

Update Information  
2013 Update Number 2

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
B13.13	Copy Cataloging Manual. Appendix 10 : Copy Cataloging in the RDA Environment (Textual Monographs)	Replace. Revised to: 1) incorporate guidelines for non-RDA records that contain 33X fields; 2) expand guidelines for added entries for illustrator(s) of a resource intended for children; 3) expand the guideline related to any subfield \$i containing an Appendix J relationship designator.
Z1	Name and Series Authority Records	All the revisions to sections in Z1 in Update Number 2 reflect the implementation of RDA. The revisions relate to substituting "RDA" for "AACR2" and "LC-PCC PS" for "LCRI" as appropriate. The revisions relate to substituting RDA terminology, e.g., "authorized access point" for "heading," "resource" for "item," "multipart monograph" for "multipart item" as appropriate except when the reference is to MARC 21 terminology. The revisions relate to providing procedural guidelines appropriate to the RDA environment as needed.  The revisions related to the RDA environment are not repeated in the "Action/Change" column for each Z1 section. However, any revision unrelated to the RDA environment is explicitly described.  None of the revisions related to RDA described above has been applied to any sections or guidelines applicable to series, pending review of series policy by the PCC.
Z1	Name and Series Authority Records	Introduction. Replace.
Z1	Name and Series Authority Records	008/10 - Descriptive Cataloging Rules. Replace.

Update Information  
2013 Update Number 2

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	008/11 - Subject Heading System/Thesaurus. Replace.
Z1	Name and Series Authority Records	008/15 - Heading Use - Subject Added Entry. Replace.
Z1	Name and Series Authority Records	008/32 - Undifferentiated personal name. Replace. Updated to reflect interim LC/PCC guidelines to resist creating undifferentiated names.
Z1	Name and Series Authority Records	040 - Cataloging Source. Replace. Expanded to provide guidelines related to subfield \$e.
Z1	Name and Series Authority Records	046 - Special Coded Dates. Replace.
Z1	Name and Series Authority Records	1XX - Headings. Replace. As of August 12, 2012, LC and PCC catalogers creating RDA authority records are no longer required to search Library and Archives Canada (LAC).
Z1	Name and Series Authority Records	100 - Heading - Personal names. Replace. Revised to show subfield order in this and other X00 fields.
Z1	Name and Series Authority Records	368 - Other Attributes of Person or Corporate Body. Replace.
Z1	Name and Series Authority Records	370 - Associated Place. Replace.
Z1	Name and Series Authority Records	373 - Associated Group. Replace.
Z1	Name and Series Authority Records	378 - Fuller Form of Personal Name. Replace.
Z1	Name and Series Authority Records	380 - Form of Work. Replace.
Z1	Name and Series Authority Records	382 - Medium of Performance. Replace.

Update Information  
2013 Update Number 2

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	Tracings and References - General Information - 4XX Fields. Replace.
Z1	Name and Series Authority Records	4XX - See From Tracings. Replace.
Z1	Name and Series Authority Records	Tracings and References - General Information - 5XX Fields. Replace.
Z1	Name and Series Authority Records	500 - See Also From Tracing - Personal Name. Replace.
Z1	Name and Series Authority Records	510 - See Also From Tracing - Corporate Name. Replace.
Z1	Name and Series Authority Records	511 - See Also From Tracing - Meeting Name. Replace.
Z1	Name and Series Authority Records	530 - See Also From Tracing - Uniform Title. Replace.
Z1	Name and Series Authority Records	667 - Nonpublic General Note. Replace.
Z1	Name and Series Authority Records	670 - Source Data Found. Replace.
Z1	Name and Series Authority Records	Heading Linking Entries - General Information - 7XX Fields. Replace.
Z1	Name and Series Authority Records	953 - Local Staff Codes. Replace. As of November 20, 2012, this local LC field is not actively applied.
Z1	Name and Series Authority Records	Appendix 1: Ambiguous Entities. Replace.
Supplement to the MARC 21 Format for Authority Data	Tracings and References - General Information - 4XX Fields	Replace. Revised to show codes no longer used in subfield \$w and to remind catalogers that when a NAR is updated, the code(s) in subfield \$w should be adjusted accordingly.

Update Information  
2013 Update Number 2

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	551 - See Also From Tracing - Geographic Name.	Replace. Revised to show that LC accepts subfield \$i.

Table of Contents

B13.13.1	PURPOSE OF APPENDIX 10 .....	2
B13.13.2	AACR2 OR RDA .....	2
<b>B13.13.2.1</b>	<b>AACR2 Records that Should Be Kept As AACR2 .....</b>	<b>2</b>
<i>B13.13.2.1.1</i>	<i>Z-Processor tip .....</i>	<i>3</i>
<b>B13.13.2.2</b>	<b>AACR2 Records That Should Be Converted To RDA .....</b>	<b>3</b>
<i>B13.13.2.2.1</i>	<i>Z-Processor tip .....</i>	<i>3</i>
<i>B13.13.2.2.2</i>	<i>Checklist 1: Converting an AACR2 record to RDA .....</i>	<i>3</i>
<b>B13.13.2.3</b>	<b>RDA Records .....</b>	<b>7</b>
<i>B13.13.2.3.1</i>	<i>Z-Processor tip .....</i>	<i>8</i>
<i>B13.13.2.3.2</i>	<i>Checklist 2: Using an imported RDA record .....</i>	<i>8</i>

**B13.13.1 PURPOSE OF APPENDIX 10**

This appendix is to be used by RDA-trained catalogers and technicians to:

- 1) identify when it is appropriate to convert an imported AACR2 record to RDA;
- 2) recognize common differences between AACR2 and RDA that should be checked when importing records that can be converted to RDA;
- 3) recognize LC practices, including "LC core" elements, that should be addressed when importing records that are already RDA or will be converted to RDA;
- 4) recognize situations where a cataloging technician may need to consult with an RDA cataloger regarding authority records or authorized access points.

**B13.13.2 AACR2 OR RDA**

This section provides guidelines with respect to when to keep or change the descriptive conventions on imported records.

**B13.13.2.1 AACR2 Records that Should Be Kept As AACR2**

For the interim period prior to the full implementation of RDA, some imported AACR2 records should be retained as AACR2 in order to be in compliance with community agreements, including OCLC policies. Records imported from OCLC that are full or fuller level should be retained as AACR2 and not converted to RDA. A full or fuller level record may be identified by the encoding level (Leader/17), sometimes in combination with the language of cataloging (040 \$b).

Full or fuller encoding levels: #, 1, 2, 4, 8, I or L where the language of cataloging is English.

**CAUTION:** The presence of fields 336 (Content type), 337 (Media type), and 338 (Carrier type) in a bibliographic record does not in and of itself indicate RDA cataloging, since these fields may be used with non-RDA cataloging. When these fields are present in a bibliographic record look for positive evidence of RDA cataloging such as:

Ldr/18 (Descriptive cataloging form) = i (ISBD punctuation included) or c (ISBD punctuation omitted)  
040 contains \$e = rda

If the value in Ldr/18 is neither "i" nor "c" and 040 contains \$e = rda, rely on the evidence in field 040.

Alternatively, look for evidence of non-RDA cataloging, such as:

Ldr/18 (Descriptive cataloging form) = a (AACR 2)  
040 does not contain \$e = rda  
terms are abbreviated in places RDA would not abbreviate them, e.g.:

300 ## \$a 296 p. \$b ill., ports. (some col.)

If these fields are in the categories of AACR2 records listed above, do not convert the record to RDA. Do, however, retain the 33X fields in the record.

*B13.13.2.1.1*

*Z-Processor tip*

When importing a record from OCLC, Z-Processor will recognize the encoding level and language of cataloging of the record and will generally identify the correct cataloging stream:

- **Copycat**—indicates that the record is a fuller-level record, and the language of cataloging is English. Such a record must remain as AACR2. Follow section/division practice for referring the imported record to an AACR2 cataloger or technician, or process as AACR2 yourself in exceptional circumstances.
- **PCC Adapt**—indicates that the record is a fuller-level record and the language of cataloging is English. Such a record must remain as AACR2. Follow section/division practice for referring the imported record to an AACR2 cataloger or technician, or process as AACR2 yourself in exceptional circumstances.
- **CIP verification**—when using the special CIP Z-Processor to import a verified version of a CIP record, an existing AACR2 record must be processed as AACR2.

**B13.13.2.2**

**AACR2 Records That Should Be Converted To RDA**

There are two categories of imported AACR2 records that should be converted to RDA when processed by RDA-trained catalogers/technicians:

- 1) less than full AACR2 records; encoding levels K, M, 3, 5, and 7;
- 2) language of cataloging: if other than English, convert to RDA regardless of encoding level.

*B13.13.2.2.1*

*Z-Processor tip*

When importing a record from OCLC, Z-Processor will recognize the encoding level and language of cataloging of the record and will generally identify the correct cataloging stream:

- **OrigRes**—indicates that the record is a lower-level record, and/or the language of cataloging is other than English. An RDA cataloger/technician should process the record as full level RDA.
- **OrigCop**—indicates that an existing LC AACR2 record for another edition can be used to create a new full level RDA record.

*B13.13.2.2.2.*

*Checklist 1: Converting an AACR2 record to RDA*

The following table summarizes the data elements to be checked or changed when an imported AACR2 record is converted to RDA. The list includes typical "LC Core+" elements that the cataloger or technician should add if not present.

Also apply the guidelines in DCM B13 for fields not included in this table (e.g., 041, 043, 050, 504, subject headings), including the "pass through" concept for elements not generally supplied by LC. Remember that LC copy cataloging focuses on accepting the cataloging of other libraries as much as possible, limiting changes to egregious errors.

If an RDA-trained technician is changing the AACR2 record to an RDA record,

- fields marked with a double asterisk should be discussed with an RDA-trained cataloger;
- the record should be referred to an RDA-trained cataloger if authorized forms are not available in the LC/NACO Authority file for the following fields in the

bibliographic record: 1XX, 240, 600-630, and 7XX fields other than the 775 and those for analytical authorized access points (7XX indicator 2 = 2).

Note that the information given in bold italic type will be present in the record if the "IBC to RDA" macro is involved (CTRL+SHIFT+0).

<b>Data Element</b>	<b>Name</b>	<b>AACR2 &gt; RDA Action</b>
<i>Ldr/18</i>	<i>Descriptive cataloging form</i>	<i>Assure "i" (ISBD)</i>
<i>040 \$b</i>	<i>Language of cataloging</i>	<i>Assure "eng"</i>
<i>040 \$e</i>	<i>Description conventions</i>	<i>Assure "rda" (and "dcrmb") if appropriate</i>
<i>042 \$a</i>	<i>Authentication code</i>	<i>Assure "pcc" or "lccopycat" as applicable (retain "lcode" when appropriate)</i>
1XX**	Main entry (Creator)	Add creator if missing (the most likely situation would be if more than three persons or bodies are named in a single statement of responsibility). For compilations, remove creator if the resource contains works by more than one creator.
240**	Uniform (preferred) title	The most likely situations needing attention: (1) If the resource is a translation, ensure the presence of the preferred title of the original and only one language name in subfield \$1. (2) If the resource is a compilation of works by one creator, ensure the presence of the correct form of the conventional title if appropriate (for example, note that "Selections" by itself is not an appropriate title). (3) For compilations, remove the field if it represents only the first work in the compilation.

<b>Data Element</b>	<b>Name</b>	<b>AACR2 &gt; RDA Action</b>
245	Title proper, etc.	Delete "[sic]" or "[i.e., ____]." Remove \$h if present. Add missing other title information if presented with the title proper in the resource. (LC Core+) Add missing parallel title(s) from any source in the resource. (LC Core+) Ensure the presence of the first statement of responsibility from any source in the resource. In an existing statement of responsibility, replace "[et al.]" with a full transcription of the statement, or use "[and ____ others]" (supplying the appropriate number).
246	Variant title	If "[sic]" or "[i.e., ____]" was removed from the title proper, consider adding a 246 field for the corrected form.
246	Later title proper	Add for later titles of a multipart monograph. (LC Core+)
250	Edition statement	Expand any unauthorized abbreviations and record numerals as found in the resource.

Data Element	Name	AACR2 > RDA Action
260/264	Publication information	<p>For a single-part resource, change the tag to 264 and use the appropriate 2nd indicator value based on the content of the field.</p> <p>\$a Ensure that first place of first publisher is transcribed as found in the resource. Replace "[S.l.]" with a supplied place if possible or "[Place of publication not identified]".</p> <p>\$b Expand abbreviations when applicable, and add missing words in the name of the publisher.</p> <p>\$c Ensure that date of publication is given even if it is a supplied date (e.g., it may be necessary to convert a copyright date to a supplied publication date). If no publication date can be supplied, record "[date of publication not identified]" and record another type of date in a subsequent 264 field.</p> <p>Supply missing parts of publication, distribution, manufacture statements when necessary for understanding.</p> <p>Multipart monographs: prefer not to change an existing 260 field to 264. It is permissible to update pre-RDA records with changes in production, publication, distribution, and manufacture elements by adding either the 260 field or the 264 field at the cataloger's discretion.</p>
300	Physical description	<p>Expand abbreviations when applicable.</p> <p>Assure \$b identifies illustrations if resource is intended for children. For incomplete multipart monographs, give only "volumes" in \$a; ensure that volume being processed is represented by an item record.</p> <p>Ensure that subfield \$c is present. (LC Core+)</p>
336	<i>Content type</i>	<i>Give \$a text \$2 rdacontent</i> Accept \$b if present; accept other \$a if appropriate.
337	<i>Media type</i>	<i>Give \$a unmediated \$2 rdamedia</i> (LC Core+) Accept \$b if present; accept other \$a if appropriate.
338	<i>Carrier type</i>	<i>Give \$a volume \$2 rdacarrier</i> Accept \$b if present; accept other \$a if appropriate.

