GPO CATALOGING GUIDELINES

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Please Note: *These guidelines are updated frequently. Superseded text is replaced by new text or deleted. The PDF version is published semiannually.*

Introduction

The U.S. Government Publishing Office (GPO) Cataloging Guidelines were developed by staff in the Library Services and Content Management (LSCM), Bibliographic Control and Metadata Section with assistance from staff throughout LSCM. These guidelines are intended to provide specific examples and practices that are unique to the cataloging and creation of various types of metadata for U.S. Government information published by all three branches of the Federal Government and in all formats. These guidelines are used by staff at GPO but are also intended for use by staff in Federal depository libraries and library staff in other institutions who handle, process, or use U.S. Government information.

The practices outlined in the guidelines are utilized in the creation of bibliographic (MARC) records, which are made available through the [Catalog of U.S. Government Publications](#) (CGP), an online catalog of U.S. Government information products. In addition, these bibliographic records are available to Federal depository libraries, other libraries, partners, and commercial vendors through various distribution mechanisms. Bibliographic records produced using these guidelines and other recognized standards and practices are also made available through OCLC, a worldwide bibliographic network. Other metadata schemes, such as ONIX and Dublin Core, are also utilized by GPO for describing U.S. Government information.

List of Standards

When creating metadata records, GPO follows national standards unless stated otherwise in these guidelines. Below is a listing of the standards followed by GPO.

Bibliographic

Anglo-American Cataloguing Committee for Cartographic Materials. *Cartographic Materials: A Manual of Interpretation for AACR2, 2002 Revision*. Chicago: American Library Association, 2003, with updates.

Anglo-American Cataloging Rules. 2nd ed., 2002 revision, 2005 update. Prepared under the direction of the Joint Steering Committee for the Revision of AACR2.Chicago: American Library Association, 2005.

BIBCO Participants' Manual. Washington, DC: Library of Congress, 2008. http://www.loc.gov/aba/pcc/bibco/documents/bpm.pdf

Canadian Library Association, Chartered Institute of Library and Information Professionals (Great Britain), Joint Steering Committee for Development of RDA. *RDA: Resource Description and Access*. Chicago: American Library Association, 2011.

CONSER Cataloging Manual. Washington, DC: Library of Congress, 2006.

CONSER Editing Guide. 2003 cumulation with updates. Washington: Library of Congress: Distributed by the Library of Congress, Cataloging Distribution Service.

CONSER Standard Record (CSR) Guidelines. Washington, DC: Library of Congress, 2010. http://www.loc.gov/catdir/cpso/conserdoc.pdf

Integrating Resources: A Cataloging Manual. 2011 revision. Washington, DC: Program for Cooperative Cataloging, 2011. http://www.loc.gov/aba/pcc/bibco/documents/irman.pdf

Library of Congress. Office for Descriptive Cataloging Policy. *Cataloging Rules for the Description of Loose leaf Publications*. 2nd ed. Washington, DC: Cataloging Distribution Service, Library of Congress, 1989. http://www.itsmarc.com/crs/mergedProjects/looself/looself/contents.htm

Library of Congress. Policy and Standards Division. *Descriptive Cataloging Manual Z1: Name and Series Authority Records*. Washington, DC: Cataloging Service, Library of Congress, 2013. http://www.loc.gov/catdir/cpso/dcmz1.pdf

---. *Library of Congress Rule Interpretations*. Washington, DC: Cataloging Distribution Service, Library of Congress.

---. *Subject Headings Manual*. 2008 edition with updates. Washington, DC: Cataloging Distribution Service, Library of Congress.

Library of Congress. Network Development and MARC Standards Office. *MARC 21 Format for Authority Data*. 1999 ed. With updates. Washington, DC: Library of Congress, Cataloging Distribution Service.

---. *MARC 21 Format for Bibliographic Data*. 1999 ed., with updates. Washington, DC: Library of Congress, Cataloging Distribution Service.

NACO Participants' Manual. 3rd ed. Washington, DC: Library of Congress, 2005. http://www.loc.gov/aba/pcc/naco/documents/npm3rd.pdf

OCLC. Bibliographic Formats and Standards. 4th ed. Last modified October 2011. http://www.oclc.org/bibformats/en.html

---. *Enhanced Training Outline*. Rev. Jay Weitz. Rev. March 2004. http://www.oclc.org/support/services/worldcat/training/enhanceoutline.en.html

---. *Guidelines for National Level Enhance Participants*. Rev. Jay Weitz. May 2000. http://www.oclc.org/support/services/worldcat/documentation/records/enhanceguidelines.en.html

SACO Participants' Manual. 2nd ed. Washington, DC: Library of Congress, 2007. http://www.loc.gov/aba/pcc/saco/documents/SACOManual2007.pdf

Classification

Library of Congress. *Classification Web*. Washington, DC: Library of Congress, Cataloging Distribution Service.

United States Government Printing Office. *GPO Classification Manual: A Practical Guide to the Superintendent of Documents Classification System*. Ed. Marian MacGilvray. Washington, DC: Library Programs Service, Superintendent of Documents, U.S. Government Printing Office, 1993. https://www.fdlp.gov/file-repository/gpo-cataloging/1172-gpo-classification-manual

List of Classes of United States Government Publications Available for Selection by Depository Libraries. Washington, DC: U.S. Government Publishing Office.
https://www.fdlp.gov/requirements-guidance/instructions/281-list-of-classes

Other Metadata Schemes

Dublin Core Metadata Element Set, Version 1.1. Dublin Core Metadata Initiative, June 2012.
http://dublincore.org/documents/dces/

ONIX for books 2.1 specification. ONIX International Steering Committee, February 2005.
http://www.editeur.org/15/Previous-Releases/

Other

Chicago Manual of Style: the Essential Guide for Writers, Editors, and Publishers. 16th ed. Chicago: University of Chicago Press, 2010.

United States Government Printing Office. *United States Government Printing Office Style Manual*. Washington, DC: U.S. Government Printing Office, 2008.
http://www.gpo.gov/fdsys/pkg/GPO-STYLEMANUAL-2008/pdf/GPO-STYLEMANUAL-2008.pdf

Cooperative Associations

GPO continues to be heavily involved in cooperative cataloging and metadata activities with members of the Federal Depository Library Program (FDLP) community and the library community at large. GPO is an active participant in all components of the Program for Cooperative Cataloging (PCC) which is managed by the Library of Congress, including BIBCO, CONSER (Cooperative Online Serials), NACO (Name Authority Cooperative) and SACO (Subject Authority Cooperative). GPO has been a member of OCLC since 1976 and contributes bibliographic records for U.S. Government information to the international database on a daily basis. Since 2010, GPO has formed cooperative cataloging partnerships with Federal depository libraries to exchange metadata for fugitive material as well as for digitized collections on historic publications.

Questions

Questions on the GPO-specific practices outlined in the guidelines should be submitted via askGPO. Please indicate "Cataloging: Policies & Practices" in the subject area

Bibliographic Cataloging
Overview
Sources
Use the Bibliographic Cataloging sections in conjunction with the following sources:

- RDA and associated LC-PCC PSs
- AACR2
- Library of Congress Rule Interpretations
- MARC 21 Format for Bibliographic Data
- PCC Post-RDA Test Guidelines
- OCLC. Bibliographic Formats and Standards. 4th ed. Last modified October 2011.
- Announcement: Final date for BIBCO and CONSER AACR2 bibliographic records: December 31, 2014. (http://www.loc.gov/aba/pcc/documents/Final-date-AACR2-PCC-Bib.html)
- Provider-Neutral E-Resource MARC Record Guide. Washington, DC: Program for Cooperative Cataloging, 2013.
- 264 Field PCC Guidelines
- PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile
- Final Report: PCC Hybrid Bibliographic Record Guidelines
- PCC Guidelines for Enhancing & Editing non-RDA Monograph Records
- PCC Guidelines for Enhancing & Editing non-RDA Serial Records
- Guidelines for Creating a Hybrid Record from a pre-RDA Record for an Integrating Resource
- Training Manual for Applying Relationship Designators in Bibliographic Records, 2015. (http://www.loc.gov/aba/pcc/sct/documents/rel-desig-guide-bib.pdf)
- RDA CONSER Standard Record (2016)
- CONSER RDA Cataloging Checklist (http://www.loc.gov/aba/pcc/conser/documents/CONSER-RDA-checklist.doc) (consult the RDA CONSER Standard Record first)
- CONSER Guidelines for Working with Existing Copy, 2014. (http://www.loc.gov/aba/pcc/conser/documents/WorkingWithExistingRecords.doc)
- CONSER RDA Core Elements (consult the RDA CONSER Standard Record first)
- CONSER MARC 21 to RDA Core Elements (consult the RDA CONSER Standard Record first)
- CONSER Cataloging Manual (CCM) – see Bibliographic Cataloging: Serials
- CONSER Editing Guide (CEG) -- see Bibliographic Cataloging: Serials
- BIBCO Participants Manual (via Cataloger's Desktop)
- Integrating Resources Manual (via Cataloger's Desktop)
- RDA Record Examples:
  - http://www.loc.gov/catworkshop/RDA%20training%20materials/SCT%20RDA%20Records%20TG/index.html
  - http://www.rdatoolkit.org/examples/MARC

What LSCM Catalogs

Material Distributed, in any format, through the FDLP: records must always include an item number in the 074 field, unless the title was distributed prior to the implementation of item numbers in the Monthly Catalog of U.S. Government Publications. The digitized version of these titles also would not contain an item number; in such cases a note is included to indicate why an item number is not present in the record. Some records will contain 776 linking entry fields, even if a link goes to a non-distributed format.

Material within Scope of the Cataloging & Indexing Program (C&I): publications issued by the Federal Government but not distributed through the FDLP. The C&I Program aims to create a comprehensive index of all Federal documents that are not confidential in nature. For example, a record for a publication marked for administrative or official use only will not include an item number in the 074 field but will contain a SuDoc number in the 086 field. A 500 note that reads "Not distributed to depository libraries" should be included in the record. This note is only included in administrative or official use only publications.

Example

OCLC *42333264, System No. 511176

086 HE 20.3402:SCI 2/2

500 "For administrative use only."

500 Not distributed to depository libraries.

[No item number in record]

Likewise, the record for a tangible version of a publication distributed to the FDLP only online will not include an item number in the 074 field but will contain a SuDoc number in the 086 field. A 500 note that reads "Format not distributed to depository libraries" should be included in the record. Beginning November 1, 2016, prefer in the note, to additionally specify the format of the record itself (that is, the record in which you are recording the note), e.g.:

Example

500 Print format not distributed to depository libraries.   (In record for print format)

500 Microfiche format not distributed to depository libraries.   (In record for microfiche format)

500 DVD format not distributed to depository libraries.   (In record for DVD format)

500 Computer disc format not distributed to depository libraries   (In record for computer disc format)

Use this same note, even if no formats of the publication are distributed, as long as the publication is not for administrative or official use only. The most common instance of this is when a tangible document is not distributed, but the corresponding online version is not found. In this case, use one of the notes above. Do not use "Not distributed to depository libraries," because the online version may become available at a later time.

- **Historic Material: publications from the legacy collections, including GPO's Historic Shelflist, the Monthly Catalog, and cooperative cataloging partnerships with depository libraries.**

In order to ensure the data integrity of the Catalog of U.S. Government Publications (CGP), LSCM staff should NOT import records from OCLC or other library catalogs for titles, resources, or formats that do not fall into one of the above three categories. Records that do not come under one of the above three categories, should not, in OCLC, be Produced (meaning the specific function containing the word "Produce"), have Holdings Updated, or display "Held by GPO."

All new bibliographic records created by LSCM will contain both a holdings record and an item record in the CGP (some bibliographic records may contain multiple Item records).

Separate Record Policy

LSCM creates bibliographic records following the separate record approach. The switch from the single record approach in 2008 was undertaken at the request of the Federal depository library community. The separate record approach refers to creating or utilizing separate records for each format or manifestation: print, microfiche, CD-ROM/DVD, or online (remote electronic). The single record approach refers to one, single record being used to describe more than one format or manifestation.

Background

In the 1980's, GPO began adding distribution notes for microfiche versions to records for the print publications. The first GPO procedures for cataloging electronic resources were developed in the early 1990's, and focused on resources available from the Federal Bulletin Board (FBB). The FBB resources were cataloged separately from the tangible versions of those publications. In 1995 CONSER adopted the single record approach, which is described in the CONSER Cataloging Manual module 31. GPO began applying this approach in the same year, and developed the first set of comprehensive instructions for cataloging electronic resources, "Preliminary Instructions on Recording Access Information for Remotely Accessible Files". These instructions were designed to minimize the amount of time devoted to cataloging remote electronic resources because of their transitory nature, and called for the inclusion of 530 and 538 notes in the tangible record. Links to the online resource (URLs or PURLs) were added to the tangible record, resulting in a single record approach. With GPO's adoption of FDsys, and its need to meet the requirements of FDsys for individual records, as well as the adoption of an Integrated Library System (ILS) with which GPO could finally record comprehensive holdings, GPO found a greater need for separate records for each format.

Procedures

GPO follows BIBCO and CONSER policy for cataloging print, microfiche, and electronic resources, as appropriate for monographs or continuing resources. Reciprocal links between separate formats via the 776 field are included, regardless of whether the format linked to is held or distributed by GPO. A 776 link may be made to a record that is not in the CGP, but only exists in OCLC. These 776 links are retained in the CGP – they are not removed before exporting the record to the CGP.

When adding a 776 link to a tangible document record found in OCLC, an important distinction must be made between a record for which the cataloger does not have the item (or piece or format) in hand, and a record for which the cataloger does have the piece in hand. The concept of "having an item in hand" includes access to shelflist cards, Monthly Catalog entries, surrogates, and bibliographic records received from partner libraries. In such cases, regardless of whether or not that format is distributed, that format is given full cataloging treatment. The cataloger will add all relevant information to the record, claim the record via his/her appropriate 955 code, and export the record to the CGP. The appropriate procedures are followed, according to whether the format is distributed or cataloged for C&I only (meaning not distributed), has a brief bibliographic record, and is a monograph, serial, or integrating resource.

If none of the conditions of having the format in "hand" exist, the cataloger must still search OCLC for records for the tangible format which is not in hand. The cataloger selects the best record for this format, and merely adds a 776 linking entry that points to the GPO online record. The GPO online record should contain a reciprocal link to this record for the tangible format, even though it will not be in the CGP. Once the 776 link is added to the OCLC master record of a format not in hand, that record is replaced. The record will show no holdings in GPO.

Unlike the formats in hand, this record is not exported to the CGP. It is left in OCLC. Since this record is not being exported to the CGP, the cataloger cannot claim the record via the appropriate 955 code. Consequently, the cataloger should only spend the short time needed to add the 776 field to the record, and replace it in OCLC. This update is reported in the Cataloger's Daily Statistics under Database Maintenance, even though the database, in this case, is not the CGP but OCLC.

When performing retrospective cataloging for which an older record is found that combines data for multiple formats, the cataloger generally "splits" such a record into two (or more) records, each describing a single format. The existing record retains its primary format, as coded in the fixed field, Form: Form of Item, 008/23, while the data representing the additional format is essentially transferred to a newly created or adapted record, which represents only that additional format. (Some older records may combine three formats, thus resulting in three records from one.)

The same general procedure is followed when a single-record approach record exists in the CGP, but a separate record is then needed for the online version. A new record is created for the online version; each record in the CGP will then follow the single-record approach.

When an older record that uses the single-record approach, is found in OCLC, but is not present in the CGP even though it should be, the cataloger should create (or adapt) a new record for the additional format, update holdings or replace that record, and export both records to the CGP. In effect, the cataloger "splits" the single-record approach record into two records that use the

separate record approach. The only caveat is that the cataloger should retain the online information (856, 074, 538, 530, etc.) in the OCLC master record, but remove it from the CGP record.

Example

OCLC *54771159

Created by GPO, this microfiche record was found in OCLC displaying "Held by GPO," but was not in the CGP. It contained additional information for the online version in the 074, 530, and 856 fields. These fields were retained in the OCLC master record, but removed from the CGP record. A 776 field was added, which linked to:

OCLC *939699193: a record that the cataloger created for the online version. This record was created and exported to the CGP.

When a new online record is created using the same PURL that already existed in an older record that utilized the single-record approach, the new record may be exported to the CGP using the New (Alt + N) macro, even though it contains an old PURL. In these and other cases, older PURLs are allowed in the New Electronic Titles (NET) list.

Exceptions

Exceptions to the separate record approach are few. If the cataloger knows that a single issue of a serial was distributed in a tangible format (usually microfiche or print), in order to fill the holdings of an electronic resource record, a separate record need not be created for that format. For example, a single missing issue of an online serial is procured in print, sent for filming, and distributed to depository libraries in microfiche. A separate microfiche record need not be created. Instead, data for the distribution of that particular issue, such as a 500 distribution note and a 074 for the format, should be noted in the online record.

A second exception to creating or utilizing separate records may be made when a cataloger is performing retrospective work. This frequently occurs when correcting errors in old records, in response to customer inquiries. Whenever possible, the cataloger should create separate records for such retrospective work, where separate formats have been processed by GPO. When searching OCLC, the cataloger may find one of the following four situations: no records are found, a record for the format in question is found, a record is found for a different format that describes only that different format (separate record approach), or a record is found for a different format that also has information for the format in question (single record approach). In the last situation, an exception may be made to the separate record approach when expediency, other priorities, or workload requirements make the creation of a separate record inefficient. In such cases, usually where old, longstanding GPO records exist, the cataloger may make the necessary corrections or updates to the single record which technically describes a different format, but includes information for the format in question. For example, an old multipart monograph print record, in the CGP, is held by GPO on OCLC with many holdings (say 163) and the record has a PURL. The customer notes that part 2 is not available in the PURL. The cataloger adds part 2 to the PURL, which solves the customer's inquiry without the need for any cataloging. Alternatively, the cataloger may decide to go ahead and clone a new

online record from the tangible record, because his/her workload is minimally affected. On the other hand, this particular multipart may contain 24 parts, but only 4 are available online, therefore the cataloger decides not to create a separate online record.

When correcting errors in an old single-approach record (for example, typos, punctuation, MARC indicators, tag numbers or subfield codes, access points, SuDoc or item numbers, etc.), it is not necessary to create an additional record for the secondary format described by the record (usually online or microfiche). Other situations may be decided on a case-by-case basis by supervisors.

A slight deviation from the separate record approach is GPO's policy for cataloging ebooks. Federal agencies have been showing an increased interest in providing their content in eBook format. Therefore, GPO has begun including ebooks in the CGP. GPO has decided to treat ebooks as an additional online (remote electronic) format; therefore, the ebook versions of a title are made available through the PURL of the online version record. A separate record is not created for the ebook. The record is based on the PDF version whenever possible.

Original Cataloging

Original cataloging is done following RDA standards. Exception: See Question Number 4 of: Announcement: Final date for BIBCO and CONSER AACR2 bibliographic records: December 31, 2014. Also, see this same exception in the following two sections of LC-PCC PS for 1.11: "Cloning from existing records for the original print resource" (in the Microform section) and "Cloning from existing records for the original resource" (in the Print on Demand section).

When creating an original record, catalogers follow these steps:

- Create an OCLC record
- In OCLC, Update Holdings (F8) or Produce and Update Holdings (Shift+F7)
- *For non-distributed formats (C&I) only*: Delete holdings
- Make edits for local practices
- Export the record to the CGP
- Follow additional instructions in forthcoming Cataloging Guideline chapter, *Processes for Updating and Exporting OCLC Records to the Catalog of U.S. Government Publications*

During exporting, be sure to include the OCLC number in the 001 field. Also, the correct code should be used in the 049 field in order to create an item and/or holdings record in ALEPH. The cataloger should also use the 955 "new" (Alt+N) macro, which will include their code, the date, and identify the record as new. If the record is part of a cooperative cataloging partnership agreement, a 955 field with the words "CATPART" should always be included. More detailed instructions will be issued in a forthcoming chapter of the Cataloging Guidelines, with the tentative title (as of October 2016): Processes for Updating and Exporting OCLC Records to the Catalog of U.S. Government Publications.

Encoding Level (ELvl): GPO uses only three encoding levels: blank, I, or 1. Blank or I must be used with the piece in hand; 1 may be used without the piece in hand.

Original records are coded at the highest level possible: PCC level. The fixed field ELvl: = blank (Full-level). Also, code the fixed field Srce: = c (Cooperative cataloging program), and the 042 field: pcc. All access points in a PCC record must be authorized, including personal names. If a personal name access point in a record cannot be authorized, the record is coded at I level. If

other name or subject access points in the record cannot be authorized, the record is coded alevel. For I level records, code the fixed field Srce: = d (Other), and do not add a 042 field, since I level records are not PCC.

For retrospective cataloging without the item in hand, the record may be coded with ELvl: = 1 (Full-level, material not examined).

While authority work is pending, Congressional and other priority publications can be produced at I level with unauthorized (i.e., uncontrolled) access points, to be updated to PCC level upon completion of the authority work.

Copy Cataloging

As an OCLC member, GPO adapts appropriate OCLC database records to catalog the documents it acquires 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. 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 OCLC master records are changed as little as possible. For example, GPO normally does not insert a corporate body into a 110 field when the record lacks a 110 field. Nor does GPO move information on a corporate body that could be recorded as part of the title, as a statement of responsibility, or as the publisher—unless this information is incorrect according to the cataloging standards used by the original cataloging agency or, if re-describing (re-coding) to RDA, must be changed in order to adhere to new standards.

When multiple records for the same title exist in OCLC, catalogers select the most appropriate record to adapt by examining the encoding/authentication level, the date of creation, and the institution creating the record (DLC or PCC records would be given preference). Duplicate records may be reported to OCLC if the cataloger has time by sending a Report Error message (under the Action menu) in OCLC or using a WorldCat and Authority Record Quality Control Request form.

While adapting an existing record, GPO does not remove information from the OCLC master record in order to apply local practices. GPO will upgrade the record to either I level or PCC level, if possible. In general, corrections will only be made for information that is incorrect or not in accordance with the cataloging standard being used for the record. GPO will not change information which is correct under either AACR2 or RDA, even if it does not adhere to GPO local policies. Those changes, if considered important, may only be made to the record in the CGP. Specific instructions regarding modifications to be made only to the record in the CGP may be found under sections for the relevant MARC fields in various chapters of the Cataloging Guidelines, and in the forthcoming chapter, *Processes for Updating and Exporting OCLC Records to the Catalog of U.S. Government Publications*. In general, do not take time to perform a change to the CGP version of an adapted record that solely comprises a GPO stylistic preference, but has no bearing on a GPO-specific function such as classification, distribution, or shipping list number

> Example
>
> An adapted record contains:
>
> 500 Caption title.
>
> Do not change this note in the OCLC master record. While GPO prefers the form "Title from caption," do not bother changing this note, even in the CGP record only; it is not that important.

Consult and follow: [Announcement: Final date for BIBCO and CONSER AACR2 bibliographic records: December 31, 2014](#). The two quoted sentences below are from this Announcement.

Adapting PCC Pre-RDA Records

PCC level AACR2 monograph records (BIBCO authenticated records) should not be converted to RDA. PCC level AACR2 serial records (CONSER authenticated records) generally need not be converted to RDA, especially if only a few changes are being made. In such cases, AACR2 treatment should be retained. However, if the cataloger is extensively revising the serial record, and finds it faster to convert to RDA, the cataloger may do so. "CONSER catalogers should consult the [CONSER Guidelines for Working with Existing Copy](#) for specific instructions." According to Question number 2 of the above-cited Announcement, "However, for integrating resources, you should convert to RDA if your edits are based on a later iteration." Otherwise, PCC level AACR2 records do not need to be re-coded to RDA; AACR2 treatment should be retained.

Adapting Non-PCC Pre-RDA Records

However, for non PCC records (unauthenticated records), catalogers *may* re-describe/re-code any record that has been cataloged according to a non-RDA code, to RDA. Do this only with the "piece in hand" in order that all necessary bibliographic information is available. Before re-coding the record to RDA, the entire record must be examined and adjusted as needed. Re-coding of an AACR2 record is not necessary and should only be done when it will save the cataloger time. When making minor edits to a record, there is no need to re-code. When a non-PCC level AACR2 record cannot be authenticated to PCC level, due to unauthorized personal name access points or other reasons, it is not necessary to re-code the record to RDA.

When updating any record to make minimal or specific changes, such as corrections, clarifications, class changes, adding a 776 field, etc., it is not necessary to re-code the record to RDA or to upgrade the record to PCC.

If, however, the record requires extensive updating of content, as is often the case for serials and integrating resources, the cataloger may find it expedient to convert the record to RDA and upgrade it to PCC level. If for some reason the cataloger cannot upgrade the record to PCC level, he or she may still find it expedient to only convert the record to RDA, but this is not required. In addition to RDA and stylistic updates, updating certain fields (such as the 246, 77X, 787) and their associated indicators, improves the display of these records in integrated library systems

Otherwise, do not change elements unless they are incorrect, inaccurate, unclear, outdated, or missing (such as extent and other elements in a missing 300 field).

Authenticating Non-PCC Pre-RDA Records as PCC

Whenever authenticating a non-PCC non-RDA record, the cataloger must convert the record to RDA. See Question 3 of the above Announcement: "Generally conversion of existing records to RDA is only necessary if the intent is to authenticate the record as PCC. Some existing "non-RDA" records for serials may be authenticated without converting to RDA. CONSER catalogers should consult the CONSER Guidelines for Working with Existing Copy for specific instructions."

Replacing and Exporting Records

When modifying an existing OCLC master record, Replace the record after making the updates, make edits for local practices, and export the record to the CGP. (Exception: records not exported, to which only a 776 field is added in OCLC. See section above, Procedures.) When replacing the master record in OCLC, use one of the following commands:

- Replace and Update Holdings (Alt+F11) – when the record should display "Held by GPO" (for online and tangibly distributed documents)
- Replace Record (Alt+F10) – when the record should display "No Holdings in GPO" (for non-distributed documents and for records updated only in OCLC but not exported)

During exporting, be sure to include the OCLC number in the 001 field. Also, the correct code should be used in the 049 field in order to create an item and/or holdings record in ALEPH. The cataloger should also use the correct 955 macro to include their code and the date. In general, use the Alt+N macro for records new to the CGP which GPO had not previously touched. Generally, use the Alt+U macro for records not new to the CGP, or new to the CGP but previously touched by GPO (occasionally, records cataloged by GPO are found in OCLC that did not make it into the CGP). If the record is part of a cooperative cataloging partnership agreement, a 955 field with the words "CATPART" should always be included. More detailed instructions will be issued in a forthcoming chapter of the Cataloging Guidelines, with the tentative title (as of October 2016): *Processes for Updating and Exporting OCLC Records to the Catalog of U.S Government Publications*.

Cataloging Non-distributed Formats (for Cataloging & Indexing (C&I))

These instructions refer only to formats that were never distributed. They do not refer to continuing resources that are no longer distributed, but were distributed in the past. Such resources are considered "distributed," since these were distributed for part of their existence.

When cataloging a non-distributed format for C&I, an item number (074 field) is not included in the record. Instead, the following are included:

A 500 field such as:

500 Format not distributed to depository libraries.

500 Print format not distributed to depository libraries.

500 Microfiche format not distributed to depository libraries.

500 DVD format not distributed to depository libraries.

500 Computer disc format not distributed to depository libraries.

Etc.

776 08 $i Online version: [etc.] [if an online version is available]

086 0 A SuDoc class number is included

The procedure is:

Create an OCLC record, or adapt an existing OCLC master record.

If creating a new OCLC record, follow the bulleted steps in the above section, Original Cataloging, including the 3rd bullet: "For non-distributed formats (C&I) only."

If modifying an existing OCLC master record, follow the procedure in the above section, Replacing and Exporting Records. Use the command in the second bullet, Replace (Alt+F10). If the record displays "Held by GPO," Delete Holdings.

All OCLC records for C&I should display "No holdings in GPO."

OCLC Maintenance

GPO has been a member of OCLC since July 1976. On a daily basis, GPO contributes bibliographic records to the OCLC database for U.S. Government Publications in all formats. As a member of CONSER (Cooperative Online Serials), GPO continually updates and maintains serial records in OCLC for U.S. Government serial titles. The same is true, although to a lesser degree, for integrating resources records in OCLC. For all other formats, once GPO finalizes its work on a bibliographic record in OCLC, the record is then exported to the Catalog of U.S. Government Publications (CGP). Once this transaction is complete, other libraries may utilize GPO's record in OCLC and modify it if necessary. After other libraries have updated GPO's records, GPO is not responsible for changes made to these records in OCLC and will not go back and make major changes to these records in OCLC at the request of libraries. GPO will only make modifications to GPO records in the OCLC database if at a later date errors are identified through GPO's quality control processes. The Catalog of Government Publications is the authoritative source for all GPO's records and cataloging activity.

Authority Records

For work on subject authority records, either new or updates, follow the procedures in: Subject Cataloging: Subject Heading Proposals, Workflow. For work on name authority records, catalogers who are independent for NACO work may proceed on their own. Catalogers who are under NACO review (NACO trainees) and catalogers who wish to have particular records reviewed, should proofread and submit their authority records for review, along with any supporting documentation. Always include either the tangible publication or the PURL with your authority record. Please complete the bibliographic work prior to submitting an authority record. However, do not produce the corresponding bibliographic record until the authority records have been reviewed and approved by reviewers. Review all reviewer's notes in authority records and double-check that all recommendations have been implemented before completing the authority and bibliographic records.

All bibliographic RDA PCC records must have either RDA or "RDA acceptable" access points. An "RDA acceptable" authority record is one that is coded as AACR2, but the access point

would be constructed the same under RDA. This means the authority record does not contain a 667 note indicating that the record must be reviewed and/or updated when used in an RDA record ("THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED"). The corresponding authority record for each descriptive access point in a newly authenticated RDA PCC record must be checked to ensure that this 667 note is not present. If present, the particular authority record must be re-coded to RDA before being used in a newly authenticated RDA record. If not, the bibliographic record containing the non "RDA acceptable" access point may still be coded RDA, however it may not be authenticated (and would therefore need to be coded I level). To reiterate this point: bibliographic records containing non "RDA acceptable" access points may be coded RDA, but may not be newly authenticated (see paragraph below for records that are already authenticated). This situation will most often occur with personal name access points/authority records needed for non-Congressional publications, since catalogers would not perform authority work on these. A less common situation is seen in the example below. Otherwise, the cataloger would normally update the associated non "RDA acceptable" authority records in order to authenticate the bibliographic record at PCC level. See PCC Post-RDA Test Guidelines for more details.

Finally, if an existing pre-RDA (AACR2 or earlier standard) record contains a non "RDA acceptable" access point, that record can remain at AACR2 or earlier standard, whether it is already authenticated (PCC level) or not. The non "RDA acceptable" authority record need not be upgraded unless the cataloger wishes to authenticate the associated bibliographic record.

Example

OCLC *815525287

245 00 Examination of a size-change test for photovoltaic encapsulation materials : ‡b preprint …

It appears that GPO adapted and authenticated this existing record prior to the implementation of RDA. This resource is an individual conference paper "Presented at SPIE Optics + Photonics 2012, San Diego, California, August 12-16, 2012." GPO has a policy of not providing access points for the conference for individual conference papers, but the record that GPO was adapting contained the following access point:

711 2 SPIE Optics and Photonics Conference ‡d (2012 : ‡c San Diego, Calif.)

Suppose GPO were adapting this record for the first time today, now that RDA has been implemented. Suppose this record is I level and AACR2. No authority record exists for the 2012 conference, but an authority record does exist for the collective conference. However, the record for the collective conference (111 2 SPIE Optics and Photonics Conference) contains: 667 THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED. In order to create an authority record for the 2012 conference, GPO would have to first re-code the record for the collective conference. But GPO would not perform authority work on the conference for an individual conference paper, only for the proceedings (2 or more papers) of a conference. This situation is similar to not performing authority work for a personal name in a non-Congressional publication. Respecting the OCLC cooperative catalog, the partially controlled conference access point (711) is not removed from the record. The cataloger then has two options: (1) leave the bibliographic record as AACR2 and I level, or (2) re-code the bibliographic record to RDA but leave it at I level.

While authority work is pending, Congressional and other priority publications can be produced at I level with unauthorized (i.e., uncontrolled) access points, to be updated to PCC level upon completion of the authority work.

General MARC Field Policy 490 – Series Statement Field

490 – Series Statement Field

Transcription and Tracing Decisions

GPO will transcribe, but not trace, series for the following situations:

- Series of short duration (determined by other elements in bibliographic records and cataloger judgment, e.g., multiple analytics all of which were published in the same year, but none published thereafter, or few analytics that bear a series statement over an undefined interval).
- Series not issued by a U.S. Federal government agency
- Series with indeterminate publication status (e.g., continued growth is uncertain)
- Series that have ceased.

For situations described above, GPO will transcribe a series statement in a 490 field with a 1st indicator coding of "0" for "series not traced." Otherwise, GPO will continue to transcribe and trace series in 490/8XX fields, for which a 490 field is coded "1" (1st indicator) for "series traced."

When in doubt, only transcribe the series statement (490 0_).

This GPO decision aligns with current Program for Cooperative Cataloging (PCC) guidance that allows an option not to trace series in PCC records. This option supplants a former requirement to trace series in PCC records.

Example

Series not traced

https://catalog.gpo.gov/F/?func=direct&doc_number=001003002&local_base=GPO01PUB
1001 United States. Defense Business Board, author.
24510 Focusing a transition, challenges facing the new administration: a report.
4900 DBB report ; FY16-5   → Series transcribed (only) because publication status of the series is yet indeterminate

Series traced

https://catalog.gpo.gov/F/?func=direct&doc_number=000978462&local_base=GPO01PUB
1001 Benaka, Lee R., author.
24510 Action plan for fish release mortality science.
4901 NOAA technical memorandum NMFS-F/SPO ; 160   → Series transcribed
830 0 NOAA tech. memo. NMFS-F/SPO ; 160.   → Series traced because this is a long-running series supported by an underlying series authority record

---

Alphanumeric Series-like Phrases

Alphanumeric phrases that qualify as a series are recorded in a series statement rather than in a report number field. In government documents, such phrases are typically numbered statements of the name, initialism, or part of the name of the government agency from which the series emanates. (See: Series Training for PCC Participants, Session 12: Series-Like Phrases, p. 4, http://www.loc.gov/catworkshop/courses/naco-full%20series-RDA/Session12SeriesLikePhrases.pdf)

Example

https://catalog.gpo.gov/F/?func=direct&doc_number=000678631&local_base=GPO01PUB
490 1_ NOAA-TM-NMFS-SWFSC ; $v 359
830 _0 NOAA-TM-NMFS-SWFSC ; $v 359.
[No MARC 088 field for Report Number]

ISSN and Series/Subseries

Transcribe the ISSN of a series/subseries in 490 $x when it appears on the resource, but do not record it in the 8XX field.

When adapting OCLC master records, retain ISSNs in both the 490 and 8XX fields, but remove the ISSN from the 8XX field before exporting to the CGP.

Example

490 1_ Area handbook series, $x 1057-5294

830 _0 Area handbook series.

Series Numbering as Transcribed Data

Transcribe series numbering in subfield 490 $v. Do not impose GPO spacing conventions that are used for SuDoc classification (086) on series numbers transcribed in 490.

Editions with Identical Series Numbering

Occasionally, an agency publisher re-assigns an identical series volume number to different analytics within the series. Apply the following section of Library of Congress Rule Instruction 1.6G, Numbering within Series: Editions with Identical Series Numbering, dated June 2006, http://www.loc.gov/catdir/cpso/lcri01_6g.pdf:

When a revised edition of an existing work or an edition of an existing work (e.g., translation) is issued by the same publisher in the same series, the publisher may assign a new series number or the original series number to the revision, translation, etc. In the latter case, proceed as if no duplication of numbering exists.

Example

Original work:
OCLC #733953064 / CGP no. 000816589
https://catalog.gpo.gov/F/?func=direct&doc_number=000816589&local_base=GPO01PUB
086 A 13.88:SRS-137
245 Early forestry research in the South
260 … $c [2011]
4901 General technical report SRS ; ǂv 137
830 0General technical report SRS ; ǂv 137.

Revised expression of the work:
OCLC #961270640 / CGP no. 001003450
https://catalog.gpo.gov/F/?func=direct&doc_number=001003450&local_base=GPO01PUB
086 A 13.88:SRS-137/2016
245 Early forestry research in the South
250 Slightly revised, redesigned, and reprinted September 2016.
264 … $c September 2016.
4901 General technical report SRS ; ǂv 137
830 0General technical report SRS ; ǂv 137.

Example

Additionally, it is appropriate to update the Series Authority Record (SAR) with a Series Numbering Peculiarities Note (MARC 641), e.g.:

130 General technical report SRS
641 Some issues with repeated numbering (e.g., 137).

---

074 GPO Item Number

Item numbers provide a way for Federal 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 recorded in the cataloging records for documents which are distributed to depository libraries, including online publications. Item numbers are not recorded in records for tangible versions if they are not distributed.

