

CATALOGING AND METADATA CONTRIBUTOR GUIDELINES

U.S. GOVERNMENT PUBLISHING OFFICE PARTNERSHIP

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Background

The U.S. Government Publishing Office's (GPO) Cataloging & Indexing (C&I) Program endeavors to make the Catalog of U.S. Government Publications (CGP) a comprehensive national bibliography of U.S. Government public information. In support of that goal, Cataloging and Metadata Contributors have been partnering with GPO to add bibliographic records in the CGP since 2010. These partners help to build the [*National Collection of U.S. Government Public Information*](#), the geographically dispersed collection of the corpus of Federal Government public information accessible to the public at no cost, by:

- Supporting the discovery of the tangible and digital collections in Federal depository libraries (FDLs).
- Increasing access to content digitized by partner libraries or Federal agencies.
- Assisting Federal depository libraries with retrospective cataloging by providing access to bibliographic records.
- Sharing the cataloging cost burden among libraries, and with GPO.

By developing guidelines for the establishment of formal Cataloging and Metadata Contributor Partnerships with depository libraries and Federal agencies, GPO promotes quality metadata standards for records contributed to the CGP. With these guidelines, GPO intends to provide general guidance for the evaluation, acceptance and implementation of GPO partnerships in which the exchange of cataloging and metadata is a key component. GPO will consider each potential Cataloging and Metadata Partnership in relation to existing C&I program goals, priorities, standards, projects, and processes.

Cataloging and Metadata Contributor Partnership Options

There are two primary options for cataloging/metadata exchange with partners:

1. Partners contribute bibliographic records or cataloging/metadata for processing and ingest into the CGP.
2. GPO creates bibliographic records for uncatalogued U.S. Government publications, including researching Superintendent of Documents (SuDocs) classification numbers, to provide these bibliographic records to the partner.

GPO may consider other cataloging/metadata exchange proposals submitted by potential partners.

Evaluation of Cataloging Requirements in Partnership Proposals

When a potential partner submits a Cataloging and Metadata Contributor Partnership proposal, the Chief of Library Technical Services (LTS), in consultation with the LTS Supervisory Librarians and the Collection Development Librarian, will evaluate the proposal to assess which partnership option most closely aligns with the proposal, and will consider the proposed partnership opportunity as it relates to existing C&I program goals, priorities, standards, projects, and processes.

Library Services & Content Management (LSCM) team members will meet with the potential Cataloging and Metadata Contributor to discuss bibliographic record exchange, record creation, or other cooperative cataloging projects or tasks related to the partnership proposal in detail before any decision on moving forward with a partnership is made. GPO's Collection Development Working Group may be consulted to consider the potential partnership in relation to *National Collection of U.S. Government Public Information* goals. Based on these discussions, a final determination as to the feasibility of LTS entering into the Cataloging and Metadata Contributor Partnership will be made. LTS will work with the LSCM Partnership Coordinator to document the cataloging requirements that will be included in draft and final partnership agreements. After a partnership agreement is signed, LTS staff will develop an implementation plan to operationalize the agreement.

Criteria for Becoming a Cataloging and Metadata Contributor

GPO will accept bibliographic records or metadata to be used for cataloging purposes if the records meet the criteria below, and when GPO has the necessary resources to devote to fulfilling GPO's role stated in the partnership agreement:

1. Records must represent information products that are [within scope](#) of GPO's information dissemination programs as defined by Title 44, U.S.C., which are broadly defined as all published Federal information dissemination products regardless of format or medium, which are of public interest or educational

value, produced using Federal funds, and are not purely administrative, copyrighted, or classified, and do not pose privacy concerns.

2. The bibliographic records or metadata provided by the potential partner meet the specifications stipulated in the partnership agreement, and the partner must be able to provide a sample of the records or metadata for evaluation.
3. The potential partner must grant GPO permission to modify the records.
4. The potential partner must allow GPO to redistribute the records and must impose no access restrictions on the records.

In order for GPO cataloging staff to create records either for digital collections or for historic U.S. Government publications held by the partner, the partner must agree to provide sufficient information on the documents concerned to GPO along with the signed partnership agreement. Please see Appendix A: List of Questions for the Prospective Cataloging/Metadata Partner.

Record Requirements

Records must meet the following requirements:

1. Records are in the MARC21 or MARCXML formats.
2. GPO may accept bibliographic metadata in other formats, such as csv files, based upon discussions with the potential partner library during partnership negotiations.
3. Separate records for print, online, microfiche, and other formats of publications.

Cataloging Standards

The goal of Cataloging and Metadata Contributor partnerships is to contribute towards GPO's goal to make the CGP a comprehensive catalog of the *National Collection of U.S. Government Public Information* with quality bibliographic records that meet national standards so that these records can be freely exchanged through library networks and added to local catalogs.

GPO follows national cataloging/metadata standards, such as *Resource Description and Access* (RDA), the Program for Cooperative Cataloging (PCC) Policy Statements, and the *Library of Congress Subject Headings Manual*, and interprets and implements provisions of these guidelines as needed for the specific circumstances and characteristics of Government publications. GPO records and presents its cataloging/metadata policies, procedures, and practices in the [GPO Cataloging Guidelines](#), [Superintendent of Documents Classification Guidelines](#), and other documentation.