Data Element	Name	AACR2 > RDA Action
490	Series statement	Check for and assure/supply ISSN and numbering of series and of subseries. (LC Core+)
505	Formatted contents note	Supply contents note for compilations when appropriate. (LC Core+)
520	Summary note	Supply if resource is fiction intended for children. (LC Core+)
521	Intended audience	Supply if resource is intended for children. (LC Core+)
546	Language/script	Supply for some situations/scripts. (LC Core+)
7XX	Added entry (authorized access point) fields for names of persons, families, and corporate bodies	Assure/add access points for illustrator(s) of a resource intended for children. (LC Core +) Use the Appendix I designator "illustrator" in MARC 21 subfield \$e. If the field already contains the code "ill" in subfield \$4, add the term in subfield \$e preceding subfield \$4: "..., \$e illustrator. \$4 ill" Remove 7XX for creator if moved to 1XX position per RDA.
7XX**	Added entry (authorized access point) fields for related works and expressions	If the resource is a compilation, assure/add an authorized access point for the first or principal work/expression if it is substantial. Assure that any subfield \$i containing an Appendix J designator is the first subfield in the field.
775**	Other edition entry (related manifestation)	For a reproduction, give information about the original publication when the earlier record is available; otherwise, use bibliographic history note (500). (LC Core+)

**B13.13.2.3 RDA Records**

An imported record should be kept as RDA and processed by an RDA-trained cataloger or technician (AACR2 catalogers and technicians in your section/division will refer RDA records to you). Most RDA records imported from OCLC will be full or fuller level records, although some less than full RDA records may be found.

*B13.13.2.3.1*

*Z-Processor tip*

When importing an RDA record from OCLC, Z-Processor will recognize

the encoding level and language of cataloging of the record and will generally identify the correct cataloging stream:

- **OrigRes**—indicates that the record is a lower-level record and/or the language of cataloging is other than English. Process the record as full level RDA.
- **Copycat**—indicates that the record is a fuller-level record and the language of cataloging is English. Process the record as a full level RDA record, with 042 = lccopycat. Exceptionally, process according to "encoding level 7 lccopycat" procedures (DCM B13, Appendix 7).
- **PCC Adapt**—indicates that the record is a fuller-level record and the language of cataloging is English. Process the record as full level RDA.
- **OrigCop**—indicates that an existing LC RDA record for another edition can be used to create a new full level RDA record.
- **CIP verification**—when using the special CIP Z-Processor to import a verified version of a CIP record, an existing RDA record must be processed as RDA.

*B13.13.2.3.2*

*Checklist 2: Using an imported RDA record*

The following table summarizes the data elements to be checked or changed when an RDA record is imported. The list includes typical "LC Core+" elements that the cataloger or technician should add if not present.

Also apply the guidelines in DCM B13 for fields not included in this table (e.g., 041, 043, 050, 504, subject headings), including the "pass through" concept for elements not generally supplied by LC. Remember that LC copy cataloging focuses on accepting the cataloging of other libraries as much as possible, limiting changes to egregious errors.

If an RDA-trained technician is importing the RDA record,

- fields marked with a double asterisk should be discussed with an RDA-trained cataloger;
- the record should be referred to an RDA-trained cataloger if authorized forms are not available in the LC/NACO Authority file for the following fields in the bibliographic record: 1XX, 240, 600-630, and 7XX fields other than the 775 and those for analytical authorized access points (7XX indicator 2 = 2);
- if "Encoding level 7 lccopycat" technique is to be used, follow your section/division practice for referring access points to a cataloger, as applicable.

Data Element	Name	RDA > RDA Action
Ldr/18	Descriptive cataloging form	Assure "i" (ISBD)
040 \$b	Language of cataloging	Add "eng" if not present
040 \$e	Description conventions	Assure "rda" (and "dcrmb" if appropriate)
042 \$a	Authentication code	Assure "pcc" or "lccopycat" as applicable (retain "lcode" as appropriate)
240**	Uniform (preferred) title	The most likely situations needing attention: (1) If the resource is a translation, ensure the presence of the preferred title of the original and only one language name in subfield \$l. (2) If the resource is a compilation of works by one creator, ensure the presence of the correct form of the conventional title if appropriate.
245	Title proper, etc.	Add missing other title information if presented with title proper in the resource. (LC Core+) Add missing parallel title(s) from any source in the resource. (LC Core+) Ensure the presence of the first statement of responsibility from any source in the resource.
246	Variant title	Consider adding a 246 field for the corrected form of title when errors were transcribed in the title proper.
246	Later title proper	Add for later titles of a multipart monograph. (LC Core+)

Data Element	Name	RDA > RDA Action
264/260	Publication information	<p>\$a Ensure that first place of first publisher is transcribed as found in the resource, supply a place of publication, or use "[Place of publication not identified]".</p> <p>\$c Ensure that date of publication is given even if it is a supplied date (e.g., it may be necessary to convert a copyright date to a supplied publication date). If no publication date can be supplied, record "[date of publication not identified]" and record another type of date in a subsequent 264 field. Supply missing parts of publication, distribution, manufacture statements when necessary for understanding.</p> <p>Multipart monographs: an existing 260 field (the RDA record was created before field 264 was defined) may be changed to a 264 when adding additional 264 fields at the cataloger's discretion, presuming the cataloger has enough information to select the appropriate 2nd indicator value.</p>
300	Physical description	Assure \$b identifies illustrations if resource is intended for children. For incomplete multipart monographs, give only "volumes" in \$a; ensure that volume being processed is represented by an item record. Ensure that subfield \$c is present. (LC Core+)
336	Content type	Assure \$a text \$2 rdacontent Accept \$b if present; accept other \$a if appropriate.
337	Media type	Assure \$a unmediated \$2 rdamedia (LC Core+) Accept \$b if present; accept other \$a if appropriate.
338	Carrier type	Assure \$a volume \$2 rdacarrier Accept \$b if present; accept other \$a if appropriate.
490	Series statement	Check for and assure/supply ISSN and numbering of series and of subseries. (LC Core+)
505	Formatted contents note	Supply contents note for compilations when appropriate. (LC Core+)
520	Summary note	Supply if resource is fiction intended for children. (LC Core+)
521	Intended audience	Supply if resource is intended for children. (LC Core+)
546	Language/script	Supply for some situations/scripts. (LC Core+)

<b>Data Element</b>	<b>Name</b>	<b>RDA &gt; RDA Action</b>
7XX	Added entry (authorized access point) fields for names of persons, families, and corporate bodies	Assure/add access points for illustrator(s) of a resource intended for children. (LC Core +) Use the Appendix I designator "illustrator" in MARC 21 subfield \$e. If the field already contains the code "ill" in subfield \$4, add the term in subfield \$e preceding subfield \$4: "..., \$e illustrator. \$4 ill"
7XX**	Added entry (authorized access point) fields for related works and expressions	If the resource is a compilation, assure/add an authorized access point for the first or principal work/expression if it is substantial. Assure that any subfield \$i containing an Appendix J designator is the first subfield in the field.
775**	Other edition entry (related manifestation)	For a reproduction, give information about the original publication when the earlier record is available; otherwise, use bibliographic history note (500). (LC Core+)



## INTRODUCTION

These instructions address the creation and update of name and series authority records (**NARs and SARs**). They do not address subject authority records. For the purposes of this document, “authority record” applies to both name and series authority records. “Authority file” applies only to the name and series authority records that constitute the LC/NACO authority file (LC/NAF).

LC staff members and libraries participating in the Name Authority Cooperative (NACO) component of the Program for Cooperative Cataloging (PCC) contribute records to the authority file.

In constructing **authorized access points, variants**, and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records in the file against which the searching and cataloging is being done: OCLC, British Library, **SkyRiver**, etc. NACO participants may choose to use only LC records found in the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the “LC database” (see the 670 section **of this document**). In this document, “database” refers to whatever file is being used for searching and cataloging.

Use this document (DCM Z1) in connection with **RDA: Resource; Description and Access, Library of Congress-Program for Cooperative Cataloging Policy Statements (LC-PCC PS)**, and other sections of the *Descriptive Cataloging Manual* (DCM). **This document** supplements the MARC 21 Format for Authority Data and generally does not repeat information found in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol “#” represents a blank in an indicator position; the symbol “\$” is used for the delimiter.

This Introduction covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Additions and changes to authority records
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series Statement appears only on ECIP data view at galley stage
- Priorities for series/multipart items
- Searching series

### Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized **access point**

(MARC 21 field 1XX), 2) the sources for justification of the authorized access point, including additions that are part of the authorized or variant access points included in the NAR (MARC 21 field 670), and 3) any related access points used to express relationships (MARC 21 fields 4XX/5XX). Additional information may be recorded in fixed fields (008) and in note areas of the authority record (MARC 21 fields 667, 675 or 678). Optional MARC fields such as 046 and 3XX may also be given. Control data and content designation are also included for proper identification and manipulation of the data.

NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, topical subject headings, or geographic features. Under RDA, a name may be used and an authority record may be created for entities that were formerly only used as subjects such as, family names, fictional characters and non-human entities (e.g., animals) when these purport to be responsible for the creation of, contribution to, etc. a work or expression.

Generally, make a name authority record for any person, corporate entity (including geographic), or family name that may be used as an access point in a bibliographic record, whether the name is actually first used as a descriptive or subject access point. Under certain LC workflow procedures, e.g., Minimal Level Cataloging, an authority record may not be created for every access point assigned.

NACO libraries are not obligated to contribute authority records for every access point generated by their cataloging. However, any NAR contributed to the LC/NAF must have all necessary elements of the access point established in the following cases:

All bodies that are part of an established hierarchy; e.g., when establishing a corporate entity that is entered subordinate to its parent body, the parent body must also be established. In other words, if an NAR for the parent body or an intervening subunit is not present in the LC/NAF, it must be established. This means that more than one NAR will be created for the LC/NAF, and some of those headings may not be used in bibliographic records.

All bodies added to the NAR to reflect a relationship with the 1XX ; e.g., if an entity is entered independently and a variant form is given through a higher body or bodies, the higher body/bodies needs to be represented in the authority file as well. Thus, catalogers may need to create other NARs in addition to the one needed for use in the catalog even if that name is not used on a bibliographic record.

All names and corporate bodies used in a related entry (5XXs) must also be represented in the authority file. For example, when establishing a name for an author who uses a pseudonym, or a corporate heading representing an earlier and later change of name, the cataloger will need to connect the headings by means of see also references. In order to avoid blind references, the cataloger will need to make sure that the corresponding heading is established.

Names used in some qualifiers, such as geographic names used in locations on conference headings, must also be established before they can be used.

Certain elements of a name/title access point must also be established; e.g., when an

NAR for the **conventional** collective title “Works” is created under an author who is not established in the LC/NAF, an NAR for the author must be contributed as well.

Additional guidelines for the creation of titles **of works or expressions** are listed below:

*LC practice:* For titles or name/titles, an authority record is **often made** when one or more of the conditions listed below applies. Apply these criteria to each element of the full **access point** (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria.

- (1) a reference **will** be traced on **that** authority record; or,
- (2) **extensive** research done to establish that heading must be recorded; or,
- (3) the heading is needed for a related work **access point** or subject entry and the **related** work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC; or,
- (4) **certain** information needs to be recorded, e.g., citation title for a law.

Note: Currently, authority records are **not** automatically created for each element of a uniform title heading e.g., when creating a name/title NAR for an expression record such as: Queneau, Raymond, 1903-1978. \$t Fleurs bleues. \$l English it is not necessary to create an NAR for the work record: Queneau, Raymond, 1903-1978. \$t Fleurs bleues.

*LC music cataloging practice:* As of August 16, 1999, authority records are created for ALL title and name/title headings. When a name/title see also reference needs to be made, make an authority record for the name/title referred from if such a record had not been made in accordance with the above guidelines.

*PCC practice:* NACO participants may contribute name authority records for **works or expressions** as needed for cataloging.

#### Series authority records (SARs)

**NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.**

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

A series-like phrase record also can be made to record information of general interest or application, e.g., the 1XX in the record is an imprint rather than a title.

A series authority record has the following basic contents: 1) type of series code (i.e., monographic series, analyzable multipart item, a serial other than a monographic series, series-like phrase), 2) form of heading, 3) series treatment (classification, analysis, and tracing), 4) series numbering, 5) an LC call number, if classified as a collection, 6) place of publication and publisher/issuing body, 7) the source(s) on which the form of series heading is based, 8) cross references leading to the heading from variant forms and from/to related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of data.

Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file that accommodates holdings and practices of other institutions.

Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Because series treatment decisions in an institution can change, certain series treatment fields provide the means for indicating variations in practice within an institution.

In August, 2008, the PCC Steering Committee approved a recommendation to allow the creation of post-cataloging series authority records. The intent is to allow libraries to do series authority control after cataloging without the piece in hand when authority control was not done at the time of cataloging. When a title is first cataloged, the series statement in the bibliographic record is formulated while examining the piece. Post-cataloging authority records are created based on that series statement by catalogers who are fully trained and authorized to contribute series authorities. The authority file must be consulted at that time to prevent conflicts, add qualifiers, etc. It is recognized that SARs created post-cataloging may lack some references, so they are to be coded as preliminary records. They must also have a nonpublic general note indicating their origins. The authorized form is then added as a series tracing to the bibliographic record.

#### *Additions and changes to authority records*

Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

Normally a new reference or a change in **the authorized access point** must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

In order to minimize the impact of database maintenance with associated bibliographic records and/or **related** authority records, catalogers are urged to refrain from making unnecessary changes to 1XXs. Although there are guidelines in the **RDA instructions** and/or **LC-PCC PSs** that indicate when changes are or are not necessary, the necessity for other changes may be evident only to the agency making the change (for example, to break a conflict when the searching universe for the changing agency and the agency observing the change are different). Assume that such changes are valid.