Item numbers appearing in the current standard form have four digits in the first set of numbers and two digits in the second set of numbers following the letter. In the past, this standard form was not used. Therefore, when editing a record, always change the format of the item number to match the current standard form. This might require inserting zeroes to fill in the necessary digits.

Example

074 0004 NOT 4

074 0015-A NOT 15-A or 15A

074 0040-A-02 NOT 40-A-2

074 0512-G-29 NOT 512-G-29

If a document is an online resource, the item number is followed by "online" in parentheses. Likewise, for a microfiche publication, the item number is followed by "MF" in parentheses.

Example

074 0830-C (online)

074 0830-C (MF)

In the past, MF was spelled out as "microfiche." If updating the record, update the spelled out form to the correct current abbreviation (MF).

When the SuDoc class number assigned to a title changes due to agency reorganization the assigned item number also changes. When this occurs, each item number is recorded in a separate 074 $a field. The 074 fields are arranged so that the earliest item number assigned is recorded in the first 074 field. The 074 field closest to the 245 field is the current item number.

Example

074 0523

074 0523-A-05

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 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.

Example

Single Class

074 0156-K-35

074 0156-K-17

074 0156-K-14

086 0 C 3.223/11:1990 CPH 3-115 A/MAPS

Example

Multiple Classes

074 0 621 (V.1)

074 0 620 (V.2)

086 0 I 19.2:W 68/2

086 0 I 19.3:1620

Item Number Corrections

The subfield "z" is used when an item number is incorrectly recorded in the cataloging record. The correct item number is recorded in subfield "a" and the incorrect item number is recorded in subfield "z." This subfield is used to record both transcription errors and distribution errors. Transcription errors include typos made by the cataloger when the item was first cataloged. Distribution errors occur when an item is distributed under an incorrectly assigned item number.

Depository item numbers appearing in the MARC 074 field in bibliographic records for tangible publications reflect the item number assigned to the publication on the Depository Shipping List. If at any time after distribution of the documents has occurred, an error in the item number is identified, a subfield "z" will be added to the bibliographic record for the incorrect item number and the correct item number will be added to the subfield "a" field.

The same scenario applies for bibliographic records created for electronic publications, only no physical distribution has occurred. If an incorrect depository item number is assigned for an electronic publication, and at a later date an error is identified, the cataloger should add a subfield "z" to the 074 to reflect the incorrect item number. This practice is required because even though a physical document was not distributed, the bibliographic record was distributed through various services.

In both cases, we want to ensure that accurate information is recorded in the CGP and also made available to customers who use GPO's bibliographic record distribution services such as GPO Sales subscription, the Cataloging Record Distribution Program, Z 39.50 access and direct download from the CGP.

In the past, if a document was actually distributed under an incorrectly assigned item number, GPO did NOT move the incorrectly assigned item number to a 074 subfield "z." However, the current policy states ALL incorrect item numbers are recorded in the 074 subfield "z," whether the error was in the transcription of the item number or a shipping list error.

Federal depository libraries should take note, when an item number appears in a subfield "z" it may not indicate the item number itself is invalid, but that the item number as it applies to this particular resource is incorrect. No changes are being made to library profiles or item selections based on this subfield.

A Web Tech Notes entry will be created for errors in item numbers for tangible publications, but a Web Tech Notes entry will not be created for errors in item numbers in electronic records.

086 SuDoc Number

Sources to Consult
GPO Classification Manual, 1993

Background and General Instructions
The SuDoc (Superintendent of Documents) classification system is designed specifically for Federal documents. It has been used by GPO to classify documents for over a century and continues to be developed as the Federal Government grows and changes. The unique feature of this system is the grouping together of publications of any Federal Government author, the various departments, bureaus, and agencies being considered authors. In the grouping, the organizational structure of the Federal Government is followed: subordinate bureaus and divisions are grouped with the parent organization. The class number consists of the class stem (representing the issuing agency) and the individual numbers, letters, characters, etc. following the class stem which represent individual publications. Each publication must have its own unique SuDoc number. (Different formats of the same publication may have the same SuDoc number.) SuDoc classes are recorded in the 086 field: subfield "a" is for the SuDoc number, used by GPO, and subfield "z" is for canceled/invalid/incorrect SuDoc numbers.

When entering or modifying SuDoc numbers in the 086 field, follow the General Number Spacing Policies as described in Bibliographic Cataloging: Monographs Overview. In the past, lower case letters were used in SuDocs. When updating a record which follows this old practice, always capitalize the letters in the SuDoc as well as correcting any spacing issues.

Subfield "z" is used when making class corrections. This subfield should be used when the SuDoc number was incorrectly assigned (e.g. the wrong agency stem was used) or incorrectly recorded (e.g. a transcription error was made by the cataloger). The incorrect class is entered in the $z and the new, correct class is entered in $a. A WebTech Note will also be published for class corrections made to tangibly distributed publications (i.e., to those on a shipping list). WebTech Notes are not published for class corrections made to online (remote electronic) records (i.e., for publications on a web site). WebTech Notes are not published for class

corrections made to tangible publications that are not distributed (i.e., to those not on a shipping list, also known as C&I or "Format not distributed to depository libraries"). Subfield $z is repeated for multiple canceled or invalid classification numbers. Subfield "z" is used for classes that were assigned/recorded in error; it is not used for class changes that result from agency reorganizations.

When the SuDoc number for a title has changed due to agency reorganizations, each correct SuDoc number is listed in a separate 086 $a. The 086 fields are recorded in the order of oldest number to the most current.

Examples of a serial record (OCLC *1640226) containing three correct SuDoc numbers:

Example

086 0 FS 3.3:

086 0 HE 3.3/5:

086 0 SSA 1.22:

Multiparts

The SuDoc number for an open multipart should end with a slash in the catalog record. The volume or part numbers are not included in the 086 field. However, for a complete or closed multipart record, the volume information may be added to the SuDoc number if known (example: A 45.3:A 56/V.1-15). Multiparts which contain multiple 086 fields, one for each part (as part of a numbered series, etc.) are an exception to these rules.

Example

086 0 FEM 1.209:080059/989/

086 0 A 45.3:A 56/V.1-15

Example of a multipart record (OCLC *921308992) containing multiple 086 fields, one for each part:

Example

086 0 Y 4.F 49/20:114-3

086 0 Y 4.F 49/20:114-5

Serials and Integrating Resources

In most cases for serials and integrating resources, only the SuDoc class stem is recorded. This means recording the class up to the colon. In certain cases, such as in the Y 3 classes or with discontinued serials, additional elements, such as a number or cutter, are recorded after the colon. A cuttered SuDoc number for a serial should end with a slash in the catalog record.

Examples of SuDoc numbers for serials:

Example
086 0 Y 1.1/8:
086 0 I 49.129:
086 0 Y 3.N 88:1
086 0 C 55.2:N 76/
086 0 I 49.2:M 76/4/

For more details on SuDoc numbers in serials, see: Bibliographic Cataloging: Serials: 086 – SuDoc Number, and: Bibliographic Cataloging: Serials: Replacement of Monograph Records with a Serial Record.

Microfiche

In the past, GPO cataloged a variety of microfiche, including original microfiche (such as computer output microfiche, or COM), and microfiche issued by other agencies, such as ERIC, GAO, and NASA. As of December 2015, most of the microfiche cataloged by GPO are GPO produced reproduction microfiche. GPO currently distributes Congressionals, the *Code of Federal Regulations* (CFR), and the Bound *Congressional Record* in fiche. Some depository libraries may receive the *Federal register* in microfiche directly from the Office of the Federal Register.

Microfiche have been cataloged different ways over the years; do not go back and re-describe existing microfiche records according to a different standard—leave them according to how they were treated at the time they were cataloged . Through approximately March of 2013, microfiche reproductions were cataloged according to Library of Congress Rule Interpretation (LCRI) 11, which based the description on the original manifestation (or work, as the LCRI put it). Although this practice was often referred to as AACR2 practice, it was actually based on a Library of Congress Rule Interpretation. Beginning in April 2013, microfiche reproductions began to be cataloged according to RDA, which based the description on the reproduction. In February 2015, LC-PCC PS 1.11, essentially re-instated the practice of LCRI 11, thereby reverting the practice to basing the description on the original print resource. This continues to be the current practice.

Current RDA Policies and MARC Fields (February 2015-)

As of February 2015, GPO follows LC-PCC PS 1.11. As under AACR2/LCRI, microfiche are treated as reproductions of the original print publications. Accordingly, the physical description field (300) reflects the print item. A reproduction note field (533) is added with information about the physical qualities of the microfiche, as it is considered a reproduction or copy of the original print version. In addition, current practice is to create a separate record for the microfiche format, with linking fields (776) to other available formats, such as print and online. Separate microfiche records were also created for much of the past, except as noted at the end of this article.

Alterations to the Paper Publication

Microfiche are created or manufactured by photographing individual publications. The original paper versions are first cut apart and then photographed using special cameras. Alterations to the original paper are often made after the microfiche is generated, which can lead to duplicate or incorrect records.

To minimize the impact of alterations, GPO does the following:

- Cloning of records: If there is a reliable record in the OCLC database, GPO clones the record for the original to create a record for the microfiche version.
- Use of original document: If the original paper document is available to the GPO cataloger, it may be used as a source of information for descriptive cataloging and all notes fields.

Information that is hand written or stamped on the original document is ignored or only recorded in the reproduction note field

- Handwritten or stamped numbering added to the original pages by those preparing paper documents for microfilming, is disregarded in favor of the original page numbering.
- If the pagination of the original paper document has been rendered illegible by the microfiche manufacturer, GPO normally records the pagination in the 300 field as: 1 volume. However, if a record for the print or EL version is available, take the pagination from that.
- Handwritten or stamped on series statements are recorded in the series area of the reproduction note (533 subfield "f").
- Information in the eye-readable header and frames added by the publisher of the microfiche is recorded in reproduction notes (533 field), if needed. Additional notes are sometimes added to the body of the record. For example, a header title should be recorded in the 533 subfield "n" and additionally traced in a 246 field.

MARC Fields
Fixed field

'b'(Form of Item)

007- Physical Description Fixed Field

Most microfiche cataloged by GPO use the following codes:

007 _ _ h $b e $d b $e m $f b--- $g b $h b $i c $j a

These codes represent the following values for Microform:

> $a h Microform

> $b e Microfiche [Specific material designation]

> $d b Negative

> $e m 4 x 6 (11 x 15 cm.) [Dimensions]

> ‡f b024 Normal (16-30x), or sometimes: $f b--- [RDA 3.15.1.3 -Reduction ratio]

> $g b Black-and-white [Color]

> $h b Diazo [Emulsion on film] -[RDA 3.7.2 recording emulsion types]

> $i c Service copy [Generation]

> $j a Safety base, undetermined [Base of film]

074- Item Number

For distributed microfiche, the item number is recorded followed by MF in parentheses. See Bibliographic Cataloging: 074 GPO Item Number for more information.

300- Physical Description

Describes the original manifestation

336- Content Type

336 _ _ text $b txt $2 rdacontent

337- Media Type

337 _ _ microform $b h $2 rdamedia

338- Carrier Type

338 _ _ microfiche $b he $2 rdacarrier

500- General Notes

500 _ _ Paper version available for sale by the Superintendent of Documents, U.S. Government Printing Office. [Used in microfiche record if offered in the GPO Sales program - be sure to use Government Publishing Office after Dec. 16, 2014].

500 _ _ Shipping list no.: 2009-0442-M. [add if known]

776- Additional Physical Form Entry

See: Bibliographic Cataloging: General MARC Field Policies, section titled "**76X to 78X- Format of Entries in Linking Entry Fields.**"

Overview of Previous Microfiche Policies

Early RDA (April 2013-February 2015)

Since GPO cataloged many microfiche documents under RDA before LC-PCC PS 1.11 was published, the following information is provided for interpreting these records. For current practices, please see the Current RDA Policies and MARC Fields (February 2015-) section above.

GPO implemented the change to RDA cataloging in April 2013. Under RDA 1.11," When describing a … reproduction, record the data relating to the … reproduction in the appropriate element." The physical description field described the characteristics of the microfiche itself, as there was no reproduction note.

The major changes from AACR2 were: (a) the 300 field described the physical details of the microfiche itself, and, (b) the addition of fields 336 (content), 337 (media) and 338 (carrier) to describe the nature of the microfiche. **Early RDA example**:

> 300 2 microfiches (v, 184 pages) : ‡b negative, illustrations ; ‡c 11 x 15 cm
>
> 336 text $b txt $2 rdacontent
>
> 337 microform $b h $2 rdamedia
>
> 338 microfiche $b he $2 rdacarrier

Under AACR2/LCRI, microfiche records were essentially the same as print records with a 533 field added to describe the qualities of the microfiche format.

AACR2/LCRI example:

> 300 v, 184 p. ‡b ill.
>
> 533 Microfiche. $b [Washington, D.C. : $c National Aeronautics and Space Administration], $d 1986. $e 2 microfiches.

AACR2/LCRI (through March 2013)

Since GPO cataloged thousands of microfiche documents under AACR2/LCRI, the following information is provided for interpreting these records. For current practices, please see the Current RDA Policies and MARC Fields (February 2015-) section above.

GPO previously cataloged original microfiche as well as reproduction microfiche. These are defined as follows:

Original microfiche: includes computer output microfiche (COM), and microfiche incorporating collections of two or more other documents that were issued originally in paper.

Microfiche reproductions (or reproduction microfiche): are manufactured by photographing individual paper documents.

When original microfiche were cataloged, the internal sources and the eye-readable header were used as sources of information for the cataloging record, according to AACR2 chapter 11.

Microfiche reproductions were cataloged according to LCRI chapter 11. Descriptive information on the original print document was 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 microfiche frames of the original paper document were 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. 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 were recorded in reproduction notes (533 field). The only allowable sources of information for the reproduction note were the eye-readable headers, frames added by the producer of microfiche, and accompanying materials.

Prior to adopting a separate records policy, GPO treated dual distribution of microfiche titles as follows.

- Publications distributed to some depository libraries in print and to others in microfiche were represented by a single record describing the print version and providing distribution information for both versions.
- If the microfiche version of a publication was processed after the online version had been cataloged, information about the distribution of the microfiche version was noted in the record for the online version.
- Sometimes microfiche were created inadvertently or purposely for documents that were supposed to be distributed in paper or as an electronic resource. Distribution notes and item numbers for the microfiche were added to existing records for the paper or electronic resource in OCLC, but were not produced for the Monthly Catalog.

From the early 1990's to 1998, paper publications were sent to contractors to create microfiche for distribution to the depository libraries. Cataloging staff did not receive the microfiches. Instead they received the cut up paper documents from the contractors. Since the microfiche was not in hand, they had to create records from these paper 'cut-ups' for the microfiche. Accordingly, they created print records but added the microfiche information, such as item numbers and distribution notes, to these records.

Example

In OCLC:

074 83-B (microfiche)

500 Distributed to depository libraries in microfiche.

In the CGP, this record has the following additional note:

590 [Item 83-B (microfiche); sw/jk/eds/eb]

Current Procedures for Re-Cataloging Microfiche That Were Previously Described in a Record Utilizing the Single Record Approach

The separate record approach is now applied to records described in the situations above. Consult and follow the Procedures under the topic: Separate Record Policy, in: Bibliographic Cataloging: Overview. In all cases, when a record is needed for the microfiche, essentially "split" a record that uses the single record approach into separate records for each format. The result will be two or more records, each describing one format only. Specifically, when re-cataloging such microfiche:

1. Create a microfiche version record in OCLC for the publication:

   a. If there is a record in OCLC, adapt the OCLC MF record and export it to the CGP.

   b. If there is no record in OCLC, and the MF is in hand, create a new record at the PCC level. Clone the record for the original print manifestation, should one exist. Follow LC-PCC PS 1.11. If cloning, follow the section: "Cloning from existing records for the original print resource" in LC-PCC PS 1.11.

   c. If there is no record in OCLC, and the MF is not in hand, but it is certain that the item was distributed in MF (using ACSIS, note or item number on card or in print record (see example above), etc.), then create a new record. Clone the record for the original print manifestation, should one exist. Follow LC-PCC PS 1.11. If cloning, follow the section: "Cloning from existing records for the original print resource" in LC-PCC PS 1.11.

2. For print version records created during the 'cut-up" period (from the early 1990's to mid-1998), do the following:

a. Delete holdings in OCLC

b. For the record in both OCLC and the CGP:

   i. delete the 074 field for the microfiche -- (MF) or (microfiche)

   ii. Add the following 500 note: Print format not distributed to depository libraries [or Format not distributed to depository libraries]. Distributed to depository libraries in microfiche.

   iii. add a 776 field for the MF version

3. Catalog the electronic version if available.

A variation of the above combined print/microfiche format records, are combined microfiche/online format records. Occasionally, microfiche records will be found in OCLC that did not make it into the CGP. Many of these are microfiche records that include data for the online format. Create and export two records to the CGP – one for the microfiche version and one for the online version. See the example in the Procedures under the topic: Separate Record Policy, in: Bibliographic Cataloging: Overview.

Congressional Publications

When the term "Congressionals" is used in this section, it pertains to the following types of publications, here listed with their corresponding Superintendent of Documents (SuDocs) classification stem:

- Senate documents (Y 1.1/3:)
- Senate treaty documents (Y 1.1/4:)
- Senate reports (Y 1.1/5:)
- Senate executive reports (Y 1.1/6:)
- House documents (Y 1.1/7:)
- House reports (Y 1.1/8:)
- Hearings (including markups and briefings) (Y 4.)
- Prints (Y 4.)
- Memorial Addresses (Y 7.1:)
- Public Laws (AE 2.110:) For detailed information on public laws, see Bibliographic Cataloging: Public and Private Laws.
- Private laws (AE 2.110/2:) For detailed information on private laws, see Bibliographic Cataloging: Public and Private Laws.
- Other miscellaneous publications issued by the U.S. Congress.

Most congressionals are available to depository libraries in three formats (print, microfiche, and online computer file) with different item numbers for each format. Separate bibliographic records are created for each format, with linking fields referencing the other formats.

Fixed Fields

Leader/17- Encoding Level

Coded as blank.

Leader/18- Descriptive Cataloging Form

Coded as 'i'.

008/39- Cataloging Source

Coded as 'c'.

Variable Fields

037- GPO Sales Stock Number

Unless readily available (i.e., provided to the cataloger by GPO publications sales staff), GPO stock numbers are not included.

042- Authentication code

Coded as 'pcc'.

050- Library of Congress classification Number

For a hearing or report, a unique Library of Congress (LC) classification number, utilizing the LC Classification schedule for U.S. law materials (Schedule KF), is assigned. The LC subclass/number sequences for hearings and reports are:

- Senate hearings: KF26
- House hearings: KF27
- Senate reports: KF31
- House reports: KF32

In formulating the LC classification number, an appropriate alphanumeric "cutter" number based on the committee or subcommittee issuing the publication and listed in the KF schedule is appended to one of the above sequences. The cutter is followed by a space, then a four-digit year number (the hearing date for hearings, issue date for reports) with an alphabetical work mark to make the classification number unique. The LC classification number is entered with the first indicator coded '1' and the second indicator coded '4.' In OCLC, the LC subclass/number is entered in the 'a' subfield and the cutter and date entered in the 'b' subfield.

Example
050 14 KF26 $b .E55 2013b

For multipart titles, the LC classification cutter number will be based on the committee or subcommittee that is the preferred access point for the first part, since the body responsible for a hearing or report may vary from part to part.

If no cutter number is established in the LC classification schedules for a specific committee or subcommittee, the cataloger will notify the Library of Congress via e-mail and request that the cutter be established. All NACO name authority work for the committee or subcommittee should be completed before the Library of Congress is contacted.

In order to avoid duplication, the cataloger should maintain a list of all the LC classification numbers assigned.

With the exception of records cataloged by the Library of Congress, an OCLC record used for copy cataloging which contains an LC classification number will have the number modified to conform to the preceding requirements and to make the number unique in the Catalog of Government Publications (CGP). Library of Congress records will only be modified to make a number unique to the CGP prior to export, but will not be permanently modified in the OCLC database.

086- Superintendent of Documents Classification Number

Superintendent of Documents (SuDocs) classification numbers using appropriate class stems found in the List of Classes are assigned by the cataloger. Most class numbers are completed

by adding a series or serial number to the SuDocs class stem. In instances when a cutter number is required to complete a SuDocs classification number, the publication is forwarded to the supervisor of the LSCM Classification Team to complete the SuDocs number. See Bibliographic Cataloging: 086 SuDoc Number for more information.

088- Report Number

Hearings of the House of Representatives often bear serial numbers, usually centered on a title page. These serial numbers are entered in the 088 field. The form of the entry in the 088 field will depend on the way the number is recorded on the publication.

A number that includes lettering that represents a congressional committee will be entered as it appears on the publication, e.g.:

> H.A.S.C. 107-38

> "H.A.S.C." represents the House Armed Services Committee.

A serial number that is "generic" in its presentation (i.e. "Serial no. 107-1," Serial no. 5," "Serial no. J-102-34") will be entered in the 088 field qualified parenthetically by the congressional committee in its AACR2 heading form, e.g.:

Serial no. 113-1 (United States. Congress. House. Committee on Agriculture)

A serial number that appears only as a number (i.e. "No. 6") is not included in a 088 field, but is entered in a quoted note.

1xx- Principal Creator

A hearing is entered under the name of the committee or subcommittee before which the hearing is held. Joint hearings are entered under the first committee/subcommittee named, with variant access point entries for the others. Markups and briefings are also entered under the name of the committee or subcommittee.

A report is entered under the name of the committee submitting the report. For multipart reports, the committee submitting the report may change from part to part. In those circumstances, the name of the committee submitting the first part is entered as the authorized access point, with a note and variant access point for the name of each committee submitting subsequent parts.

Since Senate and House documents tend to be official statements by government officials to the Congress, a document is entered under the name of the official's office. For presidential statements, the authorized access point should be the corporate heading for the President, with a variant access point for his personal name.

Authorized access points for prints can vary. Prints often have personal authors that may not appear on the title page. Introductory material should be checked carefully to verify personal authorship.

Senate executive reports are entered under the Senate Foreign Relations Committee.

130/240- Unique Title for Work

In circumstances when a 130 or 240 field is required to break a conflict between two records for different publications with identical authorized access points (usually author/preferred title or

preferred title alone), a 130 or 240 field is created with the preferred title qualified parenthetically by the date of publication. If the publications with duplicate access points are published in the same year and a year qualifier has already been used on another publication, a qualifier such as a month/year issue date (in the case of reports, documents, and prints) or date of hearing (in the case of hearings) is preferred. A hearing date qualifier should be formulated in the same way as treaty date qualifiers (i.e. [year][month][day]).

245- Title Statement

The full title proper of a congressional publication is transcribed in the MARC 245 'a' subfield. Truncation of other title information (subfield 'b') is avoided, unless the information repeats the information in the title proper or is extremely lengthy. Certain essential information contained in other title information is always transcribed (e.g. names of committees or subcommittees, bill numbers of specific legislation).

In some instances, the title proper of a multipart congressional publication may change from part to part. In those circumstances, the title of the first part is entered as the title proper, with a note and added entry for the variant title(s) on subsequent parts (provided that the variation is in the first five words of the subsequent title). In the event that a part other than the first part is received for cataloging, that part may be the basis for the cataloging, but the title should be changed on the catalog record when the first part is received.

250- Edition Statement

Star prints are always treated as new editions, not as reprints. The phrase "Corrected printing" should be entered in brackets in the 250 field.

264- Publication Statement

Most congressionals are published by the Government Printing Office (GPO). In some instances (such as Senate prints), GPO will not appear as the publisher. Instead, an agency of Congress may appear as the publisher. In the latter instances, the agency of Congress shall be entered as the publisher.

264- Distribution Statement

A Superintendent of Documents distribution statement should always be recorded if it appears on a print publication. No effort needs to be made to verify actual sales availability.

300- Physical Description

Filled-in forms that are included in a hearing as part of a hearing record (such as a nominee's biographical information form) are not considered illustrations and are not mentioned in the cataloging record.

500- General Notes

For star prints, either a quoted note (if the words "star print" appear on the publication) or a note with the unquoted term "Star print" (if only a star appears on the publication) is always included.

For print format congressionals, it is not necessary to enter a shipping list number note (such as "Shipping list no. unavailable") in a bibliographic record when cataloging is based on the dummy copy. The shipping list note will be entered when the depository joker copy arrives in Bibliographic Control.

For online and microfiche versions of congressionals that are sold in print, a 500 note will be added to a bibliographic record stating that the print version is available for sale by the SuDocs.

504- Bibliography, etc. Note

Lists of a witness's publications that are included as part of a hearing record are not considered bibliographies and are not mentioned in a note.

505- Contents Note

Volumes of multipart hearings occasionally have distinctive titles, so contents notes are added.

Technical Reports

Identification of Technical Reports

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 or sections are devoted to the results, analysis of results, conclusions, and recommendations.

Former Practice

There is more than one definition for technical reports. For cataloging purposes, GPO previously identified technical reports based on one or more of three definitions.[1] In addition, GPO considered "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." [Ibid.]

In 2015, GPO's Library Services & Content Management took the opportunity to review its definition and practice for cataloging technical reports. In that same year, GPO joined the TRAIL (Technical Report Archive & Image Library) initiative and was in the process of revising its Cataloging Guidelines. As a result, GPO has changed its practice as follows: "belonging to a technical report series" is still a criterion for technical reports, but containing a "technical report documentation page, bibliographic data sheet, research report page, or other similar page" is not.

Current Practice

Effective September 1, 2016, with the publication of this chapter of the Cataloging Guidelines, GPO now applies the following definitions or criteria to identify technical reports for cataloging purposes:

1. GPO considers all documents to be technical reports that belong to a technical report series or to a series that primarily includes technical reports. (This criterion is self-sufficient; no other criteria need be met or considered.)

If a document does not meet this criterion, then proceed to definition number 2. For cataloging purposes, documents that meet definition number 2 below, plus one additional definition from numbers 3-5 below, are considered to be technical reports.

2. *(Required, unless criterion 1 is met) A report giving the scientific results of research or developmental investigations or other technical studies in the sciences, technology, engineering, or agriculture. It is not a compilation of data. Technical reports are usually concerned with only one specific subject or a few related subjects and provide information of more than transient interest. They are not administrative or legal in nature, nor do they concern the activities of the issuing agency. (GPO definition, compiled from parts of other definitions and personal communications from subject matter experts)

   If a document meets this definition, then it must meet one additional definition from numbers 3-5 below, in order to be considered a technical report.

3. A report giving details and results of a specific investigation of a scientific or technical problem.--ALA Glossary

4. A brief, generally unbound, interim report covering ongoing research in general areas of science and technology (Excludes: social sciences, economics, and "soft" sciences).—Library of Congress' Descriptive Cataloging Manual (DCM)

5. From: OCLC. Bibliographic Formats and Standards, 4th ed.

   a. "According to ANSI Z39.23 (1983), … a technical report is a document that gives the result of research or developmental investigations, or both, or other technical studies. . . A technical report is initially submitted to the person or body for which the investigation was carried out or by which it was sponsored. Copies of it may subsequently be made available in limited quantities. . . , but these copies are not produced commercially and are not available from booksellers or other commercial sources. . . . Technical reports are usually published irregularly, either in series or as separate monographs. Technical reports are not typeset but are reproduced from typescript by near-print processes, and they are usually concerned with only one specific subject or with a few closely related subjects."--3. Special Cataloging Guidelines, 3.3 Technical Reports

   b. "… an item that is the result of scientific investigation or technical development, testing, or evaluation, presented in a form suitable for dissemination to the technical community."-- Fixed-Field Elements: Cont = Nature of Contents

6. GPO *formerly* considered all documents that contained a technical report documentation page, bibliographic data sheet, research report page, or other similar page, to be technical reports. This former, second self-sufficient criterion (the first was series) no longer applies. While many technical reports will contain such a report page or data sheet, this is no longer a consideration for identifying technical reports.

When in doubt, do not treat the publication as a technical report.

Examples of technical reports:

> Example
>
> 1. OCLC *904623722
>
> 245 10 On the relationship between the length of season and tropical cyclone activity in the North Atlantic basin during the weather satellite era, 1960-2013
>
> 830 0 NASA technical publication ; ‡v 2014-218199.

This belongs to a technical report series, meeting definition 1 above.

> Example
>
> 2. OCLC *841296278
>
> 245 10 Application of welded steel sandwich panels for tank car shell impact protection …

This does not belong to a series, however, the material clearly fits the definition of a technical report.

> Example
>
> 3. OCLC *907476640
>
> 245 10 Design criteria for adaptive roadway lighting …

This does not belong to a series, but clearly fits the definition of a technical report.

> Example
>
> 4. OCLC *905003191
>
> 245 10 Improving access to foundational energy performance data …
>
> 830 0 NREL/TP ; ‡v 5500-61543.

This belongs to a technical report series, meeting definition 1. (If it did not belong to a series, the cataloger would determine that it meets the definition of a technical report.)

> **Example**
>
> 5. [OCLC *922576959](#)
>
> 245 10 CyFall : ‡b a cyber-network game scenario …
>
> 830 0 ARL-TR (Aberdeen Proving Ground, Md.) ; ‡v 7024.

This belongs to a technical report series. (If it did not, it still fits the definition of a technical report.)

Examples that are *not* technical reports:

> **Example**
>
> 1. [OCLC *905542987](#)
>
> 245 00 Safety evaluation report related to the license renewal of Limerick Generating Station, Units 1 and 2 : ‡b Docket Nos. 50-352 and 50-353 / ‡c U.S. Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation.

This document does not belong to a series. Rather than meeting one of the definitions of a technical report, this is a safety evaluation report which fulfills the licensing responsibilities of the issuing agency—it is not research per se. Reports of a legal or administrative nature, or reports that deal with the activities of the issuing agency do not meet definition 2. Having a bibliographic data sheet is no longer a criterion of a technical report.

> **Example**
>
> 2. [OCLC *903900380](#)
>
> 245 10 Long-term bridge performance high priority bridge performance issues …

This document does not belong to any series. Having a Technical report documentation page is no longer a criterion of a technical report. From the abstract: "The Long-Term Bridge Performance (LTBP) Program was initiated to collect, store, and analyze the data necessary to better understand high priority bridge performance issues. The success of the program depends on first being able to identify the most important performance issues bridge owners' face. To identify these issues, input from those bridge owners and other key stakeholders was sought.

As part of this outreach, bridge experts in 15 State transportation departments were interviewed and asked to name the performance issues in their bridge inventory that are most common and/or most difficult to solve. The findings of these interviews are included in this report. To supplement these interviews and identify high priority issues related to bridge substructures, a workshop on substructure performance issues was held. The findings from the interviews and the substructure workshop were used to develop a list of 22 high priority performance issues. From this list, a shorter list of six bridge performance issues was recommended as the first group of issues for study under the LTBP Program."

The research and results of this report are broader in scope than that of the typical technical report, and are performed in order to identify issues for study in the issuing agency's Long-Term Bridge Performance Program. Reports that deal with the activities of the issuing agency, or reports of an administrative or legal nature do not meet definition 2.

Example

3. [OCLC *227937101](#)

245 10 History of operations research in the United States Army …

This document belongs to a series, but not a technical report series. This manifestation was accessed from the Defense Technical Information Center (DTIC), and, like many of their online reports, has a Report documentation page--however, this is no longer a criterion. From the abstract:

> "In this, the first of three planned volumes, Dr. Charles R. Shrader has for the first time drawn together the scattered threads and woven them into a well-focused historical narrative that describes the evolution of OR in the U.S. Army, from its origins in World War II to the early 1960s. … he has managed to provide a comprehensive history of OR in the U.S. Army …"

Obviously, this history is not a technical report, even though it includes DTIC's Report documentation page.

Example

4. [CLC *910560879](#)

245 10 SAFETEA-LU 1808 : ǂb CMAQ evaluation and assessment : phase I final report …

246 1 Safe, Accountable, Flexible, Efficient, Transportation Equity Act: a Legacy for Users

246 1 ǂi Title on technical report documentation page: ǂa SAFETEA-LU 1808 : ǂb Congestion Mitigation and Air Quality Improvement Program evaluation and assessment -- phase 1 final report

610 20 Congestion Mitigation and Air Quality Improvement Program (U.S.) ǂx Evaluation.

This document does not belong to a series. Having a Technical report documentation page is no longer a criterion. From the abstract of this 150 page report:

> "In SAFETEA-LU Section 1808, Congress required the U.S. Department of Transportation, in consultation with the Environmental Protection Agency, to evaluate and assess the direct and indirect impacts of a representative sample of Congestion Mitigation and Air Quality (CMAQ) –funded projects on air quality and congestion levels. This study responds to that request by analyzing 67 CMAQ-funded projects. The study team also conducted additional analyses of the selected set of CMAQ-funded projects to estimate their cost-effectiveness at reducing emissions of each pollutant."

From the table of contents:

"4. Project Analysis and Selection Practices that Support Effectiveness---------------------------50

Emissions Reduction Cost-Effectiveness---50

Examples of Good Practices--60

Next Steps---66"

This is the final report of phase 1 of a Congressionally mandated evaluation of the issuing agency's Congestion Mitigation and Air Quality Improvement Program—it is not research per se. Reports of a legal or administrative nature, or reports that deal with the activities of the issuing agency do not meet definition 2.

Monograph or Serial

Technical reports that qualify to be serials based on the definition for serials in the RDA Glossary are cataloged following the instructions for serial cataloging listed in the GPO Cataloging Guideline: Serials.

Sources of Information

The sources of information used to catalog technical reports are generally the same as those used for other language (meaning textual or printed) materials. Information is taken from one of the preferred sources mentioned in RDA 2.2.2 (see Bibliographic Cataloging: General Policies), or from the report documentation page, bibliographic data sheet, etc. Generally, take information, such as the performing organization, contract, grant, or task numbers, etc., only from the resource itself, not from external sources, such as the agency's web site.

Cataloging Instructions

For specific input conventions, detailed field/subfield definitions, etc., consult:

MARC 21 Format for Bibliographic Data

OCLC. Bibliographic Formats and Standards. 4th ed.

Fixed Fields

1. Cont: Nature of Contents:

Code "t" for technical report

2. DtSt: Type of Date/Publication Status and Date 2

DtSt: Use code "e" (detailed date) for all technical reports, if the information is readily available in the document. Use if the issue date includes year and month, or year, month and day. If only the year of publication is given in the document, then use code "s" (single date).

Date 2: Enter 2-4 numbers for either: month (mm__), or month plus day (mmdd). Follow MARC instructions. (For the 264$c, shown in the example below, see the 264$c – Date of Publication, Distribution, Manufacture, etc. section, under "Variable Fields.")

Example

DtSt: e

Date 1: 2013, Date 2: 11__ (If no day on piece, leave the final two characters of Date 2 blank)

264 $a Washington, D.C. : $b U.S. Department of Transportation, $c November 2013.

500 "November 2013."

Variable Fields

General Guidance on Special Technical Report Fields

If any of the information appropriate for one of the technical report fields is already being used elsewhere in the record (title, series, publisher's name, statement of responsibility, etc.), it is, nevertheless, repeated in the relevant special technical report fields. This redundancy is a deliberate reversal of the previous GPO policy of not repeating such information in the specific technical report fields. It is made in the interest of simplicity, in order to avoid excessive deliberation. No harm is done by this slight redundancy; in fact, the different fields record separate data elements even if the data is redundant.

Example

513 Technical report

830 Technical report (United States. Federal Highway Administration)

Required Fields

The following special fields are required in GPO technical report catalog records, if applicable:

027 Standard technical report number

(*Required when information is available*)

See the section below, 027 – Standard Technical Report Number, for more detail.

513 Type of report and period covered note

(*Required when information for subfield "a" is available*)

Subfield "a" -- Type of report

Subfield "b" -- Period covered

See the section below, 513 – Type of Report and Period Covered Note, for more detail.

536 Funding Information Note

(*Required when information is available*)

Subfield "a" -- Text of note

Subfield "b" -- Contract number

Subfield "c" -- Grant number

Subfield "d" -- Undifferentiated number associated with the material that identifies a funding or contract-related number

Subfield "e" – Program element number

Subfield "f" – Project number

Subfield "g" – Task number

Subfield "h" – Work unit number

See the section below, 536 – Funding Information Note, for more detail.

027 – Standard Technical Report Number

(*Required when information is available*)

A Standard Technical Report Number (STRN) is included only if it is found on a publication and specifically designated as an STRN. All other report numbers are entered in the 088 field. An STRN must appear on the technical report page to be treated as an STRN. If an STRN appears in different forms throughout a document, the form that appears on the technical report page is preferred.

