 1998]

title page, etc.:	Published November 1994
colophon:	1995
date used:	260 ... >c 1994 [i.e. 1995]

title page, etc.: 1995
colophon: 1994
date used: 260 ... >c 1995.

title page, etc.: Revised December 1998
250: Rev. Dec. 1998
colophon: 1999
date used: 260 ... >c 1998 [i.e. 1999]

title page, etc.: 1993 edition
colophon: 1992
date used: 260 ... >c 1993.

title page, etc.: Printed 1999
colophon: No date
date used: 260 ... >c [1999]

title page, etc.: January 1999
colophon: 1999
date used: 260 ... >c [1999]

title page, etc.: no date
colophon: 1998
date used: 260 ... >c [1998]

All publication dates in the examples above are from prescribed sources, including those appearing in edition statements. Publication dates appearing on non-prescribed sources and those derived from other kinds or dates, e.g., colophon date, dates of issuance, etc., are enclosed in brackets.

5. Serials: For information, see GPO-CG: Serials.

SEE ALSO; Electronic Resources; Corporate Body Access Points; Contractors and Contract Numbers; Microfiche; Serials.

REPORT NUMBERS

BACKGROUND: Government agencies assign numbers, letter/number strings, and word/number strings to the documents they issue to make their identification easier. Each kind of numeric or alphanumeric identification number is recorded in one or more specialized MARC21 FFBD fields. **AACR2** and MARC21 FFBD definitions are followed to determine the kind of identification number each is and the field, or fields, in which each kind is recorded. The kinds include numbered series, standard technical report numbers, report numbers, stock, order, and catalog numbers. Some kinds of identification numbers must be recorded a second time in the body of records for them to appear in the Monthly Catalog entry. Data entered into the record in an 027 subfield "a," 037 subfield "a," 088, 440, 810 subfield "t," and 830 subfield "a" of catalog records appear in the Series/Report/Contract/Stock Number Index of each Monthly Catalog. Data recorded in the 027, 037, 440, 490, 500 fields, or in 533 subfields "f" and "n," appear in the body of the entry.

SERIES: Letter/number strings and word/number strings that qualify as series are recorded in a series statement (4xx field or 533 subfield "f") rather than in a report number field. For information on determining if a letter/number string or word/number strings should be treated as series or report numbers, see GPO-CG: Series.

STANDARD TECHNICAL REPORT NUMBERS (STRN): STRNs appear on the technical report page in the area labeled Report no. or equivalent pages with other names. STRNs normally consist of letters and numbers, separated by slashes or hyphens, e.g., DOT-RSPA-DAMA-50/82/3. STRNs may appear in more than one location in a technical report, but must appear on the technical report page to be treated as STRNs. If a STRN appears in different forms throughout a document, the form that appears on the technical report page is preferred.

STRNs are normally recorded in the standard technical report numbers field (027 field). If a STRN has been established in a series authority record as a series-like phrase, it is recorded in the report number field (088 field). If it has been established as a series, it is recorded in a series statement field (4xx fields or 533 subfield "f"). GPO spacing conventions are observed when recording STRNs. A space always precedes an opening parenthesis and follows a closing parenthesis. Spaces always precede and follow ampersands. For further information, see: The MARC21 FFBD section on STRNs (027 field) and GPO-CG: Technical Reports.

REPORT NUMBERS: Letter/number strings that do NOT qualify to be either standard technical report numbers or series are recorded in the report number field (088 field) and are also recorded in a quoted note in the general note field (500 field) or in a reproduction note field (533 subfield "n"). These kinds of letter/number strings are identified as series-like phrases in authority records.

1. **Sources:** Normally GPO only records report numbers in full-level records when they appear within areas 1 and 2 or on the technical report pages of documents. Report numbers appearing in some special kinds of documents are recorded even if they appear outside areas 1 and 2. Report numbers appearing only on eye-readable headers of microfiche are recorded in the 533 subfield "n" rather than in a 500 field note. Report numbers are not recorded in GPO abridged-level records.

2. **Recording Report Numbers:** Report numbers are recorded in a different way in 088 fields than in 500 field notes.

   A. **Recording Report Numbers in 088 Fields:** Report numbers are recorded following GPO spacing conventions in 088 fields. These standards require that:

      i. A space or a mark of punctuation must separate numbers from letters, except that a space always precedes an opening parenthesis and follows a closing parenthesis, unless there is another punctuation mark together with the parenthesis, in which case there is no space separating them.

      ii. One space should appear before and after symbols like "&" and "+". Additionally, a space should follow a period in cases where the 088 field contains terms such as "no., v., pt., etc."

      iii. The punctuation is transcribed exactly as it appears on the document. The 088 field never ends with a period, nor does it have quotation marks around it.

   B. **Recording Report Numbers in 500 Fields:** Report numbers are recorded in quotes in general notes fields (500 field) exactly the way they appear. See also AACR2 1.7B19 and AACR2 2.7B19. Examples:

088	MC 82-I-37 B-2 (P)	088	HUD-1132 (43)-CPD
500	"MC82-I-37B-2(P)."	500	"HUD-1132(43)-CPD."

   C. **Chronological information:** Chronological information (i.e., Sept 1988, 5-89; rev. 5-89) that follows letter/number strings is NOT recorded in the 088 field, but is included in the 500 field note. Example:

On document:	OTA-89-10 (8-89)	
On cat. rec.:	088	OTA-89-10
	500	"OTA-89-10 (8-89)."

   D. **Multiple Numbers:** If multiple numbers appear on a document, each is entered in a separate 088 field and 500 field.

3. **Categories of Series-like Phrases and Other Identification Numbers NOT Recorded in the Report Number Field:** Not all series-like phrases appearing within areas 1 and 2 or on the technical report page of a document are recorded in a report number field (088 field), but may be recorded in a general note (500 field). The following are NOT recorded:

A. Numbers Only: Record only in a general note (500 Field), but NOT in a report number field (088). If they are used to identify a document for sale and distribution purposes, they may be recorded in the source of acquisition field (037 subfield "a"). Examples:

140-921
333456-97

B. Letters Only: Record only in a general note (500 field), but NOT in a report number field (088 field). Examples:

ABDF
JGNKP

C. Combinations of Numbers and Letters Without Recognizable Meaning: If the letters are not at the beginning of such combinations and have no recognizable meaning, record only in a general note (500 field). Do NOT record in a report number field (088 field). Examples:

125H-32P7
99994D

However, if the letters within such a combination of numbers and letters do have a recognizable meaning, such as the initials of an organization, the combination of numbers and letters is recorded both in the report number field (088 field) and in a General Note Field (500 field). Example:

25-HHS-3/91 (The letters stand for Health and Human Services and the number 25 is a unique identifying number)

D. Mail Stop Codes: Mail stop codes and routing codes are often misidentified as report numbers. Care should be taken not to record them as such in either an 088 field or 500 field. For example, the routing code M-49 is the routing code for the Transportation Library. Since it does NOT identify a individual document, it should not be recorded. However, a routing code following by unique numbering that identifies a specific document can be transcribed. HHP-22/6-85 (1M)QE can be recorded since the number 6-85 that follows the routing code HHP-22 identifies a specific work and, therefore, is recorded in both an 088 field and in a 500 field.

E. Serial and Series Volume/Issue Numbering: Care should be taken to not record serial and series numeric designation as report numbers. If a series statement is found on a document, the OCLC authority file is consulted. If there is uncertainty regarding the purpose of a letter/number string, the Series Liaison is consulted.

F. Letter/Number Strings Associated with a Single Work: Some documents have letter/number combinations that are not identification numbering, but are part of the title, other title information. These should not be confused with series numbering or series-like phrases. These may be

transcribed in the catalog record in the 245 field or in a 500 field, but should not be transcribed in the 088 field or other fields used to record letter/number strings. Examples:

245 River conservation : >b RC-18
(Do NOT record in an 088 field. Record only in the 245 subfield "b.")

500 RC-18.
(Do NOT record in an 088 field. Recorded in 500 field.)

4. **Congressional Report Numbers:** If the specific committee that issued a congressional document is not apparent from the letter string in a report number, the report number is qualified by the name of the committee in the 088 field. This policy applies to Committee Prints as well as other Congressional documents. The qualifier should be formatted as in the name authority heading for the Committee. Chronological information following report numbers (i.e., Sept 1988, 5-89; rev. 5-89) is included in 500 fields notes, but not in the 088 field. Examples:

   088 Serial 00-30 (United States. Congress. House. Committee on Small Business)

   088 Committee print 100-6 (United States. Congress. House. Committee on Post Office and Civil Service)

   However, a qualifier is NOT added if the Committee is readily identifiable.

   088 H.A.S.C. 00-15

5. **Public and Private Laws:** Word/numbers strings that identify public and private laws are recorded in both the 088 field and the 500 field along with report numbers. Examples:

088 Public Law 87-653	088 Private Law 104-2
500 Public Law 87-653.	500 Private Law 104-2.

ACCESSION, CATALOG, IDENTIFICATION, ORDER, STOCK, ETC., NUMBERS: These numbers and letter/number strings provide a way of identifying documents for sales and distribution purposes. In addition to GPO stock numbers, order numbers, catalog numbers, and other numbers assigned to documents sold by Federal agencies are also included. For further information, see GPO-CG: Sales Information.

SEE ALSO: Notes; Sales Information; Series; Spacing Conventions for Numbers.

SALES INFORMATION

BACKGROUND: Some of the documents cataloged by GPO are also sold by GPO. Sales information for documents sold by GPO is included in GPO catalog records. Sales information is included in entries for documents listed in the List of Special Materials, as well as in AACR2 records. Information provided includes: ISBN numbers, ISSN numbers, stock numbers, source of stock numbers, prices, sales statements, and notes. Some records include sales information for documents sold by other agencies. Normally information provided in these records is limited to ISBN, ISSN, accession, catalog, identification, order, stock, etc., numbers, and the source of these numbers. Among the Federal agencies selling documents are General Accounting Office, Educational Resources Information Center, National Aeronautics and Space Administration, and the National Technical Information Service.

POLICY: Full sales information is provided for individual documents currently for sale by GPO at the time they are cataloged. Limited information is provided for documents:

1. No longer for sale by GPO.

2. Sold by other Federal agencies if it appears in the document in hand.

INTERNATIONAL STANDARD BOOK (ISBN) NUMBERS AND INTERNATIONAL STANDARD SERIAL (ISSN) NUMBERS:

1. **ISBN Numbers (020 Field):** GPO assigns ISBN numbers to documents it sells, including Congressional documents. Many of the documents sold by other agencies have ISBNs assigned to them. ISBN numbers are assigned as part of an international system of identifying publications numerically for sales, circulation, and other uses. Example.

   020-16-035312-2

   Canceled and invalid ISBNs are recorded in the 020 subfield "z."

