



An Overview of the GPO Cataloging Guidelines

GPO Library Technical Services Webcast and Webinar Series - Part 18

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Where are the current Cataloging Guidelines?



The screenshot shows the top of the FDLP website. On the left is the FDLP logo with the text "Federal Depository Library Program". To its right is the URL www.fdlp.gov. A search bar is located in the top right corner. Below the header is a navigation menu with four items: "COLLECTION TOOLS", "REQUIREMENTS & GUIDANCE", "ABOUT THE FDLP", and "CATALOGING & CLASSIFICATION". The "CATALOGING & CLASSIFICATION" menu is expanded, showing a list of links: "Cataloging Guidelines", "Cataloging & Indexing", "Catalog of U.S. Government Publications", and "VIEW OUR QUICKSTART GUIDE". A yellow arrow points to the "Cataloging Guidelines" link. Below the navigation menu is a large banner for the "SPRING 2017 DEPOSITORY LIBRARY COUNCIL VIRTUAL MEETING" held from "APRIL 26-28, 2017". The banner includes a keyboard background and navigation arrows. Below the banner is a text box that reads: "Join the U.S. Government Publishing Office (GPO) and the Depository Library Council for our annual spring **Virtual Meeting**. Three days of discussion, information-sharing, and collaboration await you." To the right of this text box is a button that says "Join the FDLP" with a right-pointing arrow and the text "LEARN ABOUT THE BENEFITS" below it.



The current GPO Cataloging Guidelines

- Written & revised by LTS staff, including subject matter experts for different chapters
- We begin with the former Guidelines, then update & revise these as needed
- Reviewed by Cataloging Policy & Documentation Committee, and entire LTS staff
- Undergo numerous revisions
- All Guidelines (chapters) are in constant revision, due to the current cataloging environment