GPO spacing conventions are observed when recording STRNs. If an STRN has been established in a series authority record as a series-like phrase, it is recorded in the 088 field not the 027 field. If it has been established as a series, it is recorded in the 490/830 field, not the 027 field.

An STRN number is formulated according to International Standard Technical Report Number (ISRN), ISO 10444, or Standard Technical Report Number Format and Creation, ANSI/NISO Z39.23-1997 or Standard Technical Report Number (STRN), Format and Creation, ANSI Z39.23-1983. For more details on the structure of an STRN see MARC 21 Format for Bibliographic Data: 027.

Example

027 $aFYHU/PF/2--80/12+MAGN

027 $aWBK-MTT--89/64--DE

027 $aMETPRO/ED/SR-77/035

110/710 – Corporate Name Authorized Access Point

Non-federal bodies are given authorized access points if they appear either: (a) on the bibliographic data sheet in conjunction with a corresponding contract, grant, or other funding number, or, (b) in a formal statement, such as a statement of responsibility, on the preferred source of information. No contract, grant, or other funding number is necessary if the body's name appears in a formal statement on the preferred source.

Sponsors are only given authorized access points when they also function as the author, issuing body, or publisher.

110 – Main Entry: Corporate Name

Corporate bodies, including non-Federal bodies, are entered in the 110 field when the work cataloged meets one of the categories in 19.2.1.1.1.

See the section above, 110/710 – Corporate Name Authorized Access Point, for general guidance on providing authorized access points for corporate bodies.

245$c – Statement of Responsibility

"Sponsored by ...", "Prepared for ..." and similar statements may be recorded in full in the statement of responsibility for technical reports, even when they are not inextricably combined with "Prepared by ..." statements. For efficiency, the entire statement may be recorded in the statement of responsibility, as long as it includes a corporate body that is "responsible for the creation of, or contributing to the realization of, the intellectual or artistic content of" the resource. The part of the statement relating to the corporate body financing the work, or simply the corporate body's name, may then be repeated in the 536 subfield a.

Example

Document: Prepared for Y
536: Prepared for Y

Document: Prepared by X, prepared for Y
245: $c prepared by X ; prepared for Y. OR
245: $c prepared by X.
536: Prepared for Y

Document: Prepared by X for Y
245: $c prepared by X for Y. OR
245: $c prepared by X.
536: Y

Document: Prepared for Y by X
245: $c prepared for Y by X.
536: Y

Contract, grant, or other funding numbers may be recorded as part of the statement of responsibility, when appropriate.

Example

245 [Title] / $c Transport Inc. under contract number 12345.

264$c – Date of Publication, Distribution, Manufacture, etc.

Use the detailed date (month, day, year) if readily available in the document. If the day is not given, record the month and year.

Example

264 $a Washington, D.C. : $b U.S. Department of Transportation, $c November 2013.

---

500 – General Note

The performing body or organization may be recorded in this field, if its name does not appear on the preferred source of information. Most commonly, it will appear in the "Performing Organization" field of the Report documentation page/Bibliographic data sheet, in conjunction with a corresponding contract, grant, or other funding number.

Example

OCLC *911203080

245 10 Long-term pavement performance Ohio SPS-1 and SPS-2 dynamic load response data processing

500 "Performing organization: Engineering & Software Consultants, Inc."—Technical report documentation page.

536 Office of Infrastructure Research and Development, Federal Highway Administration $b DTFH61-12-C-00002

710 2 Engineering & Software Consultants.

On the technical report documentation page of this resource, "Engineering & Software Consultants, Inc." appears in the "Performing Organization" field, and DTFH61-12-C-00002 appears in the "Contract or Grant No." field.

TECHNICAL REPORT DOCUMENTATION PAGE

1. Report No. FHWA-HRT-14-088	2. Government Accession No.	3. Recipient's Catalog No.	
4. Title and Subtitle Long-Term Pavement Performance Ohio SPS-1 and SPS-2 Dynamic Load Response Data Processing		5. Report Date March 2015	
		6. Performing Organization Code	
7. Author(s) Mahesh Agurla and Sean Lin		8. Performing Organization Report No.	
9. Performing Organization Name and Address Engineering & Software Consultants, Inc. 14123 Robert Paris Court Chantilly, VA 20151		10. Work Unit No. (TRAIS)	
		11. Contract or Grant No. DTFH61-12-C-00002	
12. Sponsoring Agency Name and Address Office of Infrastructure Research and Development Federal Highway Administration 6300 Georgetown Pike McLean, VA 22101-2296		13. Type of Report and Period Covered Research Report	
		14. Sponsoring Agency Code	
15. Supplementary Notes The Contracting Officer's Representative (COR) was Aramis Lopez, and the Task Manager was Larry Wiser, HRDI-30.			

513 – Type of Report and Period Covered Note

(*Required when information for subfield "a" is available*)

This field is only used for technical reports. Information for this field may be taken from one of the preferred sources mentioned in RDA 2.2.2, or from the report documentation page, bibliographic data sheet, etc.

The type of technical report and period covered note is entered only when the information is found in the publication being cataloged. Punctuation and spacing, but not necessarily capitalization, should be transcribed as it appears on the document. The technical report documentation page is preferred as the source of the information if the same or similar wording is found elsewhere on the publication. This note is still entered, even if the same information is transcribed elsewhere in the catalog record (i.e. title, series statement, etc.).

The preferred source of information for $a (type of report) is the "type of report" section of the report documentation page, bibliographic data sheet, etc. The preferred source of information for $b (period covered) is the "period covered" section of the report documentation page, bibliographic data sheet, etc. Subfield "a" is mandatory, so if a publication lacks information about the type of report, the 513 field is not entered at all, even if there is information about the period covered.

Subfield "a," Type of report is mandatory in the 513 field. It is used when the wording on the document indicates what kind of report it is.

Example

Quarterly progress report

Interim 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, even if 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.

> **Example**
>
> 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." Since subfield "a" is mandatory in the 513 field, if a publication lacks information about the type of report, the 513 field is not entered at all, even if there is information about the period covered. A 513 field having only subfield "b" will not validate.

> **Example**
>
> 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.

536 – Funding Information Note

(*Required when information is available*)

Funding information for any publication 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 (Information concerning the sponsors or funding agencies)

Subfield "b" -- Contract number

Subfield "c" -- Grant number

Subfield "d" – Undifferentiated number associated with the material that identifies a funding or contract-related number

Subfield "e" – Program element number

Subfield "f" – Project number

Subfield "g" – Task number

Subfield "h" – Work unit 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 preferred 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 preferred source, or only the name itself from the documentation page, may be used. A third alternative is to transcribe the name from the documentation page's "Sponsoring agency name and address" space, preceded by the words "Sponsored by." If a "Sponsored by ...", "Prepared for ..." or similar statement appearing on a preferred source is not recorded in the statement of responsibility, it should be transcribed in full in the 536 subfield a. Include the sponsoring body in the 536 subfield "a," even if the same body also appears in the 264 or 260 field.

Example

264 _1 Washington, DC : $b U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research, $c [2016]

536 $a Sponsored by U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research

OR

264 _1 Washington, DC : $b U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research, $c [2016]

536 $a U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research

---

Subfield "a" does not include the body which is named as the "performing" body or organization. A "performing" body is included in either the statement of responsibility or a 500 note. See the sections 245$c – Statement of Responsibility and 500 – General Note above.

Portions of "Sponsored by ...", "Prepared for ..." and similar statements that have been recorded in the statement of responsibility for technical reports, may be repeated in the 536 subfield a. Specifically, the part of the statement relating to the corporate body financing the work, or simply the corporate body's name, may be repeated. If a "Sponsored by ...", "Prepared for ..." or similar statement appearing on a preferred source is not recorded in the statement of responsibility, it should be transcribed in full in the 536 subfield a.

Example

Document: Prepared for Y
536: Prepared for Y

Document: Prepared by X, prepared for Y
245: $c prepared by X ; prepared for Y. OR
245: $c prepared by X.
536: Prepared for Y

Document: Prepared by X for Y
245: $c prepared by X for Y. OR
245: $c prepared by X.
536: Y

Document: Prepared for Y by X
245: $c prepared for Y by X.
536: Y

Sponsors are only given authorized access points (in field 710 or 110) when they also function as the author, issuing body, or publisher. See example under section, 710 – Added Entry: Corporate Name.

Use designated subfields for funding and contract-related numbers, such as contract, grant, project, task, and work unit numbers. The numbers in subfields $b through $h are transcribed as the data appears on the publication. Do not apply GPO spacing conventions for numbers (also known as General Number Spacing Policies). The preferred source for these numbers is the documentation page. Do not use an unformatted 536 note. The sponsoring body should be included in the $a, and all numbers should be included in the designated subfields.

Subfields $e, $f, $g and $h may not be used with subfield $d, therefore, if needed, use two 536 fields to cover all funding and contract-related numbers in the document.

Subfields "b," "c," and "d" formerly appeared in the Monthly Catalog contract number index. All of the 536 field is currently (as of August 2016) indexed in the following CGP searches: WRD (all keywords), WNO (all notes), and in Advanced Search, searching in: All Notes, Technical Report Number, and Contract Number.

The 536 field should be formatted as follows:

Example

536 $a Office of Infrastructure Research and Development, Federal Highway Administration $b DTFH61-12-C-00002

OR

536 $a Sponsored by Office of Infrastructure Research and Development, Federal Highway Administration $b DTFH61-12-C-00002

Example

536 $a Sponsored by U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research $b A 2223 $d DOE 40-550-75

OR

536 $a U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research $b A 2223 $d DOE 40-550-75

Field 536 does not end with a mark of punctuation unless the field ends with an abbreviation, initial/letter, or other data that ends with a mark of punctuation.

710 – Added Entry: Corporate Name

For convenient reference, the following guidance is repeated, with a minor addition, from the above section, 110/710 – Corporate Name Authorized Access Point.

Non-federal bodies are given an authorized access point if they appear either: (a) on the bibliographic data sheet (often in the "Performing Organization" field) in conjunction with a corresponding contract, grant, or other funding number, or, (b) in a formal statement, such as a statement of responsibility, on the preferred source of information. No contract, grant, or other funding number is necessary, if the body's name appears in a formal statement on the preferred source.

Example

500 "Performing organization: Engineering & Software Consultants, Inc."—Technical report documentation page.

536 Office of Infrastructure Research and Development, Federal Highway Administration $b DTFH61-12-C-00002

710 2 Engineering & Software Consultants.

TECHNICAL REPORT DOCUMENTATION PAGE

1. Report No. FHWA-HRT-14-088	2. Government Accession No.	3. Recipient's Catalog No.	
4. Title and Subtitle Long-Term Pavement Performance Ohio SPS-1 and SPS-2 Dynamic Load Response Data Processing		5. Report Date March 2015	
		6. Performing Organization Code	
7. Author(s) Mahesh Agurla and Sean Lin		8. Performing Organization Report No.	
9. Performing Organization Name and Address Engineering & Software Consultants, Inc. 14123 Robert Paris Court Chantilly, VA 20151		10. Work Unit No. (TRAIS)	
		11. Contract or Grant No. DTFH61-12-C-00002	
12. Sponsoring Agency Name and Address Office of Infrastructure Research and Development Federal Highway Administration 6300 Georgetown Pike McLean, VA 22101-2296		13. Type of Report and Period Covered Research Report	
		14. Sponsoring Agency Code	
15. Supplementary Notes The Contracting Officer's Representative (COR) was Aramis Lopez, and the Task Manager was Larry Wiser, HRDI-30.			

Example

245 [Title] / $c prepared by Leidos, Inc. for the National Cancer Institute.

710 2_ Leidos, Inc.

Sponsors are only given authorized access points when they also function as the author, issuing body, or publisher.

Example

264 _1 Washington, DC : $b U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research, $c [2016]

536 $a Sponsored by U.S. Nuclear Regulatory Commission, Office of Nuclear Regulatory Research

710 2_ U.S. Nuclear Regulatory Commission. $b Office of Nuclear Regulatory Research.

References

[1] GPO Cataloging Guidelines, 2002. Fourth edition. U.S. Government Printing Office, page 176.

Public and Private Laws

Public Laws

Most laws passed by Congress are public laws which affect society as a whole. Numbering consists of the Congress followed by the number of the individual law (e.g. Public Law 113-3 refers to the third law passed by the 113th Congress).

Public Laws often have a citation (or short) title in addition to a formal title. The citation title is usually but not always found in Section I of a Public Law. Such titles will be identified by the phrase: This Act may be cited as the "…" (e.g. Public Law 113-3: An Act to Ensure the Complete and Timely Payment of the Obligations of the United States Government until May 19, 2013, and for Other Purposes. SECTION I. SHORT TITLE: This Act may be cited as the "No Budget, No Pay Act of 2013.").1`

When citing information from a Public Law in authority records record the page number of the law by its United States Statutes at Large designation found at the top of each page (e.g. 127 STAT. 51). For bibliographic records cite information found on other than the title page as, P. [1], not the STAT. designation.

Private Laws

Private Laws are rare and affect an individual, family, or small group. Such laws are enacted to assist citizens that have been injured by government programs or who are appealing an executive agency ruling such as deportation. Private Laws are numbered as Public Laws are (e.g. Private Law 112-1 refers to the first, and only, such law passed by the 112th Congress).

Private Laws do not have a citation title.

Instructions

All laws are cataloged at full level and are exported to the CGP without GPO shipping list numbers. Copies of all laws are delivered in advance of processing to Congressional catalogers. After individual GPO shipping lists are compiled a designated staff member then adds the shipping list number to each OCLC and CGP record.

Public and Private Laws must be established in the LC name authority file under RDA rules. If necessary, accompanying corporate names, personal names, or subjects which the laws address will be established in their respective authority files.

Electronic versions of Public and Private Laws are posted on FDsys chronologically from the current Congress back to the 104th Congress. Since laws do not contain illustrative matter both the text and PDF versions are PURLed. Print and electronic bibliographical records are linked by 776 fields.

Treaties

The first official publication of U.S. treaties and international agreements is through the Treaties and Other International Acts Series (TIAS) Treaties are found at the U.S. Department of State Web site Treaties and Other International Acts Series (TIAS).

Treaties are numbered with a two digit chronological designation for the year of publication by TIAS followed by a Department of State assigned number (e.g. 12-101).

Treaties are cataloged in electronic format only at full level. All treaties must be established in the LC name authority file.

074- Item Number

074 0899-A-01 (online)

086- SuDoc Number

086 S. 9.10: (TIAS number)

086 0 S 9.10:12-101

490 and 830- Series

The series traced is n84731555.

Example

490 Treaties and other international acts series ; $v (TIAS number) e.g. 12-101

830 Treaties and other international acts series ; $v (TIAS number) e.g. 12-101.

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546 and 041- Language

Some treaties contain text in more than one language. Such information is included in the bibliographical record in the 041 and 546 fields. LC MARC codes for geographic areas and languages are found at http://www.loc.gov/marc/geoareas/ and http://www.loc.gov/marc/languages/ respectively.

Senate Treaty Document Series (Y 1.1/4:)

Bibliographic records in this series use the treaty as the authorized access point for the work manifested, usually in the MARC 130 field. In other words, enter the resource being cataloged under the authorized access point for the treaty that it contains (not under the President, Department of State, or Senate). The authorized access point for this treaty will be found in the name authority record for the treaty, which the cataloger will either retrieve, update, or create. Catalog titles in this series based on previous treatment. Examples: OCLC *970696259, *970693240, *880353286, *880353331, *848927424.

Cartographic Materials

Background and Sources Consulted

Cartographic materials include maps, atlases, globes, and remote sensing images such as satellite photos.

Maps are cataloged following RDA Instructions. Use the following resources to supplement RDA:

- *Cartographic materials: a manual of Interpretation for AACR2,* 2nd edition, 2002 revision, 2005 update [available through Cataloger's Desktop]

- *RDA and cartographic resources*, by Paige G. Andrew, Susan M. Moore, Mary Lynette Larsgaard. ALA Editions, 2015
- *GPO Classification Manual*, 1993. (Currently being revised, as of September 2016) Pages 74-85 contain information on classification of maps, some of which is of a broader, more useful nature to catalogers.

Each map or map serial is cataloged as a separate record, except for maps that are intended to be part of another record, such as a planning document (e.g., an environmental impact statement or a land and resource management plan). Shipments of maps from the USGS Denver Office are classified and cataloged by a map librarian in GPO's Library Technical Services.

BLM Surface/Mineral Management Maps

The surface/mineral management maps from the Bureau of Land Management (BLM) bypass GPO, and go directly from the USGS Denver Office to those depository libraries on BLM's/USGS's mailing list. Records for these maps include a GPO item number, but not a shipping list number.

GPO has a longstanding practice for treatment of Bureau of Land Management mineral and surface management maps. These maps are part of the series (or multipart monograph): "United States. $b Bureau of Land Management. $t Surface-minerals management status," and are classed in either I 53.11/4: or I 53.11/4-2:. GPO creates separate records for the surface management maps (I 53.11/4:) and surface-minerals management maps (I 53.11/4-2:), even though these may have the same title and belong to the same series. To distinguish two such maps, add a 240 field, containing the preferred title from the 245 field plus the addition: (Surface) for surface management maps, and (Minerals) for surface-minerals management maps. (Do not additionally add the year of the edition, as was done under a previous practice.) For examples, see OCLC numbers 849921291 and 849921268.

Encoding Level

Map serials for the NOAA nautical charts and USGS 7.5 quadrangles are cataloged at I level. All other maps should be cataloged as PCC records if all access points can be controlled in OCLC.

1XX- Principal Creator

Maps are usually entered under a corporate body creator (main entry), according to RDA 19.2.1.1.1(f). Therefore, the issuing or originating corporate body that is considered a creator is usually entered in the 110 field. In such cases, persons who appear in a statement of responsibility are traced in the 700 field, according to the first exception in 6.27.1.3 (Collaborative Works): "Corporate bodies as creators." *Cartographic materials: a manual of interpretation for AACR2* provides additional clarification in Appendix A.4B, especially in the last paragraph.[1] If no corporate body can be considered the creator, then a person who appears in a statement of responsibility may be entered in the 100 field. Generally, use "cartographer" as the relationship designator for the creators of the work, including those recorded in the 100 (if no corporate body is considered the creator), 110, 700, and 710 fields. If the statement of responsibility reads "compiled by …," use "compiler" as the relationship designator.

Example

OCLC *922702791

http://purl.fdlp.gov/GPO/gpo61457

110 2 Geological Survey (U.S.), ‡e cartographer.

245 10 Map showing limits of Tahoe glaciation in Sequoia and Kings Canyon National Parks, California / ‡c James G. Moore and Gregory S. Mack ; in cooperation with the National Park Service.

700 1 Moore, James Gregory, ‡d 1930- ‡e cartographer.

700 1 Mack, Gregory S., ‡e cartographer.

255- Cartographic Mathematical Data

For online maps that lack a scale statement, use "Scale not given." However, if the print version has a scale statement, use that for the online version.

300- Physical Description

For online resources, use atlas(es) or map(s) in the parentheses following 1 online resource. Maps include remote sensing images, views, sections, and other types of cartographic materials.

655- Genre/Form Term

Multiple genre/form terms may be entered, as needed, in a single bibliographic record. Common genre/form terms for cartographic materials include:

Aeronautical charts: Use for helicopter route charts, airport charts and others navigational aids for aircraft.

Bathymetric maps: Use for nautical charts and other maps that show water depths.

Nautical charts: Use for maps that show water depths, buoys, and other features on bodies of water.

Quadrangle maps: Use for USGS and Forest Service quadrangles.

Road maps: Use for Motor vehicle maps.

Thematic maps: Use for maps about specific topics not covered in other genre headings, such as Christmas tree cutting maps.

Topographic maps: Use for maps that show topography such as USGS quadrangle maps.

Tourist maps: Use for maps from the National Park Service, National Forest Service, Bureau of Land Management and other agencies that show trails, recreation sites, and other features of interest to visitors.

[1] *Cartographic materials: a manual of interpretation for AACR2*, Appendix A.4B. The last two sentences are: "If the corporate body is known to be a map-making organization that normally originates and issues cartographic materials, enter under the corporate body. If the principal responsibility for the production of the cartographic item is clearly attributed to a personal author, enter under the personal author with added entries for the associated corporate bodies."

In the final sentence, the meaning of "clearly attributed to a personal author" is open to interpretation, therefore GPO interprets this phrase to apply only when no corporate body may be considered a creator of the cartographic resource according to RDA 19.2.1.1.1(f).

Audiovisual Resources

Use this section in conjunction with the following sources:

- [RDA and Moving Images](#) presentation by Kelley McGrath Maxwell's Handbook for RDA: Explaining and Illustrating RDA: Resource and Access using MARC 21 / Robert L. Maxwell. Chicago: American Library Association, 2013.
- [Cataloging Tools and Training Documents](#) Online Audiovisual Catalogers (OLAC)
- [Best Practices for Cataloging Streaming Media](#) OLAC. Although it was written prior to RDA's implementation, OLAC's Best Practices for Cataloging Streaming Media remains an outstanding reference for cataloging video and sound recordings.

The emphasis of this section is primarily on visual resources because they are the more frequently encountered resource type in government publications.

Scope of the Format Visual Resources

Visual resources encompass still and moving images in digital and analog formats. Cf. [OCLC/MARC input standards](#) for codes "g" and "k," and ignore the characterizations regarding "projectable" or "non-projectable" statuses.

Definitions of Types of Visual Resources

Video: Media used to store moving or still images, designed for use with a playback device such as a videocassette player or DVD player. Includes media used to store digitally encoded as well as analog images.

Still Image: Content expressed through line, shape, shading, etc., intended to be perceived visually in two dimensions. Includes drawings, paintings, diagrams, photographic images (stills), etc. See also entries in RDA Glossary for specific types of the above classes of resources, e.g., Cartographic Image, Poster.

The source of these definitions is the RDA Glossary.

Bibliographic Treatment in the CGP

Generally, visual and audio-visual resources that are cataloged for inclusion in the CGP are analyzed, that is, each work is cataloged individually; however, GPO has begun to catalog

entire collections as Federal agencies increasingly build and publish large online collections of thematically-related visual resources.

Examples of collections being treated both analytically and collectively are below.

Analytics of Videos

Title	Class Number
USDA Food Safety and Inspection Service videos	A 110.27:
Larkin Street Stories, Episodes 1-3 [static]	HE 20.402:L 32/*
NIH Senior Health videos	HE 20.3076:
CDC-TV	HE 20.7056:
NIOSH videos	HE 20.7114/3:
Accident Animations	TD 1.135:

Collections of Videos

Title	Class Number
Aquaculture video gallery	C 55.356:
Stories of hope and recovery [static]	HE 20.402:SU 8
Health Topics Videos	HE 20.3228:
Thomas. House committee live streams	LC 1.54/2-2:
National Parks of New York Harbor	I 29.159:

Typically, digital video collections comprise updating Web sites and thus are cataloged as integrating resources; however, if the cataloger encounters a static collection that will not be analyzed, then treatment as a monographic collection should also be considered. Monograph collections of videos above are marked "[static]."

Analytics of Still Images

Title	Class Number
A lot can happen when you eat your colors	A 98.16:C 71
Photo series for quantifying natural fuels	A 13.88:PNW-GTR-878
The federal resource you can trust: brought to you by the Office on Women's Health	HE 20.41/2:N 21

Collections of Still Images

Title	Class Number
Animal science image gallery	A 17.37:
NRCS photo gallery	A 57.93:
ARS Image Gallery	A 77.737:
NOAA photo library	C 55.202:
NOAA Fisheries image gallery	C 55.355:

MARC Fields for Visual Resources

245

It is not uncommon for still images and occasionally videos (especially clips), to lack a title proper. In this case, the cataloger should supply a title, for which an example is:

Example

245 00 [Photographs of children awaiting transplantation surgery]. [CGP 910449]

300- Physical Description

For posters that are purely or primarily textual in content, the term broadside may be used in physical description; otherwise the term "poster" is used.

Example

300 $a 1 poster : $b color ; $c 61 x 91 cm

300 $a 1 online resource (1 poster) : $b color

Typical RDA treatments for analyzed video recordings are:

Example

300 1 online resource (1 video file, 6 min., 21 sec.) : $b Flash Video, sound, color [CGP 886398]

300 1 online resource (1 streaming and downloadable video file (1 min., 39 sec.)) : $b WMV file, sound, color [CGP 886009]

However, when there exists a need to indicate multiple file formats and other file characteristics, then the video recording's Physical Description field is supplemented by a General Note (MARC 500) and/or, when possible, an elaborated Contents Note (MARC 505), per the sets of complementary fields below:

Example

300 1 online resource (1 video file (9 min., 08 sec.)) : |b sound, color

500 Video file available in both streaming (9 min., 08 sec., SWF file, sound, color) and downloadable (9 min., 08 sec., WMV and MP4 files, sound, color) formats. Downloadable WMV files available in small, medium, and high resolutions; downloadable MP4 file available in medium resolution. [CGP 905123]

300 1 online resource

500 Video files available in both streaming (37 min., 38 sec., SWF file, sd., col.) and downloadable (37 min., 38 sec., FLV, sd., col.) formats. and

505 0_ The Terry Wise story (13 min., 1 sec.) -- Video guide for suicide attempt survivors story sampler (2 min., 29 sec.) -- The David Lilley Story (10 min., 54 sec.) -- The Jordan Burnham story (11 min., 14 sec.). [CGP 881454]

655- Genre/Form Terms

GPO local policy is to apply Library of Congress Genre-Form Terms (LCGFT) to audio-visual resources, cartographic materials, and Congressional publications.

Recommended ways to search for LCGFTs are to use either:

- Classification Web: See link from the main menu labeled Search Genre/Form Terms
- Moving Image Genre-Form Terms / compiled by Scott M. Dutkiewicz, when applicable.

Because none of the LCGFT sources cited herein present a comprehensive hierarchical list for a given facet, then consider searching on a truncated term, e.g., video* or sound*.

After you have selected appropriate term(s), code them in MARC as 655 _7 |a [term] |2 lcgft.

LCGFTs applied for audio-visual resources cataloged by GPO thus far include:

655 _7 |a Internet videos. |2 lcgft

655 _7 |a Video recordings. |2 lcgft *

655 _7 |a Video recordings for the hearing impaired. |2 lcgft

655 _7 |a Sponsored films. |2 lcgft

655 _7 |a Public service announcements (Motion pictures) |2 lcgft

655 _7 |a Documentary films. |2 lcgft

655 _7 |a Educational films. |2 lcgft

655 _7 |a Podcasts. |2 lcgft

655 _7 |a Sound recordings. |2 lcgft *

655 _7 |a Radio public service announcements. |2 lcgft

655 _7 |a Legislative materials. |2 lcgft

* Apply to collections per instructions in LCGFT thesaurus.

Serials

Sources to Consult

Use this section in conjunction with the following sources:

- RDA and LC-PCC PS
    - CONSER Cataloging Manual (CCM). (When using a particular module in the Cataloger's Desktop version, always check for an updated version of that module on the CONSER web site. It is expected, but not known, that the Cataloger's Desktop version of the CCM will incorporate these updates on a quarterly basis.)
    - CONSER Editing Guide (CEG). (When using a particular module in the Cataloger's Desktop version, always check for an updated version of that module on the CONSER web site. It is expected, but not known, that the Cataloger's Desktop version of the CEG will incorporate these updates on a quarterly basis.)
- CONSER Standard Record. SEE: RDA CONSER Standard Record (CSR) Metadata Application Profile.
- CONSER - Cooperative Online Serials Program of the PCC
- CONSER – Serials Cataloging Issues
- CONSER RDA Cataloging Checklist
- CONSER RDA Core Elements
- CONSER MARC 21 to RDA Core Elements
- Notes for Serials Cataloging (2nd ed. By Geer & Caraway or 3rd edition with revisions by Genereux & Moeller)
- PCC Provider-neutral E-resource MARC Record Guidelines
- PCC Guidelines for Enhancing & Editing non-RDA Serial Records
- RDA CONSER Standard Record (CSR) Metadata Application Profile
    - Report of Multiple Format Linking Group
- PCC Guidelines for the 264 Field
- Copy Cataloging: Working with Existing Copy
- Electronic Access and Location in Bibliographic Records: Standard Operating Procedure 422 [internal GPO document]

General Policies, Procedures, and Practices

Definition of Serial

The RDA definition of serial is located in Table 2.1 within: RDA 2.13.1.3: Recording Modes of Issuance.

Serial: A resource issued in successive parts, usually with numbering, that has no predetermined conclusion (e.g., periodical, a monographic series, a newspaper). Includes resources that exhibit characteristics of serials, such as successive issues, numbering, and frequency, but whose duration is limited (e.g., newsletters of events) and reproductions of serials.

Cataloging Decision: Monograph vs. Serial and Frequency of Issuance

For guidance in determining the specific type of resource, consult LC-PCC PS for 2.1: Basis for Identification of the Resource: Mode of Issuance: Monograph vs. Serial.

Regard the upper limit of frequency for serial treatment to be every five years. If volumes of a serial work are issued less frequently than every five years (i.e., six+ years), then catalog those volumes as monographs. Possible exceptions about which a supervisor should be consulted are: ephemeral works (e.g., brochures) that are reprinted every few years (i.e. issued every five years or more frequently) with only minor editorial changes; or, works issued irregularly with some gaps that qualify for serial treatment (i.e., every five years or more frequently) and some gaps that do not. These may include works issued as editions, where the edition statements might be designations of serial issues.

The presence of a PCC authenticated serial record in OCLC, or a long lifespan, e.g., twenty years or more, would support serial treatment of a title, even if issues were more than five years apart. (Examples: OCLC *24291597 or *609214511). Otherwise, prior treatment, such as the existence of numerous monograph records in the CGP, which were issued more than five years apart, should not be a critical factor in the treatment decision.

Consultation with the supervisor is highly recommended anytime that the cataloger is uncertain whether or not to treat a work as a serial.

Cataloging Decision: When Mode of Issuance Is Ambiguous

For guidance in determining the specific type of resource, see LC-PCC PS for 2.1: Basis for Identification of the Resource.

For serials published online, the cataloger might find only the most current issue posted. A publisher's choice to post online only the most current issue or edition of a work does not mean that previous issues/editions have ceased to exist as discrete publications. A decision to catalog as a serial cannot be contingent upon the simultaneous presence online of all issues or editions. See: Integrating Resources: a Cataloging Manual, IR1.2.2: "If the current issue is available online as a separate issue but back issues no longer exist as discrete issues, still catalog the resource as a serial."

As an example, in the following case, numerous monograph records for earlier revised editions of this work existed in the ILS and in OCLC, and are found in archival PURLs. A title issued in numerous revised editions may be cataloged as a serial instead of as an integrating resource or as multiple monographs. When cataloged as a serial, the edition statements are recorded as designations of issues (RDA 2.6: Numbering of serials). The frequency of the revisions, however irregular, supports serial treatment. See:

Example

OCLC # 856540482 / CGP system no. 000907273

Title: Learn about the United States : $b quick civics lessons.

PURL 1: 856 40 $3 Latest issue $u

PURL 2: 856 40 $3 Archived issues $u

Example

OCLC #609214511 / CGP system no. 000813792

Title: Sailing directions (enroute). $p East coast of South America.

PURL: $3 Latest edition only: $u

Replacement of Monograph Records with a Serial Record

When a serial record replaces ILS monograph records: 1) the monograph records are deleted from the CGP; and, 2) GPO holdings for the monograph records are deleted in OCLC. Additionally, the serials management librarian or designee should be notified of the records that either have been deleted, or need to be deleted from the CGP, so that holdings/items can be added to the newly-input serial record. Print-outs of monograph records that are to be deleted should be forwarded to serials management along with the treatment change.

See Also: *Collapsing Monograph Records* (DI [Desk Instruction] 412); Classification Correction Workflow … (DI 410 for catalogers and DI 411 for classifiers)

Excerpted instructions from: *Workflow Outline: Collapsing tangible monograph records into a serial record*:

Bibliographic Control will perform:

2e In Aleph:

2e-1. For issues published prior to the year 2000:

Add previously assigned monograph SuDoc stem & Item number into the 'subfield 'a' in 086 & 074 of the serial bib record, if the SuDoc stem for monograph is different from the one(s) for the serial, in the order from oldest to most current (*a WebTech Note is not required)

2e-2. For issues published in the year 2000 and after:

> Add previously assigned monograph SuDoc stem & Item number into the 'subfield 'z'' in current 086 & 074 of the serial bib record (*a WebTech Note is required).

See also: MARC Fields – 086 – SuDoc Number

Classification of Ceased Serials Being Cataloged for the First Time by GPO

When GPO catalogs a serial title for the first time for the CGP, and that manifestation of the serial already has ceased, the cataloger searches for a record for a different format (i.e., for a different manifestation). If a record is found for a different format of the ceased serial, the SuDoc number (or one of the SuDoc numbers) in that record is used. If no records are found for the title, the cataloger may use the SuDoc number of a record for a later or earlier title, regardless of the format of that record. If no such records are found, the cataloger should use a SuDoc stem from one of the agency's category classes (see GPO Classification Manual, chapter 2), such as its General Publications or Handbooks, Manuals, and Guides classes, and assign a unique Cutter number. Due to the title's ceased status, this is a departure from the usual serials classification practice of assigning unique SuDoc stems to live titles.

Example

OCLC 862810095 / CGP system no. 000912828

074 0971-B (online)

086 0 T 70.2:EX 7/3/

130 0 Explosives newsletter (United States. Bureau of Alcohol, Tobacco, and Firearms)

245 10 Explosives newsletter.

362 1 Began with: June 1997; ceased with: August 2000.

Numbering – Exceptions to the RDA Principle of Transcription, or "Take What You See"

Within RDA there are several exceptions to the general RDA principle of transcription for numbering. Serials catalogers should be aware of:

RDA Instruction	Action	Example
1.8.3: Numbers expressed as words	Substitute numerals for numbers expressed as words.	Designation appears on issue as Book Four: represent in the record as book 4
1.8.4 Inclusive Numbers	When recording inclusive dates and other inclusive numbers, record both the first and last number in full.	Designation appears on issue as 1961-2: represent in the record as 1961/1962
2.6.1.4: Recording numbering of serials	Substitute a slash for a hyphen, as necessary, for clarity.	Designation appears on issue as 1999-2000: represent in the record as 1999/2000
2.6.2.3: Recording numeric and/or alphabetic designation of first issue of part of sequence	If the designation consists of a year and a number that is a division of the year, record the year before the number.	Designation appears on the issue as 1-97: represent in the record as 97-1

For decisions about treatment for such terms as "premier" and "sample" issues, consult: LC-PCC PS for 2.1.2.3: Resource Issued in More than One Part.

See also: RDA Appendix D 1.2: ISBD Punctuation and D 1.2.4.3: Numbering (Serials.)

Notification of Cataloging Updates via WebTech Notes

Upon completion of a new serial record for the CGP, or upon completion of a record's closure due to cessation or to a title change, inform the FDLP community of the action via a WebTech Note.

Notification of LSCM's Office of Archival Management (OAM) for Serials Harvesting

Upon completion of a new serial record for the CGP, cue GPO LSCM's Office of Archival Management (OAM) to harvest existing issues, and to place the PURL on the automated "scheduler" to capture future issues at the expected increment (monthly, quarterly, annually, etc.).

When it is determined that a serial has ceased and the record has been closed, notify OAM staff to ensure that all available issues have been archived and to redirect the PURL to the archival directory of issues harvested by GPO. However, the PURL will remain pointed to the agency Web site if GPO has a permanent public access partnership with the agency, or if OAM deems the agency's site for its archived issues to be stable. Communicate either situation to OAM using either:

[PURL Worksheet](#) (preferred) [internal GPO document]

or

Email – for lengthy and/or complex requests

Updating Collections of Serials

For an unusual treatment of annual reports, see the following records that treat updating collections of annual reports from national programs within USDA's Agricultural Research Service as integrating resources. Use OCLC or the CGP to scan the title phrase "Project annual reports from National Program …"

Initially, GPO analyzed each annual report, but the quantity of cataloging records became burdensome. Furthermore, in a Depository Library Council (DLC) meeting with GPO librarians, a DLC Council member questioned the efficacy of analyzing hundreds of short-lived technical reports (usually with 5-year-lifespans). This cue legitimated the switch to cataloging the entire collections.

For detailed instructions on cataloging integrating resources, see [Bibliographic Cataloging: Integrating Resources](#).

MARC Fields

Leader /17 (Encoding Level) and 042

For the sake of encoding and authentication, GPO is considered a national bibliographic agency that participates in PCC's CONSER; therefore, serials are cataloged at Full-level (for which the value for the encoding level is "blank") and authenticated in 042 as "pcc." When a lower-than-full level serial record needs to be adapted by GPO, upgrade the record to PCC standards articulated broadly and specifically in CONSER guidance documents.

