

CCM Module 4

Persons, Families, and Corporate Bodies Associated with a Work

(Fields 100-111 and 700-711)

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Module 4. Persons, families, and corporate bodies associated with a work (Fields 100-111 and 700-711)

The authorized access point representing a work is based on the preferred title of the work, preceded by the authorized access point for the person, family, or corporate body responsible for the work, if applicable (*RDA* 5.5). This module concentrates on the decision of whether or not a serial is considered to have a creator. Corporate bodies are the most common creators of serials, and are thus given the most attention in the module, but persons and families as creators are also covered. Constructing preferred titles for translations and other language editions, and conflicting titles are covered in *CCM* Module 5; preferred titles for legal serials are covered in *CCM* Module 34.

This module discusses only “choice” of creator—i.e., whether or not a serial is considered to have a creator. The “form” of an authorized access point for a person, family, or corporate body is established according to the instructions in *RDA* Chapter 8-*RDA* Chapter 11 and is covered in *CCM* Module 18.

When not considered to be a creator, a person, family, or corporate body may be given as an additional authorized access point. This module discusses when to create an additional authorized access point for a person, family, or corporate body. Additional access points for titles and series are covered in *CCM* Module 6, *CCM* Module 7, and *CCM* Module 12. For changes in the authorized access point representing the work, see *CCM* Module 16.

Relationship designators are required to be included for all creators. It is optional, but strongly encouraged, to include relationship designators for other persons, families, or corporate bodies associated with a resource (see *PCC Guidelines for the Application of Relationship Designators in Bibliographic Records*).

Outline

This module will discuss:

- When to choose a corporate body as a creator: criteria and types of serials
- Which body is considered to be the creator when there is more than one or when there is a parent and subordinate body
- When to choose a person as a creator
- When to determine that a serial has no creator
- When to make additional authorized access points for persons, families, or corporate bodies
- The historical concept of main entry and how it functions in an online environment

References

RDA/LC-PCC PSs

This module is based chiefly on instructions in *RDA* Chapter 19. Persons, Families, and Corporate Bodies Associated with a Work. The most important instructions covered by this module are:

Authorized Access Points Representing Works and Expressions: *RDA* 5.5

Collaborative Works: *RDA* 6.27.1.3

Identifying Corporate Bodies. Purpose and Scope: *RDA* 11.0

Notes on Persons, Families, and Corporate Bodies Associated with a Resource: *RDA* 18.6

Sources for determining access points: *RDA* 19.1.1

Corporate Bodies Considered to Be Creators: *RDA* 19.2.1.1.1 and *LC-PCC PS* 19.2.1.1.1

Persons or Families Considered to Be Creators of Serials: *RDA* 19.2.1.1.3

Contributor: *RDA* 20.2

CEG

Headings—General information, Fields 100, 110, 111, 245, 264, 550, 700, 710, 711

CCM

Module 5. Authorized access points for serial works and expressions

Module 16. Changes that may require a new record

Module 18. Authorized access points for persons, families, places, and corporate bodies

Module 34. Legal Serials

Definitions of terms used in this module

Access point: A name, term, code, etc., representing a specific entity. (*RDA*)

Author: A person, family, or corporate body responsible for creating a work that is primarily textual in content, regardless of media type (e.g., printed text, spoken word, electronic text, tactile text) or genre (e.g., poems, novels, screenplays, blogs). Use also for persons, etc., creating a new work by paraphrasing, rewriting, or adapting works by another creator if the modification has substantially changed the nature and content of the original or changed the medium of expression. (*RDA*)

Authorized access point: The standardized access point representing an entity. (*RDA*)

Commercial publisher: A for-profit corporate body whose primary function is that of publishing. (*CCM*)

Compiler: A person, family, or corporate body responsible for creating a new work (e.g., a bibliography, a directory) by selecting, arranging, aggregating, and editing data, information, etc. (*RDA*)

Corporate body: An organization or group of persons and/or organizations that is identified by a particular name and that acts, or may act, as a unit. (*RDA*)

Creator: A person, family, or corporate body responsible for the creation of a work. (*RDA*)

Editor: A person, family, or corporate body contributing to an expression of a work by revising or clarifying the content, e.g., adding an introduction, notes, or other critical matter. An editor may also prepare an expression of a work for production, publication, or distribution. (*RDA*)

Editor of compilation: A person, family, or corporate body contributing to an expression of a collective or aggregate work by selecting and putting together works, or parts of works, by one or more creators. The editor of compilation may also be involved in clarifying the content, e.g., adding an introduction, notes, or other critical matter, of the compilation. (*RDA*)

Family: Two or more persons related by birth, marriage, adoption, civil union, or similar legal status, or who otherwise present themselves as a family. (*RDA*)

Issuing body: A person, family or corporate body issuing the work, such as an official organ of the body. (*RDA*)

Preferred title for the work: The 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*)

Work: A distinct intellectual or artistic creation (i.e., the intellectual or artistic content). (*RDA*)

Definitions of terms used in *historical practice*

Added entry: An entry, additional to the main entry, by which an item is represented in a catalogue; a secondary entry. (*AACR2*)

Emanation: A resource “emanates” from a corporate body if 1) it is issued by the corporate body, 2) it is caused to be issued by the corporate body, or 3) the contents originate with the corporate body. (*AACR2* 21.1B2)

Entry: A record of an item in a catalogue. (*AACR2*)

Heading: A name, word, or phrase placed at the head of a catalogue entry to provide an access point. (*AACR2*)

Main entry: The complete catalogue record of an item, presented in the form by which the entity is to be uniformly identified and cited. The main entry may include the tracing(s). (*AACR2*)

Tracing: 1. A record of the headings under which an item is represented in the catalogue. 2. A record of the references that have been made to a name or to the title of an item that is represented in the catalogue. (*AACR2*)

Uniform title: 1. The particular title by which a work is to be identified for cataloguing purposes. 2. The particular title used to distinguish the heading for a work from the heading for a different work. 3. A conventional collective title used to collocate publications of an author, composer, or corporate body containing several works or extracts, etc., from several works (e.g., complete works, several works in a particular literary or musical form). (*AACR2*)

4.1. Introduction

4.1.1. Authorized access points associate with a work

In *RDA*, a work is identified by an authorized access point consisting of the preferred title of the work, preceded by the authorized access point for the person, family, or corporate body responsible for the work, if applicable (*RDA* 5.5). Even if no person, family, or corporate body is responsible for the work, these entities may be included in the bibliographic record as additional authorized access points.

4.1.2. Corporate body as creator

The basic consideration for the serial cataloger is when a corporate body should be included in the authorized access point for a work. The basic principle of a corporate body creator is that there are some works that are so closely linked to a corporate body, such as membership directories and annual reports that users looking for the resource would be more likely to search for them under the body. In these cases the contents of the resource are generally about the body, or express the opinions of the body. Often in these situations the title is not very distinctive. For instance, an annual report may be called “Annual report,” “Report of activities for the year ending ...,” or “Annual report of the [body] for fiscal year ...,” and it is unlikely that the patron will know the title.

A major change to a corporate body that created a serial requires the creation of a new record because the authorized access point representing the work would change. For changes that may require a new record see *CCM* Module 16.