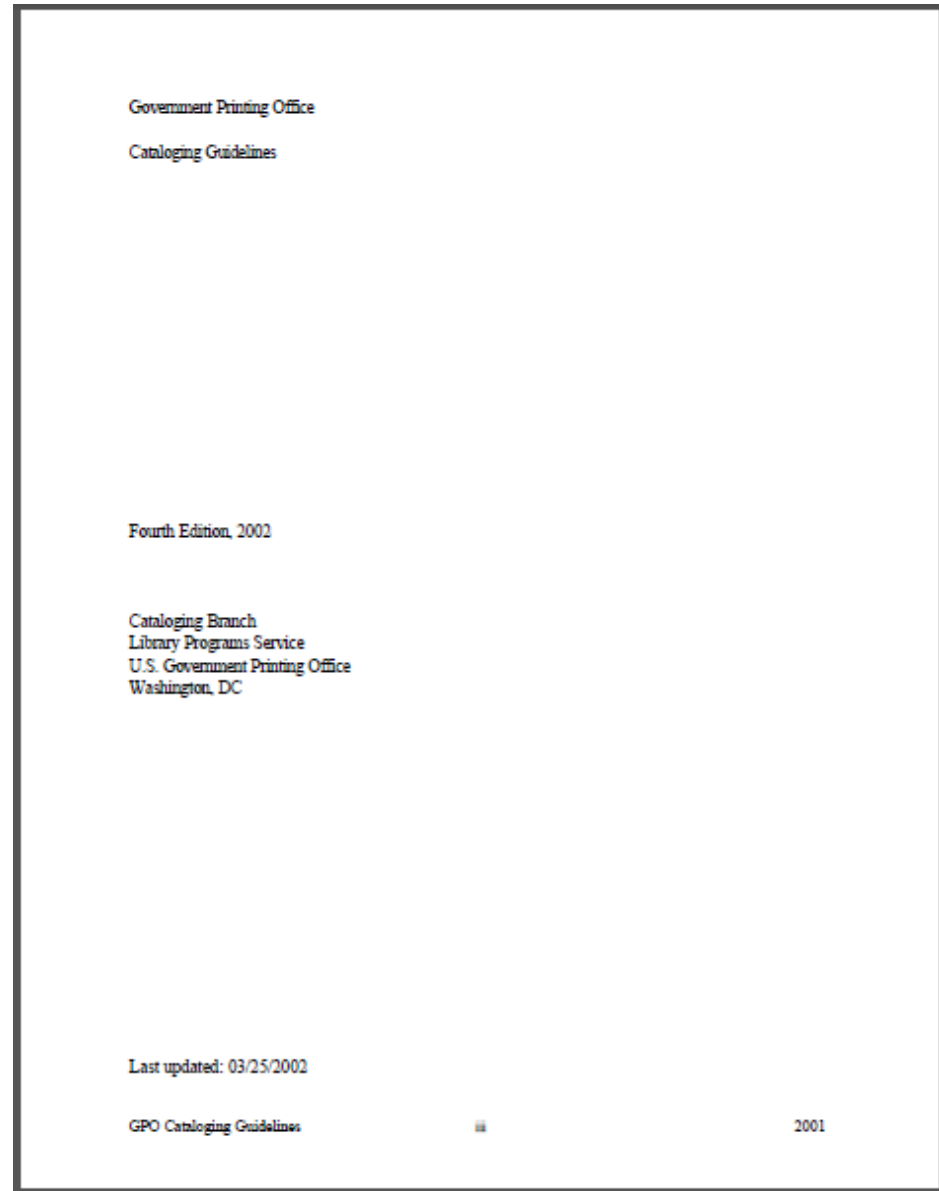


Background

- GPO Cataloging Guidelines, 4th edition, 2001-2002
- “Further revisions to the guidelines should be expected in the future as government publishing and cataloging practices evolve.”
- Needs updating, due to:
 - Change from AACR2 to RDA in April 2013
 - Constant changes in national practice & policy
 - Changes in local practice, such as the separate record approach

2001-2002 GPO Cataloging Guidelines

- 4th edition
- Print, HTML, Word, and PDF formats
- (HTML format no longer available)



2002 Cataloging Guidelines



www.fdlp.gov

COLLECTION TOOLS

REQUIREMENTS & GUIDANCE

ABOUT THE FDLP

CATALOGING & CLASSIFICATION

Superintendent of Documents

Events and Conferences

File Repository



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2002 Cataloging Guidelines

File Repository

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About the FDLP

Edit

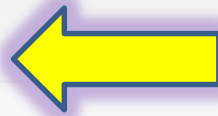
Contains information about the Federal Depository Library Program

Depository Administration

Edit

Documents regarding tools to administer your collection. Information about best practices, legal obligations, tips,

GPO Cataloging



Edit

Contains information about Government Publishing Office Cataloging

Collection Management

2002 Cataloging Guidelines

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 Home / File Repository / GPO Cataloging

 GPO Cataloging

Contains information about Government Publishing Office Cataloging Documents

■ ■ ■ ■ ■ ■

 Cataloging Guidelines **Popular**

• 1288 downloads

Contains the fourth edition of GPO's Cataloging Guidelines as well as updates that were released in April 2007 and March 2008.

Download
(pdf, 736 KB)



2002 Cataloging Guidelines

PDF version:

<http://purl.access.gpo.gov/GPO/LPS20776>

MS Word version:

<http://purl.access.gpo.gov/GPO/LPS10572>



Importance & Uses of the Guidelines -- Consistency

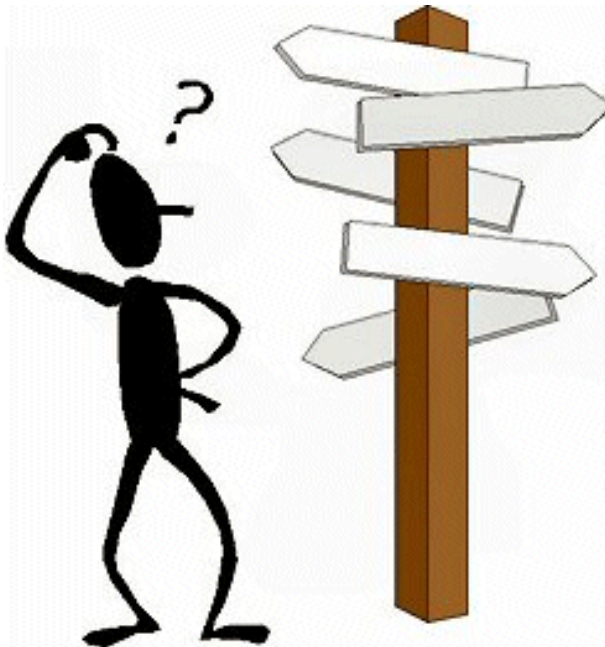
- “GPO cataloging records appear in the catalogs of depository libraries and of other libraries throughout the world.”
- “Developed ... primarily as an internal working document.”
- But also useful to other institutions who catalog government documents
(quotes from the 2002 CGs, Introduction)