010- Library of Congress Control Number

Library of Congress Control Number assignments are issued via stickers to individual catalogers. Consult your supervisor for annual allocations of stickers, and for replenishments as needed through the year.

022- ISSN

A unique International Standard Serial Number (ISSN) is assigned to each manifestation of a serial work except for microform manifestations. If an ISSN is found in a record for a microform version that is being adapted for GPO, then remove the ISSN from the OCLC master record before updating the record.

The Library of Congress serves as the U.S. ISSN Center, and thus assigns ISSNs to U.S. serials. Submit ISSN requests for any continuing resource that you have authenticated as a CONSER record (containing an LCCN in the 010 and "pcc" in the 042 field). While you may submit requests for a tangible serial format, GPO catalogers usually submit requests only for the online version. Traditionally, surrogates of the tangible format are faxed along with the ISSN request, although it is possible that the ISSN Center will assign ISSNs without these. Frequently, the ISSN Center assigns an ISSN to the print version of a serial, even though GPO only submitted a request for the online version.

Use the CONSER ISSN Interim Request Form (available at:
http://www.loc.gov/aba/pcc/conser/documents/CONSER-ISSN-requests.xlsx, or locally at :
http://teamwork.gpo.gov/teams/lscm/ltis/BC/BCS%20Instructions/CONSER%20ISSN%20reque
sts%2020151127.xlsx). The procedures for submitting the CONSER ISSN Interim Request

Form are:

- Each cataloger submits the form individually
- Use U.S. Government Publishing Office (GPO) as the name of our CONSER Institution
- Email the completed form to: issn@loc.gov

050 – Library of Congress Call Number

Retain in PCC level records when found.

060 – National Library of Medicine Call Number

Retain in PCC level records when found.

070 – National Agricultural Library Call Number

Retain in PCC level records when found.

074 – Item Number

Do not remove item numbers from a record for a tangible serial, such as the print, that is no longer distributed in that format, but was distributed in the past. (Also, see the section "500 – Distribution Note.")

082 – Dewey Decimal Classification Number

Retain in PCC level records when found.

086 – SuDoc Number

Some SuDoc numbers for serials contain additional characters after the SuDoc stem, such as a cutter. In researching the SuDoc numbers of individual issues of the serial (in ACSIS or the Shelflist, for example), especially the earliest ones, the cataloger may find a situation such as the following hypothetical example:

Example	
TD 4.8/2:L 47	1st issue found with this SuDoc stem plus cutter
TD 4.8/2:L 47/992	2nd issue
TD 4.8/2:L 47/993	3rd issue
TD 4.8/2:L 47/994	[etc/]

Currently, GPO convention is to enter the SuDoc number in the 086 field with an ending slash, even when the SuDoc number of the first issue lacks a slash. This convention indicates that additional issues are available, which have book numbers (individual issue designations) following the slash. Consequently, for the above example:

086 0_ TD 4.8/2:L 47/

See also: Replacement of Monograph Records with a Serial Record

246- Varying Form of Title

The "CONSER MARC-to-RDA Core Elements" guidance illustrates the basic preferred encoding for parallel titles, and for variant titles, including later titles proper (for minor title changes). These are listed under MARC encoding 246. "Record initialisms/acronyms of the title proper not chosen as the title proper in field 246 rather than other title information," either as: 246 1# $a [Variant title], or as: 246 1# $i [Note:] $a [Variant title].

For citing the particular issue or range of issues having a later title proper that is a minor title change, use either of the terms: issue/issues or volume/volumes. The term "issue/issues" is preferred. Free-text notes that introduce variant titles are exemplified by, but not limited to, the following examples.

Example

246 1 $i Title from serial home page: $a [Variant title]

246 1 $i Title on newsletter index screen: $a [Variant title]

246 1 $i Title from source code: $a [Variant title]

246 1 $i Issue for spring/summer 2012 has title: $a [Later title proper]

246 1 $i Issues for 1978-1983 have title: $a [Later title proper]

246 1 $i Some issues have title: $a [Variant title]

246 1 $i Some issues also have title: $a [Variant title that appears in addition to title proper]

246 1 $i Also known as: $a [Variant title for initialisms/acronyms not recorded as other title information]

246 1 $i Also known as: $a Red book

p246 1 $i At head of title: $a [Variant title that could be mistaken for title proper]

264- Production, Publication, Distribution, Manufacture, and Copyright Notice

264 $c: Date of publication: Follow the CONSER RDA CSR metadata application profile, under Date of publication, 2.8.6: "Serials: Record the publication date(s) of first and/or last issue if the

dates are known and the first and/or last issues are in hand." Do not apply the following instruction in RDA 2.8.6.5: "If the first and/or last issue, part, or iteration is not available, supply an approximate date or dates by applying the instructions at 1.9.2." See also the CONSER RDA Cataloging Checklist, under 17c, Date of publication.

GPO always includes a 264 sales/distribution statement when GPO is the vendor/distributor.

300 – Physical Description (300 |a)

GPO always includes a 300 field, including for open serials, e.g.,

Example
300 $a volumes
300 $a 1 online resource (volumes)

In the second example above, the type of unit - "(volumes)" - is provided per RDA 3.4.1.10: Incomplete Resource. GPO follows RDA 3.4.1.10 but not its alternative or the LC-PCC Policy Statement for 3.4.1.10 for the alternative.

362, 588, and Any Field Where Designation is Represented

See section: General Policies: Numbering.

362 – Beginning and/or ending numbering/dates of publication

Clear guidance, including examples and descriptions of former practice, is found in:

- CONSER Editing Guide (CEG): Variable data field 362
- CONSER Cataloging Manual: Module 8. Numbering (Fields 362, 515, 588) (Updated version at: http://www.loc.gov/aba/pcc/conser/more-documentation.html, as of May 2016. Specific link: http://www.loc.gov/aba/pcc/conser/word/Module8.docx)
- CONSER Cataloging Manual: Module 31.8. Remote Access Electronic Serials: Numbering (fields 362,588)

Inferring first or last issue from the print version: This practice is most commonly employed when creating the record for the online version, and the first online issue or beginning date is unknown. The beginning dates of the print version, when known, may be given in a 362 1# field. Give this note in addition to the "Description based on note" to provide justification for the fixed field beginning date.

Example

362 1# Print began with: Vol. 3, no. 1 (Jan. 1984).

Do not give a 362 1# "Print began with" note when the beginning date of the print or other original format is not known. Give an unknown* fixed field date in this case." (CEG) (*Note: such as 199u, 19uu, or 200u)

362 – Determination of Cessation of a Serial When Response from the Publishing Agency is Lacking

When verification of a serial's suspected cessation cannot be confirmed with the publishing agency, then cautious judgment should be exercised to make that determination. For example, in 2013, the cataloger had to consider the serial's publication status and found the following data:

Example

245 00 GLOBE offline.

260 Washington, DC : ǂb GLOBE Program, ǂc [1997]-

310 Semiannual

362 0_ Fall 1997-

588 Latest issue consulted: March 2003.

Because of the lapse in issues for a ten-year period and a lack of success in eliciting a response from the agency, the cataloger confidently added to the above variable fields the following statement in a separate 362:

> 362 1_ Ceased publication.

However, it is not uncommon for gaps and other irregularities in issuance to occur, especially during periods of fiscal restraint, so act conservatively when making this determination.

500 – Distribution Note

If no issues of a serial have been distributed in a particular format, a 500 note that reads "Format not distributed to depository libraries" should be included in the record for that format. This note would most commonly appear in the print record for a serial that is only "distributed" to the Federal Depository Library Program online. However, many older serials, unlike monographs, were distributed in the past in print, microfiche, or direct electronic format, but later

ceased such tangible distribution in favor of the online version. Distribution of such serials changed from tangible distribution to "online only" or "EL only." In such cases, the note "Format not distributed to depository libraries" is inaccurate, since libraries will have parts of these serials on their shelves. In such cases, use in the appropriate print, microfiche, or direct electronic record such a note such as:

500 No longer distributed to depository libraries in a physical form.

or

500 Format no longer distributed to depository libraries.

500 No longer distributed to depository libraries in a physical form "as of [date]."

500 No longer distributed to depository libraries in a physical form "after [designation or year of last distributed issue, or year in which the last issue was distributed]."

or

500 Format no longer distributed to depository libraries "as of [date]."

500 Format no longer distributed to depository libraries "after [designation or year of last distributed issue, or year in which the last issue was distributed]."

515 - Numbering Peculiarities Note

For extensive examples of numbering peculiarities, see Notes for Serials Cataloging (2nd edition by Geer & Caraway or 3rd edition with revisions by Genereux & Moeller), and CONSER Editing Guide (CEG), 515: Numbering Peculiarities Note.

538 - System Details Note

Closure of serial records often requires edits to the MARC 538 subfields that introduce the original URLs. For instructions, see: SOP 422 – Electronic Access and Location in Bibliographic Records [internal GPO document], section entitled "Publications No Longer Available."

588- Source of Description Note

Clear guidance, including examples and descriptions of former practice, is found in:

- CONSER Editing Guide (CEG): Variable data field 588
- CONSER Cataloging Manual: Module 8. Numbering (Fields 362, 515, 588) (Updated version at: http://www.loc.gov/aba/pcc/c2onser/more-documentation.html, as of May 2016. Specific link: http://www.loc.gov/aba/pcc/conser/word/Module8.docx)
- CONSER Cataloging Manual: Module 31.8. Remote Access Electronic Serials: Numbering (fields 362, 588)

Verbiage for "Description Based on" Note

Do not use the phrase "Identification of the resource based on:" found in RDA 2.17.13.3, to describe the serial issue that serves as the basis of description. Instead, use the phrase

"Description based on:" as instructed in LC-PCC PS for 2.17.13, the RDA CONSER Standard Record (CSR) Metadata Application Profile, and CONSER RDA Core Elements.

Example

588 Description based on: Volume 1, issue 1 (Feb. 2016).

Although the description based on (DBO) and latest issue consulted (LIC) notes typically reflect transcribed designation, catalogers may supply abbreviated months in "viewed" statements.

Example

588 Latest issue consulted: GFA-21 (July 2010) (viewed Aug. 19, 2013).

Other examples for wording may be found in the CONSER Editing Guide and CONSER Cataloging Manual, cited above.

Print Version Record Used As Basis of Description for Online Version

For online serials, generally do not use the print version as a basis for description. Exceptions to this occur when agencies' own serial archives or GPO's digital repository, FDsys/Govinfo, serve as the basis for the electronic record description, and contain substantially fewer issues/volumes than the print version. In this case, use the print version as the basis for description to justify title, title variants, statements of responsibility, etc., that otherwise would be lost. The following text should be used in a 588 field in such cases:

588 Description based on print version record.

Similar situations also occur for longstanding print titles for which only one or a few online issues can be found. One example occurs when adapting a Hathi-Trust record that is based on the print version, when only the latest issue is available to the cataloger (example: OCLC *604986725). In this case, retain the description based on print version, but update the "Latest issue consulted" note to identify the most recent online issue that is viewed. The "latest issue consulted" note that is corollary to the "Description based on print version record" note nevertheless reflects the online version.

> Example
>
> 588 Description based on print version record.
>
> 588 Latest issue consulted: Volume 1, number 4 (April 2014) (viewed May 14, 2014).

76X--78X– Linking Entry Fields

Consult and follow:

- CONSER Cataloging Manual, Module 14 and 31.15
- Report of Multiple Format Linking Group (Note: Some modifications have been made to the examples in this section.)

776 – Additional Physical Form

In general, the 776 field is used to indicate that the title in the cataloging record is (or was) available in an additional format. The 780/785 fields should not be used when a simple format change (but no title change) has occurred, even if one of these formats has been discontinued in favor of another. An exception is made if a title change accompanies a format change; in this case, the 780/785 fields are used (see example below of The Japan Foundation newsletter).

In addition, CONSER policy is to prefer the use of the 776 $i to record the format of the record being referenced, rather than a 530 field. When upgrading a serial record substantially, GPO catalogers should update the 776 treatment, as shown below.

> Example
>
> 530 Some issues also available via Internet from the ASTOR web site.
>
> 776 1 $c Original $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031
>
> [*is updated to*:]
>
> ~~530 Some issues also available via Internet from the ASTOR web site.~~ [Field deleted; but may be retained according to cataloger judgment]
>
> 776 08 $i Print version: $t Hazardous substances & public health $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031
>
> 776 08 $i Online version: $t Hazardous substances & public health (Online) $w (DLC) 00220202 $w (OCoLC)32623365

Example

530 Also issued in print.

776 1 $t Hazardous substances & public health $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031

[*is updated to*:]

~~530 Also issued in print~~. [Field deleted]

776 08 $i Print version: $t Hazardous substances & public health $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031

For general guidance on updating 776 and related fields, see "For copy cataloging" in the section, 76X-78X in: Bibliographic Cataloging: General MARC Field Policies.

Cessation of Print Version but Continuation of Online Version

The 776 field (not 780/785 fields) also is used when a print version ceases publication but the online manifestation continues. This relationship is noted in $i of the 776 in both the print and online records. Cf. CONSER Cataloging Manual, Part 3, Special Types of Continuing Resources. Module 31, Remote Access Electronic Serials (Online Serials). Section 31.15, Linking Relationships.

Cessation of Print Version but Continuation of Online Version – Examples:

When a simple format change (but no title change) has occurred, the 780/785 fields should not be used even if one of these formats has been discontinued in favor of another.

Example

Print version: OCLC *1640226 / CGP system no. 000245524

DtSt d Dates 1938, 2013

130 0 Social security bulletin (Washington, D.C. : 1938)

245 10 Social security bulletin.

362 0 Vol. 1, no. 1-3 (Mar. 1938)-

362 1 Ceased in print with: Vol. 73, no. 3 (Aug. 2013).

776 08 **$i Continued online**: $t Social security bulletin (Washington, D.C. : 1938 : Online) $x 1937-4666 $w (DLC) 2006230180 $w (OCoLC)48798071

> Example
>
> Online version: OCLC *48798071 / CGP system no. 000590301
>
> DtSt c Dates 1938, 9999
>
> 130 0 Social security bulletin (Washington, D.C. : 1938 : Online)
>
> 245 10 Social security bulletin $h [electronic resource].
>
> 362 0 Vol. 1, no. 1-3 (Mar. 1938)-
>
> 776 08 **$i Print version**, 1938-2013: $t Social security bulletin (Washington, D.C. : 1938) $x 0037-7910 $w (DLC)sn 40029327 $w (OCoLC)1640226

Cessation of Serial Due to Both Format Change and a Title Change

When a publication ceases due to a format change and a title change, use a 776 field along with 780/785 fields.

> Example
>
> OCLC *4102509
>
> DtSt d Dates 1973, 2006
>
> 245 04 The Japan Foundation newsletter.
>
> 362 1 Began in Aug. 1973; ceased with v. 31, no. 4 (Apr./May 2006).
>
> 776 08 $i Online version: $t Japan Foundation newsletter $w (OCoLC)626408149
>
> 785 04 $t Japan Foundation email magazine $w (DLC) 2010254029 $w (OCoLC)665072395

> **Example**
>
> OCLC *626408149
>
> DtSt d Dates 1973, 2006
>
> 245 04 The Japan Foundation newsletter $h [electronic resource].
>
> 362 1 Print began in Aug. 1973. Ceased with v. 31, no. 4 (Apr./May 2006).
>
> 776 08 $i Print version: $t Japan Foundation newsletter $x 0385-2318 $w (DLC) 84645788 $w (OCoLC)4102509
>
> 785 04 $t Japan Foundation email magazine $w (DLC) 2010254029 $w (OCoLC)665072395

> **Example**
>
> OCLC *665072395
>
> DtSt c Dates 2004, 9999
>
> 245 04 The Japan Foundation email magazine $h [electronic resource].
>
> 362 1 Began with: Vol. 1 (Oct. 1, 2004).
>
> 580 Absorbed the print and online formats of the Japan Foundation newsletter in 2006.
>
> 780 00 $t What's new mail service $w (DLC) 2010254030 $w (OCoLC)665072119
>
> 780 15 $t Japan Foundation newsletter $x 0385-2318 $w (DLC) 84645788 $w (OCoLC)4102509
>
> 780 15 $t Japan Foundation newsletter $w (OCoLC)626408149

Microform Serials and GPO Practices for Linkages

In the early 2000s, GPO began a practice of discontinuing microfiche serials when an online equivalent had been cataloged. The intent was to inform users that microfiche would no longer be distributed to depository libraries and that GPO would distribute only in EL format or possibly in conjunction with the print format (if cataloged). Below is an example of what the microfiche and EL records looked like after they were edited in the OCLC database.

Former, Discontinued Practice for Linking Microform Serials to Other Manifestations

---

Example

OCLC *47143583 / CGP system no. 000534136

DtSt c Dates 1990, 9999

245 00 Hazardous substances & public health $h [microform] : $b a publication of the Agency for Toxic Substances and Disease Registry.

362 0 Vol. 1, no. 1 (Nov. 1990)-

530 Some issues also available via Internet from the ASTOR web site.

580 Continued by the online version.

776 1 $c Original $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031

785 10 $t Hazardous substances & public health (Online) $w (DLC) 00220202 $w (OCoLC)32623365

Example

OCLC *32623365 / CGP system no. 000595127

DtSt c Dates 1990, 9999

245 00 Hazardous substances & public health $h [electronic resource].

362 1 Print began with vol. 1, no. 1 (Nov. 1990).

530 Also issued in print.

580 Continues the microfiche version.

776 1 $t Hazardous substances & public health $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031

780 10 $t Hazardous substances & public health $w (DLC) 2004231814 $w (OCoLC)47143583

The above practice was discontinued ca. 2005. In current practice, simple relationship information is provided in 776 $i rather than in 580 notes, as shown in th4e following examples.

Current Practice for Linking Microform Serials to Other Manifestations

> Example
>
> OCLC *47143583 [microform version]
>
> DtSt c Dates 1990, 9999
>
> 245 00 Hazardous substances & public health $h [microform] : $b a publication of the Agency for Toxic Substances and Disease Registry.
>
> 362 0 Vol. 1, no. 1 (Nov. 1990)-
>
> ~~580 Continued by the online version.~~ [Field should be deleted]
>
> 776 08 $i Print version: $t Hazardous substances & public health $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031
>
> 776 08 $i Online version: $t Hazardous substances & public health (Online) $w (DLC) 00220202 $w (OCoLC)32623365

> Example
>
> OCLC *32623365
>
> DtSt c Dates 1990, 9999
>
> 245 00 Hazardous substances & public health $h [electronic resource].
>
> 362 1 Print began with vol. 1, no. 1 (Nov. 1990).
>
> ~~580 Continues the microfiche version.~~ [Field should be deleted]
>
> 776 08 $i Print version: $t Hazardous substances & public health $x 1076-8920 $w (DLC)sn 91023417 $w (OCoLC)23110031
>
> 776 08 $i Microfiche version: $t Hazardous substances & public health $w (DLC) 2004231814 $w (OCoLC)47143583

Other Considerations for Linking Entry Fields: Parallel Formats & Works Not Described in Bibliographic Records

Parallel Formats

When linking works with 77X-78X fields, be careful to consider the same physical format for horizontal (776), chronological (780/785), and other related works (787).

Specifically for chronological (predecessor/successor) relationships reflected in 780/785, do not link to a different format when that chronological link can be made to the same format.

Works Linked but Not Described in Bibliographic Records

Also consider the admissibility of linkages to works for which no bibliographic records exist, as given in CONSER Editing Guide, Section E. 76X-78X, Linking Entry Fields General Information:

Linking entry fields may be used to provide notes and computer access for related titles for which there is no record online (e.g., a 780 field may be given for the earlier title when the title is known, even though there is no record on [i.e., in] the database).

When the cataloger knows for certain that another, related work exists, it must be included as a linking field entry in the record for the work being cataloged, whether or not it has been described in a bibliographic record.

Example

The linking field conveys information about a chronologically-related work (in the example below, a predecessor work) for which a record is not identified. In this case, the linking fields lack record control numbers ($w):

      245 00 $a European journal of medicinal chemistry

      780 00 $t Chimica therapeutic

[Source: CONSER Cataloging Manual, Section 31.15]

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856 - Electronic Location and Access

Spend time locating the best and most comprehensive URL (meaning "location") for a serial.

Some examples of such locations are given below, as these may appear unusual to catalogers who mostly catalog monographs:

OCLC Number	PURL
609214511	856 40 $3 Latest edition only $u http://purl.fdlp.gov/GPO/gpo6525
845104850	856 40 $u http://purl.fdlp.gov/GPO/gpo38699
48991874	856 40 $3 Final edition $u 856 40 $3 Archived issues $u
823178322	856 40 $u http://purl.fdlp.gov/GPO/gpo32752
682455267	856 40 $u http://purl.fdlp.gov/GPO/gpo19888

Keep the PURLs of current (live) serials connected live to the agency Web site, but notify OAM to put the PURL on the scheduler, as instruct ted in the "Notification of LSCM's Office of Archival Management (OAM) for Serials Harvesting" section of this article.

When issues of a serial appear online in separate locations, then two PURLs are allowed, typically to provide access to "Current issue(s)" and "Archived issues."

Example

OCLC *70144088

856 40 ‡3 Current issues ‡u

856 40 ‡3 Archived issues ‡u

Single-record vs. Separate-Record Approach and PURLs

Older GPO records for print, microfiche, or direct electronic resources that followed the single-record approach may contain PURLs. The cataloger may need to update such an existing record for a tangible format which was created according to the single-record approach and thus contains a PURL (even though the cataloger would not include a PURL when creating a new record for a tangible format). A PURL in a single-record approach description should match that of the online manifestation of the same work or expression (or title, to use a simpler term). The cataloger often needs to "split" the single-approach record into two records into one each - the existing tangible record and a new online record. Therefore, when creating the new online record for such a title, use the same PURL that is found in the tangible record. Do not create a new PURL for this same title. It is acceptable to use the older formulated PURL.

Records that reflect different works or expressions should have different PURLs. Each work or expression in an online manifestation should have its own PURL (or PURLs). When a title changes, a bibliographic record that reflects the new work or expression in online format is created with a new PURL. To summarize: New records for title changes receive new PURLs.

See SOP 422 – Electronic Access and Location in Bibliographic Records [internal GPO document] for more information.

Appendix A: Bibliographic File Maintenance: Deletion of Records from the CONSER Database

Duplicate CONSER authenticated serial records are occasionally discovered. These may either be exact accidental duplicates, or multiple records that were created by GPO for what is now considered a minor title change, which may better serve the catalog and its users by being consolidated into one record. Normally, the cataloger would report the duplicate record to OCLC for deletion. However, OCLC cannot delete an authenticated CONSER record. Therefore, the cataloger must first delete the record from the CONSER database, then report this same record to OCLC for deletion. (CONSER Editing Guide C7.4, C7.4.2) To delete records from the CONSER database, catalogers should proceed as follows:

1. Consult the CONSER Editing Guide (CEG): revised section C7: Duplicate Records as of March 2016, which should be updated in Cataloger's Desktop in the May 2016 update). As needed, also consult the CEG: section C8: Record Consolidation/Separation. Specific procedures are found in C7.5, but catalogers should ensure that they have the necessary background found in all of C7, and, if needed, in C8.

2. If the record to be deleted is an LC record, follow the procedure in the CEG section C7. Library of Congress records may be identified by: (a) containing a 050 field with second indicator "0" (zero), and (b) containing LC's symbol, DLC, in the 040 field.
3. If the record to be deleted is not a Library of Congress record, the cataloger may delete the record from the CONSER database following the procedure in CEG section C7.5. A record created by GPO may always be deleted. Records created by other institutions may also be deleted. Do not, however, delete another institution's record if it was created first, and an accidental duplicate was created after it. Instead, retain the earlier record and delete the later one.

Appendix B: Where to Find Certain CONSER Procedures

Consult relevant sections of the CONSER Editing Guide (CEG) and CONSER Cataloging Manual (CCM), for specific procedures, especially for those dealing with older serial records.

CEG C2.2.2 as of March 2016, which should be updated in Cataloger's Desktop in the May 2016 update): To correct or replace an LCCN in a CONSER record. (in section titled: Record control number)

CEG C8. Record Consolidation/Separation

CCM 21.5. Record consolidation and separation

CEG C9. Converting Pre-AACR2 Records to AACR2 (useful also for converting to RDA)

CCM Module 22. Interpreting pre-AACR2 serial cataloging records

CCM 21.4. Pre-AACR2 record modification

CEG C10. Latest and Integrating Entry Records

CEG C7. Duplicate Records (also deals with latest entry records, as well as with permissible duplicates)

CCM 21.7. Deleting records

CCM 21.8. Upgrading minimal, core, and 'lccopycat' records

CCM 21.10. Revising AACR2 records to "back-up" the description

CCM Module 32. Microform serials

Computer Files

Use this section in conjunction with the following sources:

- MARC 21 Format for Bibliographic Data: 008: Computer Files, See 008/26: Type of computer file (006/09)
- Bibliographic Formats and Standards / OCLC: Type: See Type of Record: Electronic Resources and File: Type of Computer File
- Cataloging Electronic Resources: OCLC-MARC Coding Guidelines
- RDA Toolkit: Section 6.9: Content Type: Table 6.1 [Content Type Terms]

This article is intended to serve as a caveat to catalogers for some unique and sometimes difficult decision-making. This article does not comprise GPO-specific guidelines, but, rather, covers MARC/OCLC instructions that:

1. are historically not well-understood for a subset of electronic resources, and
2. do not map easily to RDA.

Although the phrase, computer file, is not represented per se in RDA, it is represented in OCLC and MARC 21 documentation that present guidance for treatment of electronic resources. Although OCLC and MARC 21 instruct that many electronic resources are treated for "the significant aspect of the content," e.g., "language material, graphic material, cartographic material, sound, moving image, etc.," there are four general classes of materials that are treated preferentially as computer files and thus allocated their own workform for which Type (Leader/06) is coded "m." Resources that should be coded and described as computer files are:

- Computer software
- Numeric data
- Computer-oriented multimedia [a.k.a. Interactive multimedia]
- Online systems and services

OCLC provides [definitions](#) of each of these four computer file types.

The challenge for the cataloger is that there exists no one-to-one correspondence of the computer file types defined by MARC 21/OCLC and RDA content types. (Cf. the RDA Toolkit's Table 6.1 for content type terms.) When the catalogef is describing an OCLC/MARC 21 computer file, then s/he must select corollary RDA terms from its content type list to populate the RDA Content Type field (MARC 336) in the MARC record. For example, OCLC/MARC 21's "computer software" would translate to RDA's "computer program." OCLC/MARC 21's "numeric data" likely would translate to RDA's "computer dataset" or "cartographic dataset." For an interactive video game, OCLC/MARC 21's "computer-oriented multimedia" might translate to a combination of such RDA content type terms as "computer program" and "two-dimensional moving image" and "sounds," or any other combination necessary to describe all aspects of the work.

It is possible that as MARC 21 and OCLC are phased out in favor of a new bibliographic framework that is more accommodating to RDA, "computer file" treatment in the bibliographic utility will cease to require catalogers' attention. In the interim, it is contingent upon catalogers to reconcile the different approaches described above.

One common procedure to convert records that originally were cataloged as computer files prior to a common understanding of the format's restrictions is described in detail below.

Procedures to Convert Type "M" (Computer File) Records to Type "A" (Language Material) Records

Older electronic resource records that catalogers find when searching for copy may be coded Type (Leader/06) "m." At the time these records were created, this was an appropriate Type code, but this code is now only used for computer software, numeric data, computer-oriented multimedia, and online systems or services. The type code must be changed to describe the significant aspect of the resource, usually "a" for "language material." Other, less common possibilities are: "g"—projected medium, "k"--two-dimensional nonprojectable graphic, "e"—

cartographic material, or "o"—kit. All these codes, however, are dependent on the higher level Format of the record. Depending on the specific Format for the record, only certain codes in the "Type (Leader/06)" fixed field are allowed. ([OCLC Bibliographic Formats and Standards](#), describes the relationship between Format and Type, and BLvl: Bibliographic Level. Alternatively, simply click on the hyperlinked fixed field label "Type" within any OCLC record.) Therefore, the first step to take in changing the Type code of a record is to change the Format.

Catalogers should attempt to change the record format, and replace the record in OCLC, if possible. In OCLC, this is done by going to the drop down box at the top left of the record, just below the OCLC number. Change the format from "Computer Files" by selecting either "Books," "Continuing Resources," "Maps," "Visual Materials," or one of the other formats available from this drop down menu.

Next, enter the appropriate values for the fixed fields Type (Leader/06) and BLvl: Bibliographic Level (Leader/07). Type (Leader/06) must be changed to describe the significant aspect of the resource, usually "a" for "language material. The codes for Bibliographic Level (Leader/07) will usually be "m" for monographs, and either "s" or "i" for continuing resources. The code "c" is used by GPO for collection-level records. Much rarer are the codes "a" and "b."

Finally, fill in any other basic, mandatory requirements for that format, especially the fixed fields, including DtSt (008/06) and both Dates fields (008/07-14). At this time, do not change the ELvl: Encoding Level (Leader 17). After making these basic changes, attempt to validate or replace the record in OCLC. Carefully read any error messages that appear if the validation or replacement fails. Some of these error messages may describe incompatibilities between various codes in various fields. Remediate all errors within your capability. If validation is successful, replace the record. If you successfully replace the record, then, as a secondary step, make all the other changes warranted for the update, including upgrading the ELvl: Encoding Level (Leader/17), if possible. Never change the fixed fields ELvl Encoding Level or Srce: Cataloging Source (008/39) if already blank. If the system says you are not authorized to upgrade the ELvl or add an 042 field, you may contact OCLC as described below.

If OCLC does not allow you to replace the record (the error message will usually contain the phrase "Not authorized to replace"), then you should email the record to OCLC at bibchange@oclc.org, asking them to change the record's format. This may also be done from within the record on OCLC, by selecting "Report Error" from the Action drop down menu. Using either this method or email, provide the OCLC number of the record, and the Format (from within the drop down menu that currently has "Computer Files") that you wish the record to be changed to. This format will usually be Books or Continuing Resources, though it may also be Maps or Visual Materials.

If desired, you may go ahead and make all needed changes to the record, both the basic, mandatory and secondary changes, including the Encoding Level, and save these in the online save file. Then, in your message to OCLC, mention that they can either simply change the format of the record, or alternatively, they may replace the record with your save file number (include this number) in GPO's online save file. OCLC can access this. If you do not hear back from OCLC within four days or so, check back on the OCLC master record, as they may have made the change without notifying you.

Integrating Resources

Use this section in conjunction with the following sources:

- RDA and associated LC-PCC PSs
- Integrating Resources: A Cataloging Manual, 2011.
- CONSER Standard Record Documentation, 2010.
- MARC 21 Format for Bibliographic Data
- OCLC Bibliographic Formats and Standards. 4th ed. Last modified Oct. 2011.
- Guidelines for Creating a Hybrid Record from a pre-RDA Record for an Integrating Resource.
- 264 Field PCC Guidelines.

RDA defines an integrating resources as a resource that is added to or changed by means of updates that do not remain discrete but are integrated into the whole (e.g., a loose-leaf manual that is updated by means of replacement pages, a Web site that is updated continuously).

086- SuDoc Number

Each integrating resource is assigned a unique Superintendent of Documents (SuDocs) number with a corresponding GPO Item Number (MARC 074). Ensure that this field reflects the work's unique SuDoc in concert with its related MARC 074 data. See Bibliographic Cataloging: 086 SuDoc Number for more information.

130 - Authorized Access Point for Work

For integrating resources, apply the LC-PCC PS (6.27.1.9) guidelines outlined under the heading Monographs, according to the instruction under the heading Integrating Resources. Also, construct an authorized access point with a qualifier when a serial becomes an integrating resource (or vice versa) but does not change its title proper.

Example

Online integrating resource record

　　OCLC 798711269

　　130 0 Occupational outlook handbook (United States. Bureau of Labor Statistics)

　　245 10 Occupational outlook handbook $h [electronic resource].

　　580 Continues an online serial with the same title.

　　780 10 $t Occupational outlook handbook (Online) $w (DLC) 2009230083 $w (OCoLC)60630610

Example

Online serial record:

      OCLC 60630610

      130 0 Occupational outlook handbook (Online)

      245 10 Occupational outlook handbook $h [electronic resource].

      580 Continued by an updating Web site with the same title.

      785 10 $t Occupational outlook handbook (United States. Bureau of Labor Statistics) $w (DLC) 2012230769 $w (OCoLC)798711269

---

245 - Title

Other title information ($b)

In general, do not record other title information in the 245 field unless one of the following situations exists:

- an acronym or initialism appears in the chief source of information with the full form of the title recorded as the title proper;
- the statement of responsibility is an integral part of other title information; or
- when the title proper needs clarification (e.g., a generic title proper).

Example

245 00 North American Free Trade Agreement : $b NAFTA.

245 00 Armylink : $b official web site of the U.S. Army.

245 00 THOMAS : $b legislative information on the Internet.

Statement of responsibility ($c)

For the most part, do not include a statement of responsibility in the 245 field for integrating resources. An exception to this might be when there is an explicit statement of responsibility, such as: prepared by the Congressional Research Service; compiled by the U.S. Geological Survey, etc.

300 – Physical Description

For online integrating resources, include the following statement of extent:

      300 1 online resource

5XX - Notes

Order of 5XX notes

GPO follows the prescribed CONSER MARC 21 field order for notes (i.e., notes are listed in numerical order).

588- Description based on (DBO)/source of title proper note

Although MARC 588 is formally named "Source of Description" in the MARC 21 format, it may be amplified by the "Source of Title Proper" note that otherwise appears in MARC 500 for monographs. These two notes are always combined in a GPO record for an online integrating resource (IR). Most DBOs that GPO uses will have the following statement: 588 Description based on contents viewed Dec. 2, 2013; title from home page.

When an explicit revision or modification statement presents itself on the Web page that serves as the source of description, or, when no explicit revision or modification statement presents itself but the cataloger can confidently surmise the latest revision based on a dated entry (as in a blog), then construct such a statement as:

> 588 Description based on: version updated July 2013; title from title screen (viewed July 24, 2013).

> 588 Description based on: version last modified 08/25/2010; title from title screen (viewed Oct. 28, 2013).

Make sure that the source of title proper is accurate. If the basis for description is a sub-page of the home page, record the note as: title from web page. If greater specificity is desired, add an adjective to the phrase (e.g., title from resource Web page; title from database Web page; title from collection Web page):

> 588 Description based on: version last updated August 5, 2013; title from video collection web page (viewed August 10, 2013).

580/760-787 – Linking Relationships

580 Linking Entry Complexity Note: This note will be used primarily in conjunction with the 780/785 (preceding /succeeding) field:

Example

Serial record

> OCLC 37794729

> 245 00 Weekly population report.

> 580 Continued by an updating Web site with title: Inmate population report.

> 785 10 $t Inmate population report $w (DLC) 2013231066 $w (OCoLC)865578786

Example

Online integrating resource record

OCLC 865578786

245 00 Inmate population report.

580 Continues online serial with title: Weekly population report.

780 10 $t Weekly population report $w (DLC)sn 97028202 $w (OCoLC)37794729

776 (additional physical form entry) and 787 (related item entry) fields: Prefer to use $i rather than a 530 note whenever possible (i.e., 7XX 08 $i instead of 7XX 1 in conjunction with a 530 note).

Example

1: Online integrating resource record

OCLC 79715966

130 0 USDA national nutrient database for standard reference (Online database)

245 10 USDA national nutrient database for standard reference.

787 08 $i CD-ROM version: $t USDA nutrient database for standard reference $w (DLC) 00252195 $w (OCoLC)43564113

CD-ROM record:

OCLC 43564113

245 00 USDA nutrient database for standard reference $h [electronic resource].

787 08 $i Online database version: $t USDA national nutrient database for standard reference (Online database) $w (DLC) 2014230050 $w (OCoLC)79715966

Example

2: Online integrating resource record

      OCLC 851784163

      130 0 Taking stock (Online database)

      245 10 Taking stock : $b search the database.

      787 08 $i Print serial version: $t Taking stock (North American Commission for Environmental Cooperation) $w (CaOONL) 2004301309 $w (OCoLC)57172367

      787 08 $i Online serial version: $t Taking stock (North American Commission for Environmental Cooperation : 2002) $w (DLC) 2008230460 $w (OCoLC)57225203

Print serial record:

      OCLC 57172367

      130 0 Taking stock (North American Commission for Environmental Cooperation)

      245 10 Taking stock.

      776 08 $i Online serial version: $t Taking stock (North American Commission for Environmental Cooperation : 2002) $w (DLC) 2008230460 $w (OCoLC)57225203

      787 08 $i Online database version: $t Taking stock (Online database) $w (DLC) 2013230247 $w (OCoLC)851784163

Online serial record:

      OCLC 57225203

      130 0 Taking stock (North American Commission for Environmental Cooperation : 2002)

      245 10 Taking stock $h [electronic resource] : $b North American pollutant releases and transfers.