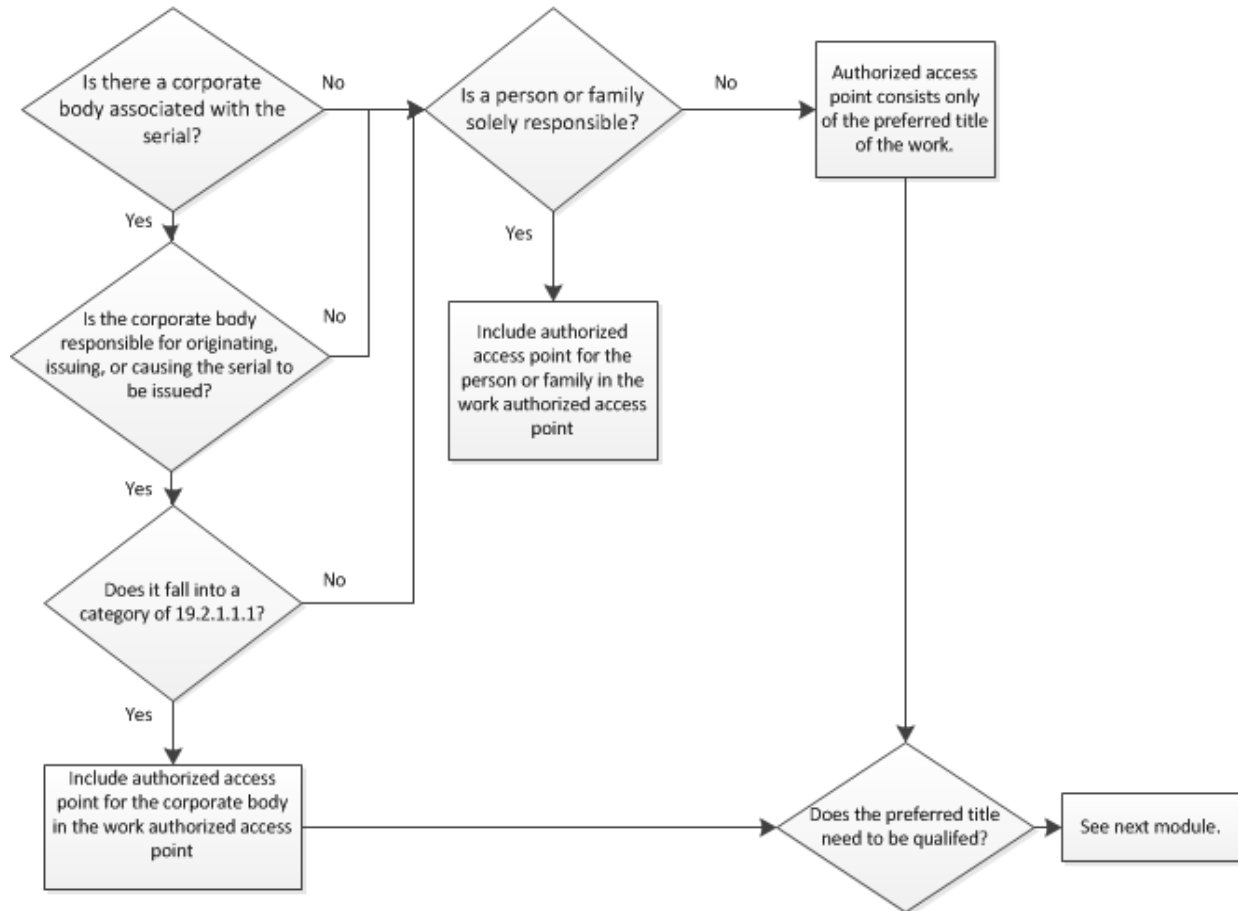
4.1.3. The decision process

A corporate body is considered to be the creator of a serial only when the body is responsible for originating, issuing, or causing the serial to be issued, and the serial fits one of the categories under *RDA* 19.2.1.1.1. The decision has nothing to do with the distinctiveness of words in the title. The decision for the serial cataloger will almost always be: is there a corporate body responsible for creating the serial or not?

While it is possible for a person or family to be a creator of a serial, they are generally not considered to be creators (see *CCM* 4.6). *RDA* 19.2.1.1.3 lists several indications that a serial may be created by a person or family.

Sometimes determining the nature of the serial will be very easy; other times it is more difficult. Many serials contain information about a body and information about other matters external to the body. To keep from spending needless time debating the issue, if there is any doubt that the nature of the content of the serial falls into any of the categories of *RDA* 19.2.1.1.1, do not consider the corporate body to be the creator (*LC-PCC PS* 19.2.1.1.1).

Consider applying the following process as shown below when determining whether or not a person, family, or corporate body is responsible for creating a serial.



4.2. Is there a corporate body associated with the serial?

4.2.1. Definition and sources

RDA 11.0 states:

A body is considered to be a corporate body only if it is identified by a particular name and if it acts, or may act, as a unit. A particular name consists of words that are a specific appellation rather than a general description.

Typical examples of corporate bodies are associations, institutions, business firms, nonprofit enterprises, governments, government agencies, projects and programs, religious bodies, local church groups identified by the name of the church, and conferences.

Ad hoc events (e.g., athletic contests, exhibitions, expeditions, fairs, and festivals) and vessels (e.g., ships and spacecraft) are considered to be corporate bodies.

While very few serials are issued by a ship, many bear the name of an exhibition, project or program (see *CCM* 4.2.3).

Note that a corporate body must have a “particular name” consisting of a “specific appellation rather than a general description.” The question of the presence or absence of a particular name for a body is most often considered with conference publications.

Particular name with specific appellation:

The First Conference of Teachers in Workers' Education

General description:

A conference on teachers in workers' education



Figure 4.3

In most cases, when a corporate body is considered to be the creator of a serial work, it should be named in statements on preferred sources of information in resources embodying the work, with the preferred sources selected according to RDA 2.2.2.

If a corporate body is named in the title or implied by words in the title, then consider the body to appear on the preferred source of information. It does not need to appear separately from the title.

In Figure 4.3, the corporate body, State Library of Iowa appears on the preferred source (in this case, a caption), both below and to the left of the title.

The name of a corporate body may be taken from other statements appearing prominently in the resource, the text of the serial or from sources outside of the serial when the information given on the preferred source is ambiguous or insufficient (*RDA* 19.1.1).

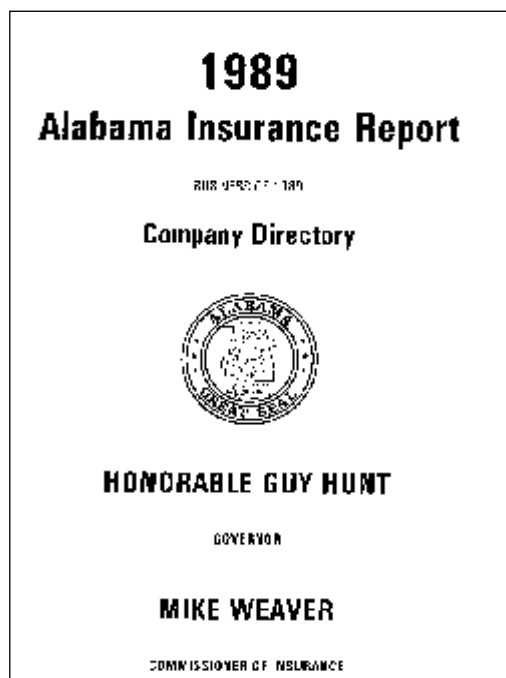


Figure 4.4a Preferred source

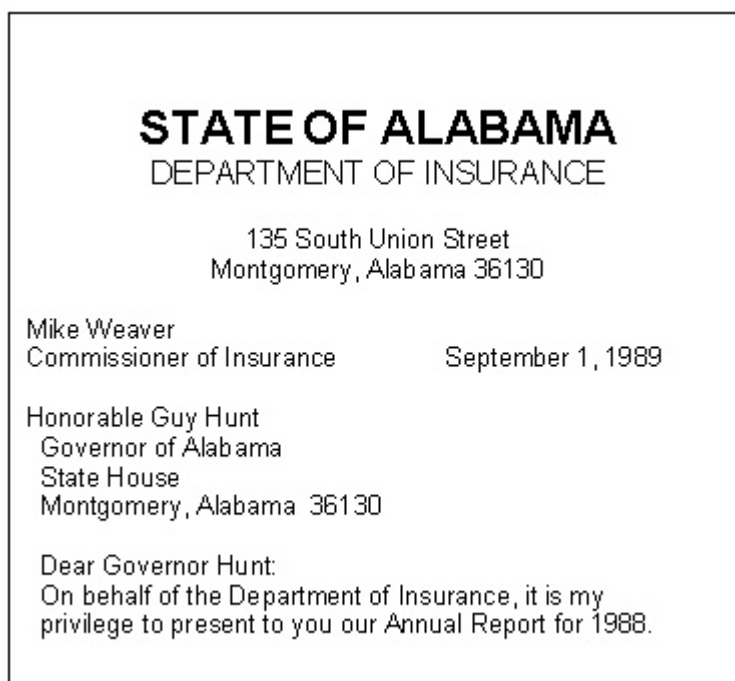


Figure 4.4b Letter of transmittal (Other source)

The preferred source in this example (Figure 4.4a) gives only the names of officials and their titles, which are not corporate bodies with particular names. The letter of transmittal (Figure 4.4b), however, gives the “Department of Insurance” both at the head of the letter and in the text of the letter. The Department is treated as the creator and included in the authorized access point representing the work. (Please note that the relationship designator used for the creator in this case is “author.”)

```
110 1# $a Alabama. $b Department of Insurance, $e author.
245 10 $a Alabama insurance report.
```

Note: A corporate body considered to be the creator of a serial work does not have to be “justified” in the description. In other words, while the body will in some cases appear somewhere else in the description, it does not have to in order to be attributed as the creator of the work.

4.2.2. Commercial publishers

A commercial publisher is a for-profit corporate body whose primary function is that of publishing. Names of commercial publishers may contain words such as “Publishers,” or a term of incorporation, such as “Inc.,” as part of the name.

When the sole function of a commercial publisher is that of publishing a serial, do not construct the authorized access point for the work by preceding the preferred title with the authorized access point for the publisher. Also, do not create an additional authorized access point for the publisher. Many serials, particularly periodicals, are published by commercial publishers. In some cases, the serial is published by the commercial publisher for an association or society; in other cases, there is no other body but the publisher associated with the piece. In cases where the publisher acts also as an editor of a compilation, an additional access point may be given (see CCM 4.8.3).

In Figure 4.5, the publisher is Haworth Press, which is a commercial publisher. The authorized access point for this serial work consists of only the preferred title; no additional access point is given for the publisher.