Change an authority record when errors in **the authorized access point** or **in a variant access point** is discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, **preferred** title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of **a primary access point**, and title proper do not require changes to authority records created for CIP items.

### NACO normalization

When a new authority record is added to the authority file **or when a new field is added to an existing NAR**, each **new access point** is compared against **access points** already in the file to determine whether the new **access point** is adequately differentiated from existing **authorized access points**. All partners involved in the exchange of LC/NAF authority data have agreed to a specific set of rules for normalization, and these rules are posted at:  
<http://www.loc.gov/aba/pcc/naco/normrule-2.html>

**Briefly**, the process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters and subfield codes are retained in the normalized form. The normalized form of **the name** differs from the authorized form of the **name as an access point**. For example:

<b>Authorized form:</b>	Île-de-Montréal (Québec)
<b>Normalized form:</b>	ILE DE MONTREAL QUEBEC

The only mark of punctuation that is retained during normalization is the first comma in subfield \$a. This exception means that the following two **access points** normalize to different forms:

<b>Authorized form:</b>	Chung, Hui
<b>Normalized form:</b>	CHUNG, HUI

Authorized form: Chung-hui  
 Normalized form: CHUNG HUI

To conform to the NACO standard, participants must adhere to the following policies:

**Authorized access points.** If **access points** do not differ after character normalization rules have been applied, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished **after exhausting all remedies identified in RDA**, create an undifferentiated personal name authority record. The **authorized access point** can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

```
100 1# $a Ku, Chun
400 1# $a Gu, Zhun
400 1# $a Gu, Qun
670 $a [Editor of Hsia jih ti hui i]
670 $a Lo, Y.L. Hsia jih ti hui i, 1977: $b t.p. (Ku
      Chün)
670 $a [Joint author of Chung-kuo cheng fu k uai chi
      chih tu]
670 $a P'an, H.L. Chung-kuo cheng fu k uai chi chih tu,
      1941: $b t.p. (Ku Chun)
```

Form of **access point** on bibliographic records for the first author: Ku, Chün.

Form of **access point** on bibliographic records for the second author: Ku, Chun.

**Variants.** Do not trace a 4XX **variant** that normalizes to the same character string as an existing authorized **access point in the 1XX** in the **LC/NAF**, including the **access point** in the record to which the **variant** is made. This policy also applies to the *optional linking variants to forms of the name created under previous cataloging rules*. If a linking **variant** and the **access point** in the same record normalize to the same form, do not trace a 4XX linking **variant**.

4XX **variant access points** are allowed to conflict across records, but a 4XX **variant**

**access point** should not conflict with another 4XX on the same record. Apply these guidelines to **variants** on new authority records and to existing authority records when making some other change to the record.

*Should an SAR be made?*

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

Series authority records should not be made for the following categories:

- (1) a republication that does not include the original series statement (see “Republications” section in 64X yellow pages);
- (2) generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;
- (3) a hardcover (sometimes even softcover) edition of a selected issue of a periodical.

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers. The Library generally acquires the separate edition whether or not it subscribes to the periodical.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., “Published also as v. 15, no. 2 of the Journal of children in contemporary society.” Give a related work added entry for the periodical on the bibliographic record (cf. LCRI 21.30G).

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title “has also been published as [title of journal], v. \_\_\_\_\_, no. \_\_\_\_\_.” Others make

ambiguous or misleading statements, e.g., saying that the edition is “Published as a special issue of the journal \_\_\_\_\_, v. \_\_\_\_\_, no. \_\_\_\_\_ and supplied to subscribers as part of their normal subscription.” The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

*How many SARs should be made?*

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

Because the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.

- (1) How many authority records are made if the title or the series-like phrase changes?

Is the change in the series-like phrase or in the title proper of the monographic series/other serial a major change or a minor change? (Consult AACR2 21.2C, LCRI 21.2C.) If it is a major change, make a new SAR. If it is a minor change, give a 670 citation and a 4XX reference for the different form.

Is a separate SAR made when the title of a multipart item changes? No; give the other title proper as a 4XX reference.

- (2) How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.
- (3) How many authority records are made if the same volumes in a series are published separately by publishers in the same language in the United States and in another country (e.g., England)? A separate SAR is made for the series from each publisher; if the titles of the series are the same, add a LCRI 25.5B qualifier to the SAR made later.

- (4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 25.5B.
- (5) How many authority records are made for main series and subseries? Consult LCRI 1.6H and LCRI 1.6.
- (6) Has there been a change in responsibility (i.e., different person/body, body's name changes, uniform title changes)? Consult 21.3B.
- (7) When reestablishing a series, is the apparent difference between the “earlier” form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the “earlier” form as a 4XX/667 old catalog heading (see 4XX yellow pages).

Possibilities include the following:

- (a) A change in the ALA/LC policy for romanization or word division results in a different title.

```
130 #0 $a Makedonikē vivliothēkē
430 #0 $w nna $a Makedonikē bibliothēkē
```

- (b) The title is in a language containing a symbol or numeral that under earlier rules was replaced by the corresponding word or words.

```
130 #0 $a Soldatenschicksale des 20
    Jahrhundert als Geschichtsquellen
430 #0 $w nna $a Soldatenschicksale des
    zwanzigsten Jahrhunderts als
    Geschichtsquellen
```

- (c) The title of the series was transcribed in truncated form under previous rules.

```
130 #0 $a Occasional papers of the California
```

Academy of Sciences

410 2# \$w nnaa \$a California Academy of  
Sciences, San Francisco. \$t  
Occasional papers

- (d) The series title consists solely of the name of a corporate body and the same form of the same series was under earlier rules considered to lack a title.

130 #0 \$a Centre de recherches d'histoire  
ancienne (Series)

410 2# \$w nnaa \$a Centre de recherches  
d'histoire ancienne. \$t Publication

(pre-AACR2 form of heading: Centre de  
recherches d'histoire ancienne.  
[Publication])

- (e) Evidence indicates that a word such as Bibliotheca, Collection, Edice was always present as the first word of the title but was not considered to constitute a part of the title proper.

- (8) How many series-like phrase heading SARs are made for the same phrase used by different bodies?

There should be only one SAR. If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing heading any qualifier other than “(Series).”

If the heading on an undifferentiated phrase record consists of a combination of letters that is the same as an acronym/initialism or name of a corporate body, use the qualifier “(Series).” If the heading on an undifferentiated phrase record conflicts with the title of a serial (monographic series or non-analyzable serial), add a qualifier to the heading for the serial on its bibliographic record.

Give the 643 field as “Various places : various publishers.” Do not give a 667 for publisher variations.

Include two 667 fields. The first should be either “Give phrase as a quoted note” or “Do not give phrase as quoted note.” The second 667 should be the following: “Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made.”

*Series statement appears only on ECIP data view at galley stage (LC partner practice)*

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

(1) Series is new to the Library.

Return the ECIP data view to CIP Division with request that CIP return the data view to publisher to “refresh” associated text file to include the series information.

(i) When revised copy is received, establish series according to regular partner procedures.

(ii) If revised copy is not received within five to eight work days, the ECIP Data Application will be deleted automatically from ECIP system and publisher will be required to resubmit in order to obtain CIP data for the item. Cancel any CIP record which may have been created in the partner database.

(2) Series is already represented by an SAR.

(a) Series title on data view matches form of title in the SAR: Transcribe the series statement without brackets in the bibliographic record. Trace the series if appropriate according to regular partner procedures.

(b) Series title on ECIP data view is considered to be variant form of the title in the SAR:

(i) Clarify the data with publisher, transcribe the series statement without brackets, and trace the series if appropriate according to regular partner procedures.

(ii) Add reference(s) to the SAR for any valid variant form.

(c) Series title on ECIP data view might represent a title change or situation might require a change in heading from that in the SAR:

(i) Clarify the data with publisher and, if appropriate according to regular partner procedures, return the CIP data view to CIP Division with request that CIP contact the publisher (see (1) above for procedures to follow).

(ii) When information from publisher is received, follow regular partner procedures and either add information and reference(s) to the existing SAR or create a new SAR as appropriate.

(iii) If information is not received within five to eight work days, the ECIP Data Application will be deleted automatically from the ECIP system and the publisher will be required to resubmit in order to obtain CIP data. Cancel any CIP record which may have been created in the partner database.

(3) Series is represented by analytic bibliographic records but there is no SAR: Create SAR for series according to regular partner procedures.

### Searching series

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will “fit” and not conflict with headings on authority and bibliographic records (also see LCRI 25.5B).

Remember that the bibliographic records in the database include series handled under different cataloging codes. Some of the differences affecting series access are summarized below.

Choice of entry:

AACR 1 had a special rule for serials. Generic titles were

entered under body. Titles containing name or initialism of body were entered under body.

AACR 2 has no special rule for serials. Most are entered under title per 21.1C1.

Title truncated:

For a time AACR 1 eliminated from the series title the name or part of the name of the body. “Bulletin of the Department of Education” became “Bulletin.” “Research Department study” became “Study.”

Space-hyphen-space:

Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change from one issue to the next). “Report - Department of Health” might be “Report - Virginia Department of Health” on the next issue and “Report - Commonwealth of Virginia Department of Health” on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:

AACR 1: If subseries title was “weak,” the subseries was entered subordinately to the main series; if subseries title was “strong,” the subseries was entered independently.

AACR 2: If the main series and subseries are on the same source in the preliminaries, the subseries is entered subordinately to the main series; if the main series and subseries aren't on the same source in the preliminaries, the subseries is entered independently.

Also remember that series titles including initial articles appearing on pre-1979 records and in series statements for untraced series (490 0) do not have the filing indicator set for the initial article. If the series title on item in hand includes an initial article, do a search including the initial article as well as a search without it.

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**008/10 Descriptive Cataloging Rules***General*

LC and NACO catalogers will adhere to the *PCC Post RDA Test Guidelines* at: <http://www.loc.gov/catdir/pcc/PCC-Post-RDA-Test.html> and the LC-PCC PSs available in the RDA Toolkit and Cataloger's Desktop.

As of **March 31, 2013** LC and PCC catalogers will **only** use code "z" in **newly created** NARs and SARs.

When older NARs using codes "a", "b" or "d" are modified, upgrade them to comply with RDA and change the 008/10 code accordingly.

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**008/11 Subject Heading System/Thesaurus***General*

When applying RDA Chapter 10 for family names assure that the NAR 008/11 is set to “n.”

*Corporate **names** for high government and religious officials*

Assign value “n” (Not applicable) to name authority records for corporate **names** representing the office held for Heads of state, heads of governments, **etc.**, International intergovernmental bodies, Religious officials, and Popes when the name of the incumbent is included as part of the **authorized access point**. Also assign value “b” in 008/15, and make a 667 note indicating the form of the **access point** used in subject cataloging.

*Examples of corporate **names** not appropriate for use as subject headings:*

United States. President (1953-1961 : Eisenhower)  
Iran. Shah (1941-1979 : Mohammed Reza Pahlavi)  
Illinois. Governor (1973-1977 : Walker)  
Catholic Church. Pope (1958-1963 : John XXIII)  
Church of England. Diocese of London. Bishop (1675-1713 : Compton)

See also DCM Z1 008/15 and the DCM Z1 667 section “NARs and subject usage.”

Follow these guidelines for newly-created NARs. **Make these changes also when modifying existing name authority records for any reason.**

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**008/15 Heading use – Subject Added Entry***Family names*

When applying RDA Chapter 10 for family names, assure the NAR 008/15 code is set to “b.”

*Corporate names for high government and religious officials*

**Background:** For Heads of state, heads of governments, etc., International intergovernmental bodies, Religious officials, and Popes, descriptive catalogers may be required to establish an **authorized access point for the corporate name** for the office as well as a personal name for the office holder. It is subject cataloging policy to assign only the personal name, not the corporate name, as a subject access point. This policy was established for collocation purposes (cf. SHM H 430). For example:

United States. President (1789-1979 : Washington)

may be used in descriptive cataloging as an access point, but in subject cataloging only the personal name:

Washington, George, 1732-1799

would be used as a subject access point.

Assign value “b” (Not appropriate) to name authority records for corporate **entities representing the office held for Heads of state, heads of governments, etc., International intergovernmental bodies, Religious officials, and Popes when the name of the incumbent is included as part of the entry.** Also assign value “n” in 008/11, and make a 667 note indicating the form used in subject cataloging.

*Example:*

```
110 2# $a Catholic Church. $b Pope (1958-1963 : John XXIII)
008/11 = n
008/15 = b
667 ## $a SUBJECT USAGE: This heading is not valid for use
as a subject. Works about this person are entered
under John XXIII, Pope, 1881-1963.
```

See also DCM Z1 008/11 and the DCM Z1 667 section “NARs and subject usage.”

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

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**008/32 Undifferentiated Personal Name**General

When creating an NAR for a family name assign value "n" in 008/32.

As of January 2013 LC and PCC have agreed to the following guidelines pending the recommendations of the final report of the PCC Non-MARC Task Group. LC/PCC catalogers encountering names that may be candidates for an undifferentiated personal name authority record are asked to follow these guidelines:

**RDA-trained NACO Catalogers:**

Avoid if at all possible creating new RDA undifferentiated personal name authority records.

Avoid if at all possible adding names to existing RDA or AACR2 undifferentiated personal name authority records

Instead, apply one of the following RDA instructions to create a unique authorized access point for the person:

Ascertain if a date of birth, a date of death, a fuller form of name, or an initial is available to enable creation of a unique authorized access point for the person.

If none of the attributes above is available, assign value "b" if the NAR is to be used for more than one person according to RDA. Do not change the 1XX field in an undifferentiated name authority record. When information is found to distinguish a person included in an undifferentiated name record, always create a new name authority record for that person. Delete information pertaining to that person from the undifferentiated name record.