Importance & Uses of the Guidelines -- Efficiency

“Despite the many changes that have taken place in cataloging practices during the past decade, GPO’s mission of creating quality cataloging records to serve the general public and depository users in an efficient and timely manner remains the same.” --
2002 CGs, Introduction

Importance & Uses of the Guidelines -- Efficiency



Catalogers without Guidelines ...



Greater Efficiency: Example 1

National Standard

- RDA 2.4.1.5: Statement of Responsibility Naming More Than One Person
- *Example:* L.H. Booth, P. Fisher, V. Heppelthwaite, and C.T. Eason
- **Optional Omission:**
- *Example:* Roger Colbourne [and six others]

GPO Guideline

- *Bibliographic Cataloging: General MARC Field Policies* (forthcoming)
- “With the exception of Congressionals, GPO follows the optional omission from RDA 2.4.1.5: “If a single statement of responsibility names more than 3 persons ... performing the same function ..., omit all but the first.”



Greater Efficiency: Example 2

National Standard

- RDA 9: Identifying Persons
- RDA 9.16: Profession or Occupation
- This element is *optional* unless:
- “ ... profession or occupation is a core element when needed to distinguish a person from another person with the same name.”

GPO Guideline

- *Name Authorities: General Procedures*
- “For the optional fields in a name authority record, include these fields whenever the information is readily available in the resource being cataloged, and can quickly be added. No extra sources need be consulted.”



Greater Efficiency: Example 3

National Standard

- RDA 11.2.2: Identifying Corporate Bodies (CBs)
- RDA 11.2.2: Sources of Information: [Use] the following sources:
- (a) the preferred sources of information in resources associated with the CB
- (b) ... [omitted]
- (c) other sources (including reference sources)

GPO Guideline

- *Name Authorities: General Procedures*
- “... 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”

The Two Extremes

**Perfect records=large
backlogs**



**Poor records=small
backlogs**



The Balance (or middle ground)

“Quality records in an efficient and timely manner”





How does GPO's use of the Guidelines impact FDLs?

1. Example from *Bibliographic Cataloging: Overview*: “OCLC Maintenance”

- GPO continually updates/maintains serial records in OCLC
- GPO updates monograph records in OCLC only to correct GPO's own errors, clarify or improve GPO's data, or add links to other records
- Other institutions may change GPO records in OCLC
- GPO is not responsible for these changes made by other institutions, and will *not* modify such data in OCLC at the request of libraries
- The Catalog of U.S. Government Publications is the authoritative source for all GPO's records and cataloging activity

Plug for the Catalog of U.S. Government Publications (CGP)



www.fdlp.gov
catalog.gpo.gov/F

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How does GPO's use of the Guidelines impact FDLs?

2. Example from *Bibliographic Cataloging*:

Overview: “Separate Record Policy”

- GPO follows the separate record approach
- Switched from single record approach in 2008 at request of FDLs
- Now, GPO creates separate records for each format: print, microfiche, online, DVD/CD-ROM
- Previously, single records described more than one format
- When an older “single record” is found, especially for serials, GPO splits it into 2 or more records, one for each format
- However, GPO will leave online information (MARC fields 856, 074, 530, 538) in the OCLC master record for the tangible format



How does GPO's use of the Guidelines impact FDLs?

3. Examples from *Bibliographic Cataloging: 086 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.
- 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 serial 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.



How does GPO's use of the Guidelines impact FDLs?

4. Examples from *Bibliographic Cataloging: Serials*

- Keep the PURLs of current (live) serials connected to the live agency Web site
- But notify OAM to put the PURL on the scheduler
- 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”



How does GPO's use of the Guidelines impact FDLs?