2. **ISSN Numbers (022, 440, and 490 Fields):** The National Serials Data Program (NSDP), located at the Library of Congress, assigns ISSN numbers to serials and series published in the United States. Only the NSDP records the ISSN in the 022 field. Example:

   022 044-8399

   GPO records ISSNs for series are as they appear in individual parts in a 440 subfield "x" or 490 subfield "x." Example:

   440 0 Area handbook series, ‡x 1057-5294

ACCESSION, CATALOG, IDENTIFICATION, ORDER, STOCK, ETC., NUMBERS:

1. GPO Stock Numbers:

A. Monographs:

i. GPO stock numbers and the abbreviation for the source of stock numbers are recorded in the 037 fields as follows:

037 003-000-00174-2 >b GPO

ii. If the cataloging record requires multiple stock numbers, record each in a separate 037 subfield "a." Parenthetical qualifying information sufficient to identify each stock number is included as follows:

037 003-000-00175-8 (v.1) >b GPO
037 033-000-00176-4 (v.2) >b GPO

or

037 005-027-00891-0 (Instructor) >b GPO
037 005-027-00891-0 (Student) >b GPO

iii. Information transcribed in the 037 field may NOT be enclosed in square brackets [ ] even when taken from a source outside the document.

B. Serials:

i. CONSER Database Records and Serial Supplement Records: GPO includes only GPO subscription stock numbers (037 subfield "a") for these two types of records.

a. GPO's subscription address is included in the 037 subfield "b" rather than the OCLC code GPO as required by CONSER standards.

b. To meet Monthly Catalog production requirements, the full name and address in the 037 subfield "b" in CONSER records are replaced by the OCLC code GPO for Serial Supplement production.

c. If a serial ceases to be available by subscription from GPO, the GPO subscription stock number is retained, but the GPO's subscription address is removed.

ii. Congressional Serial Set Availability Records: The subscription stock number (037 subfield "a") and the GPO subscription address (037 subfield "b") are replaced with the stock number for the individual serial issue represented by the availability record, and the OCLC

code GPO for Monthly Catalog production. In addition, the GPO domestic order price for the issue is recorded in the 037 subfield “c.”

C. **Congressional Sales Office Documents:** These are documents sold only by GPO’s Congressional Sales Office. Stock numbers for these begin with the numbers "552-." They are NOT transcribed in GPO cataloging records.

2. Agency Accession Numbers and Stock Numbers:

A. Numbers that are identified as non-GPO agency accession, catalog, order, or stock numbers are recorded in the 037 field of the cataloging record.

B. These numbers are not repeated in the 500 notes area.

C. Typical examples of agency accession numbers include the PB-numbers used by the National Technical Information Service, the National Aeronautics and Space Administration's N-numbers, and the ED-numbers assigned by the Educational Resources Information Center. To meet Monthly Catalog production requirements, the source agency shown in the 037 subfield “b” must be recorded in abbreviated form. Examples:

037 162684 >b GAO

037 199716177 >b NASA

037 Cat 1311 C >b IRS

037 ED 241671 >b ERIC
037 PB 84-225093 >b NTIS

037 PIN:049442-000 >b DA

037 NCJ-125833 >b NIJ

037 Stock no. NMSUMV 5 >b DMA

GPO spacing conventions for numbers apply in the 037 field. For details See GPO-CG: Spacing Conventions for Numbers.

GPO SALES PRICES:

1. All Records: Only GPO domestic sales prices are recorded in GPO cataloging records.

A. Foreign sales prices are not recorded.

B. Prices are not recorded for documents that are out of stock at the time they are cataloged.

2. Monographs: Prices are recorded either in the 020 subfield "c" or in the 037 subfield "c."

A. The price is recorded in the 020 subfield "c" if a document is for sale in the same format as it is cataloged and distributed to depositories. Example:

020 >c 1.00
037 003-000-00174-2 >b GPO

B. If a document's sales format is different than its cataloging and distribution format (e.g., sold in a tangible version, but distributed to depositories as an online file), the format in which it is sold is recorded in the 037 subfield "f." Example:

037 003-000-00174-2 >b GPO >c $1.00 >f Paper

See also Notes on Status of Sales Documents, below.

GPO SALES STATEMENT:

1. Monograph Records: If a document is available for sale by the Superintendent of Documents at the time it is cataloged, the GPO sales statement must always be included in the cataloging record.

A. Transcription: Sales statements are transcribed following AACR2 1.4D.

B. Sales Statement Lacking: If a document is for sale by GPO at the time it is cataloged but it does not include a sales statement, one is supplied and recorded in brackets in the 260 subfield "b" in the standard form below.

260 Washington, D.C. : >b Dept. of State : >b [U.S. G.P.O., Supt. of Docs., distributor
261], >c 1999.

C. Congressional Sales Office Documents:

i. If a document is still for sale by the Congressional Sales Office, a Congressional Sales Office sales statement is recorded in the record.

ii. Sales statements are not recorded for documents that are no longer for sale.

iii. If a Congressional Sales Office sales statement is lacking or incomplete, one is supplied in brackets or corrected using brackets. Example:

260 ....>b For sale by the U.S. G.P.O., Supt. of Docs. [Congressional Sales Office],

2. **Serial Records:** Sales statement are transcribed in CONSER database records only if the issue being used for the description is for sale at the time the record is being created.

   A. Sales statements are transcribed in unlocked CONSER records for production of Serial Supplement records and Congressional Serial Set availability records.

   B. Notes regarding incorrect sale statements are added to Congressional serial set availability records, but not to CONSER database records or Serial Supplement records.

NOTES ON STATUS OF SALES DOCUMENTS: These are included only in monograph records and Congressional Serial Set availability records:

1. **Incorrect Sales Statement:** If a GPO sales statement appears in a document that is not actually for sale, the following note is added.

   500 G.P.O. sales statement incorrect in publication.

2. **Stock Exhausted:** If a document is out of print, the price and distribution statement are omitted from the cataloging record.

   A. The stock number is included in the 037 field followed by the OCLC code for GPO.

   B. The price is not included in the 020 subfield “c” or in the 037 subfield “c.”

   C. A “No longer available for sale by the Supt. of Docs.” note is added. Example:

   037 003-000-00175-8 >b GPO
   260 Washington, D.C. : >b Dept. of Agriculture, >c 1982.
   500 No longer available for sale by the Supt. of Docs.

3. **Later Edition Available for Sale:** In some cases an earlier edition is being cataloged and a "for sale" statement appears in the book but it is no longer available for sale. Instead, a later edition is being sold. In these cases, do not include the "for sale" statement in the catalog entry for the earlier edition. Instead, use the following two notes:

   500 No longer available for sale by the Supt. of Docs.

   500 Later edition available for sale from the Supt. of Docs., U.S. G.P.O. Stock number , Price $.

4. **Paper Version For Sale, But Not Distributed or Cataloged:** If the paper version is currently for sale but only the microfiche reproduction version and/or the online version is being made available to depositories and cataloged, a note indicating this is included in the catalog record. Example:

   500 Paper version available for sale by the Supt. of Docs., U.S. G.P.O.

Since the catalog record being created is for a microfiche or an online file, a sales statement is not included in 260 subfield "b."

See also GPO Sales Prices, 2 B, above.

5. **Paper Version No Longer for Sale**: If the paper version is no longer for sale and the microfiche version or online version is being cataloged instead of the paper version, the information is provided as follows:

```
037  003-000-00175-8 >b GPO >f paper
260  Washington, D.C. : >b Dept. of Agriculture, >c 1982.
500  Paper version no longer available for sale by the Supt. of Docs.
```

SEE ALSO: Notes.

SERIALS

BACKGROUND: AACR2 defines a serial as: "A publication in any medium issued in successive parts, bearing numeric or chronological designations, and intended to be continued indefinitely." See page 622 of the Glossary section. Application of this definition is limited and enhanced by the Library of Congress Rule Interpretations (LCRIs) 12.0A.

INSTRUCTIONS:

1. General instructions followed when cataloging serials are:

   AACR2 chapters 1, 2.5, 12, 25, and other relevant chapters.

   LCRI chapters 1, 12, 25, and other relevant chapters.

   The LCSH and the LC's SCM: SH, particularly section H 1927: Periodicals.

   The CEG

   The CCM

   Selected GPO-CGs.

2. Serials appearing in special formats are cataloged following the special rules in AACR2 chapters 3-11 for special formats and the LCRIs for each special format, in addition to the basic serial cataloging rules.

   A. Serials that are electronic resources are also cataloged following AACR2 chapter 9, AACR2 Amendments 1999 and Amendments 2001, the LCRIs for chapter 9, and CCM chapters 30-31.

   B. Serials that are original microfiche, including computer output microfiche, are also cataloged following AACR2, chapter 11 and CCM, chapter 32, particularly section 32.2. Microfiche reproductions are cataloged following the LCRIs for chapter 11 and CCM, chapter 32, particularly section 32.3.

   C. Map serials are cataloged following AACR2, chapter 3, in addition to chapter 12 and AACCM's CM.

GENERAL OVERVIEW OF GPO's SERIAL CATALOGING PROCESSES: GPO's serial cataloging process is a two-step process. The first step in GPO's serial cataloging process is to create new serial records for the CONSER database or to maintain existing CONSER records if required. The second step is to download selected new or newly updated records into GPO's local serial record files, adjust them for local production, and produce them for the Monthly Catalog.

1. Creating and Maintaining CONSER Records:

A. Creating New Records: If necessary, new CONSER records are created for the OCLC database and produced for the Monthly Catalog following the instructions above. Special information listed in 3, below, is also added.

B. Maintaining Existing Records: Because they are issued over a number of years, serial documents are very dynamic. Serials issued by Federal agencies are particularly dynamic. Therefore, the information included in serial catalog records needs to be regularly checked against recent issues for accuracy and possible modification.

i. Serial titles, issuing agencies, or the names of Federal issuing agencies may change.

ii. The formats in which serials are issued change, i.e., from paper to microfiche to CD-ROM or floppy disc, and online.

iii. Frequency of issuance changes.

iv. Two or more serials may merge or a single serial may split into a group of related serials.

v. The SuDocs class and item numbers assigned by GPO also may change.

vi. A serial may cease to be available through the depository program or may cease to be available via Internet.

C. Previously existing CONSER records for serials that are new to GPO are simply added to GPO's local files.

D. Updated versions of CONSER records already in GPO's files replace the records already included.

E. All CONSER records added to GPO's local files must be modified further to meet GPO's local software requirements and sometimes to add special information needed on GPO records that cannot be added to CONSER records.

2. Updating the CONSER Database: The first step in the GPO serial cataloging process is to update the CONSER database if required by CONSER and GPO standards by:

A. Creating new CONSER records if required or converting non-CONSER serial records into CONSER records, if required, when serials are received for cataloging.

B. Adding special information to CONSER records needed to meet GPO standards. This special information is added by GPO to both new serial records and existing records that are adapted. Information added includes the following:

Special GPO Information Added to CONSER	MARC 21 FIELDS
GPO subscription stock numbers and/or overall identification codes assigned by Federal agencies to their serial documents for distribution purposes.	037 subfield "a" and "b"
GPO item numbers	074 subfield "a" and "z"
SuDocs class	086 subfields "a" and "z"
Report codes and numbers assigned by the Federal agency issuing them that apply to all issues of a serial	088 field and 500 field
Federal agencies issuing documents that do not actually appear in the serial issue serial cataloged but are known to be the issuing agency. GPO catalogers determine which Federal agency to record based on the SuDocs class. The place of publication is determined by the location of the headquarters of the Federal author.	260 subfields "a" and "b" or, if the Federal agency or its name changed after the serial issue being described was published, in the 550 field.
GPO sales statements regardless of whether or not they appear in the issue being described in the cataloging record if a serial is still for sale at the time it is being cataloged by GPO.	260 subfields "a" and "b"
Distribution statements for other Federal agencies that appear in the issue being described in the catalog record	(260 subfields "a" and "b")
Special notes regarding distribution to depository libraries. Examples: 500 Distributed to some depository libraries in microfiche. 500 Some issues distributed to depository libraries in microfiche. 500 Some issues distributed to some depository libraries in paper or in microfiche. 500 Not distributed to depository libraries. ~~500 Not distributed to depository libraries in a physical form.~~	500 field
Added entries for Federal agencies known to be responsible for issuing a particular document, but not appearing in the issue used for cataloging.	710 field

3. **Authenticating New CONSER Records:** New records and existing records that have been updated by Cataloging Branch to meet both CONSER and GPO standards are authenticated to identify them as CONSER records.