OR

RDA 9.19.1.6 (Profession or Occupation)

RDA 9.19.1.5 (Period of Activity of the Person)

Add a 667 note to the new NAR to identify the LCCN of the authority record in which information about that person had been recorded:

```
667 ## $a Formerly on undifferentiated name record: [LCCN of
undifferentiated name record]
```

From April 1988-mid-June 1990 LC policy for undifferentiated personal name authority records (formerly called non-unique name authority records) was to list up to three persons. If the heading represented four or more persons, the name authority record covered three persons and contained a 667 note "Record covers additional persons." The current LC policy is to list each person the heading represents without regard to the number of people using that name. Although the note "Record covers additional persons" has been discontinued for new records, it should be retained when found on existing records.

When an undifferentiated personal name authority record is being revised to delete all but one name, change value "b" to "a." Delete all of the other data applying to the name(s) being deleted from the authority record. Also delete the bracketed caption for the one name remaining.

When an authority record for a single person is being revised to include another person, change the value from "a" to "b."

### SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

Prior to March 21, 1991, only value "n" was used in this field. Use value "a" or "b" if a new SAR is entered under a personal name heading. Catalogers may change this field if the value is incorrect when updating the SAR for another reason.

## 040 Cataloging Source

As of March 31, 2013 all new Name Authority Records added to the LC/NAF should contain subfield \$e rda in 010. When adding the subfield \$e manually, add it after subfield \$b and before \$c. It is not necessary to move the subfield \$e to this position if it is already present elsewhere in the NAR or if it is added by a macro or template. If subfield \$b eng is not already present in the record, add it after subfield \$a and also assure that 008/10 is coded z.

### *Subfield \$b – Language of cataloging*

Add subfield \$b eng when otherwise modifying NARs or SARs that do not contain this subfield.

### *Subfield \$d – Modifying agency*

Add subfield \$d [MARC 21 code] when modifying NARs or SARs unless your institution's is already the last MARC subfield \$d in the 040 field.

### *Subfield \$e – Description conventions*

Use subfield \$e rda in NARs and SARs when fixed field 008/10 (Rules) is set to “z” (Other).

NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to use 008/10 “z” and 040 subfield \$e rda.

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**046 Special Coded Dates**General

Best practice: When encoding date information, give the fullest information about the date that is readily available. The date in **an** 046 may be more precise than a date used in the 100 subfield \$d. When revising existing authority records, record dates in **the** 046 when the information is readily available even if the **authorized access point** itself does not have dates in the 100 subfield \$d.

When supplying dates in field 046, use ISO 8601 and supply dates using the pattern yyyy, yyyymmdd or or yyyy-mm. For probable, uncertain, and approximated dates use the Extended Date Time Format (EDTF) schema, specifying that source in subfield \$2 (edtf). See date table in LCPS 9.3.1.3.

## Examples:

```
046 ## $f 18900101 $g 19850308
100 1# $a Ramdohr, Paul,$d 1890-1985
670 ## $a Wichtige neue Beobachtungen an Magnetit, Hämatit,
      Ilmennit und Rutil, 1939: $b t.p. (Paul Ramdohr)
      preface (b. Jan. 1, 1890; d. Mar. 8, 1985)

046 ## $s -0199~ $2edtf
100 0# $a Hellenicus $c (Grammarian),$d active
      approximately 200 B.C.
670 ## $a Brill's new Pauly online, Aug. 2, 2011 $b
      (Hellenicus; Alexandrian grammarian; ca. 200 BC)

046 ## $f 1946-06
100 0# $a Vickers, Roy Henry, $d 1946-
670 ## $a Solstice, c1988: $b t.p. (Roy Henry Vickers) jkt.
      (native Indian artist; b. June, 1946, Greenville,
      British Columbia)
```

Subfield \$2 - Source of date scheme

When using the EDTF schema, add subfield \$2 edtf

Note that the 046 field must be repeated when subfield \$2 does not apply to all dates.

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

The following represents PCC practice on recording sources of information in \$u and \$v in fields where they are defined, and/or in field 670:

1. 670s must be **provided** to support information used as part of an **access point** in 1XX and 4XX. (cf. 670 section of the DCM for more information)
2. For 046, 37X, 381:
  - a. use of \$v is optional if the same information/source is already cited in the 670

- b. use \$v if the information/source is not cited in a 670
- c. use of \$u is optional, and should always be preceded by \$v.

Subfield \$v – Source of the Information

Follow the same basic citation principles when recording data in subfield \$v (Source of information) of fields 046, 37X and 381 that currently apply to field 670 subfield \$a (Source citation).

Supply specific citation information (page number, sub-page of website) in subfield \$v if, in the cataloger's judgment, this greater specificity is needed to find the information within the source cited.

If the information in 046, 37X, 381 is in the same form as found in the source, there is no need to cite usage information. If the information recorded in 046, 37X, 381 is in a different form from that in the source, use 670 \$b (Information found).

*For tangible sources:*

If the information was derived from a tangible source (e.g., a print book, removable digital media) subfield \$v should contain sufficient information for a cataloger to find the item cited in a catalog or bibliographic database. This can usually be limited to title proper and imprint or date. If that combination is not unique, the title citation may be preceded by the preferred access point form of the creator's name.

*For online resources:*

Provide information sufficient to find the resource via a search engine. Include either title and publication date (if it is a formally-published resource, such as an e-book) or a suitable description of the document and date accessed (for a less formal resource). Optionally include subfield \$u.

For example:

```
100 1# $a Lazzarini, Sérgio G.
372 ## $a Industrial relations $2 lcsb $v Lazzarini, Sergio G.
CV-English, viewed Feb. 22, 2012 $u
http://www.sergiolazzarini.insper.edu.br/indexelazza.html
670 ## $a Capitalismo de laços, 2011: $b t.p. (Sergio G.
Lazzarini)
```

## 1XX Headings

### General

When modifying an authority record for any reason, delete a final mark of punctuation in the 1XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Note: in order to minimize the impact of database maintenance with associated bibliographic records and/or **related** authority records catalogers are urged to refrain from making unnecessary changes to 1XXs.

### NARs

#### Canadian Headings: RDA

As of August 2012 LC and PCC catalogers creating RDA name authority records are not required to search Library and Archives Canada (LAC) to determine the form of the authorized access point for either personal or corporate names. **In cases of conflict, etc. a search for the LAC form of name may be conducted in the VIAF (viaf.org) or other databases.**

### SARs

**NOTE: All series information recorded in DCM Z1 is under review by the PCC**

*LC series practice:* As of June 1, 2006, LC does not create or update SARs

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

When creating an SAR for an entity already represented by an existing NAR, either cancel the NAR or convert the NAR to an SAR.

When trying to decide if a publication is a series or a multipart item, consult the "Multipart Item vs. Series" guidelines in LCRI 1.6.

For the title proper of a multipart item, consult AACR2 1.0A2b.

#### Choosing a monographic series title proper:

(1) If the item in hand has more than one form of series title, consult AACR2 1.6B2 and .0B2 in the AACR2 chapter for the material being cataloged (.0B3 in ch. 3 & 12).

(2) If the item in hand has the series title in more than one language or script on the same source, consult AACR2 1.1D2 and its LCRI.

(3) If the item in hand has series title pages in more than one language and or script and the series title appears on each of the sources in the appropriate language or script, consult AACR2 1.0A3a)ii).

(4) Consider spacing and changes in typography when determining where the series title begins and ends. Also consult AACR2 12.1B3 and its LCRI.

Establishing an SAR heading:

(1) Determine choice of entry based on chapter 21 of AACR2.

(2) Exclude from the heading the following information included in the series statement in the analytic bibliographic record:

- (a) initial article in subfields \$a, \$t, \$n, and \$p;
- (b) other title information;
- (c) statement of responsibility;
- (d) parallel title(s);
- (e) ISSN;
- (f) numeric/chronological designations.

(3) Add a parenthetical qualifier(s) if appropriate according to the guidelines in LCRI 25.5B.

(4) If you found a CONSER record,

(a) do not use a heading from a record in the following categories:

- 010 prefix is "cf"
- 010 prefix is "cn" and 040 \$b is "fre"

(b) use the choice and form of entry on records with 042 code of **lc**, **lcd**, or **pcc** as the heading unless there is a clear-cut error. An error in form of qualifier may be corrected; choice of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator ([lhaw@loc.gov](mailto:lhaw@loc.gov)) if an error is discovered; use the correct heading on the SAR.

**100 Heading - Personal Name**Family names

When following RDA Chapter 10, LC/NACO catalogers will use first indicator 3 when creating NARs and SARs for family names. 008/11 should be set to value “n” and 008/15 should be set to “b”.

Per LCPS 10.0, when creating family names add a 667 noting subject usage:

```
667##$a SUBJECT USAGE: This heading is not valid for use as a
subject; use a family name heading from LCSH.
```

Subfield \$g – Miscellaneous Information

When giving the name of a prominent member of a family in subfield \$g, give the form for the person found in the NAR for the person. Do not include any internal subfield coding in subfield \$g.

Order of subfields in 100 field

There is no prescribed MARC order for the subfields beyond subfield \$a in the X00 fields. RDA 9.2.2.9.5 provides guidance for the placement of words indicating relationship (e.g., Jr.) and MARC defines subfield \$q as “fuller form of name.” When providing multiple additions to the name generally follow these guidelines:

- 1) Subfield \$d (date) should always be the last element in a 100 string unless the term (Spirit) is being added to the name. Add \$c (Spirit) as the last element in a 100 string.

Example:

```
100 0# $a Elizabeth $b I, $c Queen of England, $d
1533-1603 $c (Spirit)
```

- 2) Generally add subfield \$c before subfield \$q when also adding words, numerals, etc. indicating relationship. (See RDA 9.2.2.9.5 for treatment of Portuguese names)

Example:

```
100 1# $a McCauley, Robert H., $c Jr. $q (Robert
Henry), $d 1913-1979
```

BUT

```
100 1# $a M. Alicia $q (Mary Alicia), $c Sister,
S.C.N.
```

- 3) For exceptional situations, such as when subfield \$a contains only a surname or only a forename or the name includes a prefix, etc. consult LC-PCC PS 1.7.1, section *Access points for persons in name authority and bibliographic records*, paragraph 3c.

Fictitious and non-human entities

When applying LC-PCC PS 9.0 for fictitious entities and non-human entities assure that 008/11 is set to value “n” and that 008/15 is set to value “b”. Add a 667 noting subject usage:

667##\$a SUBJECT USAGE: This heading is not valid for use as a  
subject; use a fictitious character heading from LCSH.

SARs

LC series practice: As of June 1, 2006, LC does not create or update SARs.

**368 Other Attributes of Person or Corporate Body***General*

Prefer a controlled vocabulary for terms, recording the source in subfield \$2. For consistency, capitalize the first term in each subfield \$a, \$b and \$c.

**Do not record professions or occupations in subfield \$c (Other designation). Profession or occupation may be recorded in field 374.**

Until further notice LC/PCC catalogers should NOT supply the following subfields: \$d (Title of person, \$s (Start period), \$t (End period), \$u (Uniform Resource Identifier), and \$v (Source of Information).

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**370 Associated Place**General

Use the established form of a geographic place name as found in the LC/NAF, with the same adjustments as when using the place name as a parenthetical qualifier to names:

- a) Omit the type of jurisdiction or other designation (see LC-PCC PS 11.3.1.3).
- b) Do not enclose a larger jurisdiction in parentheses; instead separate it from the place name by comma-space.
- c) Abbreviate the names of countries, states, provinces, territories, etc., as instructed in RDA Appendix B.11, as applicable.

## Examples:

Geographic name in LC/NAF with type of jurisdiction:

151 ## \$a Washington (State)

Form of name in 370:

370 ## \$f Wash.

Geographic name with other designation in LC/NAF:

151 ## \$a Korea (South)

Form of name in 370:

370 ## \$c Korea

Geographic name in LC/NAF with larger jurisdiction:

151 ## \$a Shiner (Tex.)

Form of name in 370 without parentheses:

370 ## \$a Shiner, Tex.

Geographic name in LC/NAF:

151 ## \$a United States

Form of name in 370 abbreviated:

370 ## \$c U.S.

If the place name is **not** found in the LC/NAF, formulate it according to the current cataloging guidelines being used. It is **not** necessary to create a NAR for the name used in the 370.

Subfield \$2 – Source of term

If the place is not a jurisdiction, indicate the source of the place name in subfield \$2.

## Example:

Geographic name in LCSH:

151 ## \$a Whidbey Island (Wash.)

Form of name in 370:

370 ## \$a Whidbey Island, Wash. \$2 lcsch

When using subfield \$2, repeat the 370 if subfield \$2 does not apply to all place names.

*Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information*

Follow the LC/PCC practice for subfield \$u and subfield \$v provided in the 046 field.

*SARs*

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

**373 Associated Group**General

Prefer a controlled vocabulary, such as the LC/NACO Authority File.

**Example:**

Corporate name in LC/NAF:

110 2# \$a Washington Wizards (Basketball team)

Form of name in 373:

373 ## \$a Washington Wizards (Basketball team) \$2 naf

**Example:**

Corporate name in LC/NAF:

110 2# \$a United States. \$b Congress. \$b Senate

Form of name in 373:

373 ## \$a United States. Congress. Senate \$2 naf

**Repeatability**

In choosing between repeating a field and repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

**Example:**

NAR with 373 with subfield \$2 and dates:

373 ## \$a Chicago Bulls (Basketball team) \$2 naf \$s 1984 \$t 1993

373 ## \$a Chicago Bulls (Basketball team) \$2 naf \$s 1995 \$t 1998

373 ## \$a Washington Wizards (Basketball team) \$2 naf \$s 2001 \$t  
2003

**Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information**

Follow the LC/PCC practice for subfield \$u and subfield \$v provided in the 046 field.

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**378 Fuller Form of Personal Name**General

Best practice: Encode the fuller form of name in the 378 field when this information is readily available, even if the same information is already present in the 100 field.