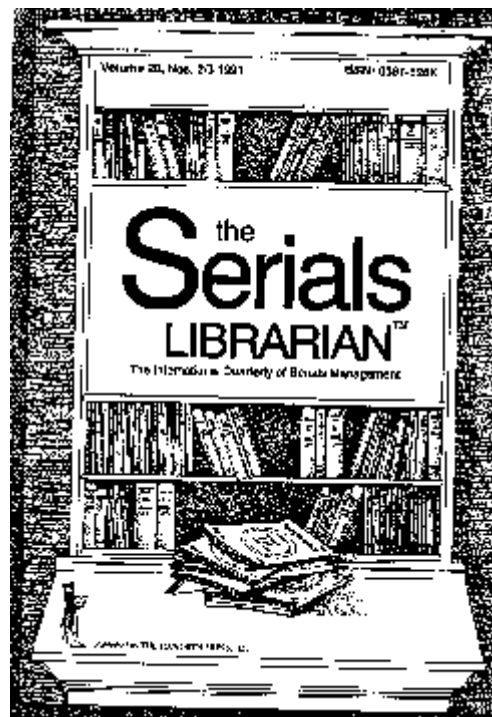


Figure 4.5

4.2.3. Programs and projects

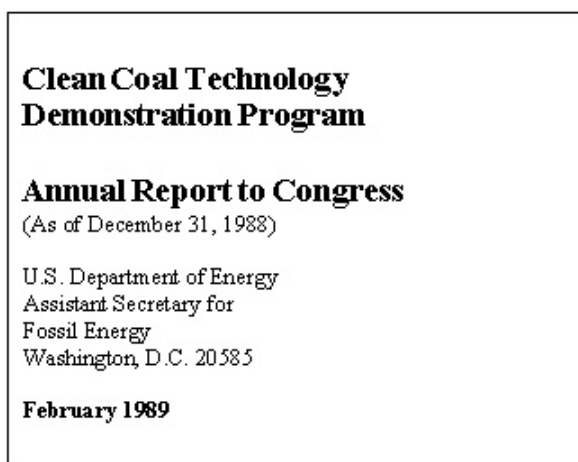


Figure 4.6 Title page

Treat all programs and projects as corporate bodies. When an annual report for a program deals with the program, the program is considered the creator. (Figure 4.6) This has been CONSER practice since the late 1980s. Prior to that, a program or project was considered to be a corporate body only if it functioned as an entity, with its own staff, and presented itself as the author of the publication.

```
110 2# $a U.S. Clean Coal Technology Demonstration Program, $e
author.
245 10 $a Annual report to Congress as of ... / $c Clean Coal
Technology Demonstration Program.
```

4.3. Is a corporate body responsible for originating, issuing, or causing the serial to be issued?

A corporate body may be considered the creator of a serial based on two determinations, the first of which is whether the corporate body is responsible for originating, issuing or causing the serial to be issued. In *AACR2* these considerations were encompassed in the concept of “emanation,” a term that catalogers may still encounter. These considerations can be reduced to the question: is the corporate body responsible for the existence of the serial? In most cases, if you have a prominently stated corporate body on a piece, the answer is “Yes.” These considerations are given in more detail in *LC-PCC PS 19.2.1.1.1*. Note that according to this same Policy Statement, in cases of doubt, consider the corporate body to be responsible for the serial and move on to the second determination to determine creatorship (see *CCM 4.4*).

The responsibility for a publication does **not** lie with a body when the body is just the subject of the publication. For example, a report issued by Corporate Body A that is about Corporate Body B would usually have an authorized access point based only on the preferred title, with no creator in the authorized access point for the work. Corporate Body A could not be considered the creator because it is not about that body, nor could Corporate Body B be considered the creator because it is not responsible for the existence of the serial. Common examples are reports by auditing bodies such as the U.S. General Accounting Office, which reports on the activities and management of other agencies. LC, however, considers strictly financial audit reports to be caused into issuance by the audited body, and so treats the audited body as the creator.

A corporate body is responsible for both of these serials. The body is given on the preferred source for each, in similar positions. The authorized access points representing these works will be formulated differently, however, because of the subject matter (see *CCM 4.4*).

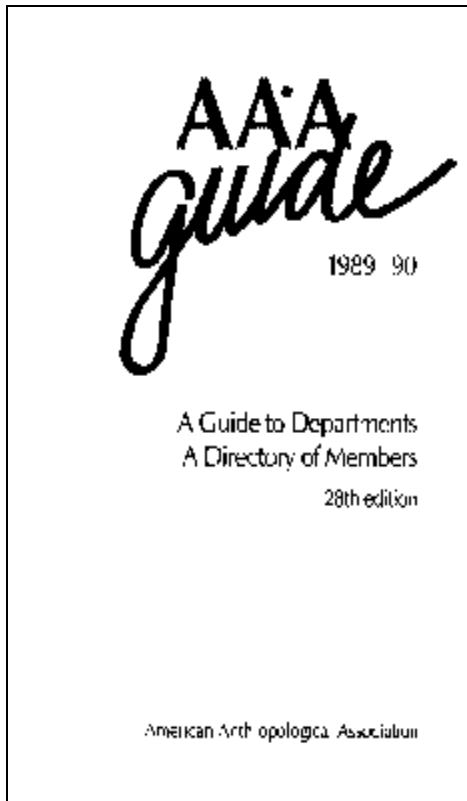


Figure 4.7

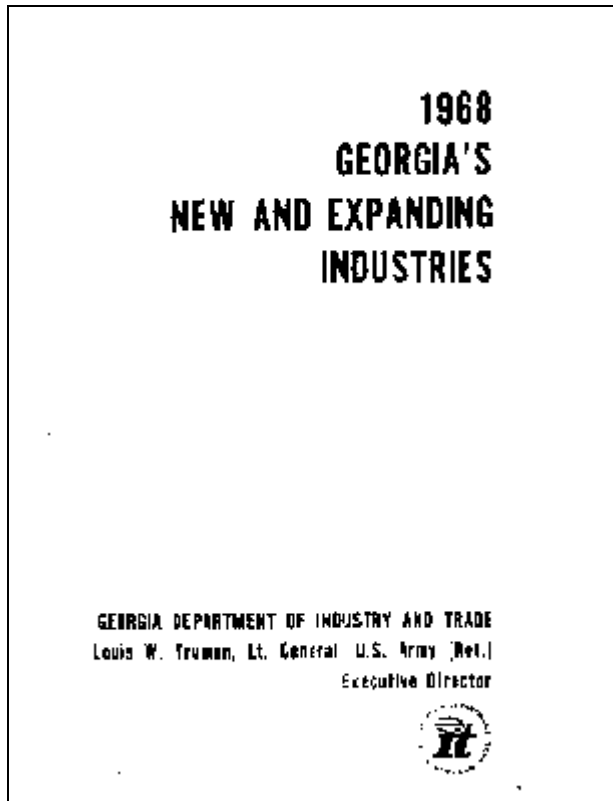


Figure 4.8

- 110 2# \$a American Anthropological Association, \$e author.
- 245 10 \$a AAA guide.

- 245 00 \$a Georgia's new and expanding industries.

The *Federal Yellow Book* (Figure 4.9) is published by a corporate body (a commercial publisher) and is about the U.S. government, but there is no indication that any particular agency of the government caused it to be issued. Therefore, this serial would have an authorized access point consisting solely of the preferred title.

245 00 \$a Federal yellow
book.

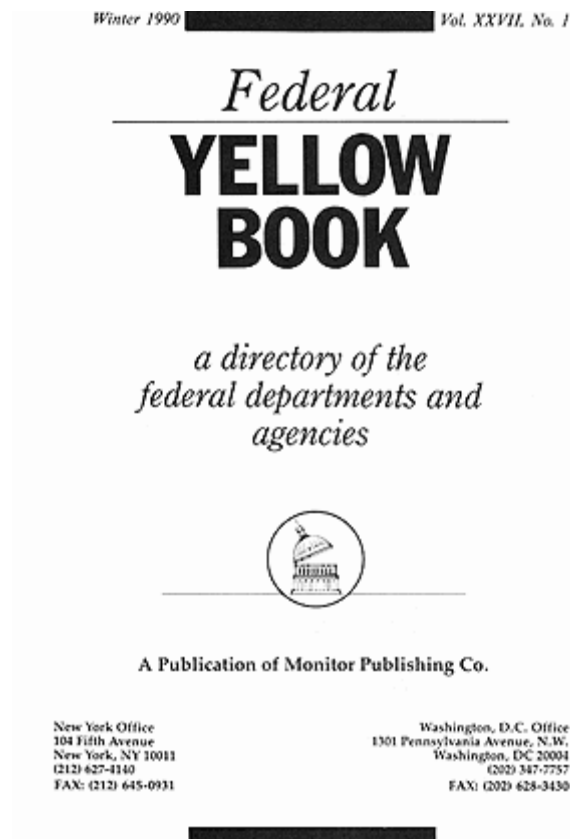


Figure 4.9

4.4. Does the serial fall into one of the categories under *RDA* 19.2.1.1.1?

The second task in determining if a corporate body is the creator of a serial (following the first determination outlined in *CCM* 4.3) is to see if it falls into one of the following categories from *RDA* 19.2.1.1.1:

- it is about the body (category A)
- it contains the opinions of the body (category B)
- it records hearings held by legislative, judicial or government bodies (category C)
- it records the activities of a conference, exhibition, or other ad hoc event (category D)
- it is the result of the collective activity of a performing group, where the responsibility of the group goes beyond that of performance (e.g., sound recordings, films, video recordings) (category E)
- it is cartographic material that emanates from a corporate body that is not merely responsible for the publication or distribution of the material (category F)
- it is a legal publication that falls into one of the special types in category G
- it is a named work of art by two or more artists acting as a corporate body (category H)

Categories C and G are covered in *CCM* Module 34. This module will discuss categories A (about the corporate body), B (expressing the opinions of the corporate body), and D (conferences, exhibits, events).

When applying *RDA* 19.2.1.1.1, consider the emphasis or purpose of the serial. Note the guidance of the *LC-PCC PS* 19.2.1.1.1. Why is the serial being issued? In general, if it is issued to present the activities, resources, or opinions of the body, the body may be included in the work authorized access point if the first determination outlined in *CCM* 4.3 is also met. If the serial is issued to present current information, findings, results of research, etc., about a topic, the corporate body will not appear in the work authorized access point.

4.4.1. Category A: Works of an administrative nature dealing with the corporate body itself

Most serials that include a corporate body in the work authorized access point fall under this category. To be considered here, the publication must be of an “administrative nature” and include information that is about the activities of the corporate body or internal to its operations. *LC-PCC PS* 19.2.1.1.1 defines administrative nature as:

- works dealing with the management or conduct of the affairs of the body itself, including
- works that describe the activities of the body either in general terms or for a particular period of time, e.g., minutes of meetings, reports of activities for a particular period.