4. (cont'd) Examples from *Bibliographic Cataloging: 856 Field* (forthcoming)

- **Serials:** In most cases, PURLs point to the “live” Web page
- The ideal link is one where current and previous issues are available at the same location
- Catalogers may also provide additional PURL(s) for archived issues of a title when not available at the same location as the current issue(s)
- Additional PURLs may provide access to previous issues removed by the agency, issues of a ceased title, or issues that are not collocated by the agency in an intuitive way



How does GPO's use of the Guidelines impact FDLs?

5. Examples from *Bibliographic Cataloging: 856 Field* (forthcoming)

- PURLs are used in place of URLs in Catalog of U.S. Government Publications (CGP) records
- The use of PURLs rather than URLs allows GPO to repair broken links, so that others who use GPO records don't need to do so
- GPO has been adding a "historic" URL to the catalog record ("historic" being the URL used to create the PURL)

How does GPO's use of the Guidelines impact FDLs?

310			Semiannual
336			text #b txt #2 rdacontent
337			computer #b c #2 rdamedia
338			online resource #b cr #2 rdacarrier
362	1		Began with vol. 1, issue 1 (winter 2006).
490	1		NIH publication
588			Description based on: Vol. 1, issue 1 (winter 2006); title from PDF caption (viewed Mar. 23, 2011).
588			Latest issue consulted: Vol. 8, issue 1 (spring 2013) (viewed July 20, 2015).
610	2	0	National Cancer Institute (U.S.) #b Office of Cancer Complementary and Alternative Medicine #v Periodicals .
610	2	0	National Cancer Institute (U.S.) #b Office of Cancer Complementary and Alternative Medicine #x Research #v Periodicals .
650		0	Cancer #x Alternative treatment #v Periodicals .
650		0	Cancer #x Alternative treatment #x Research #z United States #v Periodicals .
650		0	Cancer #x Prevention #v Periodicals .
650		0	Alternative medicine #v Periodicals .
650		0	Integrative medicine #v Periodicals .
710	2		National Cancer Institute (U.S.) #b Office of Cancer Complementary and Alternative Medicine .
776	0	8	#i Print version: #t NCI CAM news #w (DLC) 2012230693 #w (OCoLC)799056197
830		0	NIH publication .
856	4	0	#u http://purl.fdlp.gov/GPO/gpo5382
856	4		#u http://www.cancer.gov/cam/news_newsletter.html



How does GPO's use of the Guidelines impact FDLs?

5. (cont'd) Examples from *Bibliographic Cataloging: 856 Field* (forthcoming)

- Catalogers also provide the original URL (known as the "historic URL") used to create the PURL in an additional 856 field
- For older records, the historic URL may be found in a 530 or 538 Mode of Access field note
- LSCM does not maintain/change/update or delete historic URLs in catalog records
- These historic URLs can help recover copies of the document on archival Web sites (such as [Internet Archive](#), NARA, etc.), should the PURL become broken



What's New?

New chapters have been added:

- *Bibliographic Cataloging: Overview*
- *Bibliographic Cataloging: Microfiche*
- *Bibliographic Cataloging: Technical Reports*
- *Bibliographic Cataloging: Cartographic Materials*



What's New?

Many existing chapters have been updated:

- *Bibliographic Cataloging: Serials*
- *Bibliographic Cataloging: 086 SuDoc Number*
- *Name Authorities: RDA, Corporate Names*
- *Name Authorities: RDA, Personal Names*
- *Glossary – GPO usage of certain terms*



New Format

The screenshot shows the top of the Federal Depository Library Program (FDLP) website. It includes the FDLP logo, navigation links for HOME, CONTACT US, and a search bar. Below the header is a horizontal menu with categories: COLLECTION TOOLS, REQUIREMENTS & GUIDANCE, ABOUT THE FDLP, and CATALOGING & CLASSIFICATION.

Home / Cataloging & Classification / Cataloging-Guidelines

Introduction

Details
 Last Updated: September 19 2016
 Published: April 25 2016

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.

The sidebar menu for 'GPO Cataloging Guidelines' includes a search bar and a list of topics: Introduction, Bibliographic Cataloging, Name Authorities, Subject Cataloging, Other Metadata Schemes, Glossary, and Initialisms and Acronyms. A question mark icon indicates a help or FAQ section.