**Examples:**

```
100 1# $a Lennon, John, $d 1940-1980
378 ## $q John Winston
```

```
100 1# $a Eliot, T. S. $q (Thomas Stearns), $d 1888-1965
378 ## $q Thomas Stearns
```

```
100 1# $a Guiles, Kay D.
378 ## $q Kay Dean
```

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

Follow the LC/PCC practice for subfield \$u and subfield \$v provided in the 046 field.

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**380 Form of Work***General*

Prefer a controlled vocabulary, such as LCSH, LCGFT, or MeSH, or use a source term from the *MARC Subject Heading and Term Source Codes* or *Genre/Form Source Code* in subfield \$2 if appropriate. For consistency, capitalize the first term in subfield \$a. When terms do not come from a controlled vocabulary, use the singular form.

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### 382 Medium of Performance

#### General

Best practice: Formulate **medium of performance statement** according to RDA. If a required term is not provided in RDA, **prefer** a term from **one of the** controlled vocabularies in *Musical Instrumentation and Voice Code Source Codes*.

Until further notice LC/PCC catalogers should NOT ~~to~~ supply indicator 1 or any of the following subfields: \$b (Soloist), \$d (Doubling Instrument), \$n (Number of Performers of the Same Medium), \$p (Alternative Medium of Performance), \$s (Total Number of Performers), and \$v (Note).

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**Tracings and References – General Information – 4XX Fields**General

Do not use subfield \$i **or** subfield \$w code “r” in 4XX fields. |

When otherwise modifying NARs or SARs that contain obsolete codes such as subfield \$w position zero (0) code “d,” LC/NACO catalogers should upgrade the NAR to RDA. |

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**4XX See From Tracings**

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, **providing authorized access points** for the series, and the creation and maintenance of series authority records are optional.

General

NARs: Consult RDA chapters 9-16 for guidelines for possible variants for persons, families, and corporate bodies.

When modifying an authority record for another reason, delete any final mark of punctuation in a 4XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Not all 4XX references require justification; see the section "Justifying references" in the 670 yellow pages for those categories.

See the section "NACO normalization" in the Introduction.

Best practice guidelines for RDA:

- Record variants found in the manifestation being cataloged:
  - Use cataloger's judgment;
  - No limitation on the number or form of references.
- Establish additional **NARs for the authorized access points** needed to support elements used in 4XX **variant access points** (e.g. parent body associated with subordinate body being established).
- **Provide a variant form 4XX access point for a former 1XX authorized access point** in all cases, unless the former **authorized access point** was egregiously incorrect.
- Use the established form of components in 4XX **variant access points**, except for non-Latin script **variants**.
- If a form found on the manifestation being cataloged includes a variant form of a component of a 4XX **variant access point**, that form may be used in its entirety as an additional 4XX **variant access point**, provided that it is not divided into its component parts through the use of subfields.

## Example 1

```
100 1# $a Faulkner, William, $d 1897-1962. $t Short stories. $k
Selections
400 1# $a Faulkner, William, $d 1897-1962. $t Uncollected stories of
William Faulkner
430 #0 $a Uncollected stories of William Faulkner
```

## Example 2

110 1# \$a United States. \$b Bureau of Labor Statistics  
 410 2# \$a Estados Unidos de América, Buró de Estadísticas Laborales

*not*

410 2# \$a Estados Unidos de América. \$b Buró de Estadísticas Laborales

## Example 3

110 2# \$a Zhongguo yi ke da xue. \$b Fu shu di 1 yi yuan  
 410 2# \$a China Medical University, First Affiliated Hospital

*not*

410 2# \$a China Medical University. \$b First Affiliated Hospital

When changing the form of a superordinate body, a geographic name, or a personal name in a 1XX, update all of the existing NARs that use that component in a 4XX, unless the 4XX represents the former **authorized access point** (e.g., \$w/4=e).

SARs

**NOTE: Series authority record policies here were formulated in the context of AACR2 cataloging and will be changed appropriately when PCC makes new SAR policies in the context of RDA.**

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some **4XX variant access points** may duplicate **authorized access points** in the bibliographic record for the collected set.

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

## Tracing and References – General Information – 5XX Fields

### General

LC/PCC catalogers may use subfield \$i (Relationship information) in RDA NARs to provide relationship information between authorized access points, **except for pseudonymous relationships that require a basic heading to be established (663 field used)**. Guidelines are provided in the FAQ on *LC/PCC RDA and AACR2 practice for creating NARs for persons who use pseudonyms* available at: <http://www.loc.gov/catdir/cps/pseud.pdf>

Reciprocal 5XXs may not be needed for all relationships, such as when relating an employee (personal name) to an employer (corporate entity).

Subfield \$w code “r” in the zero (0) position must be present when subfield \$i is used.

When otherwise modifying a NAR that contain codes **that are no longer used** such as subfield \$w position zero (0) code “a”, “b”, “d” or “f,” LC/PCC catalogers should upgrade the NAR to RDA.

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**500 See Also From Tracing - Personal Name**General

LC/PCC catalogers should use subfield \$i and code “r” in subfield \$w when recording pseudonymous relationships for personal names **when only two authority records are involved**. When recording multiple pseudonyms, continue to follow the guidance provided in the *FAQ – LC/PCC RDA Practice for Creating NARs for Persons Who Use Pseudonyms* available at: <http://www.loc.gov/catdir/cps/pseud.pdf>

LC/NACO catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between a personal name and the name of another person, family, or corporate body. When using a term from Appendix K in subfield \$i, use a capital letter for the first letter of the term and follow the term with a colon.

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

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**510 See Also From Tracing - Corporate Name**General

LC/NACO catalogers **should** use subfield \$i with subfield \$w coded "r" when providing relationship links between corporate entities and the names of other persons, families or corporate bodies, **if appropriate**. In subfield \$i use a capital letter for the first letter of the term and follow the term with a colon.

**NARs that contain the \$w "a" (earlier) or "b" (later) values should be converted when otherwise being modified.**

Catalogers should use judgment in making reciprocal 5XXs, for instance in the case of employer to employee relationship it is only necessary to add the 510 see also from tracing to the NAR for the personal name NAR (100) and not add a 500 see also tracing to the NAR for the corporate name (110).

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

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**511 See Also From Tracing - Meeting Name**General

NACO catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between corporate entities. In subfield \$i use a capital letter for the first letter of the term and follow the term with a colon. See [LC-PCC PS 11.13.1.8 for guidance on relating authority records for ongoing conferences](#).

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

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**530 See Also from Tracing – Uniform title**General

**LC/PCC** catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between authorized access points for works or expressions. When supplying **RDA** Appendix J terms in subfield \$i, use a capital letter for the first letter of the term and follow the term with a colon.

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

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**667 Nonpublic General Note**

*LC series practice:* As of June 1, 2006, LC does not create or update SARs

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

General

Give information of permanent value and general interest that would be useful also to institutions outside of LC and to LC staff not working in the LC Database. A **representative** listing of notes is given below. With the exception of notes about old catalog headings, series-like phrase core records, and technical reports as well as the first part of the MESSAGE notes, the wording is recommended but not prescriptive. The separate 667 fields may be given in any order.

- 667 \$a Not same as: [name or title, LCCN].
- 667 \$a Cannot identify with: [name or title, LCCN].
- 667 \$a Reinvestigate before using again.
- 667 \$a Formerly on undifferentiated name record: [LCCN of undifferentiated name record].
- 667 \$a Coded provisional because [reason for coding].
- 667 \$a Change **authorized access point** if name \_\_\_\_\_ continues to be used
- 667 \$a For works issued before/after [date].  
(to be used for official language changes)

NARs for persons with identities not established

Generally, for contemporary authors with **two or more** identities, name authority records are created for each name, including in some cases the possible unused real name. In the interest of efficiency, if research indicates that a person has numerous pseudonyms that are not likely to appear on separately published works, LC/PCC catalogers may choose not to create separate **authority records** for each pseudonym. In this case, list in the 670 field all the known pseudonyms; list the unestablished pseudonyms in a 667 field following the phrase: "Pseudonyms not found on published works: [give names not established]."

*Note:* Do not make references from the unestablished pseudonyms.

*Example:*

- 667 \$a Pseudonyms not found on published works: Miz Scarlett, SCC, and Stevenopolis.

More information on creating NARs for persons with alternate identities is found in the "FAQ – LC/PCC RDA and AACR2 practice for creating NARs for persons who use pseudonyms" available at: [NARs for Collective Conferences \(LC-PCC PS 11.13.1.8\)](#)

NARs for Collective Conferences (LC-PCC PS 11.13.1.8)

When creating an authority record for the collective conference, do not add the numbers and/or dates to the authorized access point. Include a 667 field when there are authority records for both collective and individual instances of an ongoing conference.

*Example:*

667 \$a See also related access points for individual instances of this conference which include specific information about the number, date, or place of the individual conference.

NARs and subject usage

(1) Notes indicating subject cataloging usage when an [authorized access point](#) is not appropriate for use as a subject entry:

(a) Heads of state, etc.

Add a 667 note indicating subject cataloging usage to name authority records for corporate [names](#) representing the office held for Heads of state, Heads of governments, etc. (RDA 11.2.2.21.1) International intergovernmental bodies (RDA 11.2.2.21.3), Religious officials, and Popes (RDA 11.2.2.29) when the name of the incumbent is included as part of the [authorized access point](#). Also assign value “n” in 008/11 and value “b” in 008/15.

667 \$a SUBJECT USAGE: This **name** is not valid for use as a subject. Works about this person are entered under [personal name heading].

*Example:*

110 1# \$a United States. \$b President (1953-1961 :  
Eisenhower)  
008/11 = n  
008/15 = b  
667 \$a SUBJECT USAGE: This **name** is not valid for use as a subject. Works about this person are entered under Eisenhower, Dwight D. (Dwight David), 1890-1969.

See also DCM Z1 008/11 and DCM Z1 008/15.

Follow these guidelines for newly-created authority records. Revise existing records when making any other change to the records.

(b) Earlier/later linear jurisdictional name changes

It is LC subject cataloging policy to assign as a subject access point or as a geographic subdivision only the latest name of a political jurisdiction that has had one or more earlier names, as long

as the territorial identity remains essentially unchanged (cf. SHM H 708). Upon creating an earlier/later [authorized access point](#) for a geographic name, catalogers must add a 667 subject usage note to the earlier name and adjust the appropriate 008 fields.

*Example:*

```
151 $a Ceylon
667 $a SUBJECT USAGE: This name is not valid for use
      -as a subject. Works about this place are entered under Sri Lanka.
```

(2) Notes indicating that a geographic name is not appropriate for use as a geographic subdivision:

*PCC optional practice:*

Add a 667 note to name authority records for geographic [names](#) that are not appropriate for use as geographic subdivisions in subject cataloging usage (per SHM H 835) when the name represents an entity within a city and is qualified by the city name. Such notes will most frequently be needed for names of city sections, districts, neighborhoods, etc. Make no changes to values in bytes of the 008.

```
667 $a SUBJECT USAGE: This name is not valid for use as
      a geographic subdivision.
```

*Example:*

```
151 $a Hollywood (Los Angeles, Calif.)
667 $a SUBJECT USAGE: This name is not valid for use
      as a geographic subdivision.
```

Follow these guidelines for newly-created authority records. Add the note to an existing record when making any other change to the record.

See DCM Z1 781 for guidelines on adding 781 fields to name authority records for geographic [names](#) that may also be used as geographic subdivisions.

### MESSAGE notes

In an authority record that contains non-Latin script [variant access points](#) use the 667 field with a note stating: "Non-Latin script reference not evaluated." If there are several non-Latin script [variant access points](#), the sentence may be modified to reflect that condition. Assure that 008/29 is set to "b" to indicate that the [variant access point](#) is not evaluated.

### MESSAGE notes (LC practice)

Use a note in the 667 field to indicate that an authority record is not yet finished or that it needs

further investigation. Use the note only when the work cannot be completed promptly.

If a new authority record cannot be completed immediately, adjust the code in LDR/17 from “n” to “o” and add the 667 note: “MESSAGE: Early notice.” When the record has been completed, change the code back to “n” and delete the 667 MESSAGE note.

If an existing authority record needs investigation that cannot be completed immediately, adjust the code in 008/31 from “a” to “b” and add a 667 note: “MESSAGE: Being updated. [code and date]” Additional information explaining the problem may be added, if considered useful. When the record has been revised as necessary, change the value back to “a” and delete the 667 MESSAGE note.

667 \$a MESSAGE Being updated. [code and date]

### SARs

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

#### (1) Notes on the title proper:

There may be a clear pattern of fluctuation between two or more forms of title proper of a numbered series (based on information in the database or from items in hand). There may be a change in the form of the title proper that isn't considered a title change (AACR 2 21.2A/LCRI 21.2A). Use a 667 field in lieu of a 670 field to indicate the different title proper that is not generating its own SAR. Give that form of the title proper in a 4XX field.

```
667 $a Some issues have title: [title proper]
667 $a Vol. 8 has title: [title proper]
      [for fluctuating titles]

667 $a Vols. 9- have title: [title proper]
      [for change not generating separate record]
```

If the subtitle could be interpreted as the title proper of the series or as a subseries, note the subtitle in a 667 field and give it as a 4XX [variant access point](#).

```
667 $a Subtitle: [title of subtitle]
```

Do not use the 667 field to indicate variant titles of the series title proper found on the same item (e.g., form of series title on cover is different from form of series on series title page); note the variant titles in 670 field(s) and give them as 4XX [variant access points](#).