Examples of serials that usually fit this category are: annual reports, provided that they are about the body and not about matters external to the body; directories of staff or members of an organization; budgets or other reports about the finances of the corporate body; internal procedure manuals; lists of program grants awarded by a body; and catalogs of collections held by a corporate body. Also included are bibliographies or lists of publications issued by a corporate body, and indexes of the body’s publications.

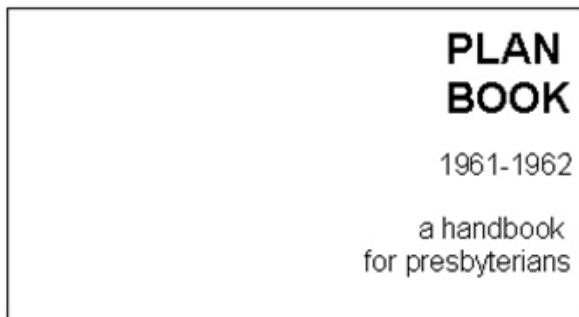


Figure 4.10a Preferred source

TABLE OF CONTENTS	
THE UNITED PRESBYTERIAN CHURCH	
The local church	4
The Judicatories	5
The Moderator and the General Assembly	6
The United Presbyterian Church Organization Chart	10
The General Council	11
BOARDS AND AGENCIES	
Christian Education	30
National Missions	36
Ecumenical Mission and Relations	42

Figure 4.10b Contents page

The United Presbyterian Church is responsible for the serial in Figure 4.10, and the contents reveal that the serial is about the body—its organization, programs, etc. Thus, it meets the

determinations of RDA 19.2.1.1.1 and the church is included in the authorized access point for the work.

- 110 2# \$a United Presbyterian Church in the U.S.A., \$e author.
- 245 10 \$a Plan book.

The Cambridge University Handbook also meets the determinations of RDA 19.2.1.1.1 because it originates with the University and is about the University—its officers, programs, courses of study, and so forth.

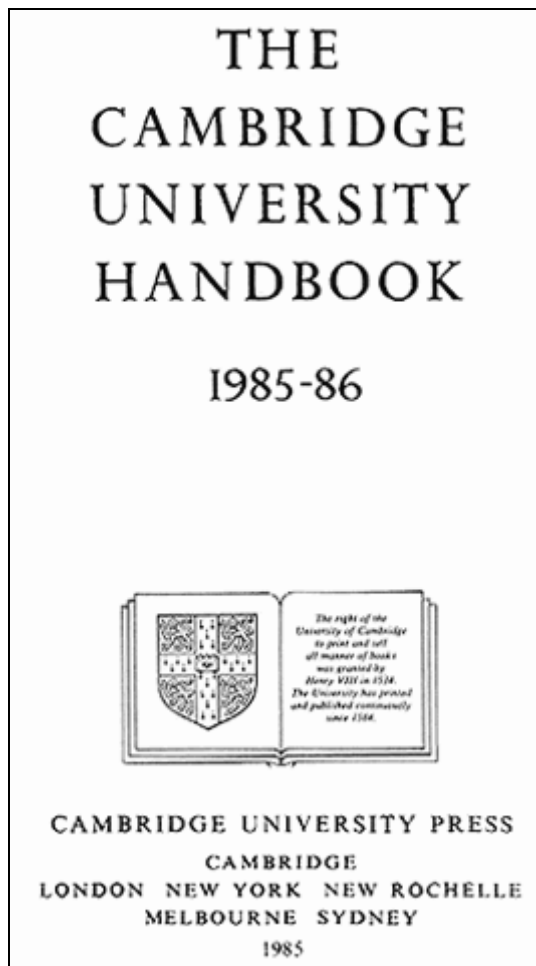


Figure 11a

CONTENTS	
1 THE UNIVERSITY	
Officers	2
Matriculation	10
Affiliation	13
Incorporation	19
M.A. Degree by virtue of office	19
M.S. status	20
B.A. status	20
The University Library	22
The Fitzwilliam Museum	22
Maingley Hall	23
2 THE COLLEGES	
Admission	24
Overseas Candidates	25

Figure 11b

- 110 2# \$a University of Cambridge, \$e author.
- 245 14 \$a The Cambridge University Handbook.

Further examples:

- 110 1# \$a Eastern Region (Nigeria), \$e author.
- 245 10 \$a Approved estimates of the Eastern Region.

- 110 2# \$a Cleveland Orchestra, \$e author.
- 245 10 \$a In concert : \$b the newsletter of the Cleveland Orchestra.

- 110 1# \$a New York (State). \$b Office of the State Deputy

245 10 Comptroller for the City of New York, \$e author.
 \$a Financial plan status report.

110 2# \$a New York Sea Grant Extension Program, \$e author.
 245 10 \$a Annual report of accomplishments and activities.

110 1# \$a Pleasant Hill (Calif.), \$e author.
 245 10 \$a Annual budget for the city of Pleasant Hill, California.

110 2# \$a University of Maryland at Baltimore. \$b Department of
 Medicine, \$e author.
 245 10 \$a Research and educational activities.

110 2# \$a University of the State of New York. \$b Regents College,
 \$e author.
 245 10 \$a Student handbook.

110 2# \$a American Osteopathic Association, \$e author.
 245 14 \$a The osteopathic directory and year book of the A.O.A. for
 ...

Examples of serials that **do not** fit this category are: reports on matters external to the corporate body, particularly statistical publications that are not about the corporate body itself; reports of research done by the corporate body that are issued primarily to present the results of the research; directories or lists of persons that are not affiliated with one particular corporate body; and financial publications that are not the budget or revenues of a corporate body.

Figure 4.12 does not fall under category A of RDA 19.2.1.1.1 because it consists of a list of diplomats from other countries that are located in Copenhagen. The corporate body is not considered the creator.

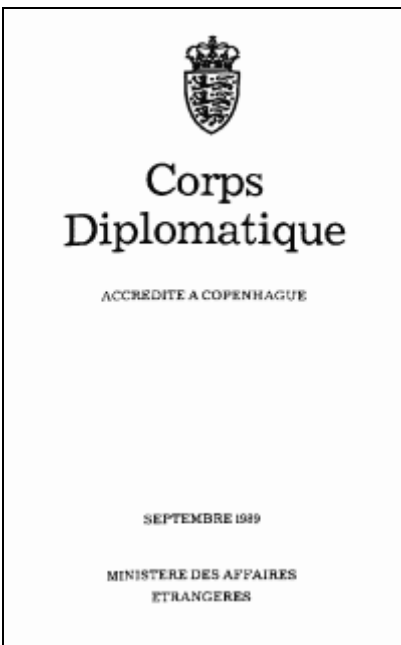


Figure 4.12a Title page

TABLE DES MATIERES	
Missions diplomatiques	
Afghanistan	25
Albanie	26
Algérie	27
Rép. Fédéral d'Allemagne	28
Rép. Démocratique Allemande	30
Angola	32
Arabie Saoudite	33
Argentine	34
Australie	35
Bahrein	36

Figure 4.12b Contents page (partial)

245 00 \$a Corps diplomatique accrédité à Copenhague.

Further examples:

245 00 \$a Agency : \$b a publication of the American Association of Agencies.

245 00 \$a AFTE journal.

245 00 \$a American organist.
(issued by the American Guild of Organists)

245 00 \$a EGSA buyer's guide & member services directory / \$c Electrical Generating Systems Association.

245 00 \$a The Georgia post-secondary school directory.
(issued by Georgia Student Finance Commission)

245 00 \$a Occasional paper series.
(issued by Institute for East-West Security Studies; this title would require a work authorized access point consisting of the preferred title plus an addition per RDA 6.27.1.9)

245 00 \$a Foreign consular representation in Finland.

Among works that fall under *RDA* 19.2.1.1.1 category A are those that deal with a corporate body's resources. The category "**resources**" may be interpreted to include catalogs and bibliographies. **Catalogs** are defined as the holdings of an institution, such as a catalog of books held by a library, or a catalog of art works owned by a museum. Work authorized access points for these will include the library or museum because they represent the holdings or resources of the institution. **Bibliographies** can fall into several categories, and construction of the work authorized access point is often more difficult to determine. Again, consider the focus of the bibliography. If the purpose is to show the activities of members of a society by presenting a bibliography of articles written during the year, the work authorized access point for the bibliography would include the society. If, however, a society issues a bibliography for the purpose of presenting recent publications on a particular topic, the society would not be included in the work authorized access point.

These works fall under the "resources" category:

110 2# \$a National Archive of Computerized Data on Aging (U.S.), \$e author.

245 10 \$a Data collections from the National Archive of Computerized Data on Aging.

110 2# \$a Healthcare Information and Management Systems Society, \$e author.

245 10 \$a Catalog of healthcare information and management systems publications.

- 110 2# \$a University of Delhi, \$e author.
- 245 10 \$a Annual convocation ... handbook of research activities.

These works do not fall under the “resources” category:

- 245 00 \$a Catalog of California state grants assistance / \$c California State Library.
- 245 00 \$a Bibliography of English language and literature / \$c compiled by members of the Modern Humanities Research Association.

Determining the work authorized access point for newsletters can be difficult because they often contain information about a body and about general subject matter external to the body. The first issue may be misleading because it may focus on introducing the society or organization to its readers. For example, the first issue of *To the Point* introduces the newly formed Colored Pencil Society of America to its readers with articles on the founders, bylaws, and so forth, while later issues focus on the subject of colored pencil drawing. As a rule, consider any statements of intent about the purpose of the newsletter. If it is clear that the purpose is to disseminate information about the activities of the body, then consider the body to be the creator and include it in the work authorized access point. If this is not clear, assume that the newsletter will cover general information that is both internal and external and do not consider the body to be the creator.



Figure 4.13a

Editor's Note:
 The *Gazette* is a weekly Library community newspaper published by LC for its employees--our readers and contributors.

