

Abridged Cataloging Modifications

BACKGROUND

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

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

APPLICATION

GPO abridged cataloging rules are used to catalog integrating resources, certain categories of monographs, and to enhance existing minimum-level integrating resource and monograph records already on the OCLC database. They are not used to catalog serials. The AACR2 Glossary defines integrating resources as a bibliographic resource that is added to or changed by means of updates that do not remain discrete and are integrated into the whole. Integrating resources can be finite or continuing. Examples of integrating resources include updating loose-leafs and Web sites. The AACR2 Glossary defines a monograph as: A non-serial item (i.e., an item either complete in one part or complete, or intended to be complete in a finite number of parts). The following categories of publications are cataloged by GPO following its abridged rules.

1. Technical reports
Technical reports usually contain a technical report or documentation page. For further information on identifying technical reports, see GPO-CG: Technical Reports.
2. Department of Defense technical manuals and bulletins
3. Electronic publications with physical carriers (CDs and DVDs)
4. EPA summaries
5. ERIC documents
6. Fatalgrams

7. Flood insurance studies
8. Integrating resources (Looseleaf and Electronic)
9. Juvenile activity and coloring books
10. NASA documents, including NASA patents
11. Electronic publications, using online files
12. Open file reports, U.S. Geological Survey
13. Documents consisting of a single sheet measuring 8.5 x 11 or 8.5 x 14 and smaller (May be printed on one side or both sides, but is cataloged full-level if folded to create imposed pages)
14. Documents selected by fewer than one hundred libraries
15. Documents that are NOT distributed to depositories
16. Guides, travel brochures, and similar documents for U.S., state, and local government aquariums, arboretums, forests, historical sites, libraries, museums, parks, preserves, recreational areas, seashores, etc. (Both Electronic and Tangible versions only)
17. Posters
18. Subject bibliographies

Exceptions: The following kinds of document are cataloged full-level if monographs or access-level if serials.

1. Congressional documents
2. General Accounting Office documents
3. GPO sales documents
4. Maps
5. Microfiche documents for which full-level microfiche reproduction records already exist or may be easily cloned from existing full-level records for the paper version. (Catalogers need to use judgment in applying this instruction. See instructions for new records below.)
6. Documents for which a full-level, access-level, or core-level record already exists
7. Documents made up of more than one item without part numbers that are contained in cases, envelopes, folders, portfolios
8. Documents with existing records coded K-level or minimum-level that meet or almost meet the full-level standard (These records are re-coded either ELvl: blank, if BIBCO standards are met, or ELvl: I, if regular OCLC standards are met.)
9. Serials
10. Single sheet documents with complex layouts or folded with imposed pages
11. Treaties

NEW RECORDS:

New Original Records

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

New Records Created by Cloning Existing Records

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

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

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

EXISTING RECORDS

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

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

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

GPO ABRIDGED STANDARDS

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

Sources of Information

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

Fixed Field Requirements

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

Variable Fields:

Tag	Field Name	Status	GPO Practice
006	Additional material characters	R	Add to original records for electronic resources; retain in all existing and cloned records, if used as required.
007	Physical description fixed field	R	OCLC does not provide for the inclusion of 007 fields in abridged-level records for paper versions of documents that are text "Type: a". GPO does not include 007 fields in abridged-level records for electronic resources coded "Type: a" or "m." However, GPO does include 007 fields in abridged-level records coded "Type: g," "Type: i" and "Type: j." GPO also include 007 fields in abridged records coded "Type: a" for original microform (COM) and reproduction microfiche regardless of the original format. GPO retains 007 fields in all existing records, including adapted or cloned records, if used as required per MARC21.
010	LC control no.	R	Include when available.
020	ISBN	R	Use subfields "a," "c," & "z" as needed.
027	Standard technical report no. (STRN)	O	Include when included on the technical report page even if found elsewhere in a document.
034	Coded mathematical data	O	Omit from original records
037	Stock number	O	Use subfields "a," "b," "c," & "f," if needed. ERIC and NASA identification numbers are recorded in subfield "a" of this field.
043	Geographic area code	O	Omit from original records; retain in existing & cloned records