      776 08 $i Print serial version: $t Taking stock (North American Commission for Environmental Cooperation) $w (CaOONL) 2004301309 $w (OCoLC)57172367

      787 08 $i Online database version: $t Taking stock (Online database) $w (DLC) 2013230247 $w (OCoLC)851784163

Some digital collections that comprise updating web sites are cataloged by GPO as integrating resources. For more information, see the section for Bibliographic Cataloging: Audiovisual Resources

Name Authorities

Background

The inclusion of standard access points in bibliographic records aids users in retrieving information and identifying and locating specific resources.

1. To facilitate consistency, RDA, AACR2 and other standards provide for the establishment of personal names, corporate body/conference names, jurisdictional geographic names, multiparts (collective titles), series, series like phrases, and works and expressions.

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

3. GPO is a member of the Program for Cooperative Cataloging's (PCC) Name Authority Cooperative component, NACO.

4. GPO catalogers access Library of Congress (LC) name authority records via OCLC's authority file. GPO has its own name authority records in its ILS, Aleph. The local versions of these records are essentially the same as their counterparts in LC or OCLC. Except for cataloger codes and other minor proprietary information, GPO currently adds no additional information to its local versions of name authority records.

5. GPO creates new name authority records, and updates existing ones, according to the instructions in RDA and AACR2. In this way, GPO contributes to the LC/NACO authority file.

6. With the exception of personal names, all name access points appearing in GPO records must be validated (or authorized, or controlled) in the OCLC authority file. This includes corporate/conference and jurisdictional geographic names, and titles (series, works, expressions, etc.) that appear in the 1XX, 7XX, and 8XX fields of bibliographic records. Titles in 7XX fields (700 $t, 710 $t, 730, 711 $t) are authorized by authority records if available, or by bibliographic records if no authority records exist. In these cases, Congressionals or other priority titles may be produced with unauthorized access points (at I level), as a temporary measure, while name authority work for these is still in process.

7. Catalogers are responsible for correctly assigning and recording name and title access points in the 100,110, 111, 700, 710, 711, 730, 810, and 830 fields. Except for personal names, these must be authorized in the OCLC name authority file, and follow RDA or AACR2 instructions. If a name or title authorized access point is needed for the resource cataloged, that is not found in OCLC's name authority file, or if the authority record is found but requires additional work, such as the addition of cross-references, the cataloger creates a new name authority record or updates the existing one, following NACO procedures. See Name Authorities: Policy Overview.

Instructions to Consult

GPO catalogers consult the sources listed below for instructions on name heading assignment, checking and revising name headings in existing records, and creating new and updating existing name authority records needed for cataloging.

The primary sources consulted are:

- RDA and associated LC-PCC PSs (GPO follows all LC-PCC PSs) AACR2
- LCRIs (GPO followed all LCRIs)
- DCM Z1 (Always consult and follow, unless instructed otherwise) MARC 21 Format for Authority Records
- LC Guidelines (at the end of MARC 21 Format for Authority Records)

In addition, catalogers must consult:

- NACO Participant's Manual
- Carroll's Federal Directory, Carroll's Federal Regional Directory (all paper issues for current and previous year retained; one issue for each past year retained permanently)
- NACO home page (includes: Documentation & Updates, Cataloging FAQs, and Training)
- NACO Normalization
- RDA in NACO Training (training videos and other materials that cover all aspects of RDA Name Authorities) NACO Training for OCLC Libraries, rev. May 2001. Program for Cooperative Cataloging, Library of Congress
- Congressional Directory (all tangible, e.g., paper, issues retained permanently; current issue also available via Internet)
- The United States Government Manual (all tangible, e.g., paper, issues retained permanently; recent issues available via Internet)

Policy Overview

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

- With the exception of certain titles that do not need to be established (see SHM H 1435), all names and titles used as subjects in 6XX fields of bibliographic records must be confirmed in the OCLC authority files. This includes personal names, corporate/conference names, works and expressions (previously called uniform titles), and jurisdictional geographic names that appear in the 6XX fields of bibliographic records. A temporary exception may be made for Congressionals or other priority titles, when names used in these as subjects (fields 600, 610, or 611) are in the process of having NACO records prepared.
- For names and titles used as author or title descriptive access points in bibliographic records (fields 1XX, 7XX, and 8XX), consult the specific sections below: Personal Names, Corporate/Conference Names, Works and Expressions, and Places. In all cases, Congressionals or other priority titles may be produced with unauthorized access points (at I level), as a temporary measure, while name authority work for these is still in process.
- Errors: Transcription and other errors occurring in existing authority records are corrected if they were created by GPO or traced as authorized access points in a GPO bibliographic record.

Personal Names

For all publications, authority records are created or updated for personal names used as subjects in bibliographic records.

Congressional Publications

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

Other Publications

Personal names needed to catalog other publications are confirmed in OCLC's authority file. Except when needed as a subject, new personal name authority records are not created. Existing personal name authority records are not updated; new cross references for variant forms of personal names are not added. For more specific instructions see: Name Authorities, RDA, Personal Names and Name Authorities, AACR2, Personal Names.

Corporate/Conference Names

New corporate name authority records, including those for conferences, are created, and existing authority records are updated for all publications requiring corporate body access points, including mainentries (110 and 111 fields), subject added entries (610 and 611 fields), or added entries (710 and 711 fields).

Variant Names

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

Conference Authority Records

These are not created for individual conference papers nor are conference access points included in bibliographic records for individual papers.

Programs and Projects

See RDA 11.0 and Glossary: Corporate body.

GPO provides authorized access points in bibliographic records, and creates and updates authority records for programs and projects, unless these are mere abstract ideas that appear only in a title or within the text of a publication. In other words, the program or project must have some intrinsic existence of its own, apart from a reference in a publication. Note: Studies are corporate bodies. Here are two examples of programs/projects that GPO would establish as corporate bodies:

Example

110 WaterSMART (Program)

670 WaterSMART, 2012: $b PDF t.p (U.S. Department of the Interior's WaterSMART(Sustain and Manage America's Resources for Tomorrow) Initiative; WaterSMART Initiative) p.2 (DOI Water SMART Program)

670 WaterSMART (Program) Web site, viewed Apr. 9, 2013 $b (U.S. Department of the Interior, Bureau of Reclamation, WaterSMART (Sustain and Manage America's Resources for Tomorrow))

110 Measuring Broadband America (Program : U.S.)

670 Measuring Broadband America, 2012: $b Background and overview (Federal Communication Commission's Measuring Broadband America program, an ongoing, rigorous, nationwide performance study of residential broadband performance in the United States)

Here is an example of a "program" that GPO would not establish as a corporate body:

Example

245 A history of the Unemployment Compensation Program

The "Unemployment Compensation Program" would not be established; it is used loosely in this title, as a concept.

Corporate Names for Parks, Forests, Preserves, etc.

DCM Z1: Appendix 1, Section 2.8: Forests, Parks, Preserves, etc., explains that a park, forest, etc. can have two separate authority records, one in the Names file, and one in the Subjects file. Establish corporate names for the administrative aspect of these entities, when functioning as a creator (such as an author), issuing body, sponsoring body, publisher, etc. of a publication (or when functioning as any of the relationship designators in RDA Appendix I.2). For the authorized access point, use the form in the following example: 110 2 Everglades National Park (Agency : U.S.).

For more specific instructions, see: Name Authorities, RDA, Corporate Bodies and Name Authorities, AACR2, Corporate Bodies.

Works and Expressions

If a work or expression (previously called uniform titles) that must be established, such as a series, law, or treaty, is not in the LC/NACO authority file, it is established following the instructions in DCM Z1, and RDA/LC- PCC PSs. GPO authorizes all titles for series, laws, and treaties in the authority file, and creates and update authority records for these as needed.

Authority records for certain other titles (such as monographs, serials, computer programs or applications) may be created and contributed to the LC/NACO authority file per LC's DCM Z1 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 publication in several manifestations (e.g. the official name, the name of the law in a citation, and the public law number).

If there are no cross references, an authority record is not created. Titles for works and expressions are included in bibliographic records, if required, even though they have not been established (See RDA 6.26.1.9).

Per RDA chapter 6, unique authorized access points are required for publications published simultaneously with different titles (6.2.2.4), in different languages (6.2.2.4, 6.27.3), or that are translations (6.27.3). However, LC/NACO authority records are not created for them by GPO.

Consider a publication 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 ...."; Prior to RDA, sometime before 2002, the Library of Congress requested that GPO not establish uniform titles for translations of individual journal articles. Therefore, GPO will not establish unique authorized access points for translations of individual journal articles.

Multipart (Collective) Titles

New authority records are created and existing records are updated for use in bibliographic records only if a multipart collective title is to be recorded in the series statement of a record per GPO policy. Variant forms found in publications cataloged are added to authority records.

Series

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

For all publications that are not individual issues of serials or articles from serials, new series authority records are created and updated. Series statements are recorded in the 490 field and traced in the 830 or 810 series added entry field. Variant series statements appearing in resources are always confirmed in, and added if necessary, to the authority record. If following specific CONSER or BIBCO guidance, only the 830 field need be entered, if the series statement appears on the resource in its authorized form.

If publications are either individual issues of serials or articles from serials, series authority records are not created for these.

Instead, the serial's 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."

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:

> **Example**
>
> 100 1 Smith, Jane
>
> 245 10 Effective instruction / $c Jane Smith.
>
> 500 "Journal of elementary education, volume 50, number 3."

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.

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

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:

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

Series-Like Phrases

In the past, GPO established series-like phrases, 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

---

Series-like phrases that qualify to be recorded are confirmed for full level records. Authority records are created only if required for the reasons indicated above.

For more specific instructions, see: Name Authorities, RDA, Works and Expressions.

Places (Jurisdictional Geographic Names)

New jurisdictional geographic name authority records are created in the LC/NACO authority file. These include countries, states, provinces, counties, cities, and towns, as well as water, sanitation, utility, conservation, soil, recreation, park, and ranger districts. Active military installations, city sections, and U.S. Indian tribes as legal entities are also geographic names that GPO establishes and updates. For more details, consult: LC-PCC PS 16.4.1, and: DCM Z1: Appendix 1: Ambiguous Entities.

Existing name authority records for geographic entities are updated as needed. Cross-references and variant forms are added as they are discovered. For all work on geographic NARs, whether creating a new record or updating an existing one, RDA chapter 16 is followed, along with its corresponding LC-PCC PSs. If appropriate, you may apply RDA chapter 11 elements and their corresponding MARC 046 and 3XX fields, which record various attributes of corporate names. Include MARC fields 043 and 781 in geographic NARs. In addition, one of the following two sources is always consulted and cited (See SHM (Subject Headings Manual) H 203 for citation method):

- Geographic Names Information System (GNIS) (for domestic (U.S.) names)
- GEOnet Names Server (also available from: geonames.nga.mil/gns/html/)) (for foreign (non-- U.S.) names)

The following sources may additionally be consulted as needed:

- Columbia Gazetteer of the World, 1998
- National Geographic's Atlas of North America
- Rand McNally ... Commercial Atlas & Marketing Guide

- Rand McNally's The New International Atlas
- The Times Atlas of the World
- Merriam Webster's Geographical Dictionary, 3rd edition

Works in which a geographic name is found are recorded in the 670 field, while those in which the name is not found are recorded in the 675 field. New jurisdictional geographic heading authority records are created in the LC/NACO authority file, whether needed in the bibliographic record as a subject or as a name. Below are some examples.

Title of resource cataloged: Flood insurance study. $p Town of Milan, New Hampshire, Coos County.

Example

650 0 Flood insurance $z New Hampshire $z Milan (Town)

Because "Milan (Town)" is needed as a geographic subdivision of a topical subject, the geographic name authority record is established: 151 Milan (N.H. : Town)

A corporate body authority record is needed.

Example

151 Door County (Wis.) (This record may be created so that the following record may be created.)

110 1 Door County (Wis.). $b Soil and Water Conservation Department

---

Occasionally, a jurisdictional name may be needed as a qualifier in another authority record:

Example

245 10 Alaska Native Village Corporation: $b report (to accompany S. 924).

610 20 Newtok Native Corporation (Newtok, Alaska)

In order to establish the corporate name: 110 2 Newtok Native Corporation (Newtok, Alaska), the following jurisdictional name is established: 151 Newtok (Alaska)

The resource cataloged may contain a statement on the title page: "prepared in cooperation with the city of Hopkinsville, Kentucky." The following record is created:

Example

151 Hopkinsville (Ky.)

However, this same authorized access point may appear in the bibliographic record as follows:

710 1 Hopkinsville (Ky.)

This added entry will control (authorize) in OCLC, even though it is tagged differently than the authority record. This is true of all geographic names in the LC/NACO (Names) file. It is not true of geographic names that are subjects in the LC/SACO (Subjects) file. See: DCM Z1: Appendix 1: 1.2.a: "Note that when entities tagged 151 in the authority file are used as access points in bibliographic records (110, 710, and 810), the first indicator is set to the value 1."

Another example of this is below.

Example

151 Gary Sanitary District (Ind.) (in the authority record)

710 1 Gary Sanitary District (Ind.) (in the bibliographic record)

For more details and documentation about using geographic names as corporate bodies, coded X10, see: "MARC 21 Format for Bibliographic Data--X10".

For clarification on the treatment of ambiguous geographic entities, see DCM Z1: Appendix 1.

For additional information, also see:

- LC-PCC PS 16.4.1, which deals with ambiguous entities such as Indian Tribes.
- AACR2: chapter 23, 24.3E1, 24.6
- LCRI: 23.1, 24.1A

For more specific instructions, see: Name Authorities, RDA, Places and Name Authorities, AACR2, Places.

General Procedures

Optional Fields

For the optional fields in a name authority record, include or add these fields whenever the information is readily available in the resource being cataloged, and can quickly be added. No

significant research should be done, and no extra sources need be consulted, to find values for the optional attributes in a name authority record.

Research in OCLC

Before adding a new name to the authority file, always search the OCLC authority file to see if the name is already established. If no record for the name is found, additionally search the OCLC authority file for any possible earlier (predecessor) names. One way to do this, is to conduct a keyword search using the parent body (should one exist), plus only one (at a time) of the following significant keywords. For example, when establishing: "United States. Environmental Protection Agency. Management Information Systems Division," enter the keywords: "Environmental Protection Agency Management." Conduct two additional searches: "Environmental Protection Agency Information," and: "Environmental Protection Agency System*." Use wildcards as needed to retrieve differing forms of a keyword.

If you find a similar name to the one you are creating, you must determine the relationship between the two names through research. For example: consult the publication in hand (the resource being cataloged), the Internet (including uncatalogued publications found there), back issues of Carroll's Federal Directory, and of course, make phone calls or send emails. If you identify the existing authority record as the immediate predecessor, link the two records using properly coded reciprocal 510 or 511 fields. Only link immediately consecutive names; do not link names that are "twice removed." If a different type of relationship is found between your name and the existing name, and you feel it is important to bring out, you may add that information, reciprocally, to both records in the appropriate fields. Sometimes, it is helpful to add a 667 note such as: "cannot link directly to: [insert other name]," or "not same as: [insert other name]."

How Much Research Should Be Performed in Order to Identify or Dismiss Relationships to Other Corporate Bodies with Similar Names Found in OCLC's Authority File?

Perform the following research:

1. Quickly check the work cataloged and the agency Web site, to see if either contains a history section, which may include the very information you are seeking.

2. Search Carroll's Federal Directory for the name you are establishing (or updating). Use the year of Carroll's that matches the resource cataloged (or the closest year available). Next, search Carroll's Federal Directory for the similar, pre-existing name you found in OCLC. For this name, start with the same issue of Carroll's used to search for the name you are establishing, but if not found, search the next issue of Carroll's that matches (or comes closest to) the year cited in a 670 field of the OCLC record for the similar, pre-existing name. If both names are found, work your way through the intervening years of Carroll's (you may sample every few years), in order to identify name changes. This research may prove to be either conclusive or inconclusive.

Examples of a conclusive relationship:

> Example
>
> a. A linear name change is identified. (Record the relationship)
>
> b. Both names co-exist simultaneously. (Usually, no relationship is recorded. A 667 note may be added, in the form of "Not same as [other name]" or "Do not confuse with [other name]."

Negative evidence may also be considered conclusive. Examples:

> Example
>
> a. Multiple name changes are found in between the two names; and two or more of these are not found in the OCLC authority file. No relationship is recorded. Option: if two intervening names are found in Carroll's which are not in OCLC's authority file, and the linear progression appears straightforward, you may search OCLC's bibliographic file for these names. If one or more are found, and the task of recording this progression appears to be fairly straightforward, you may apply the option in section "d" below, of establishing one or more of these names from the bibliographic records found in OCLC.
>
> b. Two name changes are found, so that the two bodies you are seeking are linked to the same intervening body. If the intervening body is found in the OCLC authority file, all 3 bodies can be sequentially linked. If the intervening body is not found in the OCLC authority file, no relationship is recorded. You may, however, add a 667 note to the records for both bodies, in the form of "Cannot link directly to [other name]" or "Unable to link directly to [other name]." At the same time, you may also include the information found in Carroll's about the intervening body in a 670 note. Follow the name of the intervening body with "[no access point found in OCLC, (insert date searched)]." (Or: "[no publications in OCLC database, (insert date searched)]") See LC-PCC PS 32.1.1.3: Earlier names not likely to be needed as relationships.

3. Now, you should search OCLC's bibliographic file for the intervening corporate body. If not found, you are done. However, if you do find the name in even one bibliographic record in OCLC, you may create an authority record for this name, with the caveat that the name is transcribed in the descriptive portion of the record. If the name is only found in access points (1XX, 6XX, 7XX) but not in the description (245, 260, 264, 5XX), do not create an authority record for it. If the name is found in the description, create an authority record for this intervening name, giving the first 670 in the following form: 670 OCLC, [insert date searched] $b (hdg.: [insert heading found]; usage: [insert usage found]. Be selective. You may list multiple usages that seem to be accurate transcriptions, and multiple headings that adhere to the rules under which the record was created. Once you create the authority record for the intervening corporate body, link it to its predecessor and successor records, and remove any preliminary 667 notes and "[no publications in OCLC database]" phrases. [Note: the procedure just described is somewhat out of sequence. This paragraph, which begins with "However, now you

should search OCLC's bibliographic file," should logically occur after the third sentence in the paragraph just above this, after "no relationship is recorded." This somewhat illogical sequence is offered as a time-saver, since: (1) the information recorded from Carroll's provides a convenient place-holder, and (2), this information usually remains in the record since publications are not usually found in OCLC.]

Examples of an inconclusive relationship:

Example

a. Only one or none of the names are found in Carroll's.

b. The names found in Carroll's are different, and cannot be matched with those you are seeking.

If searching Carroll's is inconclusive, contact the agency via phone call or email, asking if a direct relationship can be identified between the two names. If not, your research is completed, and you may establish the new corporate body without recording any relationship.

While the above research may seem excessive when similarly named corporate bodies are only cited in publications that may be 35 or more years old, surprises have come up, when the earlier name has persisted, and only recently changed to the name that is being established. To assist user searching ("see successor", "see predecessor"), it is worth a 2-4 hour "best effort" to identify or dismiss such relationships.

When to Consult Additional Sources

If research in OCLC does not result in any possible related names, it is usually not necessary to consult any additional sources beyond the resource cataloged. However, if the resource cataloged is not issued by the entity whose name you are establishing in the authority file, do consult at least one additional source. This guidance would apply to all names, corporate or personal, that are needed as subjects for the resource cataloged (unless said name also issued the work). For a corporate body, it will usually suffice to consult its Web site, in addition to the resource cataloged. For a personal name, a few searches on the Internet will usually suffice to determine the preferred name. GPO's local policy is based on its experience that publications issued by an entity tend to be more accurate in rendering their name than publications not issued by them.

Therefore, for corporate bodies, GPO prefers the name found in items issued by that body. When a resource is not issued by a corporate body, consult an additional source such as its Web site, which is issued by that body. If the name on the Web site or other source issued by the body differs from the name in the resource cataloged, use the name on the Web site as the preferred name, and the name on the resource cataloged as the variant name. Use the resource cataloged as the first 670, even though the name cited therein was not chosen for the 1XX. Use the Web site (or other source issued by the body) as the second 670. Many USGS reports (in various series) exemplify this situation.

Example

On the t.p. of the resource cataloged: "prepared in cooperation with City of Hopkinsville, Kentucky, Community Development Services." This body did not issue this USGS report, therefore, consult: City of Hopkinsville, Community and Development Services Web site: "City of Hopkinsville, Community and Development Services." [Note the addition of the word "and" after "Community."]

Thus: 1101 Hopkinsville (Ky.). $b Community and Development Services

4101 Hopkinsville (Ky.). $b Community Development Services

670 Flood-inundation maps for an 8.9-mile reach of the South Fork Little River at Hopkinsville, Kentucky, 2013: $b PDF t.p. (City of Hopkinsville, Kentucky, Community Development Services)

670 Community and Development Services, City of Hopkinsville [Ky.] Web site, Apr. 9, 2013. [Note: no $b is needed, because it would add nothing to the $a, which itself adds nothing to the 1XX.]

What if the Web site contains the same exact name as the item—should the Web site still be cited even though it contains no additional information? In this situation, when the item is not issued by the body, go ahead and cite the Web site in an additional 670, even though the name found is redundant. Thus:

Example

On the t.p. of the resource cataloged: "prepared in cooperation with the Massachusetts Department of Fish and Game, Division of Ecological Restoration."

1101 Massachusetts. $b Department of Fish and Game. $b Division of Ecological Restoration

670 Estimated sediment thickness, quality, and toxicity to benthic organisms in selected impoundments in Massachusetts, 2013: $b PDF t.p. (Massachusetts Department of Fish and Game, Division of Ecological Restoration)

670 Massachusetts Department of Fish and Game, Division of Ecological Restoration Web site, Apr. 10, 2013.

GPO creates or modifies personal name authority records for persons used as subjects (field 600), and, in Congressionals only, for persons used as authors (field 100 or 700). For personal names, GPO follows RDA 9.2.2 and 9.2.3. For persons used as subjects, consult a few additional sources by performing a few searches on the Internet, in order to determine the preferred name. For persons used as authors, there is no need to consult additional sources

unless the authorized access point chosen for the person conflicts with that in another authority record.

When searching the Internet for names, in the situations described above, generally avoid citing Wikipedia. This instruction applies to names, not to subjects. For the Wikipedia policy on subjects, see [Subject Cataloging: Subject Heading Proposals, Background and Tips](). For names, use sources other than Wikipedia whenever possible.

Tips for contacting agencies

- Take time to identify knowledgeable contacts. Use the agency's Web site, or Carroll's Federal Directory.
- Do your homework first so you can determine, identify, and develop your questions.
- Begin with: "Hello, I'm calling/emailing from the U.S. Government Publishing Office."
- Explain what we do, why, and what your questions have to do with this.
- Use layperson language, not cataloger language. Instead of using the term "corporate body," which might connote "corporations," speak in terms of "government authors and issuing bodies of publications," for which we provide "access points" for searching.
- Explain what you found, and what you don't know.
- Ask open-ended questions.

General Field Specific Guidelines

043 - See from Tracing

Include in records for geographic names, which are tagged 151, and reside in the LC NACO file.

1XX and 4XX

Include commas in a series of words except before an ampersand, in order to maintain consistency with pre-existing authorized access points, headings, and references. Include a comma before the final "and" in a series of words. When updating an existing authority record, add commas according to this practice only to records that were created by GPO. Such records will have DGPO in field 040$a.

Example

United States. $b Congress. $b Senate. $b Committee on Agriculture, Nutrition, and Forestry. $b Subcommittee on Livestock, Dairy, Poultry, Marketing, and Agriculture Security

IAGA Workshop on Geomagnetic Observatory Instruments, Data Acquisition, and Processing

---

4XX – See From Tracing

Although the inclusion of variant access points (4XX see from tracings) became optional with the implementation of RDA (6.2, 9.2, 11.2), GPO includes these whenever these are readily available. Include variant access points that users are likely to search for. However, do not make a variant of a variant. LCRI 26.3 is still appropriate: "Generally, trace a reference from variant forms of entry that apply to the name chosen for the heading. However, do not trace a

reference that would normalize to the same form as the heading on the same record or to the same form as a heading on another record. For variant forms of a name, generally, trace only one reference from each variant, normally, constructing it in the form in which it would be constructed if chosen as the heading." LCRI 26.1: "In general, construct a reference in the same form in which it would be constructed if chosen as the heading."

"All elements of hierarchy used in references must also be established ... References made through the parent body must use the established form of the parent body!" (NACO Training for OCLC Libraries, rev. May 2001. Program for Cooperative Cataloging, Library of Congress)

Example

110 Third & Elm Press

410 3rd & Elm Press (different form of the name)

410 Third and Elm Press (different form of the name)

Not: 410 3rd and Elm Press (unless actual usage is found for this form)

Example

110 Hawaii Mapping Research Group

410 Hawaii Institute of Geophysics and Planetology. $b Hawaii Mapping Research Group

Not: 410 University of Hawaii at Manoa. $b Hawaii Institute of Geophysics and Planetology. $b Hawaii Mapping Research Group

670 Hawaii Mapping Research Group web site, Mar. 15, 2006 $b (part of the Hawaii Institute of Geophysics & Planetology, SOEST, University of Hawaii)

Explanation: The reference through the parent body must use the authorized form of the parent body, which is found on NAR no96011029:

110 Hawaii Institute of Geophysics and Planetology

This same record has the variant:

Example

410 University of Hawaii at Manoa. $b Hawaii Institute of Geophysics and Planetology

---

This is a variant form for "Hawaii Institute of Geophysics and Planetology," and so belongs only on that record. Even though the usage found for "Hawaii Mapping Research Group" is "Hawaii Institute of Geophysics & Planetology, SOEST, University of Hawaii," variants containing parent bodies of "Hawaii Institute of Geophysics and Planetology" belong on the record for "Hawaii Institute of Geophysics and Planetology," not on the record for one of its subordinate bodies.

Example

110 United States. $b National Agricultural Statistics Service. $b California Field Office

Not: 410 United States. $b Department of Agriculture. $b National Agricultural Statistics Service. $b California Field Office

Explanation: the authorized form of the parent body, along with a cross-reference through its parent body, appear on NAR n85343209:

110 United States. $b National Agricultural Statistics Service

410 United States. $b Department of Agriculture. $b National Agricultural Statistics Service

---

For more explanations, see:

- "[FAQ on Establishing Corporate Names for NACO]" on the NACO Web site: "Why can't a cross-reference for a subordinate body ..."
- LCRI 26.1, 26.3
- DCM Z1: Introduction, Name Authority Records (NARs) (Note: In Cataloger's Desktop, this subsection of the Introduction does not appear in the left-hand vertical table of contents pane. It can be accessed, however, once the Introduction is opened.)

For a former authorized access point: See the "[FAQ on creating Personal Name Authority Records (NARs) for NACO]" on the NACO Web site: "When should an AACR2 established (1XX) form be included as a variant access point (4XX) when the AACR2 NAR is evaluated and re-coded to RDA?" Make a see reference for the old valid form of heading, with $w nnea, unless the reference itself is a valid RDA variant access point, in which case use $w nne. In case of doubt, use $w nnea. Take into account the rules of NACO normalization.

Example

110 1 United States. $b Department of the Interior

410 1 United States. $b Dept. of the Interior $w nnea

5XX – See Also From Tracings

Consult and follow LC-PCC PS 32.1 and 32.1.1.3. For earlier/later relationships, follow this sentence of the LC Practice: "Make sequential references to connect immediately adjacent bodies only, thus creating a chain leading from one authorized access point to another." When

creating a new authority record, or adding a 5XX field to an existing record, use subfield $i in conjunction with $w code "r" for relationship designators, rather than using the earlier/later values in subfield $w. However, pre-existing 5XX references in AACR2 format (i.e., $w values without $i) do not need to be changed to RDA when updating or recoding the record. They are acceptable under PCC standards.

670 – Source Data Found

Consult and follow DCM Z1: Field 670, unless instructed differently below. Also consult the NACO Participants' Manual, Section I. New Authority Records, 670 Field. Always include at least one 670 field. Generally, the first 670 field cites the resource for which the authorized access point is being established. Include, at a minimum, the 670 for this resource.

A 670 field must be used to support information used as part of an access point in 1XX and 4XX. For more information of whether to use a 670 field or a $v in another field, see the section: Name Authorities, RDA, General Policies: "Source of Information: 670 vs. $v in the 046 and 3XX optional fields."

$a: Citing the source of the information found:

When citing an agency or corporate body Web site, etc. do not use pronouns or the possessive form in the $a. Instead, prefer to use the name itself, followed by the date viewed, without the phrase "viewed" or "viewed on." Since Web sites are usually uncatalogued, it is not necessary to use the same form of the name that appears in the 1XX field as you would when citing an authorized access point for a work. Instead, you may use the form of the name that appears prominently on the Web site.

Example

670 National Archives at Anchorage Web site, Dec. 3, 2012 $b...

670 United States, National Guard Bureau, Family Program Office Web site, Jan. 15, 2013: $b ...

670 U.S. Dept. of Agriculture, Agriculture and Food Research Initiative (AFRI) homepage, July 26, 2011 : $b ...

670 White House Office of faith-Based and Neighborhood Partnerships Web site, Oct. 31, 2011 : $b ...

670 GAO Web site, July 31, 2044 : $b ...

$b: Citing the location of the information found: It is frequently preferable to use t.p. or title page (abbreviated or spelled out), or page numbers. When the title is taken from the cover, caption, or any source, that location may be given as "title page" or "t.p." In other words, "title page" or "t.p." may be used in a broad sense to describe the location of the preferred source of the title. See RDA 2.2.2. Be more specific when necessary, in order to identify the specific location of the information found. Use the list of examples and follow the instructions in the NACO Participants'

Manual, Section I. New Authority Records, 670 Field, VI. Citing Location of Data Found. Use your own location term when needed.

> Example
>
> - p. 4 of cover
> - p. 2
> - HTML header
> - EPA Web site, Sept. 12, 2013
> - masthead
> - preface pref. introduction intro. introd.

Near the bottom of the DCM Z1 section on the 670 field, is a section headed "LC database." GPO will usually cite the OCLC database, instead. In addition, GPO will substitute the RDA term "access point," for "heading," when citing OCLC.

> Example
>
> 670 OCLC database, Oct. 11, 2013 $b (access point: United States. Office of the Assistant Secretary for Fossil Energy; usage: U.S. Department of Energy, Assistant Secretary for Fossil Energy)"

678 - Biographical or Historical Data

Include if information is readily available and does not require significant time to construct.

Remember to use the appropriate code for the first indicator

- 0 - Biographical sketch
- 1 - Administrative history

781 - Subdivision Linking Entry-Geographic Subdivision

Include in records for geographic names, which are tagged 151, and reside in the LC NACO file.

RDA, General Policies

This section focuses only on general policies for all RDA name authority records. More detailed information is provided in the topic specific articles.

Use this section in conjunction with the following sources:

- RDA and associated LC-PCC PSs (GPO follows all LC-PCC PSs)
- AACR2
- LCRIs (GPO followed all LCRIs)
- DCM Z1 (Always consult and follow, unless instructed otherwise)
- LC Guidelines

- [MARC 21 Format for Authority Records](#)
- LC Guidelines (at the end of MARC 21 Format for Authority Records)
- NACO Participant's Manual
- PCC document: "[MARC 21 Encoding to Accommodate New RDA Elements 046 and 3XX in NARs and SARs](#)"
- [PCC Post-RDA Test Guidelines](#)
- [Frequently Asked Questions: Program for Cooperative Cataloging and RDA](#) (PCC-RDA-FAQ Update 20130401)
- [NACO Normalization](#)
- [RDA in NACO Training](#) (training videos and other materials that cover all aspects of RDA Name Authorities)

Hybrid Records in RDA Name Authority Records (NARs)

In authority work, an entire NAR may be a hybrid, i.e., contain mixed RDA and AACR2 elements, e.g., an RDA access point (1XX) + AACR2 linkage (4XX/5XX) when the NAR reflects a horizontal relationship(s), e.g., predecessor / successor. However, an indirectly-constructed 1XX within an NAR may not be a hybrid when that field represents a vertical relationship(s), e.g., superior / subordinate bodies. According to the [Program for Cooperative Cataloging (PCC) Post-RDA Test Guidelines](#), every element in an RDA 1XX must be coded RDA. PCC disallows a hybrid 1XX field.

A common situation will occur with the creation of a new RDA NAR for a subordinate body that resides within a long-standing government agency. When the NAR for the parent body was established according to AACR2, and that parent body appears as part of the access point (1XX) for the subordinate body in an RDA record, then the cataloger must re-code the NAR for the parent body as RDA.

For example, in order to create this record (LCCN no2013009922, see below) the NAR for National Guard Bureau (LCCN n50064765) needed to be recoded.

> Example
>
> 110 United States. $b National Guard Bureau. $b Family Program Office

See 4 of the [PCC Post-RDA Test Guidelines](#).

When to Recode an Existing NAR to RDA

In the guidance below and in the [PCC Post RDA Test Guidelines](#), GPO will not take the encouraged action, wherever the phrase "strongly encouraged" appears.

- Be familiar with the [PCC Post RDA Test Guidelines](#).
- Be familiar with the [Frequently Asked Questions: Program for Cooperative Cataloging and RDA](#) (PCC-RDA-FAQ Update 20130401), 1-6. Especially note: 5.1, 5.6, and 5.7.

- If an authority record coded AACR2 (or earlier rules) has a 667 field stating "THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED," it is not RDA-acceptable, and must be evaluated and re-coded to RDA before being used in a PCC bibliographic record coded RDA.
- If making any updates whatsoever to an existing NAR which is RDA acceptable (i.e. coded AACR2, but the heading would be constructed the same under RDA) PCC catalogers are required to evaluate and recode the record to RDA. This includes adding cross references, adding other identifying characteristics, fixing a typo, etc. There is one exception to this required recoding, however: when a record is being updated only to change a 5XX field, in response to changing a 1XX in another record, evaluation and recoding of the record with the 5XX is strongly encouraged, but not required. See 5) and 6) of PCC Post RDA Test Guidelines for more information.
- If an AACR2 authority record does not have the 667 field, it is considered RDA acceptable and may be used in the PCC bibliographic record coded RDA. If using an RDA acceptable heading in PCC cataloging, PCC catalogers are strongly encouraged but not required to evaluate and recode the authority record to RDA whenever possible. "Evaluate" means you should check the usage(s) of the entity as recorded in the 670 field(s) of the authority record and assess the correctness of the heading based on the usages recorded.

How to Recode an Existing NAR from AACR2 to RDA

- Change coding in Rules ("z") and 040 ($e "rda") to identify the record as RDA.
- Ensure the 1XX is RDA compliant. If it is not, change it.
- If you change the 1XX, enter the former 1XX in a 4XX field. Add a $w to this 4XX field using either of the following values: (a) nnea for an old, valid AACR2 heading, or, (b) nne for a valid RDA variant access point. In case of doubt, use nnea. Don't forget to apply the rules of NACO Normalization to ensure that this 4XX does not normalize to the same form as the 1XX. If it does, remove it.
- If there is a 7XX field in the record:
    - If the 7XX field matches the 1XX field, delete the 7XX field.
    - If the 7XX field has a 2nd indicator 4, delete the 7XX field.
    - If the 7XX and the 1XX field do not match, then do not delete the 7XX field.
- At the time of the re-coding, add references (4XX and 5XX) and 670 citations to the authority record as needed, either with new information, or using information already contained in the record. You may optionally add optional fields such as 046, 368, 37X, etc., if the information is readily and speedily available. Otherwise, do not add any optional fields.
- 5XX references in AACR2 format do not need to be changed to RDA. They are acceptable under PCC rules.
- If present, delete the MARC 667 instruction to re-evaluate before use in RDA.

Upgrading (re-coding) RDA acceptable records: GPO will not evaluate or upgrade (re-code) RDA acceptable records (coded AACR2) to RDA, unless we are already updating the record for another reason. Where the above guidance, including the PCC Post RDA Test Guidelines, uses the phrase "strongly encouraged," GPO will not take the encouraged action.

Field Specific Guidelines

Optional RDA attribute fields: For the optional fields in an RDA name authority record, follow the field specific guidelines below, and in the other sections cited above. Otherwise, include or add these fields when the information is readily available in the resource being cataloged, and can quickly be added. No significant research should be done, and no extra sources need be consulted, to find values for the optional attributes in a name authority record.

Consult and follow the relevant sections of DCM Z1, unless instructed otherwise below.

$u and $v in the 046 and 3XX optional fields

Use of $u is optional, and must always be preceded by $v. Use of $u is not encouraged, since URLs frequently become broken. Instead, when using a $v instead of a 670 field, identify the source by name, whether the source is online or tangible.