Figure 4.13

The *Gazette* is entered under the heading for the Library of Congress because it contains news about LC and LC employees.

- 110 2# \$a Library of Congress, \$e author.
- 245 14 \$a The gazette / \$c Library of Congress

The primary focus of the *Library of Congress Information Bulletin* is to inform those outside of LC about library-related meetings and activities that are not limited to those held at the Library of Congress. Because the scope is much broader than that of *The Gazette*, the work authorized access point for the *Information Bulletin* consists of only the preferred title.

245 00 \$a Library of Congress
information bulletin.

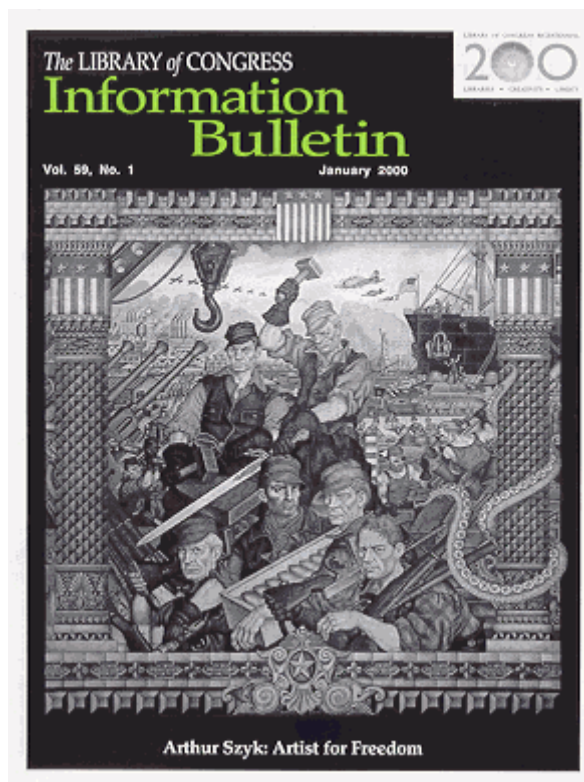


Figure 4.14

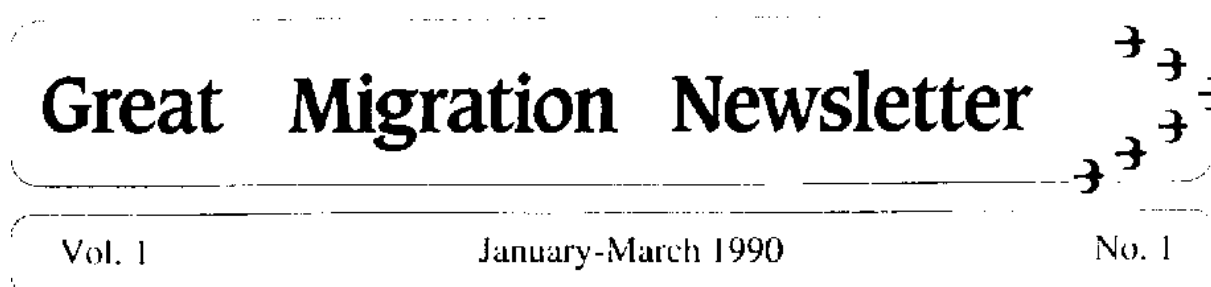


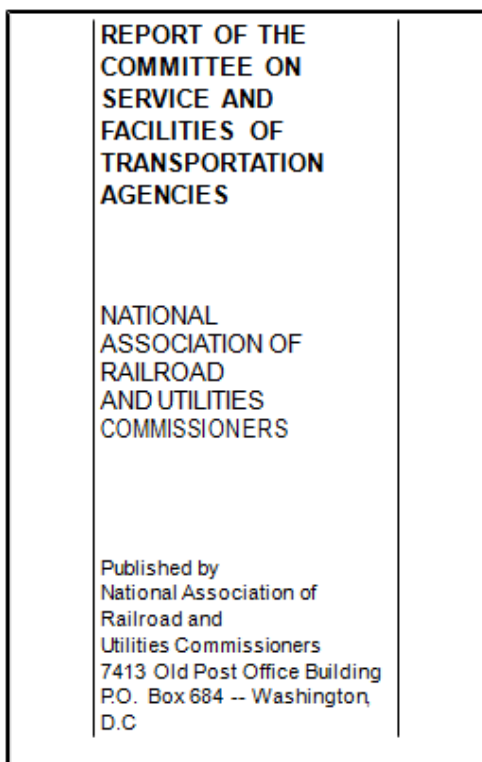
Figure 4.15

This newsletter is published by the Great Migration Study Project, a project of the New England Historic Genealogical Society. According to the editor, “The purpose of the Great Migration Newsletter is to inform you of the progress of the Project itself, to discuss the sources that will be studied in carrying out the research, and also to bring you information on recent genealogical discoveries pertaining to these earliest immigrants to New England. The corporate body is not included in the work authorized access point because the newsletter contains a mixture of information that is more than just administrative.

245 00 \$a Great migration newsletter.
710 2# \$a Great Migration Study Project (New England Historic
Genealogical Society), \$e issuing body.

4.4.2. Category B: Works that record the collective thought of the body

This category applies to serials less frequently, but when it does it most often applies to reports of committees and commissions that are issued regularly and contain statements of the opinions and/or recommendations of the committee or commission. Often the report contains a significant amount of background information that substantiates the recommendations. Consider the overall purpose of the publication. If the serial is issued to present recommendations, then it falls under category B and may include the corporate body in the work authorized access point, regardless of the amount of text devoted to the background material. Consider also the function of the body itself. Often committees or commissions are established for the primary purpose of making recommendations to another or higher body. Information about the function of the body is often included in the introductory pages of the serial. Other examples of serials in this category are standards, building codes, and rules of a sport, such as the *Official NBA Rules*.



In Figure 4.16, the National Association of Railroad and Utilities Commissioners is presented as the publisher. The Committee on Service and Facilities of Transportation Agencies is a subordinate body given prominently in the title. The serial contains the opinions and recommendations of the Committee—the “collective thought”—and thus, falls under category B of *RDA* 19.2.1.1.1. The subordinate body is included in the work authorized access point.

```
110 2# $a National Association of Railroad  
and Utilities Commissioners. $b  
Committee on Service and Facilities  
of Transportation Agencies, $e  
author.  
245 15 $a Report of the Committee on  
Service and Facilities of  
Transportation Agencies / $c  
National Association of Railroad  
and Utilities Commissioners.
```

Figure 4.16

Further examples:

```
110 2# $a New York State Commission on Child Support, $e author.  
245 10 $a Report submitted to Governor ...  
  
110 1# $a United States. $b Strategy Council on Drug Abuse, $e  
author.  
245 10 $a Federal strategy for drug abuse and drug traffic  
prevention.  
  
110 2# $a Little League Baseball, $e author.
```

245 10 \$a Official regulations and playing rules / \$c Little League
Baseball.

4.4.3. Category D: Conferences, exhibitions, and ad hoc events

There are two types of publications that can be considered conference publications: 1) periodic meetings of the members of a society, association, etc., and: 2) periodic meetings that focus on a specific topic. In the first case the “name” of the conference may consist of words such as “Meeting”, “Convention”, or “Seminar”. In the second case the name is more likely to be “Conference on ...”, “Symposium on ...” and so forth. For instructions on constructing authorized access points for conferences, see *CCM* Module 18.

Consider a conference the creator of a serial when it presents the proceedings, reports, activities, etc., of the conference. Do not consider a conference the creator when the serial contains only a separate report presented at the conference.

Figure 4.17 is an example of the first type of conference publication because it contains the proceedings of the meeting of an association. The conference is included in the work authorized access point.

110 2# \$a International Textile and
Apparel Association. \$b National
Meeting, \$e author.
245 00 \$a ITAA proceedings / \$c National
Meeting.

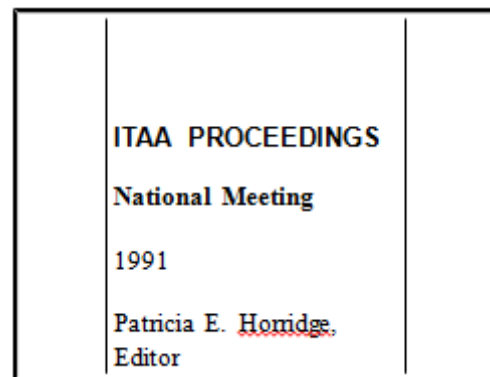


Figure 4.17

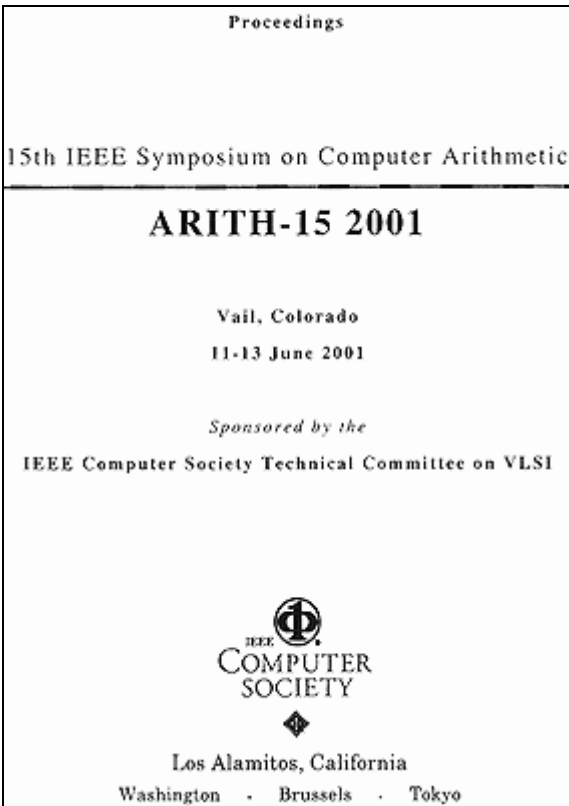


Figure 4.18

Figure 4.18 is an example of the second type of conference publication: one that deals with a specific topic. The conference is included in the work authorized access point.

```
111 2# $a Symposium on Computer
      Arithmetic, $j author.
245 10 $a Proceedings / $c IEEE
      Symposium on Computer
      Arithmetic.
```

Further examples:

```
111 2# $a Paper Finishing & Converting Conference, $j author.
245 10 $a Paper Finishing & Converting Conference.

111 2# $a Ohio Transportation Engineering Conference, $j author.
245 10 $a Proceedings of the ... Annual Ohio Transportation
      Engineering Conference.

110 2# $a American Bar Association. $b Section of Family Law. $b
      Meeting, $e author.
245 10 $a Annual meeting compendium.
```

4.4.4. In case of doubt, do not include the corporate body in the work authorized access point

Apply this instruction given under *LC-PCC PS 19.2.1.1.1* whenever the situation is not clear:

Do not consider the corporate body to be the creator if there is any doubt that a work falls into any of the categories. The corporate body may be eligible for use as an access point under another instruction in *RDA Chapter 19–RDA Chapter 21*.