GPO Cataloging Guidelines

- Search
- Introduction
- ▼ Bibliographic Cataloging
 - ▶ 074 GPO Item Number
 - ▼ 086 SuDoc Number
 - Sources to Consult
 - Background and General Instructions
 - Multiparts
 - Serials and Integrating Resources
 - ▶ Congressional Material
 - ▶ Technical Reports
 - ▶ Public and Private Laws
 - ▶ Treaties
 - ▶ Audiovisual Resources
 - ▶ Serials
 - ▶ Computer Files
 - ▶ Integrating Resources
 - ▶ Name Authorities
 - ▶ Subject Cataloging
 - ▶ Other Metadata Schemes
 - Glossary

New Format Back to Menu button

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

- ▶ Subject Cataloging
- ▶ Other Metadata Schemes
- Glossary
- Initialisms and Acronyms

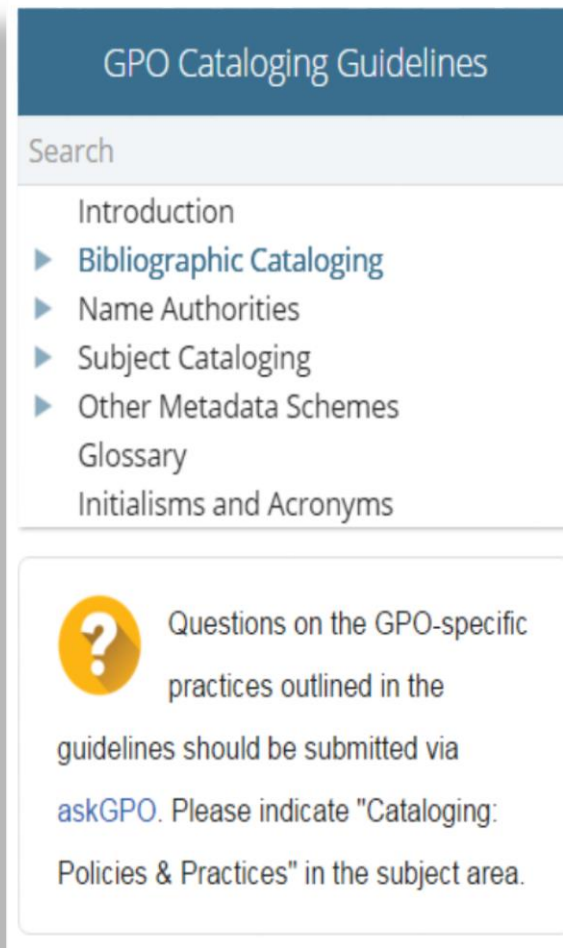


Questions on the GPO-specific practices outlined in the guidelines should be submitted via [askGPO](#). Please indicate "Cataloging: Policies & Practices" in the subject area.

[Back to Menu](#)



New Format



- Sidebar will include link to comprehensive PDF version
- Navigation menu includes dedicated “Search” of all chapter section titles
- Icons along left of the menu open and close chapters to reveal sections within

New Format



- Animated icons spin downward when a section is opened, and spin to the right to indicate it's closed
- Here you see the first major section, *Bibliographic Cataloging*, opened, with its 13 chapters