> Example
>
> 046 $f 1962 $v U.S. Surgeon General Web site

For more details and examples, catalogers must consult and follow: DCM Z1: Field 046. Following this instruction, the cataloger may decide on the following use of $v and $u:

> Example
>
> 370 $c United States $e Palo Alto (Calif.) $v Stanford University Mechanical Engineering Web site, Center for Design Research sub-page, Dec. 20, 2012 $u http://me.stanford.edu/research/centers/cdr/index.html

Source of Information: 670 vs. $v in the 046 and 3XX optional fields

A 670 field must be used to support information used as part of an access point in 1XX and 4XX.

Give information in subfield $v, or in 670 field, whichever is most efficient. If the same source is already cited in a 670, there is no need to include a $v. "If the source is given in a 3XX or 046 field, information is only the source [the information that would be given in a separate 670 $a], not what was found in the source or the date of the search." You do need to cite the source, but you only need to cite the information found if using a 670, not if you are using the $v of the 046 or attribute field.

For more details, catalogers must consult and follow: DCM Z1: Field 046.

046 – Special Coded Dates

$f, $g, $k, $l, $s, $t, $2

See also: $s and $t

Include if readily available in the resource cataloged. Follow instructions for coding the dates and for including "$2 edtf" in: DCM Z1, MARC 21 Format for Authority Data, LC-PCC PS 9.3.1.3, and "MARC 21 Encoding to Accommodate New RDA Elements 046 and 3XX in NARs and SARs".

Follow instructions for coding the dates and for including "$2 edtf" in: DCM Z1, MARC 21 Format for Authority Data, LC-PCC PS 9.3.1.3, and on page 8 of "MARC 21 Encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs".

$2 – Source of Term

This subfield may be included in the 046 and 3XX optional fields, to indicate the source of the term or terms in the subfields that immediately precede it. GPO will almost always enter naf, lcsh, or occasionally, lcgft as the source of term(s). Include this subfield when appropriate, in the following fields, unless instructed otherwise in specific guidance for these fields:368, 370, 372, 373, 374, and 380.

Subfield $2 follows the subfields to which it applies. If there are multiple terms in a single field which have different sources, repeat the field rather than the subfields. Use a separate field for each source.

Example

373 Sandia Ranger District (N.M.) $2 naf $s 1976 $t 1991

373 Smokey Bear Ranger District (N.M.) $s 1991

Not:

373 Sandia Ranger District (N.M.) $s 1976 $t 1991 $2 naf $a Smokey Bear Ranger District (N.M.) $s 1991

Note: in the 046 and 3XX attribute fields, $ a is repeatable, but $2, $s, and $t are not repeatable.

The example above illustrates two instructions:

a. The source of "Sandia Ranger District (N.M.)" is the naf (Name Authority File), while the source of "Smokey Bear Ranger District (N.M.)" is not, therefore, these two associated "institutions" or groups are listed in two separate 373 fields, not in repeated subfield a of the same 373 field.

b. The "$2" source subfield immediately follows the subfield or subfields to which it applies.

$s (start date or start period) and $t (end date or end period)

See also: 046 – Special Coded Dates

Always record an 046 field when dates are readily available in the resource cataloged. When adding a start and end period/date to other fields, consider: is there a change in function/scope/activity, etc. which needs to be expressed? If so, and the information is readily available, please include. The following fields are for a personal name, when the work cataloged contained biographical information in a curriculum vita (resume) format.

373 Peace Corps (U.S.) $2 naf $s 1983 $t 1985

373 Hastings College of the Law $2 naf $t 1989

373 United States. Department of State $2 naf $s 1991 $t 20120912

373 National War College (U.S.) $2 naf $t 2010

374 Diplomats $2 lcsh $s 1991 $t 20120912

374 Ambassadors $2 lcsh $s 20120522 $t 20120912

When the start date/period and end date/period are the same, enter both subfields with the same values. For example, a conference held for one day on July 1, 2013 should be coded as:

046 $s 20130701 $t 20130701

336 - Content Type

Do not supply this field.

368 - Other Attributes of Person or Corporate Body

Include for corporate bodies if this does not involve too much deliberation. Do not include for personal names.

370 - Associated Place

Add "$2 naf" following those subfields containing place names that are taken from the Name Authority File.

Record the subfields in alphabetical order. Include $c Associated Country, even when $e Place of Residence/Headquarters is present.

In most cases for government publications, the country will be United States. Subfield c is defined as associated country. If the associated place is not a country, use subfield $e or subfield $f. For example, Europe and North America are not countries. Instead, they are non-jurisdictional geographic names from LCSH. Since these names are not from the NAF, enter these in the 370 $e or $f, and indicate the source of their names in subfield $2.

> **Example**
>
> 370 $f Europe $f North America $2 lcsh

371 Address

Do not include or revise.

372 - Field of Activity

Include if readily available and helpful. Do not include when it involves too much deliberation.

There is no need to provide justification (source of information, information found) for the terms used. Record a field of endeavor, area of expertise, etc., for persons, or a field of business, area of competence, responsibility, or jurisdiction for a corporate body. Use discipline words instead of full sentences. Single, general terms are sufficient.

In general, when adding a geographic scope as part of the field of activity, the geographic scope should reflect the entire potential coverage of the body or activity, rather than simply the location of the body or person.

Prefer to use a topical term from Library of Congress Subject Headings (LCSH), adding $2 lcsh following the final term in the subject heading string. Capitalize subdivisions as they occur in LCSH. The entire subject string is entered in $a without internal subfield coding.

> **Example**
>
> 372 Military readiness—United States $2 lcsh
>
> Not: 372 Military readiness $z United States $2 lcsh
>
> 372 Water resources development—Economic aspects $2 lcsh
>
> Not: 372 Water resources development $x Economic aspects $2 lcsh
>
> When using multiple terms from the same vocabulary, repeat $a rather than the field.

> Example
>
> 372 United States--Foreign relations administration $a Middle East--Politics and government $a Africa, North--Politics and government $2 lcsh

Caution: Carefully evaluate including the topical subdivision "research." According to Subject Headings Manual (SHM) H 2020, the topical subdivision "research" should only be assigned "for general works that discuss comprehensively all aspects of research, such as proposals, finance, goals, etc., as applied to the topic. Do not assign the subdivision to works that discuss the results of research in a particular field." When in doubt, do not include "—Research" in the field of activity for a corporate body or person who performs research.

373 - Associated Group

$a = Affiliation for a person, Associated institution for a corporate body

Use the 510 field for related bodies that can be described using one of the relationship designators found in RDA Appendixes K.2.3 or K.4.3.

Record the preferred name for the group (i.e., body), per RDA 11.2.2. Use the form of the name in the LC/NACO Authority File, if found there, and cite "naf" as the source in subfield $2. The entire name is entered in $a without internal subfield coding (such as $b).

> Example
>
> 373 United States. National Archives and Records Administration $2 naf
>
> Not: 373 United States. $b National Archives and Records Administration $2 naf
>
> 373 Peace Corps (U.S.) $2 naf $s 1983 $t 1985

377 - Associated Language

Include whenever possible. In most cases for government publications, the language will be English.

> Example
>
> 377 eng

4XX - See From Tracing

When reevaluating and recoding an AACR2 NAR to RDA requires a change in the 1XX, the AACR2 established (1XX) form must be included as a variant access point (4XX). Make a see reference for the old valid form of heading, using $w nnea, unless the reference itself is a valid RDA variant access point, in which case use $w nne. In case of doubt, use $w nnea. Take into account NACO normalization rules. For additional information, see the "FAQ on creating Personal Name Authority Records (NARs) for NACO" on the PCC NACO Web site for the FAQ entitled "When should AACR2 established (1XX) form be included as a varient access point (4XX) when AACR2 NAR is evaluated and re-coded to RDA?".

> Example
>
> 110 1 United States. $b Department of the Interior
>
> 410 1 United States. $b Dept. of the Interior $w nnea

5XX - See Also From Tracings

When applying RDA relationship designators in 5XX fields, use terms from RDA Appendix J or K. Capitalize the initial letter of the term and follow the term with a colon (DCM Z1: 5XX section). Use subfield $i in conjunction with $w code "r" for relationship designators. When describing a relationship between persons, families, and corporate bodies, use only terms from Appendix K (LC-PCC PS K.1). However, pre-existing 5XX references in AACR2 format (i.e., $w values without $i) do not need to be changed to RDA when updating or recoding the record. They are acceptable under PCC standards.

670 - Source Data Found

For general instructions, see the section: Name Authorities, General Field Specific Guidelines.

Always include at least one 670 field. Generally, the first 670 field cites the resource for which the authorized access point is being established. Include, at a minimum, the 670 for this resource.

A 670 field must be used to support information used as part of an access point in 1XX and 4XX. For more information of whether to use a 670 field or a $v in another field, see the earlier section: "Source of Information: 670 vs. $v in the 046 and 3XX optional fields."

678 - Biographical or Historical Data

Include this field only if the information is readily available and does not require significant time to construct.

Remember to code the first indicator: 0 - Biographical sketch or 1 - Administrative history.

RDA, Personal Names

Use this section in conjunction with the following sources:

- RDA, chapters 8, 9
- LC-PCC PS, chapters 8, 9 (GPO follows all LC-PCC PSs)
- MARC 21 Format for Authority Data: relevant fields, including field 046
- DCM Z1: relevant fields, including field 046 (Always consult and follow, unless instructed otherwise)
- LC Guidelines (at the end of MARC 21 Format for Authority Records)
- PCC document: "MARC 21 Encoding to Accommodate New RDA Elements 046 and 3XX in NARs and SARs"
- NACO Participants' Manual
- NACO home page (includes: documentation & updates, cataloging FAQs, and training
- PCC Post RDA Implementation Guidelines and Standards home page
- Frequently Asked Questions: Program for Cooperative Cataloging and RDA (PCC-RDA-FAQ Update 20130401)
- NACO Normalization
- RDA in NACO Training (training videos and other materials that cover all aspects of RDA Name Authorities)
- RDA in NACO Training: Module 2: Describing Persons

Procedure for ECIP

The NACO liaison will work with ECIP catalogers toward the goal of NACO independence for personal names. Personal name authority records generated by ECIP, will be reviewed by the NACO liaison (or assignee) on a three-day turnaround. Submit draft of record, OCLC save file number, and ECIP data (printout or access to) to the special ECIP review box.

General Instructions

In general, when a particular element is included in the authorized access point (100 field), also include that same element in the appropriate attribute field 046 or 3XX. The form of that element in the 046 or 3XX field may differ from that in the 100 field. For example, the profession "Astronomer" may appear in the 100 field, while "Astronomers $2 lcsh" may appear in the 374 field.

046 – Special Coded Dates (RDA 9.3)

$f, $g, $s, $t

Include if readily available in the resource cataloged, or if needed to break a conflict. See RDA in NACO Training, Module 2 for more information.

The best source of information for the 046 field is: DCM Z1 instruction sheet 046, Special Coded Dates. Additional information on the edtf format is found in LC-PCC PS 9.3.1.3, and at the end of: MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs.

$s and $t in the 046 and 3XX optional fields

For ECIP: Only include $s and $t in the 046; do not include in other fields.

Although $s and $t may be entered in the 046 field to identify a general period of activity, these subfields may be added to other fields to specify dates for specific associations. When adding a start and end date to other fields, consider: is there a change in function/scope/activity, etc. which needs to be expressed? If so, and the information is readily available, please include the

dates. The following fields are for a personal name, when the work cataloged contained biographical information in a curriculum vita (resume) format.

373 Peace Corps (U.S.) $2 naf $s 1983 $t 1985

373 Hastings College of the Law $2 naf $t 1989

373 United States. Department of State $2 naf $s 1991 $t 20120912

373 National War College (U.S.) $2 naf $t 2010

374 Diplomats $s 1991 $2 lcsh $t 20120912

374 Ambassadors $2 lcsh $s 20120522 $t 20120912

100 – Authorized Access Point

Recording the preferred name: Consult RDA 9.2.

For order of subfields: Consult and follow:

- RDA 9.19.1.1: "Make additions to the name as instructed at 9.19.1.2—9.19.1.8, in that order, as applicable."
- RDA chapter 9 examples, RDA and LC-PCC PS 9.19, RDA 9.2.2.9.5,
- DCM Z1: Field 100
- Question 22 (What is the correct order of subfields in the MARC 21 Authority 100 field) of "FAQ on creating Personal Name Authority Records (NARs) for NACO ," on the NACO Web site.
- MARC 21 Format for Authority Data: Field 100, examples

$q – Fuller Form of Name

Follow RDA 9.19.1.4, and especially, LC-PCC PS 9.19.1.4. For existing authority records follow the practice: "Unless otherwise changing an existing heading (e.g., conflict), do not change an existing AACR2 or RDA heading merely to add or remove a fuller form of name."

$d – Birth and/or Death Date

Follow LC-PCC PS 9.19.1.3. Only add dates if readily available in either the resource cataloged, or, if needed to break a conflict. Additional sources are consulted in cases of conflict or when the name is used as a subject. Follow the guidance in: Name Authorities, General Procedures. See RDA in NACO Training, Module 2 for more information.

$c – Titles and Other Words (Professions) Associated with a Name

Consult RDA 9.19.1.6. LC-PCC PS 9.19.1.6: "When adding a profession or occupation term to an access point in 100 subfield $c, use a singular form of the term. See Policy Statement 9.16.1.3 for instructions on recording profession or occupation as an element."

> **Example**
>
> 100 1_Smith, Christopher A ‡c (Government executive)
>
> 374 Government executives ‡a Engineers ‡2 lcsh

368 - Other Attributes of Person or Corporate Body

Do not include or revise, unless one of the situations in 9.6 applies.

370 - Associated Place (RDA 9.8-9.11)

For ECIP: Do not include.

Only include this field if readily available in the resource cataloged. Do not belabor. Do not include if the only subfield is $c. Must include subfield a, b, e, or f.

371 - Address (RDA 9.12)

Do not include.

372 – Field of Activity (RDA 9.15)

For ECIP: Do not include.

Include if readily available and helpful. Do not include when it involves too much deliberation.

Follow the general guidance in the section: Name Authorities, RDA, and General Policies. For persons, record a field of endeavor, area of expertise, etc., in which the person is or was engaged. Use discipline words instead of full sentences. Single, general terms are sufficient.

In general, when adding a geographic scope as part of the field of activity, the geographic scope should reflect the entire potential coverage of the activity, rather than simply the location of the person.

373 – Associated Group (RDA 9.13: Affiliation)

For ECIP: Do not include.

$a = Associated Group

In almost all cases, record corporate bodies that are associated with the person in the 373 field, not in the 510 field. Even if the relationship can be described using one of the relationship designators in RDA Appendix K.4.1, still use the 373 field. The only exception made at this time is for Founder; in these rare cases, the corporate body that the person founded may be recorded in the 510 field.

374 – Profession or Occupation (RDA 9.16)

For ECIP: Do not include unless required as a core element; see beginning of 9.16 for Core Element statement.

Include when required as a core element; see beginning of 9.16 for Core Element statement. Otherwise, include if readily available and helpful. Do not include when it involves too much

deliberation. Consult and follow DCM Z1: Field 374. Prefer terms from a controlled vocabulary, such as LCSH. When using multiple terms from the same vocabulary, repeat $a rather than the field.

Example

374 Lawyers $a Judges $2 lcsh

374 Diplomats $2 lcsh $s 1991 $t 20120912

As of September 2013, it appears that the term(s) input in 374$a need justification. Therefore, provide the source in 374$v, or provide the source and brief information found in the 670 field.

375 – Gender (RDA 9.7)

Always include when known.

377 - Language (RDA 9.14)

Always include when known.

378 – Fuller Form of Name (RDA 9.5)

Record the same data that would be included in the $q of the 100 field, even if it is redundant. Essentially, copy the $q from the 100 field and insert it in the 378 field, but without parentheses.

Example

100 1_ Burr, Kimberley S. $q (Kimberley Sherri), $d 1970-

378 $q Kimberley Sherri

A fuller form of name may be included in the 378 field, but not in the 100 field. See RDA in NACO Training, Module 2 for more information.

400 - See From Tracing-Personal Name

For a former authorized access point: See the "FAQ on creating Personal Name Authority Records (NARs) for NACO" on the NACO Web site, question 13: "When should an AACR2 established (1XX) form be included as a variant access point (4XX) when the AACR2 NAR is evaluated and re-coded to RDA? … Make a see reference for the old valid form of heading, with $w nnea, unless the reference itself is a valid RDA variant access point, in which case use $w nne. In case of doubt, use $w nnea." Be sure to take the NACO Normalization rules into account.

510 - Related Corporate Body

For ECIP: Do not include.

See Field 373. The only time the 510 field may be used is for Founder; in these rare cases, the corporate body that the person founded may be recorded in the 510 field.

Example

1001 Gates, Bill, ‡d 1955-

5102 ‡i Founded corporate body: ‡a Microsoft Corporation ‡w r

---

678 - Biographical or Historical Data (RDA 9.17)

For ECIP: Do not include.

Optional: May be included if biographical data is readily available and does not require significant time to construct. However, since this information does require justification (i.e., the source of the data), it is usually more expedient to provide this data along with its source in a single 670 field. The first indicator will usually be coded "blank," since a biographical sketch is usually too time-consuming to construct.

RDA, Corporate Names

Notes

For corporate bodies that are coded as places, i.e. 151, see: Name Authorities: RDA, Places. These include jurisdictions (countries, states, counties, cities, towns, etc.) and other geographic names, such as water, sanitation, utility, conservation, soil, recreation, park, and ranger districts, and active military installations, city sections, and U.S. Indian tribes as legal entities.

For procedures relating to research, name changes, etc. of corporate bodies, see: Name Authorities: General Procedures.

For broader guidelines pertaining to MARC fields in general in authority records, see: Name Authorities: General Field Specific Guidelines, and: Name Authorities: RDA, General Policies.

Sources to Consult

Use this section in conjunction with the following sources, most of which are available in Cataloger's Desktop:

- RDA, chapters 8, 11
- LC-PCC PS (Library of Congress-Program for Cooperative Cataloging Policy Statements), chapters 8, 11
- DCM Z1 (Library of Congress' Descriptive Cataloging Manual, section Z1, Name and Series Authority Records): relevant fields, including field 046 (Always consult and follow, unless instructed otherwise.)
- MARC 21 Format for Authority Data (relevant fields, including field 046)
- LC Guidelines
- PCC document: "MARC 21 Encoding to Accommodate New RDA Elements 046 and 3XX in NARs and SARs
- NACO Participants' Manual
- NACO home page (includes: documentation & updates, cataloging FAQs, and training)
- PCC Post RDA Implementation Guidelines and Standards home page

- NACO Normalization
- [RDA in NACO Training, PCC](#)
- [Guidelines on Using Relationship Designators in NACO Authority Records](#). *Note:* This document is only a draft that was posted for comment in 2014; it is not official. Until official guidelines are issued, GPO will follow most, but not all of the guidelines in this unofficial document.
- [RDA Record Examples](#) (the Authority Records set includes a few corporate bodies)
- [RDA Refreshers](#) (includes some training material on corporate bodies)
- [1/15/2015 Advanced Name Authority Records: Corporate Bodies [Part 1](#)], by Marty Bokow. Required for all staff performing NACO work. Handout and slide presentation (in box at top right) are part of this webinar.
- [1/29/2015 Advanced Name Authority Records: Corporate Bodies, Part 2,](#) by Marty Bokow. Required for all staff performing NACO work. Handout and slide presentation (in box at top right) are part of this webinar. (78 min.)
- [SHM H 405 Group One & Group Two lists](#)
- Subjects Heading Manual: Instruction Sheet H 405: Name vs. Subject Authority File
- [Guide to Federal Records in the National Archives of the United States](#) (a useful resource for researching older federal corporate bodies)

Before You Begin

Always ensure that the entity whose record you are creating or modifying meets the definition of a corporate body, as found in RDA. Initiatives may be established, modified, or recorded as variant access points as long as they meet the RDA definition of a corporate body.

MARC Fields

110 - Corporate Name

Place Associated with the Corporate Body

To create the authorized access point for government bodies entered directly, and for corporate bodies containing the word "National" in the preferred name, generally add the associated jurisdiction/government name to the preferred name, unless the name or form of the name of the jurisdiction/government is already included in the preferred name. Most Federal U.S. government bodies, therefore, will either be entered subordinately to "United States," or be qualified by the addition of "(U.S.)". Apply this addition also to non-government corporate bodies according to your judgment, to clarify their location. See the optional addition in RDA 11.13.1.3 for justification.

Associated Institution

(An exception to qualifying directly entered government bodies by "(U.S.)" may occur when applying the following practice.)

When applying 11.13.1.4 (Associated Institution) and adding the name of an associated corporate body to the preferred name, add the preferred name of that corporate body as opposed to the authorized access point of that corporate body. Currently, 11.13.1.4 lacks an LC-PCC PS corresponding to LC-PCC PS 11.13.1.8.1: First Exception, but GPO assumes that the same practice is intended, that is: "When adding the name of an institution instead of a local

place name as the location of a conference, record the preferred name for the institution, minus any additions used in the institution's authorized access point (see RDA 11.5)."

Example

110 2_ Astrogeology Research Program (Geological Survey)

Not: 110 2_ Astrogeology Research Program (Geological Survey (U.S.))

11.13.1.4 refers back to 11.5, and 11.5.1.3 reads "Record the name of an associated institution by using the preferred name for the institution. Record associated institutions as separate elements, as parts of access points, or as both."

Names Containing the term "Inc." or "Incorporated"

11.2.2.10 is subject to interpretation: "Omit the following terms unless they are an integral part of the name or are needed to make it clear that the name is that of a corporate body: … term indicating incorporation, e.g., Incorporated, etc." Compare the name you are evaluating with the examples in 11.2.2.10. First consideration: If it is not clear that the name without the term "Inc." or "Incorporated" is a corporate body, then include this term in the preferred name. If the name without such a term is clearly understood to be a corporate body, then consider next, how integral a part of the name this term is. Consider the following:

(a) Do you find the company's (or body's) name presented without the "Inc."? Then the "Inc." can probably be omitted from the preferred name. (It may still be included in a variant name.)

(b) Even if the name is always presented with the term indicating incorporation, does the name stand on its own, e.g., American Cancer Society? Then the "Inc." can probably be omitted from the preferred name. (It may still be included in a variant name.)

Example

110 2_ Potter & Brumfield

410 2_ Potter & Brumfield, Inc.

[It is clear that this name is that of a corporate body. What else could it be?]

Names Containing the Word "Services"

GPO interprets the LC-PCC PS 11.2.2.14 Type 2 as meaning that the word "Services" is treated the same way as the word "Service," i.e. both are considered subordinate terms.

111 - Meeting Name

Consult and follow RDA and LC-PCC PS 11.13.1.8.

If creating a name authority record (NAR) for an individual conference and no NAR for the ongoing collective conference exists, there is no need to create one for the collective conference.

In many cases, it is found that the individual conference name to be set up from the resource being cataloged does not match the access point for the collective conference name. When an individual conference name does not match its corollary collective conference name, regard the collective conference name's authorized access point as the "base authorized access point" to use as the preferred name for the individual conference name. Consider the NAR for the collective conference to be the "base record." In the individual conference name access point, qualify the "base name," and record the variant form found in the resource being cataloged in both the individual and collective conference name records. It is fine if the preferred form is not found/justified in the resource generating the 1XX for the individual conference name. Add parenthetical additions to variants in the NAR for the individual conference name to make the variant(s) unique to that record.

When considering whether an individual conference name that does not match its corresponding collective conference name, represents an actual name change, be very cautious in determining that a true name change has occurred, until the proof is overwhelming. In most cases, use the variant approach mentioned above.

Original Collective Conference Record:

> Example
>
> 111 2 International Workshop on Large-Scale Integration of Wind Power into Power Systems
>
> 670 Benefit of regional energy balancing service ... 2010: $b PDF t.p. (9th Annual International Workshop on Large-Scale Integration of Wind Power into Power Systems)

Modified Collective Conference Record:

> Example
>
> 111 2 Annual International Workshop on Large-Scale Integration of Wind Power into Power Systems
>
> 411 2 International Workshop on Large-Scale Integration of Wind Power into Power Systems $w nnea
>
> 667 See also related access points for individual instances of this conference which include specific information about the number, date, or place of the individual conference.
>
> 670 Benefit of regional energy balancing service ... 2010: $b PDF t.p. (9th Annual International Workshop on Large-Scale Integration of Wind Power into Power Systems)

Individual Conference Record:

Example
111 2 Annual International Workshop on Large-Scale Integration of Wind Power into Power Systems $n (11th : $d 2012 : $c Lisbon, Portugal)
670 Wind power forecasting error frequency analyses ..., 2012: $b t.p. (11th Annual International Workshop on Large-Scale Integration of Wind Power into Power Systems, Lisbon, Portugal, November 13-15, 2012)

When applying the First Exception in 11.13.1.8.1 and adding the name of a corporate body instead of a place, add the preferred name of that corporate body as opposed to the authorized access point of that corporate body. LC-PCC PS 11.13.1.8.1 First Exception: "When adding the name of an institution instead of a local place name as the location of a conference, record the preferred name for the institution, minus any additions used in the institution's authorized access point (see RDA 11.5)."

368 - Other Attributes of Corporate Body, $a Type of Corporate Body

GPO policy is to prefer a broad category term from the following list:

- Conference
- Organization
- Firm
- Agency – used for any government body, at any level, including local
- Program
- Project

However, if the body does not fall into one of the above categories, and a term that characterizes the body appears in SHM H 405 Group One & Group Two lists, a.k.a. "Division of the World," use the term from that list in the singular form. When entering a term from either the short list above or from SHM H 405 Group One & Group Two lists in the singular form, do not enter a $2 (source of term). Alternatively, if the exact term from the SHM H 405 Group One & Group Two lists is found in the LCSH, albeit in the plural form, the cataloger may record this term followed by "$2 lcsh."

If none of the terms on the short list above or the SHM H 405 Group One & Group Two lists are applicable, use a Library of Congress Subject Heading (LCSH) term (followed by $2 lcsh), or a Library of Congress Genre/Form Term (LCGFT) (followed by $2 lcgft). LCGFTs may be searched and retrieved in OCLC and Classification Web. If selection of a LCSH term or LCGFT involves too much deliberation, do not include the 368 field.

For schools, do not use "(Agency)". Instead, use:

2

> **Example**
>
> 368 School [from SHM H 405 Group One & Group Two lists] OR
>
> 368 Universities and colleges $2 lcsh

Using the combined LCSH term "Universities and colleges," rather than "University" or "College" from the SHM H 405 Group One & Group Two lists, avoids having to perform additional research in order to identify the entity as either a university or college.

If choosing between the term "Program" or "Project," take your primary evidence from the term used in the name itself. If neither "Program" nor "Project" is part of the preferred name, consider variant names and usages in works associated with the body. Finally, if needed, consult a good dictionary, such as Webster's 3rd edition. Projects are often of shorter duration than Programs. Initiatives frequently come under the definition of a Program. Remember, initiatives may be established, modified, or recorded as a variant access point as long as they meet the RDA definition of a corporate body.

370 - Associated Place

Include $c Associated Country, whether or not additional subfields are present in the 370 field. (Since a 551 field for the associated jurisdiction cannot at this time (April 2016) be recorded with a suitable relationship designator, this is a good place for this data.)

Examples of correct 370 fields:

> **Example**
>
> 370 $c United States $2 naf
>
> 370 $c United States $e Washington (D.C.) $2 naf

370$e in MARC is for the place where "an organization has its headquarters or carries out its activities, including the location of a conference." Therefore, even if the cataloger does not know where an organization's headquarters is located, subfield $e may sometimes still be entered, as in the following examples:

> **Example**
>
> 110 Geological Survey Board of Colorado
>
> 370 $c United States $e Colorado $2 naf

> **Example**
>
> 110 Puget Sound Recovery Implementation Technical Team
>
> 370 $c United States $e Washington (State) $2 naf
>
> 370 $e Puget Sound (Wash.) $2 lcsh

> **Example**
>
> 110 Plumas National Forest (Agency: U.S.)
>
> 370 $c United States $e Quincy (Calif.) $2 naf
>
> 370 $e Plumas National Forest (Calif.) $2 lcsh

Associated Places for Conferences:

> **Example**
>
> Record the location of a conference in 370 $e
>
> Record the country associated with a conference in 370 $c
>
> Record any other place that is associated with a conference in 370 $f
>
> Note: Places in a collective conference name authority record must be applicable to the whole series. (see RDA Special Topics: Conferences - Guidelines for Best Practice)

RDA 11.13.18: If the access point represents a series of conferences, etc., do not add the location unless all the conferences in the series were held in the same place.

372 - Field of Activity

Include this field when the field of activity of the corporate body is readily available and helpful. Prefer to use a topical term from LCSH and apply $2 lcsh. Use discipline words instead of full sentences. Broad terms may be used. Single, general terms are sufficient, and they may apply to the parent body. Do not belabor constructing a subdivision that describes the field of activity of the lower body, especially one that serves a generic function (such as: Acquisitions, Planning, Management, Data Processing, etc.). Capitalize subdivisions as they appear in LCSH.

For a corporate body, use a field of business in which the corporate body is engaged, its area of competence, responsibility, jurisdiction, etc. (see MARC 21 Format for Authority Data)

If using a geographic scope as part of the field of activity, make sure the geographic scope reflects the entire potential coverage of the body, rather than simply the location of the body.

If using multiple terms from the same vocabulary source, repeat $a rather than the field. Be selective about adding the subdivision "Research." (SHM H 2020: "use for general works that discuss comprehensively all aspects of research, such as proposals, finance, goals, etc., as applied to this topic. Do not assign the subdivision to works that discuss the results of research in a particular field.) When in doubt, do not include "—Research" in the field of activity for a corporate body that performs research.

Example

110 WaterSMART (Program)

372 Water resources development--Economic aspects $2 lcsh

Example

110 United States. $b Congress. $b House. $b Committee on Foreign Affairs. $b Subcommittee on the Middle East and North Africa,

372 United States--Foreign relations administration $a Middle East--Politics and government $a Africa, North--Politics and government $2 lcsh

---

Example

111 IAGA Workshop on Geomagnetic Observatory Instruments, Data Acquisition, and Processing

372 Geomagnetic observatories $a Geomagnetism—Observations $2 lcsh

---

373 - Associated Group (11.5)

Prefer this field for groups having an uncertain or ambiguous relationship. Use the 510 field for related bodies that can be described using one of the relationship designators found in RDA Appendix K.4.3. Use the 5XX (and 4XX) field for hierarchically superior (parent) bodies.

Per DCM Z1: 373, "prefer a controlled vocabulary, such as the LC/NACO Authority File." However, if the associated corporate body is not represented by a record in the NACO Authority File (naf), the name may still be recorded in the 373 field. In such cases, the preferred name is recorded per RDA 11.5.1.3. If the body is represented by a record in the naf, then the authorized access point is recorded. If using multiple terms from different vocabulary sources, repeat the field. If using multiple terms from the same vocabulary source, repeat $a rather than the field.

Example

111 SPORE Investigators' Workshop ‡n (12th : ‡d 2004 : ‡c Baltimore, Md.)

373 National Cancer Institute (U.S.) ‡2 naf

670 … t.p. (12th SPORE Investigators' Workshop, July 10-13, 2004, Baltimore Marriott Waterfront, Baltimore, Maryland; National Cancer Institute)

Example

110 Urban Ecology Research Learning Alliance (U.S.)

373 United States. National Park Service. National Capital Region ‡a Center for Urban Ecology (U.S.) ‡2 naf

410 United States. ‡b National Park Service. ‡b Urban Ecology Research Learning Alliance

670 … (National Park Service; Urban Ecology Research Learning Alliance is the Research Learning Center for the National Capital Region; based at the Center for Urban Ecology facilities)

410/411 - See From Tracing

Also consult: Name Authorities: General Field Specific Guidelines, under the heading "4XX – See From Tracing"

Neither RDA nor any LC-PCC PS mentions inverted references. Some variants are optional and do not need to be justified by any instruction. If it helps to add an inverted reference, then do so. Before adding, first ask the question: Will an inverted reference assist in finding the authorized name? (Note: The sections on inverted references in LCRI 26.3A3 were not carried over into RDA.)

According to RDA 11.13.2.1, qualify the variant as you would the authorized access point.

For example, variant individual conference names should carry the same qualifiers as the authorized access point.

> **Example**
>
> 111 IAGA Workshop on Geomagnetic Observatory Instruments, Data Acquisition, and Processing $n (13th : $d 2008 : $c Boulder, Colo.; Golden, Colo.)
>
> 411 Geomagnetic Observatory Workshop $n (13th : $d 2008 : $c Boulder, Colo.; Golden, Colo.)

If the authorized access point is qualified by "(U.S.)," the variant access point is usually also qualified by "(U.S.)," unless any part of the variant name already contains the term "United States" or "U.S." Even if the variant name in the 4XX field is in a different language than the preferred name in the 1XX field, the variant name may still be qualified by "(U.S.)."

> **Example**
>
> 110 National Cancer Institute (U.S.)
>
> 410 Instituto Nacional del Cáncer (U.S.)
>
> *BUT:*
>
> 410 United States. $b Public Health Service. $b National Cancer Institute
>
> 410 National Institutes of Health (U.S.). $b National Cancer Institute
>
> 410 US National Cancer Institute

Initialisms or Acronyms Written in All Capital Letters

When providing a variant consisting of an initialism or acronym written in all capital letters (with or without periods between them) add a qualifier to the initialism or acronym. Apply the following sequence of instructions: 11.13.2.1: scroll down to: "… Make additions to the name, if considered important for identification. Apply the instructions at 11.13.1.2—11.13.1.8, as applicable." (Note the first group of examples below this: "Addition to a name not conveying the idea of a corporate body.") Therefore, see: 11.13.1.2: "Include a term designating the type of corporate body (see 11.7.1.4" for examples of terms in the singular that designate a Type of Corporate Body). Especially, see: LC-PCC PS 11.13.1.2: Initialisms and Acronyms: "If the name chosen for the authorized access point for a corporate body is an initialism or acronym written in all capital letters (with or without periods between them), add a Type of corporate body qualifier to the name. Alternatively, a spelled out form of the name may be used as an Other designation addition (see 11.7.1.6) if such an addition better identifies the corporate body." See the examples below this.

When qualifying initialisms and acronyms with a Type of Corporate Body term, use a term in the singular form, such as those used in the examples in 11.7.1.4 and 11.13.1.2. Specifically, prefer

a term used in the 368$a, as described above in the section: [368 - Other Attributes of Corporate Body](), $a Type of Corporate Body. Always use the singular form of the term.

Prefer a term from GPO's short list of broad terms. Government bodies are usually qualified by "(Agency)," unless "(Program)" is more appropriate. If none of the terms in the short list are appropriate, consider terms from [SHM H 405 Group One & Group Two lists](). If an appropriate term cannot be found, or if the cataloger judges it will better identify the corporate body, then, "Alternatively, a spelled out form of the name may be used as an Other designation addition … if such an addition better identifies the corporate body," per LC-PCC PS 11.13.1.2.

When choosing a term with which to qualify an initialism or acronym, the cataloger may happen to search OCLC, and find that the intended qualifying term will result in a conflict with an existing variant access point. Or, the intended qualifying term may create a potential, future conflict, if an existing variant initialism that stands alone, such as DPL, might later become qualified by the same intended term. Thus, the cataloger may hesitate to record the variant access point, DPL (Agency), because the existing variant access point, DPL, represents a different agency, and may later be modified to also form: DPL (Agency).

The *cataloger need not consider actual or potential conflicts with other variant access points, when choosing a qualifying term for a variant name*. While the cataloger must always test for conflicts with authorized access points, there is no requirement to consider conflicts (actual or anticipated) with other variant access points when choosing the qualifier. The cataloger, therefore, may either choose a qualifier that causes the variant to conflict with another variant, or choose a qualifier that distinguishes the variant from other variants.

Example

Specific Example:

In OCLC:

110 United States. Department of Commerce. Office of Governmental Relations

410 OGR (Agency)

Cataloger is creating the authorized access point:

110 United States. Environmental Protection Agency. Office of Governmental Relations

Cataloger may record either:

410 OGR (Agency)

OR

410 OGR (United States. Environmental Protection Agency. Office of Governmental Relations)

Note: When adding "a spelled out form of the name," include only the name that is abbreviated by the initialism or acronym. Do not include additions to the name.

Example

Specific Example:

110 National Institute of Standards and Technology (U.S.)

410 NIST (National Institute of Standards and Technology)

NOT: 410 NIST (National Institute of Standards and Technology (U.S.))

Example

Broader Examples:

110 1_ United States. $b Transportation Security Administration. $b Office of Global Strategies

410 2_ OGS (Agency)

110 2_ Center for Nanoscale Science and Technology (National Institute of Standards and Technology)

410 2_ CNST (Agency) OR

410 2_ CNST (Center for Nanoscale Science and Technology)

111 2_ International Energy Conversion Engineering Conference

411 2_ IECEC (Conference)

110 2_ Growing Green Initiative (Baltimore, Md.)