A. GPO updates CONSER records to record additional information on the serials being described when bibliographic changes are discovered. The areas where frequent change occur are: GPO item number, SuDocs classes, title, publisher, etc.

B. GPO corrects CONSER records when cataloging errors are discovered.

4. **Creating and Updating Local GPO Serial Records:** The second step in the GPO serials cataloging process is the selection, downloading, modification, and production of CONSER records for addition to the Monthly Catalog database as local GPO serial records.

5. **Creating Local Monthly Catalog Serial Records:**

A. Deleting or Changing Information Temporarily in CONSER Records: Information deleted or changed in unlocked records includes information that:

i. Is no longer correct or is only appropriate to other libraries.

ii. Is confusing to Monthly Catalog users, such as out of date sales information, and information that may not be removed from CONSER records because of AACR2 rules.

iii. Would appear in the wrong place or not appear at all in one or more Monthly Catalog products because of changes to MARC21 FFBD that have occurred since the local Monthly Catalog production software was first developed.

B. Adding Temporary Information for Monthly Catalog Production: Some information needed for Monthly Catalog production may not be added to the CONSER database records but is required by local GPO software and information needs. The temporary information added to unlocked records for production includes:

i. Two temporary fields added to MOCAT records prior to local production by GPO. These fields are the 099 SuDocs classification number field and the 590 production information field.

ii. Other information, such current sales information and previous SuDocs classes, that cannot be added permanently to the description and note area of CONSER records due to AACR2, LCRI, and OCLC rules.

6. **Changes Made for Production:** MARC 21 fields and field coding changed, added, or deleted for local production and other reasons are shown below.

TEMPORARY CHANGES MADE TO SERIAL RECORDS FOR USE IN THE PAPER AND ONLINE VERSIONS MONTHLY CATALOG

Name of Field or Subfield	MARC 21 CODE	Explanations of Modifications

International Standard Serial Number	022 Field	Delete if not input by NSDP or another ISSN International Center (Reason: Data supplied by other sources are sometimes incorrect)
Source of Acquisition	037 Subfield "b"	Move contents to a 500 field. Begin note with the word prompt, Address: If the 037 subfield "a" contains a stock or order number replace address that was in subfield "b" with three or four letter code for Federal agency distributing the item, i.e., GPO, GAO, NASA, ERIC, etc.
Source of Acquisition Modifying Agency	040 Subfield "d"	Online MOCAT users are confused by records with many 040 subfields "d" s. Therefore most are deleted. A single subfield "d" is retained locally for codes GPO, DLC, NSD, NST, AGL, and NLM. All other subfield "d"s are deleted. If any of the above codes appears in a subfield "a" or "c," all of the duplicates in subfield "d" for them are deleted.
National Library of Medicine Call Number	060 Field	Deleted unless the initials NLM are included in the 040 field (Reason: May not be an actual NLM call no.)
National Agricultural Library Call Number	070 Field	Delete unless the initials AGL are included in the 040 field. (Reason: May not be an actual AGL call no.)
Locally assigned call numbers	099 Field	Added by GPO for local production only (Reason: required by production software)
Abbreviated Key Title	210 Field	Deleted locally (Reason: Confusing to Online MOCAT users)
Place of distribution and distribution statements	260 subfield "a" and "b"	Added locally if a serial was NOT originally known to be sold by GPO or another agency at time first cataloged but is known to be for sale currently. Deleted locally if a serial was known to be sold by GPO or another agency when first cataloged and is no longer sold.
Previously classed note	500 Note Field	Added locally if SuDocs class no. has changed (Example: 500 Previously classed: E 3.2:F 76/2/)
Production information field.	590 Note Field	Identifies cataloger and reviewer for quality control purposes.

Corporate body added entry subfield	710 field, subfields "s" and "t"	If a 710 field has both a subfield "s" and a subfield "t," the subfield "s" is changed to subfield "t" and the delimiter "t" at the beginning of subfield "t" is deleted.

LEVELS OF RECORDS: The CEG provides for three levels of serial records. These include: 1) full-level records, 2) CORE-level records, and 3) minimum-level records. A list of the mandatory, mandatory if applicable, optional, and required fields are in section B6.2 of the current version of the CEG.

GPO POLICY: GPO creates all new records at full-level standards and updates existing records to meet full-level or core-level standard.

SEE ALSO: Multipart Items; Series.

SERIES

BACKGROUND: The AACR2 defines a series as: "A group of separate items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual items may be numbered or unnumbered." The collective title borne by individual volumes brings them together for the purpose of attracting a particular audience. Each volume of a series has a meaningful analytical title and there is no planned end. The assignment of series numbers aids the identification and retrieval of individual volumes. Numbered series are also serials. Therefore, a numbered series may be represented by a serial record. Series are sometimes called monographic series; however, they may be assigned to serials or specific serial issues as well as individual monographs and the individual parts of multipart sets. See page 622 of the AACR2 Glossary section.

INSTRUCTIONS: Instruction on identifying, establishing, and recording series titles are found in:

AACR2 1.6 and 21.30L.

LCRI 1.6, 21.30L, and 25.5B.

LC's DCMZ1.

MARC21 FFAD

MARC21 FFBD 027, 088, 440, 490, 500, 810, and 830 fields.

RECORDING SERIES AND SERIES-LIKE PHRASES IN CATALOGING RECORDS: Series titles and numbers, multipart titles, and series-like phrases are treated differently and recorded differently in cataloging records. Sometimes series are misidentified and recorded as something other than series. For example, unnumbered series are frequently misidentified as other title information if they appear below the title on a title page. Distinguishing between these similar elements is necessary for them to be correctly recorded.

1. **Series Analysis:**

   A. **Distinguishing Multiparts from Series:** Multiparts with parts that have individual titles are distinguishable from series by the fact that they are intended to have only a finite number of parts. See page 620 of the AACR2 Glossary section. For additional information on multiparts, see GPO-CG: Multipart Items.

   B. **Distinguishing Series-Like Phrases from Series Titles:** There are various kinds of bibliographic elements that appear at first glance to be series. These include phrases appearing at the head of titles that clearly are not part of the title, words that indicate what kind of document a document is, and various letter and number strings.

C. Distinguishing Other Title Information and Series Titles: Series titles and multipart titles that appear below the title for the individual volume or part are frequently misidentified as other title information. This is particularly a problem when a multipart or series is unnumbered. If when searching the OCLC database, a cataloger finds that a number of documents have the same other title information, the Series Liaison is contacted.

i. Analysis of Titles: To determine whether letters and numbers represent a series, the letters and numbers must be evaluated.

a. Letters and Numbers: AACR2 states that a series must bear a "collective title applying to the group as a whole." If the letters only represent the name of a corporate body, then there is no title involved. However, if one or more of the letters represent words of a title or are used to distinguish different series, then there is a collective title involved. Examples:

FSQS (Food Safety and Quality Service) -- no collective title

FAS M (Foreign Agricultural Service monograph) -- collective title

b. Words That Are Not Titles: The presence of words such as "report," "publication," etc., do not always represent a collective title. In some cases these may be considered only part of the numbering, in which case no collective title is present. To determine this, examine other documents from the same issuing body. If documents bearing the same words/letters or similar words/letters are sometimes issued with just the numbering alone, then this is not a collective title. Examples:

96-235
FHWA/TS-79-05
Report No. FHWA/TS-79-82
Serial No. 96-264
Publication No. 96-87

c. Title Variations: If slightly different series titles appear on different documents issued by the same publisher, it is not always necessary to consider them different series. If over time a series changes from one title to another, changes back to the first, and then back to the second again, they may be considered to be the same series. A new series authority record for the second title is not required. An added entry for the second title is simply added to the authority record. Examples:

Authority file:	130 Engineer historical studies
On document:	Engineer historical study
Record as:	490 1 Engineer historical study
	830 0 Engineer historical studies.

However, If the series titles are unnumbered, cover different topics, and they are issued by different organizations, then they are considered to be different series.

ii. **Analysis of Numbering:** It is not always easy to determine whether numbers appearing on a document are to be considered as the numbering of the series, or as something completely separate. The important thing to keep in mind is that in order for these numbers to be part of the series they must represent ONLY that series. If they appear on other documents without the presence of a series or in conjunction with other series, they should not be considered as unique series numbering. In such cases they will be treated as notes. If it is determined in hindsight that series numbering has been treated incorrectly it must be changed. Example:

On document: MMS-870015
OCS study

2. **Checking the OCLC Authority Files for Series and Series-like Phrase Authority Records:** Authority records for series, multipart items, and series-like phrases that have been established by Library of Congress or by a NACO library are accessible from the OCLC authority file. Catalogers check bibliographic elements that appear to be series or series-like phrases in the OCLC authority file before recording them in catalog records and including added entries for them. GPO creates new authority records only for series and multiparts appearing in full-level records following: GPO-CG: Authority Records. Information on transcription of multiparts is included in GPO-CG: Multipart Items, and information on transcription series-like phrases that are report numbers is included in GPO-CG: Report Numbers.

3. **Series Transcription:** Series titles, including other title information, statements of responsibility, and series numbering are recorded in cataloging records exactly as to wording, order, and spelling, but not necessarily as to punctuation and capitalization. See AACR2 1.6B1 and 1.1B1. The series title is recorded in either the 440 subfields "a," "n," "p," "b," and "c" or in 490 subfield "a." Series numbering is recorded in subfield "v."

A. **Changes to the Established Title Proper of a Series:** If a title in the chief source of the series (see LCRI 1.6A2) is different from the established series heading and the variation is not provided for by LCRI 21.2A, the Series Liaison determines if a title change has taken place and a new series authority record is needed, or if it is a variant title that needs to be added to the current authority record.

B. **Series Titles and Series Numbering That Are Supplied:** GPO sometimes needs to supply a series title and/or series numbering in brackets. The series title and/or numbering is supplied in its established form, but without qualifiers, in accordance with AACR2 1.1B7. Series statements may be bracketed into either a 440 or 490 field. A 490 field is used when a series is entered under a corporate body. GPO supplies series titles and/or series numbers in the following circumstances:

i. **Titles Not Included on Purpose:** The publisher sometimes leaves out the series title on purpose if the series is readily identified by the numbering only. Example:

Authority file: 130 Department of the Army technical manual
642 TM5-820-4

On document: TM 55-1913-675-W-1

Record as: 440 0 [Department of the Army technical manual] ; >v TM 55-1913-675-W-1

ii. Titles and Numbering Not Included by Mistake: If a publisher has inadvertently left out the title and/or numbering for an established series, GPO supplies them in brackets. However, GPO only does this if a series is well known. Confirmation that a series title and/or numbering was mistakenly left out is made by telephone or e-mail. Examples:

On document: No series information provided in document

Example 1:

Records as: 500 Series and numbering obtained during telephone call to the U.S. Congress. Senate. Committee on Banking, Housing, and Urban Affairs, 9/30/91.