4.5. Which creator has principal responsibility for issuing the work?

When deciding whether a corporate body is responsible for issuing a work and whether it is about the body, it is sometimes necessary to decide these questions about more than one body.

If two or more separate corporate bodies are responsible for creating the work and one body has principal responsibility, use the name of that body in the work authorized access point. If two or more bodies share principal responsibility, or if it is unclear which body has principal responsibility, use the name of the first-named body in the work authorized access point (*RDA* 6.27.1.3).

If there are several names given that comprise the hierarchy of one corporate body (i.e., parent and subordinate bodies), use the part of the body that the serial is about in the work authorized access point. For instance, when a subordinate body has prepared the content of a report, but the report relates to the activities of the parent body, use the name of the parent body in the work authorized access point (*LC-PCC PS 19.2.1.1.1*).

To determine which body the serial is about, consider the nature of the contents and look for any statements in the resource that clearly indicate which body the report is about.

For instance, if the title page has both a parent and subordinate body and the preface indicates that this is the annual report of the parent body, use the name of the parent body in the work authorized access point. Use cataloger's judgment to determine whether to include an additional authorized access point for the subordinate body.

If both bodies appear prominently in the same source and there is no clear indication which body the report is about, use the name of the subordinate body in the work authorized access point. However, keep in mind, that for budgets of a jurisdiction (city, state, country, etc.), the jurisdiction should be used in the work authorized access point, even though a subordinate body prepared and issued the budget. Use cataloger's judgment to determine whether to include an additional access point for the body that prepared the work and give this body in the statement of responsibility, if presented as such on the piece and considered important for identification.

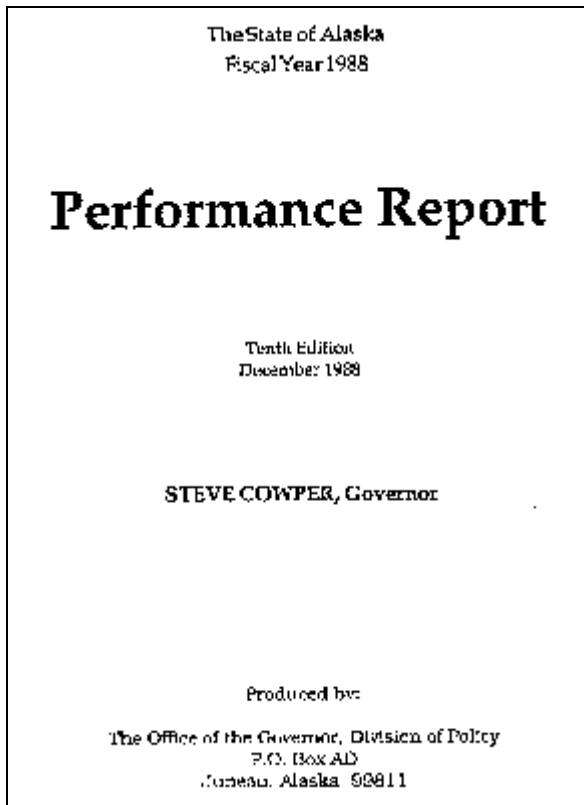


Figure 4.19

In Figure 4.19, “The State of Alaska” is presented above the title, and a subordinate body is given as the producer. The report is about the performance of the state as a whole, not about the subordinate body; thus, the state is used in the work authorized access point. An additional authorized access point is given for the subordinate body.

- 110 1# \$a Alaska, \$e author.
- 245 10 \$a Performance report / \$c the State of Alaska ; produced by the Office of the Governor, Division of Policy.
- 710 1# \$a Alaska. \$b Office of the Governor. \$b Division of Policy, \$e issuing body.

The introduction to the serial in Figure 4.20 states that this is the annual report of Central Services. The publication is prepared by Policy & Finance which is stated prominently. Central Services is used in the work authorized access point, and an additional authorized access point is given for Policy & Finance.

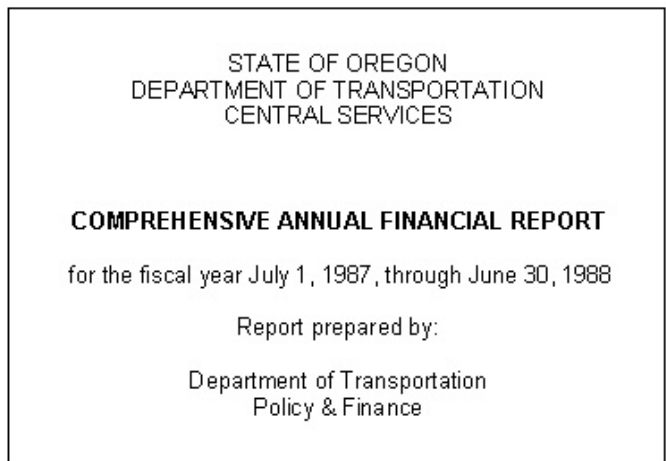


Figure 4.20

If cataloged from this issue, it could be:

- 110 1# \$a Oregon. \$b Department of Transportation. \$b Central Services, \$e author.
- 245 10 \$a Comprehensive annual financial report for the fiscal year ... / \$c State of Oregon, Department of

710 1# Transportation, Central Services ; report prepared by
Department of Transportation, Policy & Finance.
1# \$a Oregon. \$b Department of Transportation. \$b Policy
& Finance, \$e issuing body.

4.6. Is a person or family considered to be the creator of the serial?

A person or family is considered eligible to be used in the work authorized access point only when there is no corporate body responsible for issuing the serial and when the person or family is so closely related to the serial that the serial is unlikely to continue without that person or family. Persons or families given on serials may be authors or they may be editors or compilers. Introductory words such as “prepared by,” “by,” “compiled by,” etc., are not strictly followed; instead, the type of publication and probable contribution of the person is considered.

In most cases, persons or families are considered to be editors, regardless of any introductory wording. Never include the name of an editor in the work authorized access point of a serial since an editor is always considered to be a contributor to an expression rather than the creator of a work.

RDA 19.2.1.1.3 provides several indications that can be used to discern whether a person or corporate body can be considered to be the creator of a serial. By restricting the use of personal or family names in work authorized access points, the necessity for making multiple records can be limited if the person or family responsible for the serial changes.

According to *RDA* 19.2.1.1.3, to be considered the creator of a serial, generally a person or family is solely responsible for the serial. This usually means that the person or family is both author and publisher, or the publisher is a commercial firm, rather than a corporate body that has some responsibility in originating or issuing the serial. A person or family might also be considered the creator of a serial if the name of the person or family is in the title proper or if the content consists of personal opinions. There are no exact criteria for discerning whether a person or family is the creator of a serial. In case of doubt, do not consider a person or family to be the creator of the serial.

RDA also says that the serial as a whole should be considered. This does not mean that the entire run must be in hand, but that all issues should be considered in the decision process. Is it unlikely that more than one person or family will be associated with the serial, and is the serial so closely tied to the person or family that it will probably cease without that person or family? Some examples of personal authorship are the weekly sermons of a minister, stock market tips by an analyst, newsletters reflecting the personal views of an individual, and the popular annual career manual, *What color is your parachute?* by Richard Bolles. In all of these cases, the contents reflect the thoughts or opinions of the author. Genealogical newsletters may also be issued or compiled by one person, but because such newsletters often focus on one or more families, and it is likely that another member of the family might continue the newsletter, genealogical newsletters generally aren’t considered to have creators. However, if a single family is solely responsible for issuing a genealogical newsletter, it is possible that the family could be considered to be the creator of a genealogical newsletter.

New Light on the Korean Mystery, See Page 2

I. F. Stone's Weekly

VOL 1 NUMBER 1

JANUARY 17, 1953

WASHINGTON, D. C.

15 CENTS

Mr. Truman's Farewell Evasions

Figure 4.21

I.F. Stone was both the author and publisher of the *I.F. Stone's Weekly* (Figure 4.21). Since this publication contained personal views and comments, and I.F. Stone's name appears in the title proper, it is unlikely that it could have been continued by another person. Therefore, including his name in the work authorized access point is appropriate.