410 2_ GGI (Program)

Variants for Names Containing Ampersands (&)

When the preferred name (or authorized access point, or 110/111) contains an ampersand (&), provide a variant name substituting the word "and" for the ampersand. This variant need not be justified by actual usage. However, the reverse situation should only be justified by actual usage, that is, only provide a variant name containing an ampersand, when such a form of the name appears in a source, and is transcribed in the 670 field.

Example

110 2_ Potter & Brumfield

410 2_ Potter and Brumfield

---

410 - See From Tracing - Corporate Name

Also consult: Name Authorities: General Field Specific Guidelines, under the heading "4XX – See From Tracing

Variant Names Entered Subordinately

Supply variant names if considered important for identification or access, according to the following examples in 11.2.3.7:

3rd Group of Examples: Name as Subdivision of Authorized Access Point for a Higher or Related Body

4th Group of Examples: Name as Subdivision of Authorized Access Point for Immediately Superior Body

5th Group of Examples: Name as Direct Subdivision of Authorized Access Point for a Higher-Level Body

Follow 11.2.3.3 (also see 11.2.2.13 under Variant names): "Record as a variant name the name as a subdivision of a higher or related body if the preferred name is recorded in direct form. Record only if the name might reasonably be searched in that variant form." Prefer variant names entered under an intervening parent body to variant names entered directly under the jurisdiction. When providing a variant name (or cross-reference) directly under the jurisdiction, also provide variant names under intervening bodies, if available, as justified in 670 notes. When one or more cross-references under intervening bodies are made, a cross-reference directly under the jurisdiction is optional according to that cataloger's judgment. The cataloger should consider whether such a reference "might reasonably be searched in that variant form."

(*Note:* LCRI 26.3A7 was not carried over into RDA: "References from Jurisdiction: If a government body is entered independently, make a reference from its name as a subheading of the government that created or controls it (cf. 24.17)." Neither was AACR2 24.17A's final sentence carried over: "Refer to the name of a government agency entered directly from its name in the form of a subheading of the name of the government (see 26.3A7)," or the examples that follow.)

Example

110 2_ National Historic Covered Bridge Preservation Program (U.S.)

410 1_ United States. ‡b Federal Highway Administration. ‡b National Historic Covered Bridge Preservation Program

670 … (National Historic Covered Bridge Preservation Program, Federal Highway Administration)

  OR

110 2_ National Historic Covered Bridge Preservation Program (U.S.)

410 1_ United States. ‡b Federal Highway Administration. ‡b National Historic Covered Bridge Preservation Program

410 1_ United States. ‡b National Historic Covered Bridge Preservation Program [Optional, but do not include without also including the variant through the Federal Highway Administration.]

Place Names as Jurisdictions vs. Locales

When adding the associated place name to corporate bodies, a cross-reference under "United States" is only made when the location attribute represents a jurisdiction, i.e. for government bodies. For non-government bodies, do not provide a 410 through United States, because the cross reference would characterize the location as jurisdictional rather than geographic, which would erroneously transform the character of the non-government body to a government body.

Example

Government body example:

110 2_ Geospatial Center (U.S.)

410 2_ United States. $b Geospatial Center

Non-government corporate body example:

110 2_ National Center for Healthy Housing (U.S.)

  No 410

Additionally, use a 670 and/or 678 to make the exact nature of a non-government body that is qualified by "(U.S.)" clear to users

---

Example

678 [Name of corporate body] is a not-for-profit, non-government organization.

Variant Names Entered Directly

Follow 11.2.3.3: "Record as a variant name a direct form of the name if the preferred name is recorded as a subdivision of a higher or related body. Record only if the name might reasonably be searched in that variant form." Apply the second sentence conservatively. There is a longstanding precedent to use discrimination when adding tracings to the LC NACO file, so as not to undermine the consistency of the file. For example, too many variants of the following nature, even if *found in actual usage*, would seem to introduce inconsistency:

Example

410 2_ Office of the Chief Inspector

410 2_ Division of Statistics, Evaluation, and Strategic Planning

---

Such variant names would not come under the 6th Group of Examples in 11.2.3.7: Name of a Subordinate Body Whose Name Does Not Suggest Subordination Recorded Directly. Therefore, do not automatically supply a directly entered variant to a preferred name that is entered subordinately. It is true that there is nothing comparable in RDA or its LC-PCC PS to the former LCRI 26.1: "In general, construct a reference in the same form in which it would be constructed if chosen as the heading" or LCRI 26.3: "Generally, trace a reference from variant forms of entry that apply to the name chosen for the heading … For variant forms of a name, generally, trace only one reference from each variant." However, until receiving explicit guidance to the contrary, GPO will cautiously interpret "Record only if the name might reasonably be searched in that variant form." (RDA 11.2.3.3)

When deciding whether or not to provide a directly entered variant for a name whose authorized access point is entered subordinately, consider the following:

--Does the variant usage tend to stand by itself? Then it probably may be entered directly.
--Does it include a word or phrase that would qualify as an 11.2.2.14 type (bodies recorded subordinately)? Then, prefer to also enter the variant indirectly, unless it still stands alone, as when the higher body does not appear on the same source/page.
-- "Record only if the name might reasonably be searched in that variant form." (11.2.3.3)

Example

110 2_ Ogden Air Logistics Center (U.S.). ‡O 309th Software Maintenance Group

410 2_ 309th Software Maintenance Group

410 2_ 309 SMXG (Agency)

670 … cover (309th Software Maintenance Group; Ogden Air Logistics Center, Hill Air Force Base, Utah) back cover (309 SMXG)

[The first 410 variant, even though it belongs to the 11.2.2.14.2 type of name, stands by itself in large font on the cover, above the names of its superior body and the Base on which it resides. Throughout the work cataloged, and in other sources, the name "309th Software Maintenance Group" frequently appears by itself. The second 410 variant appears by itself in text on the back cover and throughout the document.]

Example

110 1_ United States. ‡b Air Force Public Affairs Agency

410 2_ Air Force Public Affairs Agency (U.S.)

670 New media and the Air Force, 2009: ‡b cover (Air Force Public Affairs Agency)

[The directly entered variant form is likely to be searched, due to its presentation on the cover.]

Example

110 1_ United States. ‡b National Park Service. ‡b Cultural Resource Stewardship and Partnerships

670 … t.p. (U.S. Department of the Interior, National Park Service, Cultural Resource Stewardship and Partnerships)
[a directly entered variant form is not recorded, as it is not likely to be searched.]

Variants for Names Containing the Term "Inc." or "Incorporated"

When the preferred name (or authorized access point, or 110) omits a term indicating incorporation (such as "Inc." or "Incorporated"), that term may be included in a variant access point.

> Example
>
> 110 2_ Potter & Brumfield
>
> 410 2_ Potter & Brumfield, Inc.

411 - See From Tracing - Meeting Name

Additional Identifying Element(s) for Initialisms/Acronyms in Variants for Meeting Names

The final group of examples in RDA 11.13.2.1 shows variant access points for conferences having the same qualifiers as their respective authorized access points. Follow this practice.

In addition, when qualifying a variant meeting name consisting of an initialism or acronym written in all capital letters (with or without periods between them), add a Type of corporate body qualifier to the initialism/acronym. Follow this with the same additions that are recorded in the authorized access point. See the example in LC-PCC PS 11.13.1.8.1.

> Example
>
> 111 2_ International Energy Conversion Engineering Conference $n (9th : $d 2011 : $c San Diego, Calif.)
>
> 411 2_ IECEC (Conference) $n (9th : $d 2011 : $c San Diego, Calif.)

510/511 – See Also From Tracing (Related Corporate/Conference Name)

Relationships and Relationship Designators

"Related corporate body is a core element for LC and PCC for sequential relationships with immediately preceding and immediately succeeding corporate bodies." (LC-PCC PS for 32.1) When applying RDA relationship designators in the 510 or 511 fields, use terms from RDA Appendix K.4.3 (LC-PCC PS K.1). Capitalize the initial letter of the term and follow the term with a colon (DCM Z1: 5XX section). Use subfield $i in conjunction with $w code "r" for relationship designators. This includes references made to describe name changes. Use the terms "Successor" and "Predecessor" in a subfield $i, rather than following the previous practice of using the earlier/later values in subfield $w.

Do not use relationship designators for place names, including jurisdictions that are coded 151 in the Name Authority File. Per Guideline 11 of: Guidelines on Using Relationship Designators in NACO Authority Records, "Do not use subfield $i with subfield $w "r" for place names (X51) until relationship designators for places are developed. (Currently RDA has a placeholder for Appendix L)." Note also that Guideline 8 is titled: "Relationship links Between Non-Jurisdictional Corporate Entities." According to DCM Z1: Field 551, "Do not use subfield $i with subfield $w coded "r" until relationship designators for places are developed. (Currently RDA has a placeholder for Appendix L)."

Mergers

When two bodies (corporate or conference) merge to form a third, follow the examples below:

Example

Body A and Body B merge to form Body C

110 Body A

510 Mergee: Body B

510 Product of merger: Body C

110 Body B

510 Mergee: Body A

510 Product of merger: Body C

110 Body C

510 Component of merger: Body A

510 Component of merger: Body B

Example

The Bureau of the Public Debt merged with the Financial Management Service to form the Bureau of the Fiscal Service.

110 1_ United States. $b Bureau of the Public Debt

510 1_ $i Mergee: $a United States. $b Department of the Treasury. $b Financial Management Service $w r

510 1_ $i Product of merger: $a United States. $b Bureau of the Fiscal Service $w r

110 1_ United States. $b Department of the Treasury. $b Financial Management Service

510 1_ $i Mergee: $a United States. $b Bureau of the Public Debt $w r

510 1_ $i Product of merger: $a United States. $b Bureau of the Fiscal Service $w r

110 1_ United States. $b Bureau of the Fiscal Service

5101 $i Component of merger: $a United States. $b Bureau of the Public Debt $w r

5101 $i Component of merger: $a United States. $b Department of the Treasury. $b Financial Management Service $w r

---

Do not follow the final paragraph in Guideline 8 of: Guidelines on Using Relationship Designators in NACO Authority Records, which states: "Exception: Until further notice, do not use the Appendix K relationship designators "Mergee" or "Product of a merger." The relationship designators "Predecessor" or "Successor" may be used instead." This statement is outdated, and has been superseded in actual PCC practice.

Although not as common as mergers of corporate bodies, two or more conferences may also merge to form a new conference name.

510 - See Also From Tracing - Corporate Name

For Mergers, see Section Above

Hierarchical Superior Relationship

Always include the immediately superior body, if known, in a 510 field, with the relationship designator "Hierarchical superior," even if redundant (that is, even if the immediately superior body is already recorded in the 110 or 410 field, still provide the 510 field). Only record the immediately superior body as the "Hierarchical superior," not a body that is two or more levels

superior. When in doubt, do not include this relationship. Superior bodies that are not the immediate parent body may still be recorded in the authorized or variant access points. Automated processing, especially during Phase 2 of the Changes to the LC NACO File, may have added 510 hierarchical superior fields by taking the data from the 110 or 410 field. (Many of these automated updates were made in March 2013.) Do not follow the example of this automated processing. Instead, apply this more limited use of the "Hierarchical superior" relationship. See Guideline 9 of: Guidelines on Using Relationship Designators in NACO Authority Records.

Example

110 1_ United States. $b General Services Administration. $b Safety, Environment, and Fire Protection Branch

410 1_ United States. $b General Services Administration. $b National Capital Region. $b Safety, Environment, and Fire Protection Branch

510 1_ $i Hierarchical superior: $a United States. $b General Services Administration. $b National Capitol Region $w r

---

Example

110 1_ United States. $b Department of the Treasury. $b Office of the Assistant Secretary for Financial Markets

5101 $i Hierarchical superior: $a United States. $b Department of the Treasury $w r

---

Example

110 United States. ‡b Air Force Public Affairs Agency

510 ‡i Hierarchical superior: ‡a United States. ‡b Department of the Air Force. ‡b Office of Public Affairs ‡w r (but not: 510 ‡i Hierarchical superior: ‡a United States. ‡b Department of the Air Force ‡w r)

Do not make a "Hierarchical superior" relationship to a jurisdiction or geographical name that would be coded 151 in MARC format in the Name Authority File. According to the NACO and SACO Programs Coordinator at the Library of Congress, jurisdictional place names (such as "United States") "are always coded X51 in authority records, unless a subordinate entity is

included with the jurisdiction, in which case the entity is treated as a corporate name (X10), and not as a place name. This has always been a MARC convention." See: RDA in NACO Training,

PCC: module 5, Describing Places, Slide 21 for more details on MARC authority coding for jurisdictions. See Guideline 11 of: Guidelines on Using Relationship Designators in NACO Authority Records. According to DCM Z1: Field 551, "Do not use subfield $i with subfield $w coded "r" until relationship designators for places are developed. (Currently RDA has a placeholder for Appendix L)." Therefore, do not include a "Hierarchical superior" relationship (coded 510 or 551) in the following examples

Example
110 2_ United States Carbon Cycle Science Program

Do not include a 510 or 551 hierarchical superior relationship to "United States."

Example
110 2_ Bedford County (Va.). $b Board of Supervisors

Do not include a 510 or 551 hierarchical superior relationship to "Bedford County (Va.)."

In summary, record the hierarchical superior relationship when the immediately superior body is known. When not known, or when in doubt, leave it out.

Example
110 Puget Sound Recovery Implementation Technical Team 670 (… administered by the Puget Sound Partnership) 373 Puget Sound Partnership ‡2 naf 410 Puget Sound Partnership. ‡b Puget Sound Recovery Implementation Technical Team (*but not*: 510 ‡i Hierarchical superior: ‡a Puget Sound Partnership ‡w r)

Example

110 SAMOS Project (U.S.)

670 (… 1961 NRO consigned the SAMOS imaging system to the National Aeronautics and Space Administration)

410 United States. ‡b National Aeronautics and Space Administration. ‡b SAMOS Project (*but not*: 510 ‡i Hierarchical superior: ‡a United States. ‡b National Aeronautics and Space Administration ‡w r)

Example

110 2_ Urban Ecology Research Learning Alliance (U.S.)

670 … (National Park Service; Urban Ecology Research Learning Alliance is the Research Learning Center for the National Capital Region; based at the Center for Urban Ecology facilities)

373 United States. National Park Service. National Capital Region ‡a Center for Urban Ecology (U.S.) ‡2 naf

410 United States. ‡b National Park Service. ‡b Urban Ecology Research Learning Alliance (*but not*: 510 ‡i Hierarchical superior: ‡a United States. ‡b National Park Service ‡w r)

The "hierarchical superior" relationship is not reciprocal. Do not add "hierarchical subordinate" references to any records.

667 - Nonpublic General Note

Follow the LC-PCC PS for 11.13.1.8.2, to include the 667 note shown below, in the record for the overall conference series, "when there are authority records for both collective and individual instances of an ongoing conference." Do not anticipate this need--only include this field in a collective conference record when records for individual instances of the conference already exist.

667 See also related access points for individual instances of this conference which include specific information about the number, date, or place of the individual conference.

678 - Biographical or Historical Data (11.11)

Only include this field if the information is readily available and does not require significant time to construct a statement. Record a brief statement intended to be read by the public. The PCC's RDA in NACO Training, Module 1, Foundations, recommends the following format:

[Corporate body's name in direct order] ([dates if available]) was/is a … [describe the corporate body].

Note that the information in the 678 field still requires justification in a 670 field. The 678 note is an additional service provided for public use.

This field may also be used to make the exact nature of a non-government body clear to users.

RDA, Works & Expressions

Use this section in conjunction with the following sources:

- PCC document: "MARC 21 Encoding to Accommodate New RDA Elements 046 and 3XX in NARs and SARs"
- RDA in NACO Training (training videos and other materials that cover all aspects of RDA Name Authorities)
- PCC's Post RDA Test Guidelines
- RDA sections 2, 5, 8, and appendix J

MARC coding for works and expressions are X00, X10, X11, and X30.

Common types of works and expressions encountered by GPO catalogers that require authority records are: Public laws; Treaties; Statutes and codes; and, Series. Although catalogers might also encounter parallel language versions and translations of any of these works (particularly for treaties and series), they do not require authority records until PCC finalizes decisions about recommended authority treatment for language expressions. [Cf. RDA in NACO Series Training, module 6b]

Additionally, PCC has not yet finalized decisions about appropriate authority treatment for treaties. In the interim to the announcement of these decisions, apply instructions given in the following excerpt from PCC's Post RDA Test Guidelines:

> Exception for Treaties
>
> The legal community is re-evaluating how authorized access points for treaties should be constructed under RDA, and will be forwarding proposals for change to the Joint Steering Committee. In the interim, apply the following guidelines for new and existing authorized access points:
>
> - New authorized access points for treaties: If no authorized access point exists for a treaty, continue to use AACR2 instructions (AACR2 25.16 Treaties, etc., and 21.35 Treaties, Intergovernmental agreements, etc.) to establish the authorized form, except, use the full form of the name of a month when necessary to record a date that a treaty was signed instead of the abbreviations from AACR2. Code any new authority record as AACR2 in 008/10 (Descriptive Cataloging Rules) as an exception to the PCC Post RDA Test Guidelines.

- Existing authorized access points for treaties: Do not revise an existing AACR2 authorized access point in a name authority record for a treaty to the RDA form, continue to use the AACR2 form in RDA bibliographic records.

046 – Special Coded Dates (RDA 6.4 and 6.10)

Record if available.

When the coverage is contained within a single date or year, repeat the date or year in both the $k beginning or single date created and $l ending date created.

130 – Authorized Access Point

Treaties (RDA 6.20.3.3). Add the full date of signing to the authorized access point. Record the date when a treaty was signed as fully as possible in this order: year, month, and day.

> Example
>
> 130 _0 Convention on the Rights of Persons with Disabilities and Optional Protocol $d (2007 March 30)

For treaties with multiple signatories, make up to ten variant authorized access points under jurisdictions.

336 – Content Type (RDA 6.9)

Do not record a content type.

370 – Associated Place (RDA 6.5)

Record the subfields in alphabetical order.
Include a $c for associated country, even when $e is present.
In most cases for government documents, the country will be United States.

377 – Associated Language (RDA 6.11)

Always record when known.

In most cases for government documents, the language will be English.

> Example
>
> 377 eng

Do not include when the treaty is in multiple languages.

380 – Form of Work (RDA 6.3)

Prefer using LCSH terms. LCGFT (Library of Congress Genre/Form Terms; available from Classification Web) may be used if necessary.

Example

380 Public law $2 lcsh

380 Statutes and codes $2 lcgft

380 Series

[Described in RDA in NACO Series Training, module 3b, slide 19, as taken from RDA examples. There is no subfield $2 because this term is not taken from a controlled list.]

410/430 – Variant Authorized Access Points

Treaties

For multilateral treaties, make up to ten variant authorized access points under jurisdictions.

667 – Nonpublic General Note

If an authority record coded AACR2 (or earlier rules) has the following statement in the 667 field: "THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED", it is not RDA-acceptable and must be evaluated and re-coded to RDA before being used in a PCC bibliographic record coded RDA. This includes adding cross references, adding other identifying characteristics, fixing a typo, etc. EXCEPTION: Do not revise an existing AACR2 authorized access point in a name authority record for a treaty to the RDA form. Continue to use the AACR2 form in RDA bibliographic records.

670 – Source Data Found

Generally, the first 670 field cites the work for which the authorized access point is being established.

Prefer using t.p. or title page (abbreviated or spelled out is fine), Web site, or page numbers. Be specific when citing the location of information.

Example

- p. 4 of cover
- p. 2
- HTML header

EXEMPLARS

Exemplar records for RDA-compliant NARs for public laws are:

no2013025744 / ARN 9422000

no2013031387 / ARN 9433123

no2013042318 / ARN 9453771

Exemplar records for RDA-compliant NARs for series are:

no2012067383 / ARN 9198727

no2013020453 / ARN 9412221

no2013062923 / ARN 9492588

no2013069963 / ARN 9507539

RDA, Places

Use this section in conjunction with the following sources:

- RDA and LC-PCC PS: 16 (GPO follows all LC-PCC PSs)
- RDA and LC-PCC PS: 11, as applicable (GPO follows all LCC-PCC PSs)
- MARC 21 Format for Authority Data: relevant fields
- DCM Z1: relevant fields (Always consult and follow, unless instructed otherwise)

If appropriate, you may apply RDA chapter 11 elements and their corresponding MARC 046 and 3XX fields, which record various attributes of corporate names.

For field specific data, utilize as appropriate, the following examples of name authority records for places:

151   Milan (N.H. : Town), no2010163305

151   Newtok (Alaska), no2003086238

151   Loup City (Neb.), no2006036108

151   Parkdale (Ark.), no2006028722

151   Carolina (P.R. : Municipio), no2002056100

151   Düzce (Bolu İli, Turkey), no2002034824

151   Mormon Lake Ranger District (Ariz.), no2004124410

151   Jasper County Soil and Water Conservation District (Mo.), no2005002653

151   Lower Arkansas Valley Water Conservancy District (Colo.), no2013059771

151   Gary Sanitary District (Ind.), no2013070165

043 - Geographic Area Code

Always include.

451 - See From Tracing

When adding a qualifier to a variant access point, generally add the same qualifier in the 151.

Example

151 Lower Arkansas Valley Water Conservancy District (Colo.)

451 LAVWCD (Colo.)

---

670 - Source Data Found

For American Indian tribes of the United States, follow the guidance in Name Authorities, Policy Overview. In addition, when citing a source for a tribe, always use the "Indian Entities Recognized and Eligible to Receive Services from the Bureau of Indian Affairs". Cite this as BIA Indian Entities.

781 - Subdivision Linking Entry-Geographic Subdivision

Always include.

AACR2, General Policies

This section focuses only on general policies for all AACR2 name authority records. More detailed information is provided in the topic specific articles.

Use this section in conjunction with the following sources:

- AACR2
- LCRIs (GPO followed all LCRIs)
- MARC 21 Format for Authority Records
- DCM Z1 (Always consult and follow, unless instructed otherwise)
- LC Guidelines (at the end of MARC 21 Format for Authority Records)
- RDA and LC-PCC PSs (GPO follows all LC-PCC PSs)
- NACO Participant's Manual
- Carroll's Federal Directory, Carroll's Federal Regional Directory: retain all issues for current and previous year; retain 1 issue for each past year.
- NACO home page (includes: documentation & updates, cataloging FAQs, and training)
- NACO Normalization

Hybrid records in RDA NARs

See Name Authorities, RDA, General Policies for more information.

When to Recode an Existing NAR to RDA

See Name Authorities, RDA, General Policies for more information.

How to Recode an Existing NAR from AACR2 to RDA

See Name Authorities, RDA, General Policies for more information.

AACR2 Authority Records Policy: GPO will not apply AACR2 or LCRIs to any cataloging of authority records. All new name authority records (NARs) must follow RDA. As soon as a cataloger encounters a non RDA acceptable record that is needed for a bibliographic record, he/she must recode that record to RDA. AACR2 and LCRIs are irrelevant to this task. Furthermore, as soon as a cataloger needs to update any AACR2 (or earlier code/rules) record, he/she must recode that record to RDA. Again, AACR2 and LCRIs are irrelevant. The only exception is when a record is being updated only to change a 5XX field, in response to changing a 1XX in another record. In this situation, the cataloger is only making a mechanical change in the 5XX field, and there is no need to apply any knowledge of AACR2 and LCRIs. Finally, in the situation where a cataloger is using an RDA acceptable name authority record (coded AACR2) as an access point in a bibliographic record, the cataloger makes no changes to that name authority record. Again, there is no need to apply any knowledge of AACR2 and LCRIs.

With authority work, all emphasis shifts to the current standards: RDA and the associated LC-PCC PSs. Whenever evaluating, modifying (updating), or re-coding (upgrading) an NAR, the cataloger must consult RDA/LC-PCC PSs. This is especially true when evaluating an existing heading/authorized access point to determine if it follows RDA rules. The cataloger could, conceivably, consult AACR2/LCRIs, to determine if the heading complies with AACR2. But that will not tell the cataloger if the heading complies with RDA, and that is what the cataloger needs to know.

There is one notable exception: Treaties will be cataloged according to AACR2 and LCRIs. See: Name Authorities, RDA, Works and Expressions.

Field Specific Guidelines

5XX - See Also From Tracings

When applying RDA relationship designators in 5XXs, supply terms from RDA Appendix J or K; capitalize the initial letter of the term and follow the term with a colon (DCM Z1 5XX section). However, pre-existing 5XX references in AACR2 format (i.e., $w values without $i) do not need to be changed to RDA when updating or recoding the record. They are acceptable under PCC standards.

Example from an RDA record (Fixed Field/Rules = z, 040$e = rda):

Example

110 1_ United States. $b Bureau of the Census

510 1_ United States. $b Census Office $w a

510 2_ U.S. Census Bureau $w b

$w: a = earlier heading, b = later heading

AACR2, Personal Names

Use this section in conjunction with the following sources:

- AACR2, chapters 22, 26
- LCRIs, chapters 22, 26 (GPO followed all LCRIs)
- MARC 21 Format for Authority Data: relevant fields
- DCM Z1: relevant fields (Always consult and follow, unless instructed otherwise)
- PCC document: "MARC 21 Encoding to Accommodate New RDA Elements 046 and 3XX in NARs and SARs"
- NACO Participants' Manual
- NACO home page (includes: documentation & updates, cataloging FAQs, and training)
- PCC Post RDA Implementation Guidelines and Standards (updates, guidelines)
- Frequently Asked Questions: Program for Cooperative Cataloging and RDA (PCC-RDA-FAQ Update 20130401)
- NACO Normalization
- RDA and LC-PCC PSs, chapters 8, 9 (GPO follows all LC-PCC PSs)

100 – Authorized Access Point

$q – Fuller Form of Name

Authority records that are coded AACR2 may follow different instructions than RDA for including the fuller form of name. "Unless otherwise changing an existing heading (e.g., conflict), do not change an existing AACR2 or RDA heading merely to add or remove a fuller form of name." (LC-PCC PS 9.19.1.4) If changing an existing 100 field in an authority record, the record must be re-coded to RDA, and RDA 9.19.1.4 and especially, LC-PCC PS 9.19.1.4, must be followed.

400 – See From Tracing-Personal Name

For a former authorized access point: See the "FAQ on creating Personal Name Authority Records (NARs) for NACO" on the NACO Web site, question 13: "When should an AACR2 established (1XX) form be included as a variant access point (4XX) when the AACR2 NAR is evaluated and re-coded to RDA? ... Make a see reference for the old valid form of heading, with $w nnea, unless the reference itself is a valid RDA variant access point, in which case use $w nne. In case of doubt, use $w nnea." Be sure to apply the rules of NACO Normalization.

678 – Biographical or Historical Data (RDA 9.17)

Optional: may be included if biographical data is readily available and does not require significant time to construct. The first indicator will usually be coded "blank," since a biographical sketch is usually too time-consuming to construct. No source needs to be cited for the 678 field.

AACR2, Corporate Bodies

Use this section in conjunction with the following sources:

- AACR2, chapters 24, 26
- LCRIs, chapters 24, 26 (GPO followed all LCRIs)

As stated in Name Authorities, AACR2, General Policies, GPO policy essentially precludes the application of AACR2 and LCRIs to all name authority work, with the exception of treaties.

Auth status - 008/33

c - Provisional level is used at GPO for foreign languages where no expertise exists, and for a heading in which there is insufficient information to complete the record.

110 - Corporate Name

For the name of a program or project that has not been established, if it does not appear in a formal statement of responsibility or appears alone isolated from textual materials, and there is no evidence in the sources that it is a corporate body, no attempt is made to establish it in the LC/NACO authority file. 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. – This policy was superseded by LCRI 24.1A

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. – This policy was superseded by LCRI 24.1A.

The essence of the above policy has been maintained—only the form and procedure have changed. Previously, these entities (forests, parks, preserves, etc.) were usually established in the LC/SACO file as subject authority records. If needed as author or issuing body (main or added entry) in a bibliographic record, they could be established in the LC Name Authority file instead of in the LC Subject Authority File. They could not be entered in both, only in one. The form of the name (geographic tag 151 and qualified by place) would be the same, whether in the Names or Subjects file. The new policy allows for two different entries, one in the Names file, and one in the Subjects file. The name in the LC/NACO file is tagged 110 for corporate body, and contains the addition (Agency) or (Agency : U.S.).

Forest Service ranger districts and other ranger districts may have been established in the LC/NACO authority file under the Forest Service or other appropriate higher administrative bodies, and tagged 110. Although corporate bodies, these are now established as geographic names in the LC/NACO file, and tagged 151.

GPO interprets LCRI 24.18, Type 2 as meaning that the word "Services" is treated the same way as the word "Service," i.e. both are considered subordinate terms.

111 - Meeting Name

Conference authority records are not created for individual conference papers.

410/411 - Variant Name

Variant forms of corporate/conference names appearing in publications cataloged after an authority record has been created are added to existing records.

5XX - See Also From Tracings

Pre-existing 5XX references in AACR2 format (i.e., $w values without $i) do not need to be changed to RDA when updating or recoding the record. They are acceptable under PCC standards.

Example from an RDA record (Fixed Field/Rules = z, 040$e = rda):

Example

110 1_ United States. $b Bureau of the Census

510 1_ United States. $b Census Office $w a

510 2_ U.S. Census Bureau $w b

$w: a = earlier heading, b = later heading

See: MARC 21 Format for Authority Records.

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670 - Source Data Found

Conventions have varied over the years. GPO required the General Material Designation GMD to be used for a period of time.

Common citations include:

Example

670 Drinking water resources [ER] 2002: $b

670 Carroll's fed. dir., July/Aug. 1999 $b

670 U.S. gov't manual, 1999-2000 $b

670 Phone call to Interior Dept., 2/20/99 $b

670 Aniakchak National Monument and Preserve Web site, Mar. 22, 2005 $b

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AACR2, Places

Use this section in conjunction with the following sources:

- RDA and LC-PCC PS: 16 (GPO follows all LC-PCC PSs)
- AACR2, chapter 23
- LCRIs, chapters 23 (GPO followed all LCRIs)
- [MARC 21 Format for Authority Data](): relevant fields
- DCM Z1: relevant fields (Always consult and follow, unless instructed otherwise)

For field specific data, utilize as appropriate, the following examples of name authority records for places:

Example

151   Milan (N.H. : Town), no2010163305

151   Newtok (Alaska), no2003086238

151   Loup City (Neb.), no2006036108

151   Parkdale (Ark.), no2006028722

151   Carolina (P.R. : Municipio), no2002056100

151   Düzce (Bolu İli, Turkey), no2002034824

151   Mormon Lake Ranger District (Ariz.), no2004124410

151   Jasper County Soil and Water Conservation District (Mo.), no2005002653

151   Lower Arkansas Valley Water Conservancy District (Colo.), no2013059771

151   Gary Sanitary District (Ind.), no2013070165

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043 - Geographic Area Code
Always include.

451 - See From Tracing
When adding a qualifier to a variant access point, generally add the same qualifier in the 151.

Example

151 Lower Arkansas Valley Water Conservancy District (Colo.)

451 LAVWCD (Colo.)

---

670 - Source Data Found
For American Indian tribes of the United States, follow the guidance in: Name Authorities, Policy Overview. In addition, when citing a source for a tribe, also use the document Indian Entities Recognized and Eligible To Receive Services From the Bureau of Indian Affairs. Cite this resource as BIA Indian Entities.

781 - Subdivision Linking Entry-Geographic Area Code
Always include.

Subject Cataloging

General Policies

The inclusion of subject access points in catalog records aids users to retrieve information and to identify and locate specific resources based on subjects.

Library of Congress Subject Headings (LCSH)

1. The Library of Congress' (LC's) Subject Headings Manual (SHM) provides for the establishment of Library of Congress Subject Headings (LCSH) for topical concepts/ideas, buildings, no jurisdictional geographic names, etc., the addition of new subdivisions, cross-references, and the updating of subject authority records.

2. GPO is a member of the Program for Cooperative Cataloging's (PCC) Subject Authority Cooperative component, SACO.

3. GPO catalogers access LC subject authority records via OCLC's authority file, or via LC's Classification Web system (aka Class Web or Minaret). GPO has its own subject authority records in its Integrated Library System (ILS), Aleph. The local versions of these records are essentially the same as their counterparts in LC or OCLC. Except for cataloger codes and other minor proprietary information, GPO adds no additional information to its local versions of subject authority records.

4. GPO proposes new subject authority records, and changes to existing ones, according to the instructions in the Library of Congress' Subject Headings Manual (SHM).

5. With the possible exception of certain NASA records, catalogers enter LCSH in all bibliographic records. These are tagged 600, 610, 611, 630, 650, or 651, and coded with second indicator "0." The number of LCSH fields in a bibliographic record may vary between one (1) and ten (10), but usually average between three (3) and five (5). Catalogers follow SHM H 80 for the order of subject headings. When SHM H 80 does not prescribe any order, subject headings are placed in order by MARC field tag.

6. With the exception of certain titles that do not need to be established (see SHM H 1435), all subject headings entries and subject heading subdivisions appearing in GPO records must be confirmed in the OCLC authority files or by a subject heading proposal in the Library of Congress' Classification Web system. This includes all subjects and names used as subjects (personal names, corporate/conference names, uniform titles, and jurisdictional geographic names) that appear in the 6XX fields of bibliographic records. A temporary exception may be made for Congressionals or other priority titles, when names used in these as subjects (fields 600, 610, or 611) are in the process of having NACO records prepared.

7. Catalogers are responsible for correctly assigning and recording subject added entries in the 600, 610, 611,630, 650, and 651 fields. These must be authorized in the OCLC subject authority file, and follow SHM instructions. Catalogers should additionally follow instructions in the other sources cited below. If a subject heading is needed for the resource cataloged, that is not found in OCLC's subject authority file, or if the heading is found but requires additional authority work, such as the addition of cross-references, the cataloger creates a new or change subject proposal in LC's Classification Web system, following SACO procedures. The new proposed

subject heading may be entered in the bibliographic record before being approved by LC, as long as the record is entered at level I, and not at the PCC level. If catalogers are not sure whether to make a proposal or not, they should ask the SACO liaison first (before beginning any work).
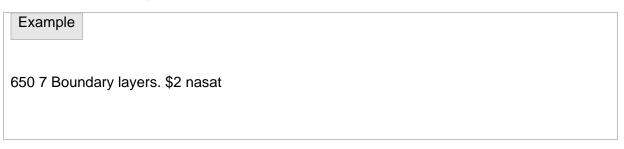
GPO catalogers consult the sources listed below for instructions on subject heading assignment, checking and revising subject headings in existing records, and the proposing of new and changed subject authority records needed for subject cataloging.

The primary sources consulted are:

- SHM Subject Headings Manual
- LCSH (Library of Congress Subject Headings) via Classification Web (Class Web) or Minaret
- SACO Participant's Manual
- Basic Subject Cataloging Using LCSH
- Janis Young's "Assigning Library of Congress Subject Headings Webinar: Handout" (GPO internal training material)
- Janis Young's "Assigning Library of Congress Subject Headings Webinar: Exercises" (GPO internal training material)

NASA Thesaurus Terms As Subject Headings

For publications assigned NASA technical report SuDocs numbers (NAS 1.15: NAS 1.26: NAS 1.2/2-2: NAS 1.60 :) GPO assigns subject headings from the NASA Thesaurus. The NASA Thesaurus is a list of subject descriptors that NASA assigns to records for technical publications available at the NASA Technical Report Server and other sites. These records are available at the NASA Center for AeroSpace Information (CASI) Aeronautics and Space Database, which is password protected and requires a user name. The cataloger searches the title being cataloged in the database, opens the "full display" of the found record, and locates the NASA "major" subject terms on the record. The terms are then transcribed as 650 subject headings in the corresponding OCLC record, following standard Library of Congress subject heading capitalization practice, and coded as NASA Thesaurus headings (i.e. second indicator "7" and subfield "2" followed by "nasat").

Example
650 7 Boundary layers. $2 nasat

If a NASA technical report is published as a multipart, there will be a record for each part in the CASI database. All NASA Thesaurus terms for the parts will be transcribed in the OCLC record, with the exception of identical terms already transcribed from other parts.

Library of Congress subject headings are included on a NASA technical report bibliographic record when a record cannot be found in the CASI database for the title being cataloged. If an

OCLC record containing Library of Congress subject headings is being used for copy cataloging for a NASA technical report, those headings will be retained on the OCLC record, as well as the record in the [CGP](#).

Because NASA Thesaurus headings meet the BIBCO standard of being derived from a "recognized thesaurus," catalog records containing such headings are eligible for upgrade to PCC status, provided that the records meet all other PCC standards.