#### (2) Notes on the relationship to other series/records:

If a series authority record represents a publication that is a successive entry that has occurred after a series was last handled under pre-AACR 2 rules but for which no SAR yet exists, give the information only in a 667 field rather than in 675/5XX fields. Label it, in square

brackets, as an unevaluated catalog entry form. When the pre-AACR 2 catalog entry form is being evaluated in terms of [construction of the RDA authorized access point](#), delete this 667 and replace it with appropriate 675/5XX fields on both SARs.

```
667 $a Continues: [pre-AACR 2 catalog entry form]
      [unevaluated catalog entry form]
667 $a Continued by: [pre-AACR 2 catalog entry form]
      [unevaluated catalog entry form]
```

If the earlier publication was not analyzable, give the information only in a 667 field rather than in 675/5XX fields.

```
667 $a Continues the not-analyzable serial: Directory of
      computer assisted research in musicology.
```

When the optional linking [variant access point](#) cannot be given between the RDA form and the [previous](#) form due to NACO normalization, if desired give the [previous authorized access point's](#) information in a 667 field. Use one of the notes given below. (See "NACO normalization" section in Introduction yellow pages.)

```
667 $a Old catalog heading: _____.
      [Use if the variant access point would
      normalize to the same form as the RDA
      authorized access point or another variant
      access point on the same record or to the same
      form as an authorized access point on another
      record.]

667 $a Includes old catalog headings: Great Britain.
      Foreign Office. Treaty series; and, Great Britain.
      Foreign and Commonwealth Office. Treaty series."
      [Use if two or more pre-RDA authorized access
      points will be treated as one authorized access
      point under RDA.]

667 $a Previous to RDA covered by:
      _____.
      [Use if one pre-RDA authorized access point
      will be split under RDA.]
```

### (3) Notes on the publisher/issuing body:

When there are more than two changes of publisher or when there have been more than two different consecutive bodies both issuing and publishing the publication, use only one 643 field and give an explanation in a 667 field. The explanation should be as specific as is appropriate for the situation.

```
667 $a Imprint varies
667 $a Publisher varies
667 $a Published by various offices of the Division of
      Education
```

667 \$a Issued by various agencies of the West German government, e.g., Presse- und Informationsamt, Bundesministerium der Justiz, Bundesministerium für Forschung und Technologie

(4) Notes on the type of publication:

If the series is a document series, give a 667 note.

667 \$a Document.

If the publication has changed its identity (e.g., from a monographic series to a periodical), give a 667 note that indicates what happened, which will explain why a full set of analytic records is not available.

667 \$a Telephone call to publisher, 11-2-88: Change in pattern of publication; v. 1-17 monographic works, v. 18- collections of articles.

667 \$a Publication was periodical for v. 1-3; monographic series beginning with v. 4.

(5) Notes on the handling of series-like phrase:

667 \$a Do not give as a quoted note.

667 \$a Give as a quoted note.

667 \$a Give as a quoted note if [name of publisher] is not recorded in the publication, distribution, etc. area of the bibliographic record.

*[for phrase that combines name of publisher and a generic term]*

667 \$a Is an imprint, not a series. Record in publication, distribution, etc. area of the bibliographic record.

*[for imprint that could be construed to be title, e.g., Metropolitan Books]*

667 \$a Give as a quoted note, including the number, e.g., AAI no. 85-41.

667 \$a Give as other title information in the title and statement of responsibility area of the bibliographic record.

(6) Notes on an undifferentiated phrase record:

When converting a series-like phrase for a single phrase to an undifferentiated phrase record to cover the same phrase used by more than one publisher, give a 667 note using the wording given below. (See the Introduction yellow pages for more information about these records.)

667 \$a Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is to be a series, separate SAR has been made.

Give a second 667 note: "Give as a quoted note." If a different handling is desired for one instance of the phrase, either (a) make a separate phrase SAR and add a qualifier to its **1XX entry**, or (b) add another 667 note in the undifferentiated phrase SAR: "For resources published by [\_\_\_\_\_], give the phrase as [\_\_\_\_\_]."

(7) Notes on the post-cataloging authority records:

When creating a post-cataloging SAR, that is, one established without the piece in hand, give a 667 note with the wording below:

667 \$a Series authority record created without piece in hand.

When a preliminary record with this note is upgraded to full level, delete the note.

(8) Miscellaneous notes:

667 \$a Previous to AACR 2 subsumed under made-up set for UN documents.  
*[See 64X yellow pages for more information about UN documents]*

667 \$a First printing of vol. 8 of the Princeton theological monograph series erroneously carried the series statement: Pittsburgh theological monographs.

667 \$a Phone call to Borgo Press 1-20-84: Starmont Press series; Borgo reprints all titles generally 6 months to a year later in cloth.

667 \$a Lacked analyzable titles until v. 9.

667 \$a Indexed in: Social sciences index.  
*[for series not being analyzed]*

667 \$a Establish separate records for English and Spanish titles if Spanish edition of v. 3 is received.

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## 670 Source Data Found

This 670 section covers the following topics:

- General
- Transcription of names and titles
- Internet resources
- Recording dates
- Justifying **variant access points**
- Transcription of other data
- Special types of citations

*LC–PCC: practice:* Follow the best practice guidelines for using subfield \$u (*Uniform Resource Identifier*) and subfield \$v (*Source of the Information*) provided in the 046 field.

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

### General

The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the **entity**, that justify the choice of the name **and any additional elements used to construct the authorized access point (1XX)**. **The information also justifies, as needed, variant forms of the name (4XX)**, and clarifies relationships between **the 1XX** and other **entities** in the file.

### ***Functions of the 670 field:***

- To supply information, from bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters, Web sites), in support of the choice and form of the **authorized access point** and **variants**
- To store information that may be used to break a conflict later
- To identify a person with a particular work or as an author in a particular discipline or time period
- To identify different individuals whose access points must remain identical for now (i.e., undifferentiated personal names)
- To clarify whether different forms of a body's name or of a title are simply variations or reflect a change in the name or title and to identify relationships with other entities
- To record research required by the current rules
- To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate **authorized access points** and misattributions
- To support machine manipulation based on algorithms using information in the 670

**The examples given throughout the following text have various conventions in regard to punctuation and style. These conventions are not prescriptive and should be considered as best April 2013**

**practices to facilitate the exchange of information in a shared database environment. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.**

Generally, the first 670 field cites the work for which the **authority record** is being established, i.e., the work being cataloged; give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields, input by LC or by a NACO participant, when adding new 670 fields.

**It is not necessary to include a 670 field for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record.** For example, an NAR does not serve as a biographical sketch of a person, nor as an account of the detailed history of a corporate body.

By exception, a 670 field rather than a 675 field may be provided with the phrase “name not given” or “title not given” in the subfield \$b if/when the name or title in the 1XX is not available in the work being cataloged. This information will help reduce ambiguity and provide other catalogers with clues to the identity of the author by citing the work that generated the need for the **authority record** (e.g., title of work, publication date) as described below. For all citations other than that for the work being cataloged that lack information about the 1XX, use field 675.

A 670 field should include the following:

- (1) The title of the work being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with the **creator’s name that would begin the authorized access point for the work. The name may** be abbreviated or replaced by a **possessive** pronoun. If the **authorized access point for the work** is the same as the title proper plus a qualifier, give **that** instead of the title proper.

In authority records created using an automated authority generation program, the 670 information may include the main entry name as it appears in the bibliographic record for which the authority record is being made. In order to maintain the cost effectiveness of this process, it is recommended that catalogers accept the additional information as generated.

- (2) The date of publication. Also see the guidelines below for specific categories:

- Multipart **monographs**. If the part is the first part, give the date of publication as an open date.
- Serials other than monographic series. Generally, use a chronological designation instead of a publication date; if there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a “surrogate” was used.

not 670 \$a The Verdict, Feb. 1975: \$b t.p. ([data])  
670 \$a The Verdict, vol. 2, no. 1 (Feb. 1975): \$b t.p. ([data])

670 \$a Studies in Confederate history, No. 1 (1966), surrogate \$b cover ([data])

not 670 \$a Studies in Confederate history, 1966,  
surrogate \$b cover ([data])

- Integrating resources. Identify the iteration from which information was taken (e.g., “viewed on” dates for updating Web sites, update number or release number for updating loose-leaves).

670 \$a Internet Broadway database, viewed on Jan. 21,  
2003: \$b about IBDB (League of American  
Theatres and Producers)

- MARC characters. With the exception of the eszett, the Euro, and the spacing circumflex (cf. [LC-PCC PS 1.4](#)) all characters found in the MARC code table: <http://www.loc.gov/marc/specifications/specchartables.html>, are valid for use in authority records contributed to the LC/NACO Authority File.

- (3) The specific location(s) of the information found (e.g., t.p., jkt., label, map recto) when the work cited is other than a standard reference source, (e.g., an encyclopedia or a bibliographic file). **Note that under RDA when citing sources abbreviations may continue to be used in the 670 field.** For numbered multipart **monographs**, include the volume number of the item with the specific location. If the **authorized access point (1XX) is being constructed** from a CIP or ECIP at the galley stage, precede the first location with the “CIP” or “ECIP” as appropriate (e.g., CIP t.p., ECIP pref.).

Specific location was not given on “n42-” (retrospective) SARs.

For NARs, generally, use “etc.” to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for p. 316-325, 329-331, 342). For SARs, always give each location separately.

*PCC series practice:*

In post-cataloging authority work without the piece in hand, use the location “resource not in hand.” If the piece is examined again and the authority record is updated, it is allowable to edit the corresponding 670 field to provide a location and additional forms of series titles as needed.

670 \$a From child to adult, 1970: \$b resource not in  
hand(American Museum sourcebooks in anthropology)

- (4) Information found. Following the location, cite the information found there, enclosed in parentheses. Automated authority record generation programs may supply additional information from the bibliographic record from which the authority record is being made, e.g., complete statements of responsibility. In order to maintain the cost effectiveness of these programs, use judgment in deciding what information can remain in the subfield \$b and what is really extraneous to the record being created and should be deleted.

As appropriate, give multiple occurrences of information from the same source following the location of the information. (Note: In SARs the parenthetical statement of the form of title proper was omitted until June 1989.)

If an SAR is for a republication only, begin the 670 with the term for the type of republication and a slash. Do not include a 670 for a republication if the SAR covers both the original and one or more republications. Do not add additional 670 fields for other types of republications cataloged later. (See 64X yellow pages for more information about republications.)

670 \$a Large print edition/Fool's coach, c1989 \$b CIP  
t.p. (An Evans novel of the West)

(5) When creating an undifferentiated NAR or converting a differentiated NAR to an undifferentiated one (i.e., 008/32=b), create a pair of 670 fields to group information about each individual covered by the NAR. The pair should consist of an "identifying" 670 field containing a descriptive term (e.g., the role the person played in the context of a particular work) and a "citation" 670 with the title of the particular work. All data in the identifying 670 should be in \$a and enclosed within square brackets. This 670 should be followed by one or more "citation" 670s, constructed according to normal practices, that relate to the "identifying" 670.

This pairing of identifying and citing 670 fields helps to provide a visual cue that the record represents an undifferentiated heading, and also assists in distinguishing individuals covered by the record should it become possible in the future to remove an individual to form a differentiated **name** (e.g., if additional information becomes available).

1001#\$a Smith, Arnold  
670##\$a [Author of A book of dreams]  
670##\$a A book of dreams, 1996: \$b t.p. (Arnold Smith)  
670##\$a [Author of Coaching high school basketball]  
670##\$a Coaching high school basketball, 2005: \$b t.p.  
(Arnold Smith)  
670##\$a [Director of High school confidential]  
670##\$a High school confidential, 1965: \$b credits (directed  
by Arnold Smith)

### Transcription of names and titles

Transcribe names or series titles used in the **authorized access point** or **variant access points** in full, as they appear in the source, without abbreviation by the cataloger.

For titles that are not series (cf. Introduction on when an NAR for these titles is needed), generally transcribe only titles that are considered important to document.

When preparing an authority record for the text of a law or a subject compilation of laws, if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.

670 \$a Workers' compensation law of the state of  
North Carolina, c1980: \$b t.p. (Workers' compen-  
sation law of the state of North Carolina)  
citation title, p. 49 (The North Carolina  
Workers' Compensation Act)

For corporate **name authorities**, include in the data cited all the hierarchy required to justify needed **variant access points**, but do not include elements irrelevant to the particular **entity** being established, e.g., a subordinate body's name. Automated authority generation programs may supply additional information beyond the specific corporate body's name; use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being created and should be deleted.

For all of the above categories, if the only **presentation** of the name or title on the chief source of information is in the bibliographic title given in subfield \$a of the 670 citation, repetition of the name in subfield \$b may be omitted, provided no important information is lost.

If information about an earlier or later name or title is found in the same source as the name or title in the **authorized access point**, give all the information in the 670 field; do not separate the information about the earlier or later name or title in order to give it in a 675 field.

670 \$a Strafvollzug, 1985 \$b t.p. (Rechtsgeschichte) p. 2  
(Continues: Veröffentlichungen / Justizministerium  
Nordrhein-Westfalen)

Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add after it the bracketed phrase [**in rom.**]. If a cataloger chooses to provide nonroman script **variant access points**, the 670 \$b should contain both the nonroman script transcription(s) found in the source, and the systematically romanized form(s).

In such languages as Arabic and Hebrew, where vowels are commonly omitted from the orthography of texts, the cataloger supplies the missing vowels when transcribing data. When transcribing text that does include the vowels, add after it in brackets [**voc.**] or [**part voc.**] as appropriate.

### Internet resources

These instructions apply to electronic resources being cataloged and to those used as reference sources.

Give the title of the Internet resource and the date it was consulted in subfield \$a. In subfield \$b, give a location within the resource (e.g., home page, about page, HTML title, t.p. of .pdf), if appropriate, and the information found.

Catalogers may *optionally* provide a uniform resource identifier (URI) in the 670 citation to link to the cited resource if it contains significant information related to the established **entity** that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 \$u does not take the place of the requirement to cite relevant data in subfields \$a and \$b of the 670 field needed to support the **authorized access point (including additions)** or **variants** (this information will continue to be available if the site changes or disappears). **However, information found in online sources may be added to the 046 or 3XX fields with the appropriate citations in subfields \$v and \$u and not repeated in a 670 when that information is not used in the 1XX or a 4XX.** If a URI is included in a 670, it must be given in subfield \$u.