490 1 [S. hrg. ; >v 102-140]

810 1 United States. >b Congress. >b Senate. >b Committee on Banking, Housing, and Urban Affairs. >t S. hrg. ; >v 102-140.

Example 2: See example 1 above for style of 500 note.

440 0 [S. print ; >v 102-96]

C. Other Title Information for Series: Although GPO does not normally include other title information for series when recording them in a series statement, it may be transcribed in a 490 field under the provisions of AACR2 1.6D1 if not restricted by LCRI 1.6G. Other title information for series may NOT be transcribed in the 440, 810, 811, and 830 fields.

D. Statements of Responsibility for Series: Under the provisions of AACR2 1.6E, statements of responsibility for series may only transcribed in a 490 field if they are needed for identification. They may not be recorded in the 440, 810, 830. Examples.

490 1 Bulletin / Bureau of Labor Statistics
490 1 Report / Senate

GPO transcribes a statement of responsibility for a series in a record only if the series title, e.g., report, is not unique and, in addition, either:

i. The corporate body responsible for a series is not recorded elsewhere in the record.

ii. More than one corporate body appears in the record and it is not obvious which of the bodies is responsible for the series.

E. ISSNs for Series: ISSN's for series are recorded as they appear in the document. They may be added only to 490 subfield "x" and 440 subfield "x." They may NOT be recorded in the 810 or 830 fields. "ISSN" is NOT added. Example:

440 0 Engineer historical studies, >x 0364-5923

F. Series Numbers:

i. Series Numbers Recorded in the 490 Field: Letters and numbers are recorded as they appear in the document. The spacing between letters and numbers is recorded exactly as it is in the document. Example:

490 1 Field manual ; >v FM 9-63D1/2

ii. Series Numbers Recorded in the 440, 810, and 830 Fields: Series titles and numbers must be transcribed in the 440, 810, and 830 fields in the style provided in the series authority record. To meet Monthly Catalog manufacturing requirements, GPO follows GPO spacing conventions when transcribing series numbers in these fields. The only exception is that a space should follow a period in cases such as "no., v., pt.," etc. Examples:

490 1 Field manual ; >v FM 9-63D1/2
810 1 United States. >b Dept. of the Army. >t Field manual ; >v FM 9-63 D 1/2.

440 0 Customs publication ; >v no. 515

iii. Chronological Designation: GPO does not include chronological designations for series in its records.

G. Series and Sub-series Transcription: If two series appear in conjunction with one another in a document and one series has been established as a sub-series of the other, treat the series according to the following procedures.

i. Main Series Unnumbered:

a. Series Statement: Record series and sub-series with numbering of the latter as it appears in the document.

b. Series Tracing: Trace as established on authority file. Example:

440 0 Research reporting series. >n 9, >p Miscellaneous reports ; >v EPA-600/9-043

ii. Main Series Numbered:

a. Series Statement: Record main series and sub-series and their numbering as they appear in the document.

b. Series Tracings:

- Main series are traced with their numbering.

- Sub-series subordinate to the main series are traced with their numbering. Examples:

  490 1 Department of State publication ; >v 7846. >a Department and Foreign Service series ; >v 128

  830 0 Department of State publication ; >v 7846.

  830 0 Department of State publication. >p Department and Foreign Service series ; >v 128.

For further guidance, see LCRI 1.6H.

4. Series Added Entries:

A. Full-Level Records: GPO includes series added entries in all full-level records it creates, adapts, or clones following its full-level standards.

B. GPO Abridged and Core-Level Records:

Added entries are included in abridged and core-level records only if previously established.

See also GPO-CG: Authority Records, 5 A.

C. Required Conformity With Authority Records: The series added entries transcribed in 440 subfield "a," "b," "n," "p," and "v," in 810 subfields "a," "b," "t," "n," p," and "v," and in 830 subfields "a," "n," "p," and "v" must conform to the authority records for the series. For an explanation of series traced implicitly (440) or explicitly (810 or 830) refer to LCRI 21.30L.

D. Series Entered Under Title Proper:

i. Series Statement Exactly the Same as the Series Authority Record: A series is recorded in a 440 field if 4 conditions are met:

1) The series has been established under its title proper,
2) the series statement on the document exactly matches the title in the authority record,
3) the form of numbering found on the document exactly matches the sample numbering in the series authority record, and
4) there is no conflict with other series or a serial that requires the establishment of a uniform title.

Example:

440 0 Agricultural economic report

ii. Series Statement That Differs From the Series Authority Record:

a. Variant Series That Are Entered Under Title: Normally if only a variant version of series title appears in a document, it is necessary to record the variant form in a 490 Field and add the established form in a 830 field. However, sometimes a variant form may be recorded in a 440 field. For details, see LCRI 21.30L. Examples:

Authority file: 130 Loblolly pine management guide
On document: A loblolly pine management guide
Record as: 440 2 A loblolly pine management guide

E. Variant Numbering: If the only series number that appears in a document is in a variant form, the series title and variant number are recorded in an 490 field in the form they appear in the document and are traced in an 830 field in their established forms. Example:

Authority file: 130 Management bulletin R8
642 15
On document: Management bulletin R8-MB15
Record as: 490 1 Management bulletin R8 ; >v MB 15
830 0 Management bulletin R8 ; >v 15.

F. Series Entered Under Corporate Body and Title: If a series falls into one of the categories listed in AACR2 21.1B2, it will be traced under author and title proper. The tracing will be given in an 810 field. The series statement will be tagged 490 1. Example:

490 1 Army regulations
810 1 United States. >b Dept. of the Army. >t Army regulations.

G. Uniform Title: Some series are established by LC/NACO under a uniform title that is qualified because another series, serial, multipart, or series-like phrase with the same title has been already established. If a series has a uniform title, the series title and numbering appearing in the document

is recorded in the 490 as it appears there and is traced in an 830 field in its established form. Example:

Authority file: 130 Bulletin (United States. Bureau of Mines)
On document: Bulletin
Record as: 490 1 Bulletin
830 0 Bulletin (United States. Bureau of Mines)

SERIES AUTHORITY RECORDS: Series authority records appear in the LC/NACO file. These are currently accessible only from OCLC's authority files. If a new authority record is needed, catalogers must fill out and submit a PROPOSED AUTHORITY HEADING form. The GPO Series Liaison is responsible for researching proposals, creating, new authority records, and updating existing authority records. More detailed information is included in GPO-CG: Authority Records.

SEE ALSO: Authority Records; Multipart Items; Serials.

SPACING CONVENTIONS FOR NUMBERS

BACKGROUND: MARC 21 FFBD fields and subfields containing numbers that appear in Monthly Catalog indexes require consistent formatting and construction for the sorting software to accurately sort the numbers in desired order.

GENERAL SPACING POLICIES:

1. One space must be inserted between letters and numbers unless there is intervening punctuation. The only exception to this is the use of parentheses.

2. One space must be inserted before an opening parenthesis and after a closing parenthesis, unless there is another punctuation mark together with the parenthesis, in which case there is no space separating them. This does not apply to SuDocs class fields (086 and 099 fields).

3. One space should appear before and after symbols such as the ampersand, except in SuDocs class fields (086 and 099 fields).

MARC 21 FIELDS WHERE SPACING POLICIES ARE APPLIED: Spacing conventions are applied by GPO in the following MARC21 fields and subfields:

027
037
086
088
099
440 >v
8xx >v
but NOT the 490

Spacing for letters and numbers in the 088, 440, 810 and 830 fields should follow the general policies stated above except that a space should follow a period in cases such as "no.," "v.," "pt.," etc.

SAMPLES OF CORRECT AND INCORRECT FORMATTING:

1. SuDocs Classification Numbers:

Correct formatting:	**Incorrect formatting:**
A 1.10:B 68	A1.10:B68
D 5.317:616(717-5)A	D 5.317:616 (717-5) A
D 101.11:9-2330-363-14&P	D 101.11:9-2330-363-14 & P
D 5.317:221(2300-C)/988	D 5.317:221 (2300-C) /988

Special practices for maps: Insert one space before and after the hyphen which separates the first and last modified map reference code for multiple sheet maps.

Correct formatting:	**Incorrect formatting:**
A 13.28:H 94/4/44083-D 7 - D 8	A 13.28:H 94/4/44083-D 7-D8

2. Other Numbers:

Correct formatting:	**Incorrect formatting:**
ED 265853	ED265853
NPS D-16 b	NPS D-16b
HHI-22/R 11-86 (400)	HHI-22/R11-86(400)
PIN:049442-000	PIN: 049442-000

SEE ALSO: SuDocs Classification Numbers; Notes; Report Numbers; Series.

STAR PRINTS

BACKGROUND: Star prints are corrected editions of Congressional documents. They are identifiable by stars printed at the lower left-hand corner of their title pages or covers. Sometimes the words "star print" also appear adjacent to the star.

POLICIES: Star prints are always treated as new editions, not as reprints. A new separate OCLC database record is always created for a star print. Catalogers do not adapt the record for the original edition when cataloging a star print.

1. **SuDocs Classes:** The class number for a star print should include "/CORR." after the number assigned to the original edition.

   Example for original edition:

   Y 1.1/5:97-177

   Example for star print

   Y 1.1/5:97-177/CORR.

2. **Edition Statements:** The abbreviation for "corrected printing" [corr. print.] should be bracketed into the edition statement, following AACR2 1.2B4 and the LCRI. Example:

   250 [Corr. print.].

3. **Special Notes:** In addition, a note phrased "Star print" should be included in the cataloging record. The note should be enclosed in quotation marks if the phrase appears on the document. Use the note without quotation marks if the phrase does not appear on the document.

   Example when star print appears on a document:

   500 "Star print"--Cover.

   Example when “Star print” does not appear on a document:

   500 Star print.

   SEE ALSO: Edition Statements

STATEMENTS OF RESPONSIBILITY

BACKGROUND: Per the AACR2, appendix D: glossary: “Statements of responsibility are transcribed from the item and relate to the persons responsible for intellectual or artistic content of the item, to corporate bodies from which the content emanates....” AACR2 1.1F provides for the transcription of statements of responsibility appearing prominently in the item in the form they appear in the statement of responsibility area. The relevant information in statements of responsibility that are not prominent is recorded in notes. AACR2 0.8 states that the word "prominently" "means that a statement to which it applies must be a formal statement found in one of the prescribed sources of information for areas 1 and 2 for the class of material to which the item being cataloged belongs." AACR2 allows for the recording of statements of responsibilities for persons and corporate bodies that may have a relationship to a document other than that of preparation, sponsorship, issuance, or publishing. For example, a statement of a responsibility for the chairman of a committee issuing a document might optionally be recorded in an AACR2 record.

1. **Formal statements:** A statement of responsibility is considered to be a formal statement when:

   A. It is isolated from textual material, e.g., “Bureau of Labor Statistics,” or “Robert Meyers.”

   B. If the name of the personal author or responsible corporate body appears at head of title or following the title, it is considered a formal statement of responsibility.