MESH, NAL, and Other Non-LC Subject Headings

The National Library of Medicine (NLM) and National Agricultural Library (AGL) maintain their own subject thesauri for use in their cataloging work. The headings are coded in the 6xx Marc field as:

- Medical Subject Headings (MESH): second indicator "2"; and
- National Agricultural Library Subject Authority File (NAL): second indicator "3".

When encountered during copy cataloging, GPO retains these headings for the CGP only when there is clear indication that they were entered by NLM or AGL (i.e., NLM or AGL appear in a 040 subfield). MESH and NAL headings meet the BIBCO standard of being derived from "a recognized thesaurus" and bibliographic records containing such headings are eligible for upgrade to PCC status, provided that the record meets all other PCC standards and NLM or AGL appear in a 040 subfield. GPO never verifies or authorizes NLM or AGL headings, neither do these headings undergo authority control processing. They are merely removed or retained locally, per the guideline above.

Other non-LC subject headings may be retained in an OCLC record, but are not included in a corresponding CGP record.

Library of Congress Genre/Form Terms for Library and Archival Materials (LCGFT)

Library of Congress Genre/Form Terms for Library and Archival Materials (LCGFT) appear in the 655 fields of bibliographic records. These headings are identified by second indicator "7," and subfield 2 with value "lcgft." When encountered in copy cataloging, GPO always leaves these in the OCLC master record. However, GPO removes these from the local record, except in records for Congressionals, cartographic or audiovisual resources. In records for Congressionals, cartographic or audiovisual resources, the LCGFT headings, if controlled in OCLC, are retained in the local record, as well as in the OCLC master record. Any LCGFTs that do not control in OCLC, are removed from the local record.

In addition, GPO is beginning to add LCGFTs to original and modified records for Congressionals, cartographic and audiovisual resources. These will be included in the OCLC master and local CGP records.

1. Catalogers can locate and select the appropriate terms by searching by "genre" in the OCLC authority file for a broader term. The search results will include the narrower terms. Catalogers select the relevant narrow terms, and follow increasingly more narrow terms. For example, if selecting a term for a map, the cataloger can search "cartographic materials," for narrower terms. If selecting a term for an audiovisual resource, the cataloger can search "motion pictures" or "video recordings" for narrower terms. The

cataloger may progress from nonfiction films to documentary films to educational films to science films to nature films, and finally to wildlife films.

2. Alternatively, catalogers may search for LCGFTs in [Classification Web](). Many find [Classification Web]() to have superior search, retrieval, and display capability.

3. Catalogers can enter the term in their bibliographic record in OCLC, by inputting, for example, the following:

655 #7 Topographic maps. Then, the cataloger need only control the heading in OCLC, and the system will supply the subfield 2 with the value "lcgft."

Adding LCGFT to Cartographic Records

Catalogers should use the following terms for these specific types of maps:

- Road maps: use for Motor vehicle use maps
- Nautical charts: use for nautical charts from NOAA and other agencies
- Quadrangle maps: use for USGS quadrangles.
- Tourist maps: use for maps from the National Park Service, National Forest Service, Bureau of Land Management and other agencies that show trails, recreation sites, and other features of interest to visitors. Remote sensing maps: use for satellite imagery
- Topographic maps: see authority record gf2011026697, especially scope note
- Bathymetric maps: see authority record gf2011026081

Other terms may be used as appropriate.

Adding LCGFT to Audiovisual Records

Recommended ways to search for LCGFTs are to use either:

- [Classification Web]() - See link from the main menu labeled Search Genre/Form Terms
- [Moving Image Genre Form Terms]()

Because none of the LCGFT sources cited herein present a comprehensive hierarchical list for a given facet, then consider searching on a truncated term, e.g., video* or sound* (apply to collections per instructions in LCGFT thesaurus). Asterisks should be used to truncate the search.

After you have selected appropriate term(s), code them in MARC as 655 _7 |a [term] |2 lcgft.

Commonly applied LCGFTs for audio-visual resources cataloged by GPO include:

655 _7 |a Internet videos|2 lcgft

655 _7 |a Video recordings for the hearing impaired |2 lcgft

655 _7 |a Sponsored films |2 lcgft

655 _7 |a Public service announcements (Motion pictures)|2 lcgft

655 _7 |a Documentary films |2 lcgft

655 _7 |a Podcasts|2 lcgft

655 _7 |a Radio public service announcements |2 lcgft

655 _7 |a Legislative materials|2 lcgft

655 _7 |a Video recordings |2 lcgft

655 _7 |a Sound recordings|2 lcgft

Apply the terms video recording and/or sound recording per the instructions in the LCGFT thesaurus. N.B.

Although "Blogs" is not a LCGFT, it may be used as a form subdivision in 6XX |v.

GPO verifies and authorizes LCGFT in OCLC, when added to or retained in, its local records. LCGFT undergo authority control processing. In some cases, they may be added to bibliographic records. The most common occurrence of this, is when form subdivisions for maps, such as "Maps, Topographic," that have been removed from LCSH, are encountered in bibliographic records. In such cases, the authority control process substitutes the authorized form subdivision "maps" for the unauthorized one, but adds "Topographic maps" as a completely new LCGFT to the record.

GPO catalogers consult and follow: Frequently Asked Questions about LCGFT and the main menu labeled "Search Genre/Form Terms" in Classification Web.

Subject Heading Proposals, Background and Tips

GPO proposes new subject authority records, and changes to existing ones, according to the instructions in the Library of Congress' (LC) Subject Headings Manual (SHM). If a subject heading is needed for the resource cataloged, that is not found in OCLC's subject authority file, or if the heading is found but requires additional authority work, such as the addition of cross-references, the cataloger creates a new or change subject proposal in LC's Classification Web system, following SACO procedures. The new proposed subject heading may be entered in the bibliographic record before being approved by LC, as long as the record is entered at level I, and not at the PCC level. If catalogers are not sure whether to make a proposal or not, they should ask the SACO liaison before beginning any work.

Tips and Instructions

Internet Research

When researching the Internet for sources, a cataloger will frequently find links in one source that will lead him/her to other sources. This is good. Don't forget to circle back to the original source and close the loop, picking up other links that are found there if necessary.

Example

http://en.wikipedia.org/wiki/White_nose_syndrome: click on "References." Note the high quality of many of these sources (the second reference = the journal, Science).

After linking to one of these sources, the cataloger will want to return to this page, in order to research other sources found there. One method is to open a second tab or window, always keeping this bibliography open in the first window or tab, so that the cataloger can always return to the original "jumping off point."

SHM Subject Headings Manual

Catalogers should utilize the search function and index, in addition to the table of contents and/or opening the relevant sections. For example, if you are proposing a specific riot, look up "riots." If you are proposing a specific fire, look up "fires."

Searching Minaret

For searching, catalogers must use Minaret (Class Web), as opposed to, or in addition to, OCLC. This is because Minaret is the most up-to-date system, and includes subject proposals. OCLC is not as current, and lacks subject proposals. Catalogers may search OCLC if they are more comfortable with its interface and features, but they then must still additionally search Minaret.

Do NOT search: http://authorities.loc.gov/

When searching in Minaret, select "Browse and Propose a Change to an Existing Record" from the Subject Heading Proposal Menu. This will search both approved and proposed subjects in one search. It is the only selection needed for all searching in the Minaret system. Please use the instructions below as a supplement to those listed in the References section below.

1. This will put you into a left anchored Browse search. Use this when desired. Otherwise, select the "Search" button at the top left.

2. Then, unless you are searching for a record number, search by either "Keyword" for greater retrieval, or by "Subject Heading" to browse the indexes for references (4XXs, 5XXs) and headings (1XXs). Note: searching by "Subject Heading" will perform left anchored searches, while searching by "Keyword" will search all positions of these tracings (1XXs, 4XXs, 5XXs).

3. When you are ready to perform a new search, select the "Reset" button at the top, second from the left.

4. After viewing a MARC Record, select the "Close" button at the top, second from the left.

Additional Minaret (Class Web) Tips

1. When searching, a useful method is to retrieve a list of related subject headings by searching a broader term (BT).

2. For entering diacritics for degree, minutes, and seconds in the 670 field of Geographic subject proposals: copy and paste from the 670 field of an approved record (with an LCCN beginning with "sh") in Minaret. For other diacritics, copy and paste from OCLC or Aleph.

Examples of records to copy and paste from:

Example
sh2013000196: 151 Crater Range (Ariz.)
sh2013000911: 151 Mattawoman Creek (Md.)
sh2013000374: 151 Qijiawan River (Taiwan)
sh2013000378: 151 Calawah River (Wash.)

3. Use the dollar sign ($) for the delimiter symbol in the tracings (1XX, 4XX, 5XX) and 67X fields.

4. When entering a heading with one or more subdivisions in the 952 (Note) field, do not input the delimiter symbol or letter. Instead, connect the subdivisions with a dash, e.g.: Small business—Finance. If you input the dollar sign ($) for the delimiter symbol in the 952 field, the system will remove it plus all subsequent text from the 952 field.

5. When placing your different categories of references (Used For (UFs), Broader Terms (BTs), and Related Terms (RTs)) in alphabetical order, use the filing rule that "nothing comes before something." If you consider a space to be "nothing," then:

450 EV charging stations

450 EVSE

6. Bibliographic File Maintenance (BFM) in the proposal form is optional. This is the 952 field that says "Bib. records to be changed:" You need not research this. If you happen to come across LC records which would require BFM (Bibliographic File Maintenance) due to your proposal, you may enter these, since they are readily available. In certain situations, this may improve the chances of your proposal being approved.

7. While inputting your proposal in the Minaret system, you may wish to save at least every hour, in order to avoid timing out and losing your data. To initially obtain the LCCN (sp number), select "Save" or "Save and Close" if using Mozilla Firefox, but only select "Save" if using Internet Explorer.

8. Update and resave your proposal in Minaret as often as you like. Keep a record of your sp number. However, once you email LC, you may no longer update your proposal.

Scope Notes

Include a scope note in your proposal whenever appropriate. This will improve the likelihood of obtaining full approval, without the proposal being returned for further revision.

Use of the Dictionary

Utilize Webster's Third New International Dictionary (Web. 3) whenever there is a chance that your term(s) may be found there. If not found, enter "Web. 3" in the 675 field of your proposal.

Use of Wikipedia

You may consult and cite Wikipedia as a source. However, always try to use other sources in addition to it. For topics of a current nature that have not yet found their way into the literature, Wikipedia and online newspapers/news services may be your only relevant sources. For discipline specific topics, such as those in medicine, biology, agriculture, engineering, computer science, geography, etc., you are better off consulting discipline specific government and private sources rather than Wikipedia. In these cases, the list of references in a Wikipedia article, may still come in handy, by leading you to journal articles and other relevant sources.

Use of LCSH as Thesaurus

LCSH, as a thesaurus, has a practical bent, and is based on actual usage rather than on exact technical definitions, differences in definitions, "accepted" terms vs. variant terms, etc., which might exist, but perhaps not have entered into common use. For examples of this, see the following records.

Example

1. Medical records—Data processing sh85083013

2. Interstitial cystitis sh90000763

From the work cataloged for this record: "Because IC varies so much in symptoms and severity, most researchers believe it is not one, but several diseases. In recent years, scientists have started to use the terms bladder pain syndrome (BPS) or painful bladder syndrome (PBS) to describe cases with painful urinary symptoms that may not meet the strictest definition of IC. The term IC/PBS includes all cases of urinary pain that can't be attributed to other causes, such as infection or urinary stones. The term interstitial cystitis, or IC, is used alone when describing cases that meet all of the IC criteria established by the National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)."

The decision was made to ignore the indications in the paragraph above, that "painful bladder syndrome" is different than "Interstitial cystitis," albeit closely related. Instead, "painful bladder syndrome" was added as a UF reference for "interstitial cystitis," in agreement with other sources.

3. Gaura neomexicana   sh2013001721

670 U.S. Fish and Wildlife Service, Integrated Taxonomic Information System (ITIS), June 5, 2013: $b (Oenothera coloradensis ssp. neomexicana, synonyms: Gaura neomexicana, New Mexico beeblossom)

In the source cited above, Oenothera coloradensis ssp. neomexicana is identified as the "accepted name," while "Gaura neomexicana" is identified as a "synonym (not accepted)." However, the decision was made to take the "accepted name" with a grain of salt, since it seems less common than the name found in the other sources. Therefore, this "accepted name" was entered as a variant (UF).

References

Class Web or Minaret

- Classification Web (Class Web) or Minaret
- Instructions for Using the Minaret System
- Making a New SACO Proposal
- Making a SACO Proposed Change
- Searching and Editing a SACO Proposal

SACO Resources

- SACO homepage
- Web Resources for SACO Proposals
- SACO Participants' Manual
- SHM H 405 Group One & Group Two lists
- Tips for Making Successful Subject Proposals, by Janis L. Young
  - Handout
  - Presentation
- Basic Subject Cataloging Using LCSH
  - Paul Frank taught this two day Workshop at GPO in 2011. The last section is on making SACO proposals. Participants received a binder.

- SACO Proposal Research Demonstrations (GPO internal training material)

SHM Subject Headings Manual

These selected sections comprise basic training, to be completed by catalogers before making their first subject heading proposal.

- Under "Making Subject Heading Proposals"
  - H 187
  - H 200: numbers 3-21
  - H 202
  - H 203
- Under "Formulating Subject Headings"
  - H 285
  - H 290
  - H 306
  - Just note the titles of the other instruction sheets in this section, from H 310—H 364

    ○ Under "References" H 370
    ○ H 371
    ○ H 373
    ○ H 374
    ○ H 375
    ○ H 400 (Scope Notes)
- SHM H 405 Name vs. Subject Authority File
- In SHM, open up the following sections, and simply note the titles of the instruction sheets within:
  - Geographic Headings and Subdivisions
  - Subdivisions Controlled by Pattern Headings
  - Special Topics, Materials, Subdivisions, etc.

Print Resources

- Webster's Third New International Dictionary (Web. 3)
- National Register of Historic Places
- Various discipline specific dictionaries, thesauri, etc.

Resources for Geographic Proposals

- Geographic Names Information System (GNIS) (See SHM H 203 for citation method)
- GEOnet Names Server (also available from: http://earth-info.nga.mil/gns/html/index.html) (See SHM H 203 for citation method)
- Janis Young's "Proposing New and Revised Geographic Subject Headings Webinar: Presentation"
- Janis Young's "Proposing New and Revised Geographic Subject Headings Webinar: Exercise Answer Key" Janis Young's "Proposing New and Revised Geographic Subject Headings Webinar: Selected Online Geographic Reference Sources"
- GPO participated in this webinar by Janis Young (above) in May 2013. It is suggested that catalogers retain the handouts, notes, and exercises from this webinar in a separate folder for Geographic Subject Headings. These will direct catalogers to the relevant SHM instruction sheets.
- SHM section: Geographic Headings and Subdivisions
- National Wildlife Refuge System
- Annual report of lands under control of the U.S. Fish and Wildlife Service
- National Parks Index (also available from: https://www.nps.gov/aboutus/upload/NPIndex2012-2016.pdf)

Geographic Print Resources

- National Register of Historic Places
- Columbia Gazetteer of the World, 1998
- Merriam Webster's Geographical Dictionary, 3rd edition
- Rand McNally ... commercial atlas & marketing guide
- Rand McNally's The New International Atlas
- The Times Atlas of the World

Examples of GPO Subject Proposals

- White nose syndrome sh2009010759
- Wallow Fire, 2011 sh2012002192
- Robotic exoskeletons sh2010011967
- Battery charging stations (Electric vehicles) sh2012003590
- Chemicals
  - Butoxyethanol acetate sh2009009283
  - Aluminum oxynitride spinel sh2011002508
- Drugs
  - Dextromethorphan sh2007010731
  - Rosiglitazone sh2009002732
- Buildings
  - William T. Trant Post Office Building (Westfield, Mass.) sh2012002551
- Geographics
  - Namonuito Islands (Micronesia) sh2012000694
  - Carroll Creek (Ala.) sh2012000461
  - Driftless Area National Wildlife Refuge sh2012001808

Subject Heading Proposals, Workflow

Submitting SACO Proposals for Internal Review

Each cataloger will create and submit his/her own SACO proposals.

The SACO liaison will review each cataloger's proposals until that cataloger is declared independent.

After the cataloger inputs and saves their subject proposal in Minaret, they submit it to the SACO liaison for review. If they are cataloging a tangible piece, they place the publication in one of the two Subject trays on the sign-in sheet counter. One tray is for Geographic SACO Headings, the other tray is for all other subjects. If catalogers do not have a tangible piece, they email their proposal to the SACO liaison, using the Subject line: "SACO review." Whether using the tray or email, catalogers should include the following: the "sp" number of their subject proposal, and access to their work cataloged, usually via PURL. If the bibliographic record is already created, they will include the OCLC number.

Producing Associated Bib Records; Exporting Subject Authority Records

When to put the proposed heading in the bibliographic record:

1. If catalogers can satisfactorily cover the content of the work without using the proposed heading in their bibliographic record, they produce the record at the fullest level possible without the proposed subject heading. Catalogers may do this before submitting their proposal to the SACO liaison for review. Catalogers then add the heading when it is fully approved. Catalogers export the subject authority record from OCLC when it becomes available. This is usually 8 days after receiving the approval email from LC.

2. If catalogers cannot satisfactorily cover the content of the work without using the proposed heading in their bibliographic record (such as for a map of a proposed geographic feature, or a

named building), catalogers produce the record at "I" level, including the unauthorized proposed subject heading. Catalogers may do this before submitting their proposal to the SACO liaison for review. If the SACO liaison instructs the cataloger to modify their proposed subject heading, or to not make the proposal at all, the cataloger modifies the affected bibliographic record accordingly. Otherwise, when the heading is fully approved, the cataloger controls the heading, and updates the record to full level (if otherwise possible). In addition, the cataloger exports the subject authority record from OCLC when it becomes available.

3. If the proposal is not approved, the cataloger removes the heading from the bibliographic record. If the proposed heading is approved but modified by LC, the cataloger modifies and controls the heading, and updates the record to full level (if otherwise possible). Finally, the cataloger exports the subject authority record from OCLC when it becomes available.

Submitting SACO Proposals to the Library of Congress

When the SACO liaison approves the cataloger's subject proposal, the cataloger emails LC in order to initiate their review process:Email to saco@loc.gov with the subject line: SACO proposal(s) ready for review, OR SACO change proposal(s) ready for review

Example
Subject line of email: SACO proposals ready for review [use this line when combining new and change proposals in one message]

In the body of the message, these proposals are listed in the following manner:

      [LCCN proposal number] [heading]

Example
sp2012003459 Rifle-ranges--Law and legislation sp2012003462 Phased retirement--Law and legislation sp2012003463 Internet governance Law and legislation sp2012003481 Occupational training, Military Law and legislation sp2012003482 Crowd funding CHANGE: sp88005182 Lepidochelys kempii

Once the cataloger emails LC, he/she may no longer update the proposal in Minaret. Prior to emailing LC, the cataloger may continue to update the proposal as often as needed. After

emailing LC, catalogers report their SACO proposals, original and/or adapt, in the Cooperative Cataloging Daily Statistics form.

Updating Aleph Authority File

It is no longer necessary to enter a preliminary subject authority record in Aleph's authority file for the proposed heading.

Name vs. Subject Authority File

Overview

1. The LC Authority File is comprised of two files: the LC Name Authority File (or the LC NACO file), and the LC Subject Authority File (or the LC SACO file). An important difference between Name Authorities (NACO) and Subject Authorities (SACO) is: NACO is done in real time, but SACO has to go through LC's Subject Approval process, which takes 3-4 months.

2. The Division of the World, or: Is it a Name or a Subject?: to determine if an existing authority heading is a name or a subject, simply look at the authority record's Library of Congress Control Number (LCCN) in the 010 field. If the number begins with an "n," the heading is a name and resides in the Names, or NACO, file. If the number begins with an "s" (usually, if not always an "sh"), the heading is a subject and resides in the Subject, or SACO, file.

3. Important note: The MARC 21 tag of the authority record heading is not always indicative of whether the entity is a name or subject. Both names and subjects may be tagged 110 and 151. Only subjects are tagged 150. Only names are tagged 111 and 130 (titles are in the Names file), except possibly in older records.

4. Geographic entities--Names vs. Subjects: Read SHM H 690, Background. Geographic entities of a jurisdictional nature, such as countries, states, provinces, counties, cities, and towns, are names. So are water, conservation, or ranger districts. These are human created corporate bodies, frequently governmental in nature, having jurisdiction over a specific geographical area. Natural features, on the other hand, such as mountains, mountain ranges, basins, plateaus, mesas, canyons, lakes, rivers, bays, capes, seas, and underwater features, are subjects.

5. In addition, names also include any populated place, designated as "ppl" in GNIS or GEOnet. City sections are also considered to be Names. Subjects, on the other hand, also include geographic regions (Africa, East; Great Basin), and collective names for groups of jurisdictions (Hamptons (N.Y.)).

Instructions

GPO catalogers consult the sources listed below for instructions on the name vs. subject authority files:

- SHM H 405 Name vs. Subject Authority File
- SHM H 690 Formulating Geographic Headings
- DCM Z1 (Descriptive Cataloging Manual, Z1): Appendix 1: Ambiguous Entities
- Library of Congress Rule Interpretations (LCRI): 23.1
- LCRI 24.1A: Ambiguous Entities
- MARC 21 Format for Bibliographic Data: Appendix E

- NACO Training for OCLC Libraries, rev. May 2001. Program for Cooperative Cataloging, Library of Congress. "Geographic Names: Things to remember."

Name Headings as Subjects

For Congressional nomination hearings, the names of nominees for Federal offices are included as subject headings. LC's "rule of three" and "rule of four" apply when multiple nominees are the subject of a single hearing. If a hearing involves four or fewer nominees, the name of each nominee is included as a subject heading. If there are more than four nominees, only the first named on the title source is included as a subject heading.

Special Topics, Materials, Subdivisions, Etc.

Environmental Impact Statements

Environmental impact statements and related publications should include subject headings which focus on the environmental aspects of a specific topic or topics. The headings "Environmental impact statements" and "Environmental impact analysis" should only be used for works that discuss the methodology of the preparation of environmental impact statements.

Legal Topics

Publications which discuss proposed legislation or existing laws should include legal subject headings. These headings include subdivisions such as "Law and legislation" or "Legal status, laws, etc." They also include headings that are inherently legal, such as "Torts", "Criminals", and "Human rights." If a publication discusses a specific law, the established title for the law may be included as a subject entry.

If a publication discusses the implementation of a specific law or laws (i.e. the process by which a government agency insures that a law is enforced), a subject or subdivision that reflects government policy should be included, rather than legal headings. These headings include such headings as "Medical policy", "Forest policy," and the subdivision "Government policy". If a publication discusses implementation of a specific law, the established title for the law may be included as a subject entry.

Legal subject headings may usually be subdivided geographically. If a work discusses the legal aspects of a topic in a specific place, the legal subject heading should be subdivided by the place, even if the law or laws discussed are enacted by a larger jurisdiction (i.e. a Federal law that that is enforced in a specific region, state, or city).

Research

The subdivision "Research" is used under subjects for works that discuss the proposals, finance, goals, etc., of research on those subjects. It is not used under corporate body names for discussions of research conducted by those corporate bodies. However, the subdivision "Research" may be entered under a corporate body for works that discuss research about the body, such as history, organization, etc.

Other Metadata Schemes

Dublin Core

The Dublin Core Metadata Element Set (DC), for which the current iteration is version 1.1 available at http://dublincore.org/documents/dces/, is a simplified schema for description of collections and works within collections. It was conceived in the 1990's to aid in resource discovery as the Internet was expanding and more resources became available. Specific intentions underlying DC are to provide a generic, simple, flexible, extensible, interoperable descriptive framework, or metadata schema, that sacrifices neither customization sufficient to describe works' unique properties nor the capability of integration into databases of records devised by other schemas.

DC comprises fifteen (15) elements, each of which may be extended and/or repeated to accommodate an institution's specific needs for description. The core set of elements comprises:

Title	Contributor	Relation
Creator	Type	Coverage
Subject	Format	Rights
Description	Identifier	Collector
Publisher	Source	Language

This set of metadata elements applies to all resources no matter the format, including formats once considered "special" such as Web sites, works of art, video- and audio recordings, still images, numeric datasets, computer programs, manuscripts, and geographic information systems, as well as such traditional bibliographic formats as textual monographs and serials. The applicability of its base set of elements to any format defines DC's simplicity. The extensibility of each generic element to specific types defines DC's flexibility.

GPO employs Dublin Core for selected projects, typically for those associated with a digital repository that contains descriptive, technical, and administrative metadata apart from GPO's Catalog of U.S. Government Publications (CGP) and OCLC, the international consortial database to which GPO contributes. The first project to which GPO is applying DC is Internet Archive's Archive-It digital repository. Archive-It is "a web archiving service to harvest and preserve digital collections." Archive-It supplies storage centers and software by which subscriber institutions manage harvested content. Institutions contribute metadata to the repository via a supplied template of Dublin Core elements. GPO expects that its approach to the Archive-It pilot project will serve as the model for its future DC endeavors. To that end, the following customized data elements are recommended as constant elements in GPO's bibliographic data in DC projects:

- GPO Item Number: example 0573-F
- Superintendent of Documents Classification Number: example AE 2.106:
- Digital Collection Name: examples below
    - Archived U.S. Government Web sites for the Federal Depository Library Program
- Note for Metadata/Administrative History: examples below
    - Cataloged originally according to the Dublin Core Metadata Element Set, version 1.1, in the Archive-It digital repository and converted to MARC 21 by batch process for GPO's Catalog of U.S. Government Publications (CGP), [date of import].
    - This retrospectively digitized content, provided by [source agency], was ingested into X's online repository, [repository name], authenticated, digitally preserved, and made available to the public on [date]. This online collection represents the entirety of the content provided by the source agency [or, source agency office].
    - [Note to reviewers: the 2nd example is from FDsys, even those that project crosswalks from MARC to MODS/METS rather than DC]
- Subject Headings
    - Preferentially employ Library of Congress Subject Headings as topical terms and Library of Congress Name Authority File names and titles as other subject terms

Once Dublin Core metadata elements and values for records in a given project are completed in a database apart from the CGP, then it is necessary to convert those DC records to RDA content elements in MARC21 structural format for inclusion in the CGP. The conversion process requires a cross-walk cue sheet, or mapping document, which serves as the basis for the code written by the LTIS senior programmer, who writes and edits the crosswalk program.

ONIX

In 2004, in an effort to make Federal Government information more widely available to the American public through commercial book dealers, the Government Printing Office (GPO) adopted the use of ONIX (Online Information Exchange) as a metadata format for delivering publication information for U.S. Government information products in the GPO Sales Program. ONIX has become the publishing industry's standard electronic format for sharing product data and GPO's use of ONIX enables U.S. Government publications to be listed, promoted and sold by all mainstream commercial book dealers worldwide.

By using ONIX, GPO is adopting a recommended best practice of the publishing industry. ONIX allows GPO to partner with book trade industry leaders in the promotion and dissemination of U.S. Government publications. The use of ONIX to promote U.S. Government information products through the GPO Sales program is consistent with GPO's strategic vision for greater access to U.S. Government information products. ONIX is an accepted industry standard and its use improves the process of metadata delivery, with the goal of providing U.S. Government information to the public through commercial book outlets.

Staff in LSCM create the bibliographic metadata for items in the GPO Sales Program. They follow the ONIX standards as prescribed by Book Industry Study Group (BISC) and the international group EDitEUR, ONIX for Books version 2.1. The staff utilize an ONIX software generator available from a third party vendor, who in turn delivers the ONIX metadata to various booksellers.

Glossary

A

Adapt: To use an existing record to catalog. <u>GPO usage</u>: this usually entails editing the record. See copy cataloging.

Authenticate: To create a new record, or modify an existing record, so that it meets PCC standards, as indicated by the addition of the code "pcc" to the 042 field<u>. PCC standards are met by conforming to the PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile</u> or the <u>CONSER Standard Record (CSR)</u>. When authenticating a record, in addition to coding the 042 field "pcc," GPO also codes the Fixed Field<u>: ELvl: Encoding Level</u> (Leader/17) "blank," and the Fixed Field: <u>Srce: Cataloging Source</u> (009/9) "c," unless it is already coded blank. <u>General usage</u>: "… it is permissible to authenticate the new record as PCC without converting it to RDA." (From: <u>Final date for BIBCO and CONSER bibliographic contributions formulated according to AACR2: December 31, 2014</u>)

B

BIBCO standard record: The "model" for bibliographic monographic records using a single encoding level in a shared database environment

C

Clone: See derive.

Convert: (Frequently used together and often interchangeably with, recode or re-describe.) To change the descriptive cataloging standard, conventions, or form of a catalog record, from a former one to a current one, as indicated by a change of coding in the Fixed Field: <u>Desc: Descriptive Cataloging Form</u> (Leader/18), and sometimes a change in the 040 $e. For example, a record is converted from AACR2 to RDA by re-describing according to RDA, and by adding "$e rda" to the 040 field, and changing the Leader/18 from "a" to "i." <u>General usage</u>: "… it is permissible to authenticate the new record as PCC without converting it to RDA." (From: <u>Final date for BIBCO and CONSER bibliographic contributions formulated according to AACR2: December 31, 2014</u>)

Copy cataloging: Utilization of an existing record to catalog, as opposed to original cataloging. See <u>adapt</u>.

Crosswalk: A table or chart showing equivalent elements/fields in more than one metadata schema.

D

Database maintenance: Modification of existing records, that usually, but not always, exist in the CGP. Records are usually modified in both the CGP and OCLC, but may be modified only in the CGP. Occasionally, records that are not in the CGP may only be modified in OCLC, for example, to add links to GPO records. Examples of database maintenance: to add a newly created name or series access point, to change a misapplied authorized access point, to remove duplicate records, or to change the SuDoc classes.

Derive: Using an existing record to create a new record to add to a catalog, such as OCLC or Aleph. (Referred to as "clone/cloning" in the 2002 GPO Cataloging Guidelines and in LC-PCC PS 1.11.) General usage: "If deriving a new record from a PCC non-RDA record in order to describe a reproduction of that resource in a different format …" (From: Final date for BIBCO and CONSER bibliographic contributions formulated according to AACR2: December 31, 2014)

Division of the World: A term used to reflect that certain entities must be established in the NACO Authority File (LC/NAF) and others in the Subject Authority File (LCSH) by the rules appropriate for each.

E

Edit: See the common dictionary definition. GPO usage: to add, delete, or modify data in an existing record. Interchangeable with: enhance (see below), modify, and update.

Enhance: See the common dictionary definition. GPO usage: to add or modify data in an existing record. Interchangeable with: edit (see above), modify, and update. Also refers to an OCLC Cataloging Authorization Level, as in Regular Enhance and Enhance National (see: OCLC Cataloging Authorization Levels …)

Expression: The intellectual or artistic realization of a work in the form of alpha-numeric, musical, or choreographic notation, sound, image, object, movement, etc., or any combination of such forms; it can refer to individual entities, aggregates, or components of these entities.

G

GEOnet Names Server: The official repository of standard spellings of all foreign geographic names, sanctioned by the United States Board on Geographic Names (US BGN).

I

Item: A single exemplar or instance of a manifestation; it can refer to individual entities, aggregates, or components of these entities.

Integrating resource: A resource that is added to or changed by means of updates that do not remain discrete but are integrated into the whole (e.g., a loose-leaf manual that is updated by means of replacement pages, a Web site that is updated continuously)

L

LC record: A bibliographic record in LC's catalog, as evidenced from LC's symbol, DLC, in the 040 field.

Library of Congress Authority File: Includes name and subject authority records. It comprises the LC Name Authority File (NACO) and the LC Subject Authority File (SACO). The NACO file is updated in real time, while additions to the SACO file must receive Library of Congress approval, which may take three to four months.

Library of Congress record: See LC record, above.

M

Manifestation: The physical embodiment of an expression of a work; it can refer to individual entities, aggregates, or components of these entities.

MARC 21 tag: An element of the MARC21 data schema, such as 245 for title or 710 for corporate body.

Metadata schema: A system of data elements used to describe a resource.

Modify: See the common dictionary definition. GPO usage: to add, delete, or modify data in an existing record. Interchangeable with: edit, enhance, and update.

Multipart: A monograph complete, or intended to be complete, in a finite number of separate parts.

N

NASA Center for AeroSpace Information (CASI) Aeronautics and Space Database: Maintains the NASA database of over 4 million bibliographic records.

NASA Thesaurus: Contains the authorized NASA subject terms.

O

Original cataloging: Creation of a new catalog record, as opposed to copy cataloging.

P

Preferred title for the work: A title or form of title chosen to identify the work. The preferred title is also the basis for the authorized access point representing that work. (RDA Glossary).

R

Recode (Re-code): (Frequently used together and often interchangeably with, re-describe (see below) (or convert.) To change the descriptive cataloging standard, conventions, or form of a catalog record, from a former one to a current one, specifically by changing the coding in the Fixed Field: Desc: Descriptive Cataloging Form (Leader/18), and sometimes changing the coding in the 040 $e. For example, a record is recoded from AACR2 to RDA by adding "$e rda" to the 040 field, and changing the Leader/18 from "a" to "i."

Re-describe: (Frequently used together and often interchangeably with, recode (see above) or convert.) To change the descriptive cataloging standard, conventions, or form of a catalog record, from a former one to a current one, as indicated by a change of coding in the Fixed Field: Desc: Descriptive Cataloging Form (Leader/18), and sometimes a change in the 040 $e. For example, a record is re-described from AACR2 to RDA by re-cataloging according to RDA instructions.

S

Schema: See Metadata schema

Serial: Resource issued in successive parts, usually with numbering, that has no predetermined conclusion (e.g., a periodical, a monographic series, a newspaper). Includes resources that exhibit characteristics of serials, such as successive issues, numbering, and frequency, but whose duration is limited (e.g., newsletters of events) and reproductions of serials.

Still Image: Content expressed through line, shape, shading, etc., intended to be perceived visually in two dimensions. Includes drawings, paintings, diagrams, photographic images (stills), etc.

T

Title proper: A chief name of a manifestation, that is, a title normally used when naming the manifestation. An alternative title is treated as part of the title proper. (RDA Glossary)

U

Update: See the common dictionary definition. GPO usage: to add, delete, or modify data in an existing record. Interchangeable with: edit, enhance, and modify.

Upgrade: Commonly used for two separate processes:

1. To change the descriptive cataloging standard, conventions, or form of a catalog record, from a former one to a current one, as indicated by a change of coding in the Fixed Field: [Desc: Descriptive Cataloging Form](#) (Leader/18), and sometimes a change in the [040 $e](#). For example, a record is upgraded from AACR2 to RDA.
2. To increase the Encoding Level of a catalog record, as indicated by a change of coding in the Fixed Field: [ELvl: Encoding Level](#) (Leader/17). For example, a record is upgraded from Full-level I to Full-level blank. Also used for authenticate (see below).

Due to these two separate meanings, GPO prefers to use:

1. Recode and re-describe, for changing the descriptive cataloging standard, conventions, or form of a catalog record, from a former one to a current one, as indicated by a change of coding in the Fixed Field: [Desc: Descriptive Cataloging Form](#) (Leader/18), and sometimes a change in the [040 $e](#).
2. [Authenticate](#), for creating a new record, or modifying an existing record, so that it meets PCC standards, as indicated by the addition of the code "pcc" to the 042 field.

GPO uses "upgrade" to mean: to increase the Encoding level to I level, which is not authenticating the record.

V

Video: Media used to store moving or still images, designed for use with a playback device such as a videocassette player or DVD player. Includes media used to store digitally encoded as well as analog images.

W

Work: A distinct intellectual or artistic creation (i.e., the intellectual or artistic content); it can refer to individual entities, aggregates, or components of these entities.

Initialisms and Acronyms

AGL: National Agricultural Library

BFM: bibliographic file maintenance

BIBCO: Monographic component of the Program for Cooperative Cataloging

CGP: Catalog of U.S. Government Publications

Class Web or Minaret: The official repository of the Library of Congress Subject Headings.

DC: Dublin Core Metadata Element Set

DCM Z1: Descriptive Cataloging Manual, Z1

FDLP: Federal Depository Library Program

GNIS: Geographic Names Information System, which contains information about physical and cultural geographic features in the United States and associated areas, both current and historical (not including roads and highways).

GPO: Government Printing Office

ILS: Integrated Library System

LC: Library of Congress

LCCN: Library of Congress control number

LCGFT: Library of Congress genre/form terms for library and archival materials

LCSH: Library of Congress Subject Heading

MESH: Medical subject headings

NACO: Name authority component of the Program for Cooperative Cataloging

NASA: National Aeronautics and Space Administration

PCC: Program for Cooperative Cataloging

PPL: Populated place

SACO: Subject authority component of the Program for Cooperative Cataloging

SHM: Subject Heading Manual