100 1# \$a Stone, I.F. \$q (Isidor F.), \$d 1907-1989, \$e author.
245 10 \$a I.F. Stone's weekly.
264 #1 \$a Washington, D.C. : \$b I.F. Stone, \$c [1953-1969]

In Fig. 4.22, Elizabeth Gundry is given as the author while Arrow is the publisher. Because the subtitle indicates that this is her "personal selection," her name would be included in the work authorized access point for the serial.

100 1# \$a Gundry, Elizabeth, \$e author.
245 10 \$a Staying off the beaten track :
\$b a personal selection of
modestly priced inns, small
hotels, farms and country houses
in England / \$c Elizabeth Gundry.
264 #1 \$3 1982- : \$a London : \$b Hamlyn
Paperbacks, \$c c1982-
264 31 \$3 <1990-> : \$a London : \$b Arrow
Books

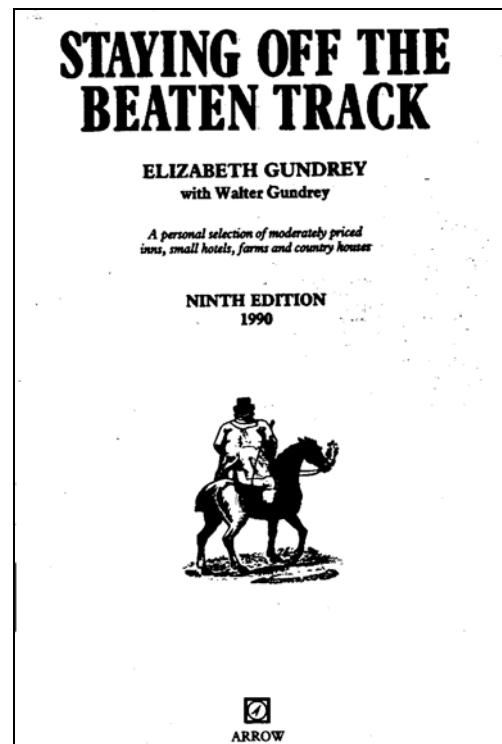


Figure 4.22

4.7. When there is no person, family, or corporate body responsible for creating the serial

When no person, family, or corporate body is responsible for creating a work, the authorized access point for the work is based only on the preferred title of the work (*RDA* 5.5). The majority of serial works do not have creators, so this is the most common type of work authorized access point. The work authorized access point for a serial is based just on the preferred title of the work when:

- there is no corporate body responsible for originating, issuing, or causing the serial to be issued (LC-PCC PS 19.2.1.1.1), or
- the serial does not fall into one of the categories under *RDA* 19.2.1.1.1, and
- there is no person or family that is solely responsible for the entire run of the serial (*RDA* 19.2.1.1.3).

4.8. Additional authorized access points for other persons, families and corporate bodies associated with the serial

4.8.1. Introduction

Persons, families, and corporate bodies that are not considered to be creators may be given additional authorized access points in the bibliographic record. Under previous practice, some additional authorized access points were required while others were optional. Under *RDA*, providing an authorized access point for any person, family, or corporate body not included in the authorized access point for the work is optional, though PCC policy is to include an additional authorized access point for a contributor if considered important for identification (*LC-PCC PS* 20.2).

While *RDA* instructions provide freedom to give as many, or as few, additional authorized access points as desired, in practice, serials catalogers apply certain guidelines. These are discussed below under the various types of additional authorized access points. Note: if a person, family, or corporate body is given as an additional authorized access point in a record and the relationship with the resource is unclear from the existing description, include a note in the bibliographic record justifying the relationship (*RDA* 18.6).

4.8.2. Persons and families (Field 700)

Do not routinely give additional authorized access points for editors or compilers of serials. In general, limit additional authorized access points for persons and families to those who are identified as “authors” of the serial, but have been rejected as a creator according to *RDA* 19.2.1.1.3; and to editors or compilers who are particularly well known, provided that they have been associated with the serial for a significant period of time. Give an additional authorized access point also to persons or families who both compile and publish the serial but have not been chosen as a creator (e.g., the compiler of a genealogical newsletter).

4.8.3. Corporate bodies (Fields 710, 711)

For serials, additional authorized access points are most frequently given for corporate bodies. This includes most prominently named corporate bodies and any other name that would provide an important access point. Situations in which a corporate body may be given as an additional authorized access point include the following:

- When the body is responsible for issuing the serial but has been rejected as the creator (RDA 19.2.1.1.1)
- When more than one corporate body is jointly responsible for the serial (LC-PCC PS 19.3)
- When the responsible body changes or changes its name on later issues and it is not considered the creator of the serial (RDA 18.4.2.2)
- When several bodies given prominently act in differing capacities
- When a prominently named subordinate body has prepared a serial, and the parent body is considered to be the creator (LC-PCC PS 19.2.1.1.1)

Corporate bodies given in additional authorized access points are often justified by their presence in the following areas:

a. Title and statement of responsibility (Field 245)

An additional authorized access point is generally, but not necessarily, given for a body that is recorded in the title statement when the body is not considered to be the creator. The body may appear in the title (\$a), other title information (\$b), or the statement of responsibility (\$c).

b. Production, publication, distribution, or manufacture statement (Field 264)

Additional authorized access points are not generally given for commercial publishers (see *CCM* 4.2.2.). An additional authorized access point may be given for an issuing body given as publisher when it is not considered to be the creator. If the serial is issued by one body and published by a lower office or branch that serves merely as the publishing office, do not generally give an added entry for the publishing office.

c. Issuing bodies note (Field 550)

Corporate bodies that are not given in the 245 or 264 fields may be noted in field 550 with an additional authorized access point given in field 710 or 711. These include joint issuing bodies, corporate bodies appearing on issues that are later than the issue on which the description is based, and so forth. In general, do not give a 550 note unless the bodies warrant additional authorized access points.

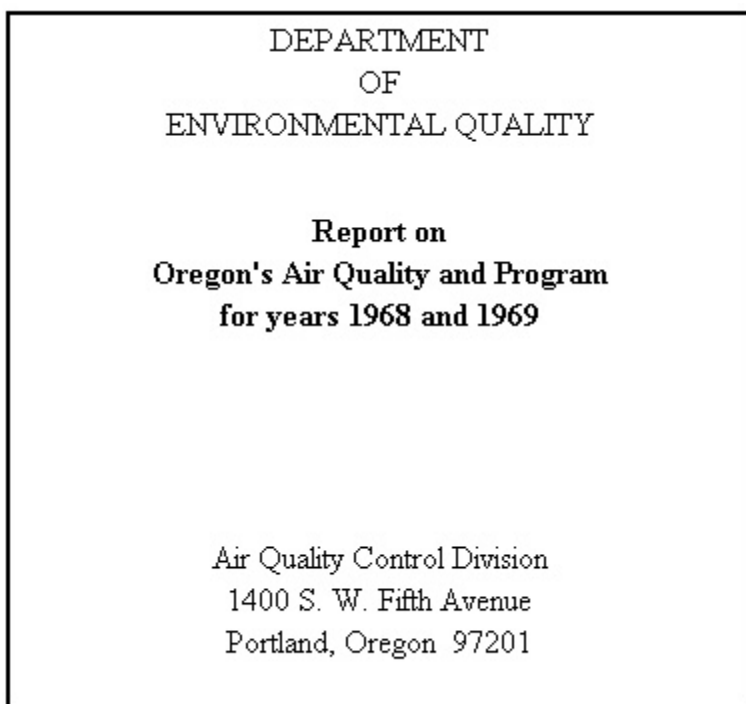
When cataloging a conference publication as a serial, use caution in giving additional authorized access points for sponsors. While allowable, certain types of sponsors are likely to change with each conference. If a corporate body is given as a sponsor and seems to be responsible for the content and existence of the conference, then an additional authorized access point can be made. But be cautious of giving 550 notes and additional authorized access points for local sponsors of

conferences that are held in different locations each year, because local sponsors are likely to change with each issue. Also, generally do not give additional authorized access points for sponsors whose contribution is merely one of financial backing, when this can be determined.

As a rule, do not give additional authorized access points for bodies within the same corporate hierarchy when both bodies are included in the authorized access point for the lowest body. In the example below, both the parent and subordinate bodies are given in the authorized access point for the subordinate body.

```
245 00 $a Coconut statistics / $c compiled and expanded by UCAP
      Research Department.
264 #1 $a [Manila] : $b UCAP
710 2# $a United Coconut Association of the Philippines. $b Research
      Department
```

However, when each body is entered independently or directly below the jurisdiction, separate additional authorized access points may be given to facilitate access.



For example, in Figure 4.23, the Department is given prominently at head of title and is transcribed in the statement of responsibility. The Division, which is a subordinate body, is given in the publishing position and is recorded in field 264. The authorized access point for the work consists of just the preferred title of the work. Because both bodies are stated prominently and the parent body is not included in the authorized access point for the subordinate body, separate additional authorized access points are given.

Figure 4.23

```
245 00 $a Report on Oregon's air quality and program for years ... /
      $c Department of Environmental Quality.
246 #1 $a Portland, Oregon : $b Air Quality Control Division
710 1# $a Oregon. $b Department of Environmental Quality.
710 1# $a Oregon. $b Air Quality Control Division.
```

Both bodies given in Figure 4.24 are equally subordinate to the Universidad and additional authorized access points have been given for both. The authorized access point for the work consists just of the preferred title of the work with a parenthetical qualifier (see CCM Module 5).