670 \$a British Oceanographic Data Centre, 23 Nov. 2009 \$b about  
us (British Oceanographic Data Centre, National  
Environment Research Council; BODC, is a national facility

for looking after and distributing data concerning the marine environment) \$u <http://www.bodc.ac.uk/>

670 \$a N.Y. times (online), Apr. 13, 2003 †b (Seymour Lubetzky; librarian; b. Shmaryahu Lubetzky in Zelva, now Belarus; d. last Saturday [Apr. 5, 2003] in Los Angeles, aged 104)

670 \$a Stephen King.com, the official Web site, viewed Feb. 28, 2006 \$b biography, etc. (Stephen Edwin King; b. Portland, Maine, 1947) site also includes listings of author's works \$u <http://www.stephenking.com>

670 \$a BNF in VIAF, Nov. 12, 2009 \$b (hdg.: Gaulle, Charles de, 1890-1970)

670 \$a Nat. Lib. Israel (Cyrillic), in VIAF, viewed Nov. 12, 2009 \$b (hdg.: СЕРБАХТЕССААВЕДРА, МИГЕЛЪДЕ, 1547-1616)

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

Follow the LC/PCC practice for subfield \$u and subfield \$v provided in the 046 field.

Recording dates

To facilitate international contribution and use of authority records, when giving dates, use the **spelled out or abbreviated** forms for months **as** the U.S. practice for recording dates using numerals differs from the practice in some other countries. Do not change the style of dates in existing records. **As a best practice, if a date is not included in subfield \$d of the 100 field, consider adding a 046 field if dates are available.**

Justifying variant access points

Justify names or titles given as **variant access points** by information cited from sources. However, justification is not required in the following cases:

- (1) **Variant access points** made on the basis of the cataloger's awareness of different romanizations or orthographies;
- (2) **The preferred title or name of the work or expression is** derived from the **resource** being cataloged, from other **resources** cataloged under the same **access point**, or from information in standard reference sources;
- (3) References **for authorized access points** of corporate bodies reflecting changes due to national orthographic reform, changes in names due to an official language change, or changes involving only a parent body to which the body being established is subordinate.
- (4) Optional references from **AACR2** or pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

**NARs.** Use judgment to determine how much data to record in the authority record. Do not abbreviate or translate **attributes such as title of the person (RDA 9.4)** that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the **access point**. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

**SARs.** Use judgment to determine how much data other than forms of the title/phrase to record in the permanent authority record. Numbering and names of issuing bodies are not required but may be given.

Special types of citations

The most commonly occurring citations are listed below. If these are not appropriate, devise others as needed.

**LC/NAF.** When converting information found in obsolete or non-active MARC fields (e.g., 664, 665, 666) into a 670 note, cite the LC/NAF in a citation such as those provided in the examples below:

```
670 $a Info converted from 665 field in this record, [date
      of conversion] $b ([data converted from 665 field])
```

```
670 $a 665 info formerly in this record $b ([data moved
      from 665 field])
```

**LC database.** For LC catalogers not working in OCLC, “LC database” as used in a 670 subfield \$a equals name and series authority records and bibliographic records with the following values in the 906 \$b: cbc, cbu, rip, par, and vip. Note that PREMARC records are now included in those categories of bibliographic records. (LC catalogers: See the separate document about policy decisions related to local authority control and PREMARC records.)

For LC catalogers working in OCLC and for NACO participants, there is no change in what is considered to be the “LC database” as used in 670 subfield \$a.

**NARs.** Give the date of the search, using month abbreviations. In parentheses, prefaced by the label **hdg.:** (or **MLC hdg.:** if appropriate), give the **access point** (or **access points**) found, even if it is the same as the current **authorized access point**.

If different forms of the name exist in the bibliographic records, record the **access point** and also any forms found, including usage identical to the **authorized access point**. Separate the **access point** from the other forms, and preface the other forms with an appropriate label, e.g., **usage:**<sup>1</sup> or **variant:**<sup>2</sup> Do not normally cite specific bibliographic records or the exact location of the variations found.

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<sup>1</sup> “Usage” on bibliographic records refers to literal transcriptions of the forms of name usually found in records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name as it appeared on the publication and not as it was formulated because of cataloging rules. Be especially April 2013

670 \$a LC database, Jan. 31, 1992 \$b (hdg.: Rivière, Pierre, 1815-1840)

670 \$a LC database, Aug. 24, 1982: \$b (hdg.: Sociedade Brasileira pelo Progresso da Ciência; usage: Sociedade Brasileira para o Progresso da Ciência, SBPC)

670 \$a LC database, Mar. 11, 1996 \$b (hdg.: Swedish American Corporation; variant: Swedish American Corp.)

**SARs.** Give the date of the search, using month abbreviations, followed by the citation of the bibliographic record. In parentheses give the series statement found in that record.

670 \$a LC database, Nov. 28, 1983, Les Déchets ménagers, c1980 \$b (Les cahiers de l'AGHTM)

**Minimal level cataloging records and less than fully authenticated serial records.** Authority work normally has not been done for **access points** used in minimal level cataloging records and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, nlc, or gpo). It may be necessary to reconsider the **construction of the authorized access point**. If the **authorized access point** is different, do necessary bibliographic file maintenance. Also, an MLC or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. Do not routinely cite MLC **access points**. However, when the information is useful, document its source in the 670 field, e.g., **MLC hdg.:** or **Less than fully authenticated serial usage:**

**LC manual authority card.** *LC practice:* When formulating the 670 citation for a manual authority card citation, use either **LC manual auth. cd.** or **LC manual cat.** (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

**Citing other files or catalogs.** If an **access point** is found in a manual catalog or online database, use judgment in creating a 670 citation. Begin the 670 field with a designation of the catalog/database in which these other bibliographic records were found. There is no prescribed formulation of such citations; examples are listed below:

670 \$a LC in OCLC, date: \$b ([data])  
 670 \$a M/B/RS Collections Authority file \$b ([data])  
 670 \$a New Delhi MARC file \$b ([data])

---

careful when taking information from the publication **statement**, distribution **statement**, etc., and from series statements. **Access points on the bibliographic record** may never be provided as usage.

<sup>2</sup> “Variant” on bibliographic records refers to a form of the name other than a literal transcription, e.g., a form found in the publication **statement**, distribution **statement**, etc. or in an unquoted note; normally, there is not a need to cite such a variant in a 670 field. This understanding of “variant” within the context of a database does not refer to the varying forms of name found on an item not selected as the **preferred name**.

670 \$a MWA/NAIP files \$b (hdg.: \_\_\_\_; usage: \_\_\_\_; variants:  
 \_\_\_\_\_)  
 670 \$a NUC pre-56: \$b ([data])  
 670 \$a NRMM \$b ([data])

Library of Congress staff working with the National Union Catalog (NUC) reports used specific library reports in the 670 citations when creating name authority records.

670 \$a nuc85-70017: Lower and middle Pennsylvania  
 stratigraphy ... 1982 \$b (hdg. on AAP rept.:  
 Sutherland, Patrick Kennedy, 1925- ; usage: Patrick  
 K. Sutherland)

**Reference works.** Cite reference sources and the information found in them as briefly as possible within the requirements of intelligibility already stated, e.g.:

670 \$a DNB \$b ([data])  
 670 \$a Harvard dict. of music \$b ([data])  
 670 \$a Comp. diss. index: \$b ([data])  
 670 \$a WW sci. Europe, 1991 \$b ([data])  
 670 \$a Banker's alm./yrbk., 1991: \$b ([data])

A list of previously used abbreviations for some national bibliographies is in *Cataloging Service Bulletin*, no. 22 (fall 1983).

**BGN.** For geographic names established on the basis of information from the United States Board on Geographic Names,<sup>3</sup> convey a designated short form of name by adding within brackets immediately after the appropriate element the statement [short form]. Repeat the short form if needed for clarity. Do this even if the long form is chosen for the **preferred name**. Retain the phrases “[conventional],” “[language],” etc., when used by BGN. Give the date of the search in the online file and include the feature designation (e.g., ADM1, PPL), coordinates, and variants. If searching the latest available published gazetteer because online access is not available, do not include the date but do include the feature designation and coordinates. Use the degree sign (**not** superscript zero) to show degrees, use the miagkii znak (modifier letter prime) for minutes and the tverdyi znak (modifier letter double prime) for seconds. Note: In the published gazetteers the short form is shown with the use of boldface type.

670 \$a GEOnet, June 13, 1989 \$b (Coast [short form]  
 Province; ADM1, 3°00'S 39°30'E)  
*or* 670 \$a BGN \$b (Coast [short form] Province; ADMD, 3°00'S  
 39°30'E)

670 \$a GEOnet, July 7, 1992 \$b (Varese [short form]  
 Provincia di; ADM2, 45°48'N 8°48'E)  
*or* 670 \$a BGN \$b (Varese [short form], Provincia di; PROV,  
 45°48'N 8°48'E)

670 \$a GEOnet, Apr. 31, 1996 \$b (Geneva [conventional];  
 Genève [native], PPL, 46°12'N 6°10'E; variants:

<sup>3</sup> Published gazetteers or Web sites (GNIS (U.S. domestic names information: URL: <http://geonames.usgs.gov>); GEOnet (foreign names information: URL: <http://164.214.2.59/gns/html/>))

- Ginevra, Genf)  
*or* 670 \$a BGN \$b (Genève [French], Geneva [conventional];  
POPL, 46°12'N 6°10'E)  
670 \$a GONet, Sept. 28, 2001 \$b (Cambridgeshire [short  
form = Cambridge]; ADM1, 52°12'N 0°07'E)

**Non-bibliographic sources.** Give the non-bibliographic source, the date, and the information. The source can be given specifically ("Letter from author," "Phone call to publisher," etc.) or in general terms ("Information from author," "Information from publisher," etc.). When noting a specific source, it isn't necessary to show how information was received, e.g. that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

- 670 \$a Phone call to H. Jones, Jan. 31, 1992 \$b (Harry  
Jones is real name of Lionel Jones)  
670 \$a Letter from author, May 29, 1994 \$b (correct  
birthdate for \_\_\_\_\_ is Oct. 14, 1950)  
670 \$a Information from publisher, Feb. 6, 1991 \$b (James  
Allan's middle name is Stephen, not Steven)  
670 \$a Information from OCLC, Mar. 8, 1996 \$b (\_\_\_\_\_)

**Heading Linking Entries - General Information - 7XX Fields**

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* The PCC Policy Committee has announced that the PCC series policy remains unchanged.

General

The use of this field in NARs or SARs is limited to recording the authorized form of name from a national bibliography. The purpose of including a 7XX in a NAR or SAR is usually to allow a National Bibliography Agency (NBA) to retain its preferred form of name in its own bibliographic database, while still contributing name authority records to the national authority file (NAF) under NACO standards.

Indicators

Use the appropriate first indicator. Use second indicator value 7 (the value most appropriate for this application of the 7XX field).

Subfield \$2

A 7XX field using second indicator value 7 must contain a subfield \$2 and a code to identify the source of the heading.

A NBA, such as a national library or other agency responsible for maintaining a national bibliography, must apply to the LC Network Development and MARC Standards Office (NDMSO) to obtain a code which will become part of the *MARC Code List for Relators, Sources, Description Conventions*. Information on the process of applying for codes is available from the NDMSO [ndmso@loc.gov](mailto:ndmso@loc.gov), or at: <http://lcweb.loc.gov/marc/relators/>

MARC 21 model: 7XX for alternate authorized form of name

Consult the LC Cooperative Cataloging Team before including 7XX fields in NARs or SARs.

Initially, the 7XX model will be limited to records created by NBAs and under certain conditions by designated NACO contributors authorized by the NBA from within the same geographic jurisdiction, for the sole purpose of recording the form of heading used in its national bibliography.

NACO contributors from within the same geographic jurisdiction as the NBA that wish to create or modify 7XX headings should request permission directly from the NBA that controls the national bibliography. These arrangements are to be made between the NBA and the individual institution and will not be administered by the PCC or the Library of Congress; nonetheless, the NBA is expected to notify the Cooperative Cataloging Team when making these agreements and provide a list of libraries authorized to create or modify 7XX fields. The responsibility for applying for a subfield \$2 code resides with the NBA; once the proper code is identified, it should be used as needed in 7XX fields input by any library.

This policy will be evaluated after a sufficient period of using the 7XX approach, but not sooner than a year.

Guidelines for including 7XX and subfield \$2 in an authority record

A NBA or NBA-designated NACO library may include an alternate authorized form in a new or extant NACO record in the 7XX field as defined by the *MARC 21 Authority Format* and NACO guidelines:

- The NBA should consult with the Cooperative Cataloging Team before using 7XX fields in name or series authority records.
- The 7XX must include a subfield \$2 code to identify the NBA's authority file as the source of the 7XX. The source code should be requested from the LC NDMSO by the appropriate national library or NBA.
- A 7XX heading in a NACO record may be modified only by the NBA and/or a NBA-designated NACO library.
- The NBA and/or NBA-designated NACO library contributing the 7XX form is responsible for any maintenance to the NAR if the form of name authorized by the NBA changes.
- The NBA is advised to consider the impact of 7XX fields on its internally-used system (e.g., indexing, record maintenance) and consult with its system vendor prior to using 7XX fields.

*Sample record*

1XX \_\_ \$a [Authorized NACO [RDA](#) form] |  
 4XX \_\_ \$a [Variant form]  
 670 ## \$a [Citation] \$b t.p. ([Usage or 1XX]) p. 5 ([Usage for  
 4XX])  
 7XX 17 \$a [Alternate authorized form] \$2 [source code] |

**953 Local Staff Codes**

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

As of November 20, 2012, this local LC field is not actively applied.