   C. The entire statement could be transcribed, e.g., “Prepared by J. Peterson.” A statement is NOT considered to be formal if extracted from a grammatically complete sentence, e.g., “This book written by ...”

      Examples of Formal Statements: These are usually transcribed in the statement of responsibility area if they appear in areas 1 and 2 for the class of material to which they belong.

      Robert Meyers.
      by Ed Smith.
      Prepared by J. Peterson.
      Principal investigator: Alice Bates.
      Bureau of Labor Statistics.
      Prepared for the Department of Transportation by
      Transport Inc. under contract number 12345.
      Prepared by William Myers and Jane Kearney.

2. **Informal statements:** The relevant information that appears in informal statements of responsibility and/or appears outside of areas 1 or 2 for the class of material being cataloged may only be transcribed in the note area.

Examples of Informal Statements: These may be transcribed in notes, but may not be transcribed in the statement of responsibility area. Normally, they are ignored in practice. AACR2 1.1F7, 21.29 and 21.30 provide optionally for added entries based on them.

This report was written by Jane Kearney and William Myers.
Robert Browning and Lee Park are the authors of this text.
We would like to thank the authors of this report, Susan McCauley and Loretta Fitzhugh.
This publication was prepared by the Division of Program Development and Implementation, Office of Program Management, Unemployment Insurance Service.
The editor of this issue is Jack Bright.
The material in this document was contributed by State Employment Security Agency, Unemployment Insurance Service, and Office of Regional Management Staff and does not necessarily represent the official position or policy of the U.S. Department of Labor.

POLICIES: GPO policies are more restrictive than LC practices. GPO follows different policies when recording statements of responsibility in new records that it creates originally than it does when it creates new records by cloning existing records or when it adapts existing OCLC database records. When adapting or cloning LC records, GPO does not make changes to LC or BIBCO records, or to records of other libraries that follow LC practices.

Library of Congress's practices differ from GPO's practices in several ways. LC normally records statements of responsibility for personal authors that do not appear prominently in the note area. They are more restrictive when recording information on corporate bodies. Corporate bodies that do not appear prominently are normally ignored, but may be transcribed in a note and traced following AACR2 21.30F and AACR2 21.30H if the LC cataloger feels it would provide an important access point.

1. All Records:

A. Documents with Long Titles and Statements of Responsibility: Because of local system limitations on the amount of information that can be included in MARC21 variable field 245, other title information sometimes need to be shortened and statements of responsibility sometimes need to be moved to the note area.

B. Transcribing Statements of Responsibility:

i. Statements of responsibility may be recorded in the statement of responsibility area (245 subfield "c") or in a note (500 field).

ii. Only statements of responsibility that appear prominently in a document may be transcribed in the 245 subfield "c."

iii. It is not necessary to transcribe all of the information in a formal statement of responsibility in the statement of responsibility area. Some information may be omitted. See AACR2 1.1F7.

iv. Catalogers may NOT create a statement of responsibility and include it in a cataloging record based on:

a. Personal knowledge,

b. Information located outside areas 1 and 2 for the class of material for the document being cataloged, or

c. Information in another document.

v. Information appearing in statements of responsibility that are not prominent may be recorded in a note. See AACR2 1.1F2 and 1.7B6.

2. New GPO Records:

A. Corporate Bodies Appearing at the Head of Title: If no separate publisher statement appears in the imprint area of the title page/title screen (or in the imprint area of page 1 of the cover of a printed document if there is no title page), GPO records the corporate bodies appearing at the head of title in the name of publisher, distributor, etc., area (260 subfield "b").

B. Statements of Responsibility for Corporate Bodies: GPO normally records statements of responsibility for corporate bodies in new records only when they appear prominently in a document.

i. If a secondary statement for a lower body appears on the same source as the title and the primary statement of responsibility and publisher, it is recorded in a quoted note.

ii. If the Federal agency under which a document is classed appears in a different source than the title and the statement of responsibility for a higher body, it is recorded in a note.

iii. The sources in printed documents and microfiche reproduction of printed documents from which GPO transcribes secondary statements for corporate bodies are: t.p., t.p. verso, pages 1-4 of cover, the caption (if the title is recorded from the caption), and the colophon.

iv. If the statement of responsibility for the corporate body under which a document is classed appears on a different source than those listed above, but would be initially seen by readers, such as on the first and last page of text; GPO transcribes it in a note.

v. GPO does not record statements of responsibility in the statement of responsibility area of new records for the following, nor does it include added entries for them.

a. Bodies for which GAO reports are prepared.

b. Bodies to which documents are submitted in fulfillment of law.

c. Conferences for individual conference papers.

d. National forests, monuments, parks, seashores, etc.

e. Programs and projects that do not appear in an explicit statement of responsibility or in explicit publishing statements.

f. Corporate sponsors, except for those that also publish a document and those that sponsor a conference.

C. Statements of Responsibility for Persons

i. GPO records statements of responsibility for persons in new records only if they appear on prominent sources, i.e., t.p., t.p. verso, page 1-4 of the cover, the caption (if the title is recorded from the caption), the colophon, and last page of text.

ii. Personal authors, editors, compilers, collaborators, translators, illustrators, and persons with another relationship to a work, such as the chairman of a committee or director of an organization, may be recorded in the statement of responsibility area or a note.

a. Names of persons are recorded in the statement responsibility area (245 subfield "c") only if they appear prominently.

b. Names of persons that appear on prominent sources, but in statements that are not formal, are transcribed in notes, e.g., 500 Authors: Mary Stephens and Thelma A. Smith or 500 Written by Alfred Johnson and Marvin Williams.

c. Single authors are recorded in the personal author main entry field (100 field) and the statement of responsibility area (245 subfield "c") if they appear prominently. Single authors that do not appear prominently may be recorded only in the personal authors main entry field (100 field). A single personal author who is not named in a document is eligible to be recorded in the personal authors main entry field; however, that author may not be recorded elsewhere in a record. See AACR2 21.4A.

iii. GPO does not transcribe statements for multiple persons that appear in interior sources in either the statement of responsibility area or notes.

3. Previously Existing Records: GPO follows the same general policies for statements of responsibility appearing in existing OCLC records that it does for existing records as a whole. That general policy is to minimize changes.

A. All Records:

i. **Transcription Errors:** GPO corrects transcription errors, e.g., spelling, etc., in all records.

ii. **Statements of Responsibility for Contractors:** GPO does not remove these from existing records if they have been established, even if they are not accompanied by contract numbers.

B. Library of Congress, National Library of Agriculture, National Library of Medicine, BIBCO, and CONSER Records: GPO does not remove or modify statements of responsibility except in the following instances:

i. **CIP Records:** GPO makes needed changes to the statement of responsibility areas of CIP records that are being adapted to catalog the final version of a CIP document. Possible changes include:

a. Changing the wording in statements of responsibility if the wording in the CIP version varies from that in the final version.

b. Removing statements of responsibility from CIP records that only appear in CIP catalog records or in a publisher's citation in the final version. In addition to removing statements of responsibility that are not justified by the final versions of documents they describe, GPO also removes the access points for them.

c. Moving statements of responsibility to the note area if they do not appear prominently in the final versions of CIP documents, although they may appear elsewhere in the final version, other than in the CIP catalog record or publisher's citation.

ii. **CONSER Records:** GPO makes needed changes when re-cataloging serials from an earlier vol./issue that does not have a formal statement of responsibility or has a statement of responsibility that is different in some way. Normally GPO changes only the title and statement of responsibility area in an existing CONSER record if the corporate body appearing in the statement of responsibility of the earlier issue is a different one or has a different name.

iii. **Records for Looseleaf Documents:** GPO makes needed changes when re-cataloging a looseleaf document as required by LC's CRFTDOLP.

C. Other Records: GPO makes corrections to statements of responsibility, moves them to the note area, or deletes them, if they are: incorrectly transcribed, extracted from an informal statement, or do not appear prominently.

i. Statements of responsibility for personal names that do not appear prominently are general corrected and moved to the note area if they appear anywhere in a document.

ii. Statements of responsibility for corporate bodies that do not appear prominently are deleted if they are not established unless they are for the Federal author under which a document is classed.

SEE ALSO: Corporate Bodies; Contractors and Contract Numbers; Notes; Publication, Distribution, etc., Area; Technical Reports

SUBJECT HEADINGS

BACKGROUND: There are a number of ways subject access may be provided in bibliographic records. These are by: Names of persons, corporate bodies, geographic areas, topical subject headings, thesaurus terms, index terms, etc. In addition to LCSH, other kinds of topical access points may be included in the OCLC records that GPO adapts. These include: National Library of Medicine Subject Headings, National Agricultural Library Subject Headings, Canadian Subject Headings, Sears Headings, NASA Thesaurus Terms, etc.

As a member of SACO (Subject Authority Cooperative), GPO creates authority records for geographic names needed for geographic name subject added entries and as geographic subdivisions in topical subject added entries. GPO also creates authority records for new topical subject headings for Congressional document cataloging and as needed. Geographic and topical subject headings must be established in the SACO authority file or submitted for addition to the SACO authority file before they may be included in GPO cataloging records. Corporate bodies and some uniform titles must be established in the NACO authority file before they are used as subject headings in GPO cataloging records. Personal names must be established in the NACO file before being used as subject headings in BIBCO and CONSER records. Personal names do not need to be established for use in level I and level K records. Unless a document belongs to a category that GPO always codes as CONSER or BIBCO record, GPO does not establish personal name authorities for it.

INSTRUCTIONS: GPO catalogers consult the sources listed below for instructions on subject heading assignment, checking and revising subject headings in existing records, proofreading the Monthly Catalog, and establishment of authority records needed for subject cataloging.

1. The primary sources consulted are:

   The OCLC Name and Subject Authority Files

   LCSH

   LC's SCM: SH

   Free-Floating Subdivisions: an Alphabetical Index

   Introduction to Library of Congress Subject Headings

   Weekly Lists (Available via the World Wide Web only)

   MARC21 FFAD

   NASA CASI Web site

   NASA Thesaurus

2. In addition to the sources listed above, the Subject Liaison, and occasionally catalogers, may need to consult other sources. Some of these are:

   SACO PM

   Columbia Lippincott Gazetteer of the World (Lippincott)

   Geographic Names Information System (U.S. Geological Survey, National Mapping Division, Office of Geographical Research, National Center) state geographic names publications, e.g. "Alabama Geographic Names" (GNIS)

   GEOnet (GEOnet)

   National Geographic's Atlas of North America (Atl. Nor. Amer.)

   National Park Index (Nat. pk. Index)

   National Registry of Historic Places (Nat. reg. hist. Pl.)

   National Wildlife Refuges; A Visitor's Guide (Nat. wild. ref.)

   Rand McNally ... commercial atlas & marketing guide (Rand McNally)

   Rand McNally's The New International Atlas (Rand McNally new intl. atlas)

   The Times Atlas of the World (Times Atlas)

   United States Board on Geographic Names Gazetteers (BGN)

   USGS Branch of Geographic Names Alphabetical Finding List

   Webster's New Geographical Dictionary (Web. Geog)

3. The above is only a partial list of the reference sources that may be consulted. If consultation of all these sources still does not resolve the problem or question, the GPO Subject Liaison may consult with LC's Cooperative Cataloging Team.

POLICIES: With the exception of NASA technical reports, GPO assigns Library of Congress Subject Headings (LCSH) to all records. GPO policies for new records and for adapted records vary.