052	Geographic classification code	O	Omit from original records; retain in existing & cloned records.
074	GPO item number	O	GPO considers mandatory for documents with item numbers assigned to them.
086	SuDocs class		GPO considers mandatory for documents with SuDocs classes assigned to them. Incorrectly assigned SuDocs class numbers, including those appearing on microfiche headers, are recorded in subfield "z."
088	Report number	O	Omit from original records; retain in existing & cloned records if used in accordance with GPO-CGs for full-level; record STRNs in 027 field even if also found outside technical report page.
100 110 111	Main entry	R	Use as required by AACR2; confirm all headings in the NACO authority file. Personal names that are NOT already established are recorded in AACR2 format without a name authority record being established. Corporate body and conference headings that are not already in the authority file must be established. Only persons responsible for authoring a document may be included in the 100 field of AACR2 records. The names of persons identified as principle investigators may be recorded in the 100 field of AACR2 records if it is clear they are the authors of a document. Program directors are not been recorded in the 100 field unless there is definite proof that they are the primary authors of a document.
130	Uniform title main entry	O	Omit from original records. Retain if appropriately used in adapted records.
240	Uniform title	O	Omit from original records. Retain if appropriately used in adapted records.
245	Title statement and responsibility area	M	Use subfields "a," "b," "c," "h," "n," & "p" as needed. GPO records the phrases such as final report, preliminary report, and similar phrases as other title information unless they are grammatically linked with the rest of the title, e.g., Final report of the.... Prepared for statements are not added recorded in new and existing records, but are retained in existing records.
246	Varying form of title	R	Use to record corrected titles, cover titles, added title page titles, and other titles given such prominence by typography or by other means that it is reasonable to assume that the publication is known by it or that some persons might think that it is the main title. GPO does NOT add title added entries for to its original abridged records permutations related to titles proper as provided for in LCRI 21.30J, page 5-12.

250	Edition statement	R	Use only subfield “a” in original records. Supply edition statement for ERIC and NASA to distinguish their versions of documents from other versions, e.g., 250 [ERIC ed.] or 250 [NASA ed.].
255	Mathematical data area	R	For atlases only.
260	Publication, distribution, etc., area	M	Use subfields “a,” “b,” “c” & “g” in original records. 1. Supply the place of publication without a question mark, e.g., [Washington, DC] if not included in the document. 2. Record only the first publisher if it is a Federal agency.
			3. Record the first non-Federal publisher followed by the first Federal publisher if the non-Federal publisher appears first. 4. Record the ERIC clearinghouse involved as the 1 st or 2 nd publisher. 5. Limit the number of publishers recorded in new records to two.
			Retain all 260 subfields in existing records if properly included. 1. If the number of publishers are properly recorded in an existing record is 3 or less, retain all. 2. If more than 3 publishers are recorded in an existing record, retain only the first unless the first is not a Federal body and one or more of the other bodies are Federal bodies.
			3. If the Federal body issuing a Federal document is not named in it, supply the Federal publisher, based on the SuDocs class as follows: a) in brackets in the 260 subfield “b” if one or two publishers are already properly included; b) in a 500 note if three non-Federal bodies are properly recorded in the 260 field; or c) in the 533 subfield “c” of a reproduction microfiche.
300	Physical description	M	Use only subfields “a” & “e” in original records; record pagination in new records as 1 v. or 1 sheet, 1 folded sheet or 1 pamphlet where appropriate. Retain explicit pagination in subfield “a” and subfields “b,” “c,” and “e” in existing & cloned records. Use 1 v. : #b digital, PDF file if an electronic document is a PDF document or 300 \$a 1 electronic text : \$b HTML file a document is an HTML document.