GPO creates or adapts records for each format of an information product, known as the separate record approach. GPO also utilizes various levels of cataloging depending on the circumstances. GPO may suggest the batch processing of large record sets to facilitate and expedite cataloging/metadata operations. Please see Appendix B: GPO Cataloging/Metadata Options for Potential Partners.

GPO provides access to digitized versions of publications and born digital publications by creating Persistent Uniform Resource Locators (PURLs) and adding the PURLs to bibliographic records.

GPO Use of Partner Records

By providing records to GPO, partner libraries authorize GPO to utilize partner provided records in the ways described below. However, as each partnership is unique, record use will vary.

1. GPO may choose not to use some records due to differences in cataloging treatment from the partner library.
2. Eliminate fields not needed for display in the CGP, or that should not be retained per the [GPO Cataloging Guidelines](#).
3. Enhance all or some of the records in various ways, including but not limited to:
 - a. Modifying and deleting fields based on GPO's cataloging/metadata policies, procedures, and practices in the [GPO Cataloging Guidelines](#).
 - b. Revising SuDoc numbers according to the [Superintendent of Documents Classification Guidelines](#).
 - c. Adding or changing subject headings.
 - d. Creating and revising name authority headings.

Identification of Partner Records in the Catalog of U.S. Government Publications (CGP)

Records from Cataloging and Metadata Contributors are identified by a code or abbreviation in a 955 MARC field. If MARC 040 data is provided, this would be retained in the MARC record. For example:

955 CATPART; Montana; BC7000.

Authority Control for Partner Records

GPO will perform automated authority control processing and authority work on the records to validate all types of access points, including corporate body names, subject headings, and series titles.

Distribution of Partner Records

GPO may distribute or make available modified records from cataloging partners through the following distribution outlets:

1. GPO modified records will be available via OCLC.
2. GPO records are available in the [CGP on GitHub repository](#).
3. Z39.50 access to search, retrieve, and download records in the CGP.
4. GPO's Cataloging Record Distribution Program (CRDP).
5. GPO will provide copies of modified cataloging records to the Cataloging and Metadata Contributor, if requested in the partnership agreement.

Appendix A. List of Questions for the Prospective Cataloging/Metadata Partner

- 1) Do you catalog in OCLC?
- 2) What encoding level are your records?
- 3) What cataloging standards are you currently using?
- 4) Do you use the single or the separate record approach?
- 5) Do you catalog at the collection level for some collections, or catalog analytically? If using a mixed approach, what is your criteria for one approach over the other?
- 6) Are there records in your collection that might use a different cataloging standard (e.g. AACR2)
- 7) Do you provide anything besides eng in your 040 fields if RDA standard?
- 8) Which, if any, AAP or Main/Added entries do you provide (1xx, 7xx, 8xx) in your records?
- 9) Do you perform authority work on your records?
 1. If none, skip the following questions.
 2. If yes, then which of the following?
 - i. Personal names
 - ii. Corporate bodies/Conferences
 - iii. Series
 - iv. New subjects
 - v. Geographic headings
- 10) What classification system do you use?

- 11) If a publication lacks information, what are your catalogers instructed to provide (e.g. 264 field publishing data)?
- 12) Which subfields does your 300 field normally include? Do you use general description, or specific (e.g. page numbers from the document including roman, Adobe page counts, other sources, color or black and white description, record dimensions)? What do you provide for various paging documents?
- 13) Any local 500 notes provided?
- 14) Do you create 505 Contents notes?
- 15) How do you catalog multi-parts? (At part-level, or as a unit, on one catalog record)?
- 16) Do you create 520 Summary notes?
- 17) Do you use 500 title from title screen, or 588 Description based on notes?
- 18) Do you provide any 6xx fields?
 1. If so, do you use Library of Congress subject headings?
 2. If so, how many headings on average per record?
- 19) Any 856 links (URLs, handles, etc.)?
- 20) Do you create serial records for your issues in your collection?
- 21) Do you have any local cataloging practices we need to know about?
- 22) If adapting a record, how do you select between multiple records in OCLC for the same title?
- 23) In what file formats can you provide the records? Our preferred file formats are:
 1. MARC
 2. MARCXML
 3. CSV
 4. TXT

Appendix B. GPO Cataloging/Metadata Options for Potential Partners

- Selected Set of Publications at Full-Level
 - The partner or contributor selects a subset of their collection that warrant a higher or full-level of cataloging/metadata.
 - GPO requests a description of their reasons for designating these titles for such treatment so that we understand the aspects and characteristics to highlight in the records, such as the subject headings.
- Batch Processing Mode
 - Minimal analysis.

- Design and develop a routine of automated and global enhancements and updates.
 - Accept records as they are in OCLC or as provided to GPO.
- Combination of Processing Modes
 - Subset of selected records cataloged at a higher or fuller-level.
 - GPO processes the rest of the collection at a lower encoding level or in batch mode.