1. Assignment of Library of Congress Subject Headings:

A. New Records: As a general policy, all new GPO cataloging records are assigned at least one, but normally no more than three LC topical subject headings. Documents cataloged following GPO abridged standards should normally not have more than two headings. Full-level records normally have two or three. If more than three topical subject headings are required by LC's SCM: SH instructions, they are added. Except for works of a comprehensive nature, broad subject headings should be avoided. Personal name, corporate body, conference, and uniform title subject added entries are not counted. Monograph catalogers should assign specific subject headings whenever possible.

B. Existing Records and Cloned Records: GPO catalogers must verify the LC subject headings in all existing OCLC records they adapt and in the new records they created by cloning existing OCLC records, including LC records, and make corrections if necessary. The policy GPO follows when creating cloned records with LC topical subject headings is the same that it follows when adapting existing records with LC topical headings. NASA thesaurus terms appearing in cloned records are also retained. GPO does not retain other kinds of topical headings, e.g. AGL, NLM, etc., subject headings, in cloned records.

i. Library of Congress, BIBCO, and CONSER Records: GPO does not remove topical subject headings and sub-divisions within subject strings because they may seem inappropriate for the document cataloged. GPO only removes subject headings and subdivisions if not listed in LCSH, OCLC's subject authority file, or if they are not provided for in the Subject Heading Manual. The GPO Subject Liaison is consulted before removal of subject headings or sub-divisions from these kinds of records.

a. GPO adds LCSH to records lacking subject headings.

b. GPO catalogers may NOT assign general LC subject headings to LC records which already have specific headings.

c. LC's more specific, technical headings may not be deleted in favor of more general headings.

d. GPO makes changes to LCSH subject added entries in LC, BIBCO, and CONSER cataloging records:

- To correct spelling, typographical, and other transcription errors.
- To rearrange order of elements within subject strings.
- To remove topical subject headings that are not included in LCSH or OCLC's subject authority file.

- To remove elements within a subject string that are improperly included, other than the actual topical subject heading.

- To add or correct LCSH in LC CIP records. Note: CIP records are created without the actual document in hand. Therefore, the LCSH assigned may not be appropriate. These are always retained and corrected if transcribed incorrectly. Appropriate LCSH are added when the actual book is received. Some LC records are coded 042 lccopycat or 039 core and 042 pcc rather than 042 lc. These records may lack LCSH. If they are lacking, they are added.

ii. Records With AGL and NLM Subject Headings: National Agricultural Library (AGL) and National Library of Medicine (NLM) records contain AGL or NLM subject headings instead of LCSH.

a. NLM Subject Headings: These subject heading may be identified by the second indicator code of 2 (650 2).

- GPO retains NLM subject headings in Monthly Catalog records only if they were created or claimed by NLM. This may be determined by checking for the symbol NLM in the 040 field.

- If a library other than NLM has included NLM subject headings, these are left in the OCLC database record, but are deleted before the record is produced for the Monthly Catalog.

- Catalogers should add at least one but no more than 3 LC subject headings to a cataloging record with NLM headings even if the NLM subject heading is an exact match of the LC heading.
- NLM subject headings are not included in cloned records.

b. AGL Subject Headings: These subject headings are identified by the second indicator code of 3 (650 3).

- If an AGL subject heading exactly matches an LC heading, catalogers and reviewers must change the second indicator code from 3 to 0 (i.e., 650 3 to 650 0) in the OCLC database record and in the Monthly Catalog version of the record.

- If an AGL subject heading exactly matches an LC heading, catalogers and reviewers must change the second indicator code from 3 to 0 (i.e., 650 3 to 650 0) in the OCLC database record and in the Monthly Catalog version of the record.

- If a AGL subject heading is not an exact match, catalogers must leave the second indicator as 3 (i.e., 650 3) in the OCLC database record and the Monthly Catalog.

- If none of the AGL subject headings in a record qualify to be re-coded as LCSH, GPO adds at least one but no more than 3 LCSH (650 0).

- AGL subject headings in cloned records that qualify to be re-coded as LCSH are retained. Those that do not qualify are deleted.

iii. Records with LC Subject Headings for Children (650 1), Source Not Specified Headings (650 4), Canadian Subject Headings (650 5), Repertoire des Vedettes-matiere (650 6), Source Specified in Subfield "2" (650 7):

a. With the exception of NASA thesaurus terms (650 7 >2 NASA), all 650 fields with indicators 1 and 4 through 8 are removed from adapted OCLC records after the records have been updated and replaced and before they are produced for the Monthly Catalog. These headings must not be deleted from OCLC database records.

b. When GPO adapts OCLC database records with added subject entries that are established in the LC/NACO or LC/SACO authority files, but are coded 650 4 (Source Not Specified), GPO changes the coding in the added entries to indicate they are NACO or SACO approved.

- If the added entry in a 650 4 field has been established in the LC/SACO as a topical subject heading, the coding is changed to 650 0. For example, the established subject heading "Hurricane Dennis, 1999" was originally code 650 4 in an OCLC record adapted by GPO. Since it was established in the LC/SACO authority file, GPO recorded it, 650 0 Hurricane Dennis, 1999.

- If an added entry in a 630 4 or a 650 4 field is a uniform title, it is established, if required. GPO changes the coding to 630 00 whether it is established or not

c. NASA thesaurus terms are added to NASA CASI records following the instructions in 3 below.

iv. Other Records: Changes are made following instructions in i and ii above. Errors in subject heading assignment and subject sub-divisions are corrected as required.

C. LC Subject Heading Assignment and Transcription Questions: All questions regarding inclusion of LC subject headings and subdivisions are resolved at the time of cataloging or after editorial revisions are made. Changes to records are made only upon consultation with the Subject Liaison, or at times with the Administrative Librarian (Cataloging Policy), and, if necessary, with the approval of the LC Cooperative Cataloging Team.

2. **LC Subject Heading and Geographic Heading Proposals:** Since 1990, GPO has proposed new subject headings for addition to the LCSH in cooperation with the Library of Congress. The decision on whether to submit a Proposed Heading Request through NACO or SACO is made by GPO's Name Authority and Subject Liaisons following LC's SCM: SH**,** Section H 405**.** For general information on authority records, see GPO-CG: Authority Records.

   A. Types of Headings Proposed: GPO prepares proposals for the following types of headings:

      i. Geographic headings.

      ii. Public Law citations for commemorative works.

      iii. Topical subject headings of a timely nature that are not in LCSH.

      iv. Corporate bodies and personal Names.

      v. Other entities not included in the above categories.

   B. Limitations on Establishment of New Headings:

      i. Geographic heading proposals are prepared for maps and other documents.

      ii. With the exception of geographic headings, new subject heading proposals, including those for topical subject headings, are limited to Congressional documents.

      iii. Personal name heading proposals, including those to be used as subject headings, are prepared only for Congressional documents.

   C. Pre-searching Proposed Headings: Catalogers must thoroughly search all proposed headings in OCLC's subject authority file and GPO's monthly list: Subject Headings Proposals to LC During... before filling out a Proposed Authority Heading Request Form and submitting it to the Subject Liaison.

   D. Establishment of Subject Headings: New subject headings, including geographic headings, must be established in accordance with AACR2, chapter 23, etc., and LC's SCM: SH.

      i. SCM: SH section H 200 (proposing headings), H 203 (citing headings), H 320-H 320-H 357 (qualifiers), H 362 (free-floating terms), H 370-H 375 (references), H 405 (LC's name or subject auth. files), H 430-H 475 (names), H 620 (chronological), H 690 (geographic), and all other sections pertinent to the type of heading being established are consulted.

      ii. Entities and terms used as subject headings may be established in either the Library of Congress's name or subject authority files following the instructions in SCM: SH, section H 405, pages 5-13.

- **Subject Authority File:** Entities and Terms established in the Library of Congress's subject authority file per the instructions in SCM:SH, section H 405, pages 10-13, include: some categories of buildings (coded 110 in authority records), other categories of man made structure (coded 150 or 151), topical subject headings (coded 150), and geographical areas and features (coded 151).

- **Name Authority File:** Entities established in the Library of Congress's names authority file per the instructions SCM:SH, section H 405, pages 5-9, include: corporate bodies (coded 110), personal names (coded 100), and other entities not to be established in the Subject Authority File per Instructions in the SCM: SH, Section H 405, Pages 5-9. Examples of other entities include: City sections (coded 151), comic strips (coded 100, 110, or 130), electronic discussion groups (coded 130), exhibitions (coded 111), forest districts (coded 151), motion pictures (coded 130), parades (coded 111), software (coded 100, 110, 130), utility districts (coded 151), etc.

iii. When establishing headings, the Subject Liaison references the work being cataloged, as well as other works on the same topic, standard reference works, including dictionaries, encyclopedias, glossaries, etc. It is required that those reference works in which a term is found is recorded in the 670 field of the authority record and those in which it is not found are recorded in the 675 field.

iv. When establishing geographic names, the Subject Liaison references standard reference works for geographic names, including BGN, Lippincott, GEOnet, GNIS, Rand McNally, Times Atlas, Web. Geog., and others are consulted. Those works in which a geographic name is found is recorded in the 670 field and those not found in the 675 field.

v. Abbreviations used as qualifiers must appear in AACR2, appendix B.

vi. An authority record must be established for geographic jurisdictions not previously established in AACR2 form.

3. Transcription of NASA Thesaurus Terms in NASA Technical Report Records: GPO does not assign LCSH to the NASA technical reports it catalogs. Instead, GPO transcribes the major NASA Thesaurus Terms assigned to each technical report by NASA CASI from the catalog records available from its Web site.

A. Identification of Major NASA Terms: Major Terms assigned to a NASA technical report are identifiable in NASA CASI records by the prompt: MAJS:. Example:

MAJS: /*BOUNDARY LAYERS/*FLAT PLATES/*FREE
FLOW/*HEATING/*STABILITY/*TEMPERATURE EFFECTS

B. Transcription of Major Terms: These are transcribed into GPO's cataloging records in the same upper/lower case style as LCSH and are coded as NASA Thesaurus terms with the second indicator of the 650 coded 7 and the subfield "2" coded as "nasat." Examples:

650 7 Boundary layers. >2 nasat
650 7 Flat plates. >2 nasat
650 7 Free flow. >2 nasat
650 7 Heating. >2 nasat
650 7 Stability. >2 nasat
650 7 Temperature effects. >2 nasat

C. Multiparts: If the technical report being published is a multipart, each term is transcribed only once in the GPO record.

D. NASA Thesaurus: The Thesaurus may be consulted to determine if the terms appearing in a NASA CASI record are included there.

E. Adapted Records: The major NASA Thesaurus Terms in the NASA CASI records are added as they are added in new records. If the OCLC record being adapted already has LCSH recorded in it, the LCSH headings are retained and corrected if necessary. Additional LCSH are NOT added.

SEE ALSO: Abridged Cataloging; Adapting OCLC Data Base Records.

SUDOCS CLASSIFICATION NUMBERS

BACKGROUND: The SuDocs classification system is designed specifically for Federal documents. The unique feature of this system is the grouping of documents by issuing agency. It has been used by GPO to classify documents for over a century and continues to be developed as the Federal Government develops and changes.