440	Series statement, title (traced)	O	Use only to record established series that are traced the same.
490	Series statement, not traced or traced differently	R	Record established series traced differently and use 490 1 & 830. Series authority work is not required for K-level records. If series is not established, record in 490 0, untraced. Also record variant forms of a series that are not included in its authority record in 490 0, untraced. Series that have changed their titles and have not been reestablished and series with uniform titles that are no longer appropriate per LCRI 25.5B are not considered established. See also GPO-CG, Authority Records, 5A.
5XX	Notes	O	Nearly all notes are optional for level K. Omit most notes in original records, including description based on notes in records for multipart, except for: <ol style="list-style-type: none"> 1. Notes relative to depository distribution status, such as shipping list numbers and distribution notes. 2. Notes indicating the edition that is being “superseded” or “reprinted.” Usually included in records for Dept. of Defense technical manuals. 3. Notes containing information needed for identification (e.g., “Community numbers” on flood insurance studies, “supersedes” and “reprint notes” on Dept. of Defense technical manuals). 4. Retain notes on existing records if used correctly; add notes relative to depository distribution and those needed for identification if lacking. Retain in existing & cloned records.
			<ol style="list-style-type: none"> 5. Notes regarding online access and, if needed, system requirements. 6. Notes containing the title and issue designation of individual serial issues and articles that have been reissued as separate documents, e.g., “Journal of Education, Vol. 25, No. 4.”
505	Contents note	O	GPO includes in collective records for multipart if required.
506	Restrictions on access	O	GPO includes in all records if required.
513	Type of report and period covered	O	Omit on new records; retain in existing records if correctly used.
530	Other formats available	R	Use to record information regarding versions available, including online versions per instructions in GPO-CG: Linking Fields.
533	Photo-reproduction note	R	Use for items not originally published as microforms, i.e., microfiche reproductions. Includes publishing and distribution information on microfiche (533 subfields

533	Photo-reproduction note (cont.)	R	“b,” “c,” & “d”), physical description (533 subfield “e”), series statement for MF reproduction (533 subfield “f”), MF reproduction notes (533 subfield “n”), & serial designation (533 subfield “m”). Include the number of microfiche preceding the word “microfiche” in the 533 subfield “e” if known. Do not include the word “negative” following the word “microfiche” in new records, but retain it in existing records if appropriately used.
536	Funding information note	O	Omit on new records; retain in existing records if used correctly.
538	System details Mode of access	R	Use only in electronic resource records to record system requirements for electronic documents and access information for online files.
539	Fixed-length data elements of reproductions	O	Omit from original & cloned records; retain in existing records if correctly used.
590	Local note	O	Required for GPO internal use.
650	Subject added entries	O	Original records: Add at least one Library of Congress Subject Heading added entry except to records for NASA documents. New LCSH authorities are NOT established for K-level records. Existing records & cloned records, including NASA records: Retain and correct, if necessary, all LCSH added entries if established & appropriate. Add NASA thesaurus terms from NASA CASI records to new and existing NASA records instead of LCSH added entries.
700 710 711	Added entries	O	All headings should be confirmed in the authority file. 1. Personal names may be used in AACR2 format without NACO work. 2. Corporate or conference headings not in file must be established to be included. 3. Non-Federal bodies appearing the publication, distribution, etc., area are NOT traced in new records.
			4. Non-Federal bodies are NOT traced in “cloned” and existing records if not previously established. 5. Always make an added entry for the issuing Federal agency unless used as the main entry. 6. Include an added entry for the National Aeronautics and Space Administration in records for its publications if none of its lower bodies is traced.

		O	7. Include an added entry for the Educational Resources and Information Center in records for its publications if none of its clearinghouses or other subordinate bodies are traced. 8. Corporate bodies appearing in “prepared for” statements are NOT traced in new records and are not retained in “cloned” and existing records if not previously established.
730	Added entry, uniform title	R	Omit from original records; retain in existing & cloned records if used correctly.
740	Added entry, uncontrolled materials, analytical title	R	Use as required by MARC21 instructions & instructions for “single record” online files.
810	Series added entry-corp. name	R	Use to record form of an established series entered under corporate body.
830	Series added entry-uniform title	R	Use to record form of an established series entered under uniform title.
856	Electronic location and access	R	Use subfield “u” to record GPO PURL; use subfield “3” to record material specific information and subfield “z” to record other information.

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

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

COMMENTS

Please forward your comments to Ms. Jennifer Davis, Manager, Bibliographic Control at jkdavis@gpo.gov. Deadline for comments is January 26th, 2007.