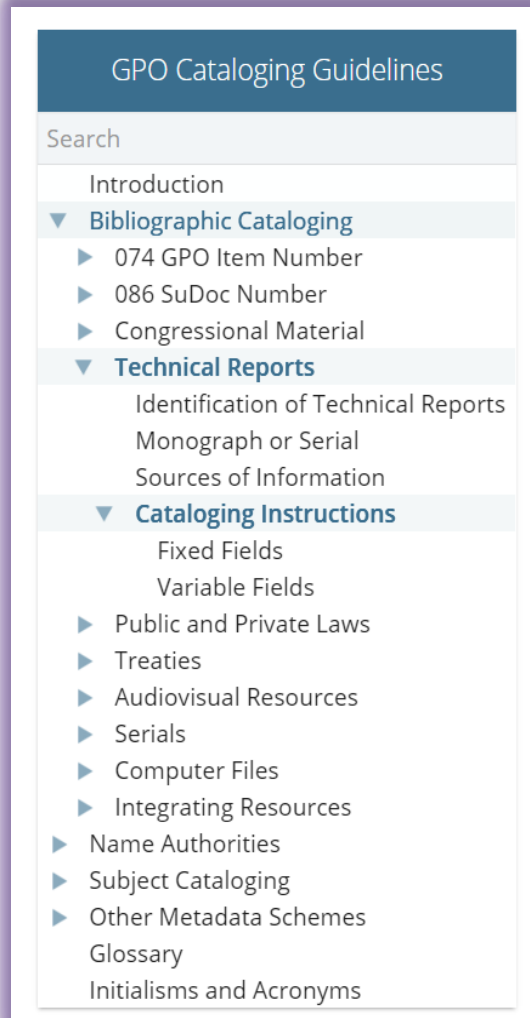


New Format

GPO Cataloging Guidelines	
Search	
Introduction	
▼	Bibliographic Cataloging
▶	074 GPO Item Number
▼	086 SuDoc Number
	Sources to Consult
	Background and General Instructions
	Multiparts
	Serials and Integrating Resources
▶	Congressional Material
▶	Technical Reports
▶	Public and Private Laws
▶	Treaties
▶	Audiovisual Resources
▶	Serials
▶	Computer Files
▶	Integrating Resources
▶	Name Authorities
▶	Subject Cataloging
▶	Other Metadata Schemes
Glossary	

- Icons along left of the menu open and close chapters to reveal sections within
- “Open” sections of the menu are highlighted
- Here you see the sections of the chapter, *Bibliographic Cataloging: 086 SuDoc Number*

New Format



GPO Cataloging Guidelines

Search

- Introduction
- ▼ Bibliographic Cataloging
 - ▶ 074 GPO Item Number
 - ▶ 086 SuDoc Number
 - ▶ Congressional Material
- ▼ Technical Reports
 - Identification of Technical Reports
 - Monograph or Serial
 - Sources of Information
- ▼ Cataloging Instructions
 - Fixed Fields
 - Variable Fields
 - ▶ Public and Private Laws
 - ▶ Treaties
 - ▶ Audiovisual Resources
 - ▶ Serials
 - ▶ Computer Files
 - ▶ Integrating Resources
 - ▶ Name Authorities
 - ▶ Subject Cataloging
 - ▶ Other Metadata Schemes
 - Glossary
 - Initialisms and Acronyms

- Here you see the chapter on *Bibliographic Cataloging: Technical Reports*, showing the subsections of the section, *Cataloging Instructions*
- Clicking on the words will take you to the content, either chapter heads or subheads within chapters

New Format

Bibliographic Cataloging: 074 GPO Item Number



Details

Last Updated: September 19 2016

Published: April 25 2016

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

Restyled chapters include boxes to highlight examples within the text



Next Steps -- Systems

- Search function that would search the full text of all chapters of the CGs (and nothing more) together in a single search
- Improvements to navigation
 - Direct access to chapter sections (currently a two-step process)
 - Fix unintentional page re-positioning when mouse hovers over top horizontal drop down menu for the larger FDLP.gov site



Next Steps -- Enhancements

- Hyperlinks – add new ones, refine existing ones
 - Add links to other chapters
 - Link terms to *Glossary*
 - Refine links so they connect to specific locations within chapters, not just to the overall chapter
- Terminology – review/revise for consistent use of terms
- Style – conform to [GPO Style Manual](#)



Next Steps – New Content

- *Bibliographic Cataloging: General MARC Field Policies*
- *Bibliographic Cataloging: Monographs MARC Fields*
- *Bibliographic Cataloging: 856 Field*
- *Bibliographic Cataloging: Monographs Overview*
- *Bibliographic Cataloging: General Policies*



Next Steps – Content Revisions

- *Bibliographic Cataloging: Integrating Resources*
- *Name Authorities: RDA, Places*
- *Name Authorities: RDA, Works & Expressions*
will be split into three revised & enhanced chapters:
 - *Series*
 - *Treaties*
 - *Works & Expressions* (general + other types)



Thank you 😊

Questions?

askGPO

www.gpo.gov/AskGPO

Category: Federal Depository Libraries

Subcategory: Cataloging

----Policies & Practices

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