INSTRUCTIONS: Information on SuDocs classes and instructions on assigning them is included in the following:

USGPO's CM, http://www.access.gpo.gov/su%5fdocs/fdlp/pubs/classman/index.html

USGPO's LOC, http://fedbbs.access.gpo.gov/library/download/CLASS/listclas.txt

OCLC's BFAS, http://www.oclc.org/oclc/bib/about.htm

POLICY: SuDocs numbers assigned to documents are recorded in the catalog records for them.

RECORDING SUDOCS CLASSES: SuDocs classes are recorded in two MARC 21 fields. These fields are:

MARC21 FFBD SuDocs Class Field (086 field)

MARC21 FFBD Local Free-Text Call Number (099 field)

The MARC 21 FFDB, 086 field has seven subfields, two of which are used by GPO.

Subfield "a" is for the SuDocs class, used by GPO.

Subfield "z" is for Canceled/Invalid SuDocs classes. Although subfield "z" does not print on cards, it is indexed in the OCLC online system. Use of subfield "z" is required when applicable for documents in all formats.

When correcting a class on an OCLC record, use subfield "z" for the incorrect class, and enter the new, correct class in subfield "a." Subfield "z" is used for classes that were assigned in error; it is not used for class changes that result from agency reorganizations.

Documents in all formats (whether in paper, microfiche, electronic media, etc.) with incorrect classes or other classification problems should be returned to the Depository Administration Branch along with a

Problem Identification & Resolution form prior to input or correction of the OCLC database so that ACSIS can be updated.

In addition to the 086 field, GPO cataloging records contain classification information in the 099 field. The 099 field is required when a cataloger produces or reproduces a record for the Monthly Catalog. If an 099 field is not included in the cataloging record when it is produced, the record will not file properly in the catalog. Normally, editorial staff will correct these records based on information from the cataloger or supervisor, but this requires unneeded extra work. The 086 field and the 099 fields are exactly the same in records for some single volume documents and some multiparts. The 086 field and 099 field differ in records for serials and other multiparts. See sections on serials and multiparts below for details.

1. **Punctuation:** Because they create problems in the Monthly Catalog program, commas are not used in any 086 or 099 fields. Instead, a slash "/" should be used in its place. Commas are particularly a problem in the FEM (Flood insurance studies) class.

   A. Past practice for large 099 fields in the FEM (Flood insurance studies) has been to add the first number, followed by a comma, or the abbreviation: etc. For example:

      FEM 1.209:41002,ETC.
      (Do NOT use comma in class no. as shown here)

   B. SuDocs classes should be assigned using the rule of 3.

      i. If there are 4 or more community numbers, the SuDocs class in the 086 and 099 fields should read as follows:

         FEM 1.209:41002/ETC.

      ii. If there are 3 community numbers or fewer, add all of the numbers to the SuDocs class. The 086 & 099 fields should both read as follows:

         FEM 1.209:41002/41003/41004

      iii. In cases where there are 4 or more community numbers and a conflict needs to be broken, add as many community numbers, separated by a slash,"/", as necessary to make the classification number unique.

2. **Capitalization of Letters in SuDocs Classes:** Since November 1992, GPO has recorded all of the letters in the SuDocs classes in its cataloging records in upper case. Examples:

Older Method	**Current Method**
A 1.11/3:In 2/992	A 1.11/3:IN 2/992

A 1.58/a:991-2/v.50/pt.1-3	A 1.58/A:991-2/V.50/PT.1-3
C 3.282:990/Puerto Rico	C 3.282:990/PR
ITC 1.12:731-TA-520/prelim.	ITC 1.12:731-TA-520/PRELIM.
Ju 13.2:Se 5/2	JU 13.2:SE 5/2
PrEx 3.10/4:Ea 7/30	PREX 3.10/4:EA 7/30
Y 1.3:S.pub.102-17	Y 1.3:S.PUB.102-17
Y 3.Ac 7:2 Am 3/sum.	Y 3.AC 7:2 AM 3/SUM.

3. SuDocs Class Numbers for Serials: The 086 field is used for current and former class stems in subfield "a," and for canceled or invalid class numbers in subfield "z."

A. Only the SuDocs class stem is recorded. In most cases, this means recording the class up to the colon. In more complicated classes, such as the Y 3's, certain elements of the class after the colon must also be recorded. Examples:

086 0- C 1.71:
086 0- Y 3.N 88:34/
086 0- A 1.1: >z A 1.1/3:9

B. When adding new or previously assigned SuDocs class numbers to the data base record, record them in the order of oldest to most current. Thus, the current 086 field would be the last one listed, closest to the 099 field.

C. Serial catalogers limit the inclusion of incorrect classification numbers in the subfield "z." The subfield "z" should only be input in cases where an incorrect classification stem was assigned for the SuDocs class.

4. 099 Fields for Serials: The 099 field is added only to production records, not on the database record.

A. If a production record is for a Congressional serial set availability record, the 099 field contains the complete SuDocs class of the individual issue of the serial being cataloged. Examples:

086 0- C 1.71:
099 C 1.71:981

B. If multiple issues of a serial are being entered for a Congressional serial set availability record, transcribe each SuDocs class in a separate subfield "a" in one 099 field.

099 C 1.71:980 >a C 1.71:981 (NOT 099 C 1.71:980-981)
099 D 1.1:981/V.1-3

C. If the production record is a Serial Supplement record, the 099 should include the SuDocs class stem plus (DATE), (NOS.), (V.NO.&NOS.), etc., to indicate the kind of number that follows the stem. Examples:

099 NS 1.3:(V.NO.&NOS.)
099 I 27.18:(DATE)

5. SuDocs Class Numbers For Multipart Items: Multipart sets may be described with inclusive volume numbers when the numbering is consecutive and unambiguous.

A. If a multipart is being cataloged using a single collective record in a single record, 086 0 fields should appear both on the OCLC database records and in multipart production records.

B. Except for the first time a collective record is updated and produced, or if all the parts of a multipart are cataloged at once, the 099 appears only in production records.

C. If all of the parts are being cataloged at the same time, the parts are consecutive, and the years are not being used to differentiate between parts, transcribe the SuDocs class number in one 086 field and one 099 field as follows:

086 0 Y 3.T 22/2:2 SO 4/V.1-6
099 Y 3.T 22/2:2 SO 4/V.1-6

D. Sometimes the parts are consecutive, but, in the judgement of the cataloger, transcribing them in one field could be confusing. In this situation:

i. Transcribe them in multiple 086 fields as follows:

086 0 C 3.255/2-2:RC 77-A-44
086 0 C 3.255/2-2:RC 77-A-45
086 0 C 3.255/2-2:RC 77-A-46
086 0 T 17.2:D 84/6/FOLDER
086 0 T 17.2:D 84/6/ABUSE
086 0 T 17.2:D 84/6/CRACK

ii. For the 099 field, transcribe each number in a separate subfield "a" within a single 099 field as follows:

099 C 3.255/2-2:RC 77-A-44 >a C 3.255/2-2:RC 77-A-45
>a C 3.255/2-2:RC 77-A-46

No more than 7 separate subfield "a"s should be transcribed in a single 099 field. Additional subfield "a"s create Monthly Catalog production and printing problems. Use availability records if more than one Monthly Catalog record is required because more than 7 subfields

are needed for the entire record. Do NOT put an 099 field on the database in this situation; instead, use 099 fields only on the availability record.

E. If the years are included in the SuDocs class, transcribe them in multiple 086 fields as follows:

086 0 D 101.11:55-1520-236-23-1/990
086 0 D 101.11:55-1520-236-23-2/991

F. If all the volumes or parts of a multipart are not available for cataloging at the same time, then the 086 0 field on the OCLC database record should be in the open entry form. Example:

086 0 FEM 1.209:080059/989/V.1-

If a volume other than the first volume or part of the multipart is first received for cataloging, then this should be reflected in the 086 field, i.e., 086 0 FEM 1.209:080059/989/V.- . When volume one is received, the 086 field is changed to reflect this, i.e., 086 0 FEM 1.209:080059/989/V.1- .

G. When adding a subfield "z" to an 086 field in a multipart work, do not create additional 086 fields to identify the canceled SuDocs classes. Examples:

086 0 FEM 1.209:080059/989/V.1- >z FEM 1.209:080059/V.4

NOT

086 0 FEM 1.209:080059/989/V.1-
086 0 FEM 1.209:080059/989/V.4 >z FEM 1.209:080059/V.4

Since subfield "z" is repeatable, it is possible to create a second subfield if necessary for clarity; however, catalogers should try to use a single subfield "z" if possible. Examples:

086 0 FEM 1.209:080059/989/v.1- >z FEM 1.209:080059/V.3-4

OR if volumes are not consecutive:

086 0 FEM 1.209:080059/989/V.1- >z FEM 1.209:080059/V.3 >z FEM 1.209:080059/V.6

OR if stems are wrong in different ways:

086 0 FEM 1.209:080059/989/V.1- >z FEM 1.209:080059/V.4 >z FEM 3.289:08059/989/V.5

SEE ALSO: Adapting OCLC Database Records; Creating New OCLC Database Records; Item numbers; Microfiche; Multipart Items; Notes.

TECHNICAL REPORTS

BACKGROUND: Technical reports provide the results of scientific and technical research. They are typically narrow in scope and usually report on a single research effort. Although they may report on more than one experiment or research effort, they do not provide the wide range of information and theory that is provided in general scientific and technical publications. Most are organized in the same way. The initial paragraphs normally include background information and the objectives of the research efforts undertaken. The research methodology is described. Problems encountered and the limits imposed by the research methods are covered. The final paragraphs are devoted to the results, analysis of results, conclusions, and recommendations.

IDENTIFICATION OF TECHNICAL REPORTS: There is more than one definition for technical reports. The ALA Glossary and LC's DCM each include a unique definition for technical reports. These definitions are:

1. A report giving details, and results of a specific investigation of a scientific or technical problem.--ALA Glossary

2. A brief, generally unbound, interim report covering ongoing research in general areas of science and technology (Excludes: social sciences, economics, and "soft" sciences).--LC's DCM.

3. A report giving the results of research or developmental investigations or other technical studies. Technical reports are usually concerned with only one specific subject or a few related subjects and provide information of more than transient interest.

For cataloging purposes, GPO considers all documents that qualify to be technical reports based on one or more of these definitions to be technical reports. In addition, GPO considers all documents to be technical reports that:

1. Belong to a technical report series or to a series that primarily includes technical reports.

2. Contain a technical report documentation page, bibliographic data sheet, research report page, or other similar page.

MONOGRAPH OR SERIAL: Technical reports that qualify to be serials based on the definition for serials in the AACR2 Glossary are cataloged following the special instructions for serial cataloging listed in GPO-CG: Serials.

SOURCES OF INFORMATION:

1. The sources of information used to catalog technical reports are generally the same as those used to catalog other documents that belong to the same class of material (e.g., printed books, pamphlets, electronic resources, microfiche, online files, etc.).

2. Technical report documentation pages that normally appear in printed technical reports and microfiche reproductions of printed reports are treated as preliminaries in U.S. documents if they appear in front of the title page. See LCRI, Appendix D: Glossary.

3. Technical report documentation appearing in other classes of material may be used as a source of information for cataloging purposes if provided for in the chapter for that class of material.

4. Standard Technical Report Numbers are normally transcribed from technical report documentation pages and recorded in variable field 027 in both abridged-level and full-level records.