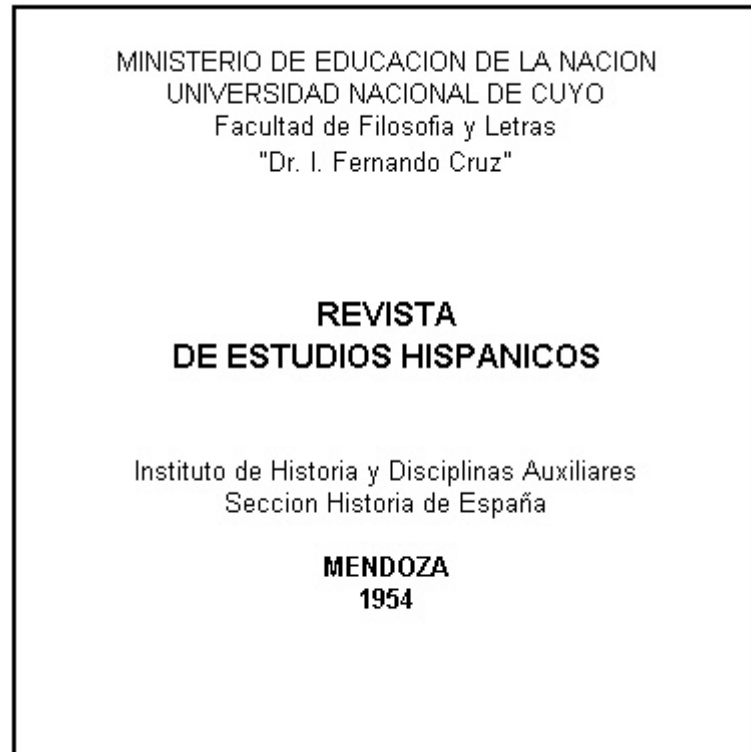


Figure 4.24

- 130 0# \$a Revista de estudios hispánicos (Mendoza, Argentina)
- 245 10 \$a Revista de estudios hispánicos / \$c Ministerio de Educación de la Nación, Universidad Nacional de Cuyo, Facultad de Filosofía y Letras.
- 264 #1 \$a Mendoza [Argentina] : \$b Instituto de Historia y Disciplinas Auxiliares, Sección Historia de España, \$c [1954]-
- 710 2# \$a Universidad Nacional de Cuyo. \$b Instituto de Historia y Disciplinas Auxiliares. \$b Sección Historia de España, \$e issuing body.
- 710 2# \$a Universidad Nacional de Cuyo. \$b Facultad de Filosofía y Letras, \$e issuing body.

Do not give an additional authorized access point for a body that is the subject of the serial but is not the issuing body. For example, the work authorized access point for a GAO audit of the Library of Congress would consist of just the preferred title of the work, and an additional authorized access point for the General Accounting Office could be given because it is the issuing agency. The Library of Congress would be given in a subject heading (610) but not in an additional authorized access point (710).

4.9. Historical concepts of main entry and added entry

4.9.1. Background

The terms “authorized access point representing a work” and “additional authorized access point” in *RDA* – in the current MARC environment – are very similar to the *AACR2* terms “main entry” and “added entry.” While the *AACR2* terms were not mentioned in earlier sections of this module, it is important to know about this change in terminology because the names of many MARC fields and/or indicators referenced throughout the module include “main entry” or “added entry.” For example, the names of fields 110 and 710 (two MARC fields that are extremely common in serial records) are, respectively, Main Entry – Corporate Name and Added Entry – Corporate Name. The following is a brief background on the use of “main entry” in library catalogs.

4.9.2. Historical perspectives

a. Manual catalogs and printed products

While most library catalogs are online and computer-based today, much of the terminology associated with main and added entries originated in the context of manual catalogs. In a traditional card catalog, the “main entry card” is filed under the access point for the main entry and contains all cataloging information. In addition to the main entry card, “added entry” cards are made for subject headings, titles, corporate or personal names, or series. The listing of these added entries, as given at the bottom of the main entry card, is referred to as the “tracings.” If cards are hand typed, the main entry card may be the only card that includes all of the notes and tracings. The added entry cards can optionally carry only enough information to identify the resource.

When “unit cards” are used, all of the cards contain the same information. However, if holdings or additional notes are added to the card by individual libraries, they are generally added only to the main entry card.

In a book catalog, such as *New Serial Titles*, where there is a single entry for each serial, the entry is printed in the form of a main entry card with added entries serving, in some cases, as cross references (Figure 4.1).

Title main entry

<p>The Dubliner. -- -- Dublin, Eire : Dubliner, v. ; 22 cm.</p> <p>Quarterly. Began with: Nov./Dec. 1961; ceased 1964. Description based on: No. 2 (Mar. 1962); title from cover. Issues for 1961-1963 called no. 1-6, but constitute v. 1-2. Indexes: Author index: Vols. 1 (1961)-3 (1964) with v. 3. Continued by: Dublin magazine (1965)</p> <p>1. English literature--Irish authors--Periodicals.</p> <p>PR8844.D8 Library of Congress</p>	<p>90-657376 AACR2</p>
--	----------------------------

Figure 4.1a Title main entry on catalog card

Corporate body main entry

<p>Massachusetts Library Association. Annual report / Massachusetts Library Association. -- --- Wakefield, Mass. : The Association, v. ; 28 cm.</p> <p>Annual. Description based on: 1988-1989; title from caption. ISSN 1048-3292 = Annual report - Massachusetts Library Association.</p> <p>1. Massachusetts Library Association--Periodicals. 2. Libraries--Massachusetts--Periodicals.</p> <p>Z673.M4M37a 020'.6'234744--dc20 Library of Congress</p>	<p>89-651030 AACR2</p>
---	----------------------------

Figure 4.1b Corporate body main entry on catalog card

b. Online catalogs

The term “main entry” was generally used in an online environment to refer to the access point for the “main entry” in field 1XX or 245. In an online record, the access point for the main entry may be no more or less accessible than other access points (Figure 4.2).

Title main entry

```
245 04 $a The Dubliner.
260 ## $a Dublin, Eire : $b Dubliner,
300 ## $a 3 v. ; $c 22 cm.
310 ## $a Quarterly
362 1# $a Began with: Nov./Dec. 1961; ceased
      1964.
500 ## $a Description based on: No. 2 (Mar.
      1962); title from cover.
515 ## $a Issues for 1961-1963 called no. 1-6,
      but constitute v. 1-2.
555 ## $a Author index: Vols. 1 (1961)-3 (1964)
      with v. 3.
650 #0 $a English literature $x Irish authors $v
      Periodicals.
785 00 $t Dublin magazine (1965) $x 0012-687x $w
      (DLC) 68141267 $w (OCoLC)5810339
850 ## $a DLC $a InLP
936 ## $a No. 6 (Jan.-Feb. 1963) LIC
```

Figure 4.2a Title main entry in online record

Corporate body main entry

```
110 2# $a Massachusetts Library Association.
210 0# $a Annu. rep. - Mass. Libr. Assoc.
222 #0 $a Annual report - Massachusetts Library
      Association
245 10 $a Annual report / $c Massachusetts
      Library Association.
260 ## $a Wakefield, Mass. : $b Massachusetts
      Library Association
300 ## $a v. ; $c 28 cm.
310 ## $a Annual
500 ## $a Description based on: 1988-1989; title
      from caption.
610 20 $a Massachusetts Library Association $v
      Periodicals.
650 #0 $a Libraries $z Massachusetts $v
      Periodicals.
850 ## $a DLC
```

Figure 4.2b Corporate body main entry in online record

c. Considerations regarding main entry and choice of corporate body

There was considerable debate over the years about the need for the “main entry” concept in an online catalog and the validity of “corporate authorship.” Was it a time-consuming intellectual exercise that served little purpose? Why not simplify things and enter everything under the title? After all, the 710 is just as accessible as the 110. The proposal to enter everything under title was given serious consideration during the formation of the *AACR2* rules; however, main entry survived. The *AACR2* philosophy about corporate body main entry was more restrictive than past codes, however, with the result that more serials were entered under title.

In fact, main entry played an important and useful role for serials. The choice of main entry was significant for serials because a major change in the corporate body that constituted the main entry heading required the creation of a new record. The main entry was also used to “cite” the serial in another record and was frequently used when citing the serial in single entry files (e.g., bibliographies, check-in files, abstracting and indexing services, union lists, financial commitment lists, and in some cases, for shelving purposes). And as a file organizing device, it could be used to sub arrange works in a display resulting from a subject heading search.

AUTHORIZED ACCESS POINTS FOR PERSONS, FAMILIES, OR CORPORATE BODIES ASSOCIATED WITH A RESOURCE: A COMPARISON

Creators	Additional authorized access points
The creator does not need to be justified	Additional authorized access points are justified (<i>RDA</i> 18.6)
Corporate bodies are usually, but do not have to be, prominently named	Corporate bodies may or may not be prominently named
Conference name may appear anywhere in the resource	Conference name may be taken from anywhere in the resource
Editors and editors of compilations are never considered to be creators	Editors, editors of compilations, and compilers may be given an additional authorized access point when considered important (<i>LC-PCC PS</i> 20.2)

SUMMARY

- The authorized access point for most serials will be based on just the preferred title of the work.
- A corporate body is considered to have a relationship to a serial if it is identified by a particular name and it is usually presented on a prominent source.
- A serial is considered to be created by a corporate body only when the body is responsible for originating, issuing, or causing the serial to be issues, and the serial fits one of the categories under RDA 19.2.1.1.1.
- When determining whether a person or family is the creator of a serial, consider the entire run of the serial, not an individual or a few issues.
- When a parent and subordinate body are represented on the preferred source and the serial fits one of the categories under RDA 19.2.1.1.1, consider the body that is the subject of the serial to be the creator.
- Use cataloger's judgment when deciding whether to give additional authorized access points for corporate bodies that are not commercial publishers, and for persons and families.
- When a corporate body is given in the work authorized access point and the corporate body changes or its name changes, create a new record (see *CCM* Module 16).