NEW TECHNICAL REPORT RECORDS: GPO abridged-level cataloging standards are normally followed by GPO when creating new technical report records. Exceptions are listed in GPO-CG: Abridged Cataloging.

1. New records for technical reports issued in a tangible form are usually created by GPO following the instruction in GPO-CG: Abridged Cataloging.

2. New records for technical reports that are online files are created following the instruction in GPO-CG: Electronic Resources.

ADAPTING EXISTING RECORDS: The general GPO instructions and policies in GPO-CG: Adapting OCLC Database Records are followed when adapting existing records for technical reports.

1. Minimum-Level Records: If there is an existing minimum-level OCLC record that can be adapted or cloned to catalog a newly received technical report, the existing record is either adapted or cloned by GPO following:

   A. GPO-CG: Abridged Cataloging, if a printed document or microfiche document is to be cataloged.

   B. GPO-CG: Electronic Resources, if an online file is to be cataloged.

2. Full-Level Records:

   A. Adapted Records: If there is an existing full-level OCLC record that can be adapted to catalog a technical report, it is adapted following the special instructions below in addition to the general instruction in GPO-CG: Adapting OCLC Data Base Records.

   B. Cloned Records: If there is an existing full-level record for a technical report in one format, usually paper, that can be cloned to create a new record for the same technical report in the format in hand, usually microfiche, a new full-level record is created. If the existing record is coded full-level but does not meet full-level standards, the new record is coded K-level.

SPECIAL TECHNICAL REPORT CATALOGING INSTRUCTIONS: The instructions below are applied when creating new full-level records for technical reports and when adapting existing full-level and minimum-level records.

1. Fixed Field Coding:

A. Cont Fixed Field: All records for technical reports cataloged following full-level standards must have the code "t" for technical report in the **Cont** fixed field. GPO inputs the code "t" in the **Cont** fixed field of all new and existing full-level technical report records it creates or adapts, if it is not already included. GPO retains the code "t" in all technical report records (full-level and minimum-level) it adapts. It does NOT input the code "t" in existing minimum-level records, if not already included. Examples:

Cont: t (Used in all full-level records and in existing OCLC minimum-level records, if "t" is already present.)

Cont: (Blank, in new abridged-level records)

B. DtSt Fixed Field: Some OCLC records for technical reports have the code "e" for detailed date in the **DtSt** fixed field. The code "e" is retained in existing OCLC records (full and minimum level), if correctly used. GPO does NOT input the code "e" in the **DtSt:** fixed field of new records. Example:

DtSt: e (All existing records)

2. Variable Fields:

A. Required Variable Fields: Special fields are required in full-level cataloging records for technical reports. The special fields for GPO technical report full-level cataloging records are:

027 Standard technical report number (Also required in GPO abridged-level records.)

513 Type of report and period covered note
Subfield "a" -- Type of report
Subfield "b" -- Period covered

536 Funding Information Note (Required when information available)
Subfield "a" -- Text of note
Subfield "b" -- Contract number
Subfield "c" -- Grant number
Subfield "d" -- Project, task, work unit (funding) number

If any of the information appropriate for one of the technical report fields is already being used elsewhere in the record (title, series, imprint, etc.) it is not repeated in any of the special technical report fields.

i. 027 Field: Standard technical report numbers (STRNs) are recorded in the 027 field in both full-level and GPO abridged-level records. For details, see GPO-CG: Abridged Cataloging, and Report Numbers.

ii. 513 Field: If a technical report is cataloged as a full-level document, a 513 field is included to identify the type of report and period covered. Information for this field may be taken from one of the prescribed sources for areas 1 and 2 or from the report documentation page, bibliographic data sheet, etc.

Subfield "a," Type of report, is used when the wording on the document indicates what kind of report it is. Examples:

Quarterly progress report	Final report
Contractor report	Research report
Technical report	

Any wording on the technical report documentation page, in the space marked "Type of report", should be transcribed in the 513 field, unless it repeats information given elsewhere in the cataloging record, for instance, in the series note or in the title.

If different but similar wording appears on other sources, prefer the form of information on the documentation page. Examples:

Documentation page:	Technical
Title page:	Technical report
513 field:	Technical

Subfield "b," Period covered, is used for the inclusive dates of coverage of the report. This information is normally given on the documentation page in the area labeled "Period covered." Examples:

Documentation page:	Oct 80 - July 1983
513 field:	Oct 80 – July 1983

Punctuation and spacing, but not necessarily capitalization, should be transcribed as on the document.

iii. 536 Field: If a technical report is cataloged Full-Level, a Funding information note is included in field 536, to identify financial sponsorship, as well as contract, grant, project, task, and work unit or other funding numbers.

No indicators are defined for the 536 field. These subfields are:

Subfield “a” -- Text of note
Subfield “b” -- Contract number
Subfield “c” -- Grant number
Subfield “d” -- Project, task, work unit (funding) number.

Subfield “a” is used to record the corporate body financing the work. This body will typically be named in a "Sponsored by ..." or "Prepared for ..." statement on a prescribed source, or it will appear in the space labeled "Sponsoring agency name and address" on the technical report documentation page. Either the complete unabbreviated statement from the title page, or only the name itself from the documentation page, may be used.

Added entries for sponsors are not made when another government body is the publisher, except for sponsors of conferences. See LCRI 21.30E. The 536 subfield “a” is omitted in full-level records when the sponsoring body is named in the 260 field.

"Sponsored by ...", "Prepared for ..." and similar statements will not be recorded in the title and statement of responsibility area for technical reports, except when they are inextricably combined with "Prepared by ..." statements. Examples:

Document: Prepared for Y.
536: Prepared for Y.

Document: Prepared by X, prepared for Y.
245: >c prepared by X.
536: Prepared for Y.

Document: Prepared by X for Y.
245: >c prepared by X.
536: Y.

Document: Prepared for Y by X.
245: >c prepared for Y by X.

Subfields “b,” “c,” and “d” will appear in the Monthly Catalog contract number index. The preferred source for these numbers is the documentation page.

The 536 field should be formatted as follows:

Sponsored by U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research. >b A 2223. >d DOE 40-550-75.

OR

536 U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research. >b A 2223. $d DOE 40-550-75.

B. Other MARC21 variable fields and subfields: Optional variable fields and subfields that appear in existing technical report records adapted by GPO are retained in OCLC database records, if correctly used.

i. 1XX, 6XX, 7XX fields

a. Subfield "4" (Relator code)

b. Subfield "u" (Author affiliation)

ii. 504 field, subfield "b" (number of references)

iii. 580 field (Linking Entry Complexity Note)

iv. 653 field (Index Term-Uncontrolled)

v. 76X-78X fields (Linking Entries)

SEE ALSO: Abridged Cataloging; Adapting OCLC Data Base Records; Contractors and Contract Numbers; Corporate Bodies Access Points; Creating New OCLC Database Records; Statements of Responsibility.

List of Changes as of 03/25/2002

Name of Guideline	Changes Made	Page Numbers
Title Page	Added date of last change	Iii
Title Page Verso	Added information on plan for updating the 4th ed.	Iv
General Table of Contents	Changed name of guideline on computer files to electronic resources	V
List of Standards	Added three additional standards to list, updated URLs to online versions of several standards, and deleted one standard.	2-4
Abridged Cataloging	Added instructions regarding sources to consult when transcribing bibliographic data into cataloging records for microfiche reproductions.	7
	Modified 007 field instructions.	8
	Added additional instructions on identifying personal authors (100 field).	9
	Added example to title and area of responsibility instructions (245 field).	9
	Added reference to LCRI 21.30J to instructions on title added entries (246 fields).	9
	Added additional instructions on recording "Publication, Distribution, Etc., Area" information (260 field).	10
	Added instruction on recording information in the "Physical Description Area" (300 field).	10

Abridged Cataloging (cont.)	Added additional instructions on recording series statements (490 field).	10
	Added additional instructions on recording notes. (500 field).	11
	Added instructions on recording information in "Reproduction Notes" (533 field).	11
	Added instructions on including added entries for National Aeronautics and Space Administration or for Educational Resources and Information Center in documents where appropriate (710 field)	12
Adapting OCLC Data Base Records	Added additional instructions on adapting records with 055, 060, 070, and 071 fields.	23
Authority Records	Added additional sources to list of sources consulted.	28
	Added additions to list of authority record liaison's responsibilities.	34
Electronic resources	Changed name of Guideline from Computer Files to Electronic Resources. Replaced former definition with new definition.	60
	Added new instruction requiring catalogers to make separate records for tangible and online versions have different contents.	62-63
	Changed instructions on cataloging online documents appearing in more than one electronic format, e.g. PDF, HTML, etc.	64-65
	Deleted requirement to add PDF only to additional form available note (530 field) or to the mode of access note (538 field).	66

Electronic resources (cont.)	Added SuDocs Class examples (086 & 099 fields).	66-67
	Deleted (PDF only) information from 530 field example.	66
	Revised instructions on distribution notes on records for tangible documents	67
	Revised instructions on including and retaining 006 and 007 fields in electronic resource records.	71-72
	Added additional instructions to the "260 Field: Publication, Distribution, Etc., Area" instructions indicating that distribution and sales statements that pertain to tangible versions	72
	Corrected example following the "538 Field: System Requirements" note instructions and added an additional example (538 field).	73
	Added new "500 Field: Paper Version Available for Sale" note instructions.	73
	Changed instructions to indicate that "500 Field: Not Distributed Notes" are no longer added to GPO records.	74
Item Numbers	Added instructions on recording items when publication is distributed in a different format than documents belonging to the same documents are normally distributed.	76-77
	Replaced the word DVD with the word DVD-ROM.	77

Linking Fields	Minor revision to explanation of function and purpose of linking field coding.	81
	Added instructions on inclusions of distribution notes in records for online versions and changing first indicator in 776 field when distribution note added.	85-86
Microfiche	Added additional details on transcribing bibliographic data in records for microfiche reproductions.	92
Multiparts	Added additional detailed instructions on creation or use existing collective records to describe multiparts that are distributed or made available in more than one format: paper, microfiche, CD-ROM, DVD-ROM, or online.	99-100
Notes	Added source of title proper instructions (500 field).	107
	Added instructions for notes added to records when an ERIC microfiche versions has been distributed to depositories after another version has been distributed and cataloged (500 field).	108
	Added additional instructions on bibliographic references notes (504 field)	110
Publication, Distribution, Etc., Area	Added example of date transcribed (260 subfield “c”) from the edition statements as per instructions in AACR2 1.4F 1 and example of publication date derived from the most recent of two dates appearing in a publication that are not publication dates.	129
	Revised explanatory information regarding publication date examples.	130

Sales Information	Added example to instructions on recording ISSNs in series statements in the 440 and 490 fields.	135
	Removed unneeded comma from U.S. G.P.O., Supt. of Docs [Congressional Sales Office] example.	138
Subject Headings	Added additional background information on subject headings and their establishment.	164
	Added additional information on source to consult when establishing subject headings.	165
	Added instructions on verifying existing subject headings and adding subject headings to existing records and cloned records.	166
Subject Headings (cont.)	Revised and expanded instructions on treatment of subject headings appearing in existing and cloned records that are not Library of Congress Subject Headings.	168
	Added additional details on establishment Library of Congress Subject Headings.	169-170