Content Designation

Indicators:	Both indicators are undefined.
Subfield codes: \$a	Code of staff creating record
\$b	Code of staff modifying record

General

This field is a local LC field.

This field is not repeatable.

This field contains the cataloger codes of LC staff creating or modifying the record in the LC Database. This field is added or updated only by catalogers working in the LC Database.

When creating a new record, input your cataloger's code in 953 \$a. When revising a record that has a 953 field, add or adjust the code in 953 \$b; if there is an existing code in 953 \$b, replace it with your own code. When revising a record that does not already have a 953 field, add only a 953 \$b; do not "make up" a 953 \$a.

Input codes as four characters: two lowercase letters and two numerals, e.g., ta18.

During the conversion from MUMS, data in MUMS fixed field box 25 was transferred to 953 \$a and data in MUMS fixed field box 26 was transferred to 953 \$b. If there was no data in MUMS fixed field box 25, a "dummy" code of xx00 was generated in 953 \$a.

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**APPENDIX 1: AMBIGUOUS ENTITIES**

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## Ambiguous Entities

### 1 INTRODUCTION

#### 1.1 Background

Most **access points representing entities** fall into clearly defined categories and are established either as personal names, corporate bodies, jurisdictions, **works or expressions**, named meetings, etc., in the name authority file or as topical subject headings, named objects such as names of automobiles, geographical features, etc., in the subject authority file. There are, however, certain named entities that have been problematic as to

- a) whether the **authority record for the authorized access point** should go into the name authority file (descriptive cataloging) or the subject authority file (subject cataloging); and
- b) how the **access points** should be tagged in both authority and bibliographic records.

To eliminate this confusion and to standardize the formulation and tagging of **access points** for such entities, the former Office for Descriptive Cataloging Policy (Desc Pol) and the Office for Subject Cataloging Policy (Subj Pol), working under the aegis of the Director for Cataloging, developed guidelines with respect to

- a) the responsibility for establishing the **authorized access points**;
- b) the conventions to be used in formulating the **authorized access points**;
- c) the tags to be used for content designation; and
- d) the file (name and subject authority) in which the authority records for them should reside.

In 1994, the Cooperative Cataloging Council (CCC) established the CPSO/CCC Task Group on Issues Surrounding Maintenance of Separate Name and Subject Authority Files. This task group agreed to reduce the “logical” inconsistencies between the two files so that they could be more easily used together. To this end the task group recommended and the CCC approved the deletion from the subject authority file of duplicate headings that had been needed in the subject authority file to produce various products, such as *Library of Congress Subject Headings*.

In 1995 the Program for Cooperative Cataloging (PCC) (successor to the CCC) created a follow-on task group, PCC Task Group on Name Versus Subject Authorities, that considered and made recommendations on the remaining categories of **entities** that could be established by either descriptive or subject catalogers (cemeteries, city sections, concentration camps, and country clubs), events, and tagging conventions for certain “geographic” entities. The PCC approved the task group's recommendations, and the results are reflected below.

#### 1.2. General guidelines

a) These guidelines relate primarily to the family of problem cases, not to the ones that are clear-cut. For example, the tagging decisions appended include some entities that are within the concept “corporate body” but are also judged to exemplify the concept “geographic” and, therefore, are tagged 151. (Note that when entities tagged 151 in the authority file are used as **access points** in bibliographic records (110, 710, 810), the first indicator is set to the value 1.) Care should be taken, however, that a name

containing one of the terms noted in one of the lists is indeed a member of that category, e.g., Xavier Ranch Corporation is not a ranch in the sense of the Group 2 list.

b) The provisions herein refer to “need” or “use” in descriptive or subject cataloging. As far as descriptive cataloging is concerned, such statements are to be understood as referring to **authorized access points** required by LC’s policies on **authorized access points** and to **variant access points** on name and series authority records. “Need” and “use” do not refer to subject entries even if a descriptive **authorized access points** is involved.

c) **Adjust the tagging on existing authority and bibliographic records to reflect current policy when necessary.**

d) *LC Catalogers*: If a Group 2—Subject Authority Group **entity** is being used as a **descriptive authorized access point**, create a name authority record according to subject cataloging rules. Add a 667 note to the NAR with the statement “Subj. Cat. Manual/RDA.” If a Group 2 Heading for the same entity exists in the LCSH File create an NAR (cf. DCM Z1 Appendix 1: Ambiguous Entities, Section, 3.1) and send a notification to PSD [policy@loc.gov](mailto:policy@loc.gov) to delete the subject authority record, per SHM H 193.

e) *PCC Catalogers*: If a Group 2—Subject Authority Group heading is being used as an **access point**, create a name authority record according to subject cataloging rules. Add a 667 note to the NAR with the statement “Subj. Cat. Manual/RDA.” If a Group 2 **Subject** Heading for the same entity exists in the LCSH File create an NAR (cf. DCM Z1 Appendix 1: Ambiguous Entities, Section, 3.1) and send a notification to [saco@loc.gov](mailto:saco@loc.gov) to delete the existing subject authority record.

### 1.3 Specific procedures

**Entities** have been divided into two groups, and special instructions for both these groups follow. Lists of the two groups of **entities** are given at the end of this DCM. The lists are updated as the need arises; refer potential additions to the Policy and Standards Division (PSD).

2 GROUP 1—NAME AUTHORITY GROUP: **Authorized access points** always established according to descriptive cataloging guidelines (**RDA** and the **LC-PCC PSs**); authority record always resides in the name authority file.

#### 2.1 Implementation

Establish the **authorized access point** according to descriptive cataloging rules and procedures. If an **authorized access point** in this category is needed in subject cataloging, those involved in descriptive cataloging establish it, and the authority record is added to the name authority file.

#### 2.2 Airports

Establish the **authorized access points** for an airport according to the provisions for any other corporate body (see **RDA 11.2.2.3**).

110 2# \$a San Francisco International Airport<sup>1</sup>

<sup>1</sup>MARC coding in the examples reflects the provisions of *MARC 21 Format for Authority Data* (except spaces added before and after subfield codes) and not any individual system.

- 110 2# \$a Logan International Airport (Boston, Mass.)
- 110 2# \$a Jan Smuts Airport (Johannesburg, South Africa)
- 110 2# \$a Greater Cincinnati International Airport
- 110 2# \$a Davis Airport (Montgomery County, Md.)
- 110 2# \$a Davis Airport (Luzerne County, Pa.)

**2.3** *Arboretums, botanical gardens, herbariums, zoological gardens, etc.*  
 These Group 1 entities are tagged as corporate names (110) and established according to chapter 11 of RDA. For other gardens, parks, etc., see Group 2.

- 110 2# \$a State Arboretum of Utah
- 110 2# \$a Missouri Botanical Garden
- 110 2# \$a National Zoological Park (U.S.)
- 110 2# \$a Hayden Planetarium
- 110 2# \$a Miami Seaquarium

**2.4** *Cemeteries, concentration camps, country clubs*  
 After July 1996, cemeteries, concentration camps, and country clubs are treated as Group 1 entities. Establish them in accordance with the general principles for corporate name authorized access points (chapter 11, RDA).

- 110 2# \$a Arlington National Cemetery (Arlington, Va.)
- 110 2# \$a Riverside Cemetery (Jackson, Tenn.)
- 110 2# \$a Cmentarz Ewangelicko-Augsburski w Warszawie  
 (Warsaw, Poland)
- 110 2# \$a Auschwitz (Concentration camp)
- 110 2# \$a Nēsos Gyáros
- 110 2# \$a Riomar Country Club
- 110 2# \$a Manteno Young Women's Country Club

**2.5** *City sections*  
 City sections, including city districts and neighborhoods, are treated only as Group 1 entities. Establish them in accordance with the general principles for geographic names as given in RDA Chapter 16).

- 151 ## \$a Georgetown (Washington, D.C.)
- 151 ## \$a Greenwich Village (New York, N.Y.)
- 151 ## \$a Loop (Chicago, Ill.)
- 151 ## \$a Rive gauche (Paris, France)

**2.6** *Collective settlements, conservation districts, communes, sanitation districts, etc.*  
 Collective settlements, conservation districts, communes, sanitation districts, etc., are treated as Group 1 entities. Establish them in accordance with the general principles for geographic names (RDA chapter 16).

- 151 ## \$a Amana Society (Iowa)
- 151 ## \$a Santa Cruz County Sanitation District (Calif.)

151 ## \$a Englewood Water District (Fla.)  
 151 ## \$a Chicago Park District (Ill.)

## 2.7 *Events*

If a name is for an event that is formally convened, directed toward a common goal, capable of being reconvened, and has a formal name, location, date, and duration that can be determined in advance of the date, establish the name according to the provisions of RDA chapter 11.

111 2# \$a Rose Bowl (Football game)  
 111 2# \$a Tournament of Roses  
 111 2# \$a Miss America Pageant  
 111 2# \$a World Cup (Soccer)  
 111 2# \$a Tour de France (Race)  
 111 2# \$a International Henryk Wieniawski Violin Competition  
 111 2# \$a World Jamboree of Boy Scouts  
 111 2# \$a Athens Black-eyed Pea Jamboree  
 111 2# \$a National Folk Media Festival \$d (1988 : \$c Nairobi,  
 Kenya)  
 111 2# \$a Fiesta San Antonio

## 2.8 *Forests, parks, preserves, etc.*

When a forest, park, preserve, etc. (commonly a unit of the United States National Park Service or the United States Forest Service), is needed as a **descriptive authorized access point** on a bibliographic record because the forest, park, preserve, etc., has some responsibility for the intellectual content of the item, establish it in accordance with the general principles for corporate name **authorized access points** and qualify the name with “(Agency).” When this is not the case, continue to treat these as Group 2 **entities** and establish as a subject authority record as directed in: *Subject Headings Manual, H 1925, Parks, Reserves, National Monuments, Etc.*

110 2# \$a Chugach National Forest (Agency : U.S.)  
*(Needed as a descriptive access point—Group 1)*

151 ## \$a Chugach National Forest (Alaska)  
*(No intellectual content responsibility—Group 2)*

## 2.9 *Named buildings/museums*

If an **authorized access point** is needed for an entity in the category of a named building/museum, judge whether or not the entity is a museum. If it is a museum, treat it as a Group 1 **entity** and establish it accordingly; if not, treat it as a Group 2 **entity** and have it established as a subject authority record as directed in the guidelines for Group 2 **entities** in 3.1 below.

110 2# \$a Albrecht-Dürer Haus  
*(museum—Group 1)*  
 110 2# \$a Simson African Hall (California Academy of  
 Sciences)  
*(building—Group 2)*

## 2.10 *Plans, programs, and projects*

Treat plans, programs, and projects as corporate bodies whether or not they have a staff. Do not consider that **authorized access points** for entities with these words in their name need the addition of a qualifier that conveys the idea of a corporate body.

### 2.11 *Railroads*

Establish railroads in accord with the general principles for corporate name **authorized access points** (RDA, chapter 11). During the period 1984-1985, railroad **access points** were established according to the conventions of the former Subject Cataloging Division. Generally, a railroad **authorized access point** represented by an RDA name authority record should be accepted unless the item being cataloged shows another form *and* the item is the railroad's own publication. In such cases re-evaluate the existing **authorized access points**. At one time, railroads were represented by two separate **access points**, one for the company, which was tagged as a corporate **access point**, and another for the line, which was tagged as a topical subject heading. To locate all existing bibliographic records for a railroad when a name authority record for it needs to be created or coded for RDA, search for the name both as a corporate body and as a topical subject heading.

3 GROUP 2—SUBJECT AUTHORITY GROUP: **Entities** always established according to subject cataloging guidelines (SHM); the authority record resides either in the subject or name authority file

*N.B* This section of the DCM is given primarily for information: the responsibility for establishing and maintaining Group 2 headings rests entirely with those performing subject cataloging. See SHM H 405.

### 3.1 **Characteristics**

The **entities** in this group reside in the subject authority file when they are established and used only for subject **cataloging** purposes. **Entities** tagged 110 and some tagged 151 are also candidates for descriptive cataloging use as the need arises. **If the entity needed for descriptive cataloging is already established in the subject authority file, the subject record is cancelled and a name authority record is created. Regardless of whether an entity originally existed in the subject authority file, the IXX in the LC/NAF should be constructed according to RDA instructions, but will also reflect subject cataloging policy as provided in the SHM, the most noteworthy aspects are the following:**

- a) The 4XX structure reflects subject cataloging practice.
- b) Most **access points** will contain local place-name qualifiers.
- c) Records residing in the name authority file will also contain a 667 field with the notation: **Subject Headings Manual/RDA**. This notation is intended to characterize the record and to provide a quick and easy means of indicating that maintenance of the record is the responsibility of PSD. Catalogers should then refer changes to PSD, rather than initiating the changes themselves.

### 3.2 **Use of these access points in descriptive cataloging**

Note the following:

- a) If the **authority record** is in the subject authority file but not represented in the name authority file, **make a name authority record according to the guidelines described in**

Section 3.1. Send printouts of the name and subject authority records to PSD for review and cancellation of the subject authority record.

- b) If the **entity** is represented in the name authority file and is coded **RDA**, use that form whether or not it conforms to the characteristics described above in 3.1. **If a need to change to the authorized access point is prompted** by the item being cataloged refer the matter to PSD.
- c) If the **entity** is represented in the name authority file but not coded for **RDA**, refer the matter to PSD for evaluation and possible change and related actions.
- d) If the **entity** is not represented in an authority file, establish it **in the name authority file** according to the guidelines in **the SHM and Section 3.1 of this document**.

**GROUP 1—NAME AUTHORITY GROUP ENTITIES**

(Named entities always established according to descriptive cataloging guidelines and always residing in the name authority file)

<b>Category</b>	<b>MARC 21 tag</b>
Abbeys	110
Academies	110
Airplanes, Named	110
Airports <sup>2</sup>	110
Almshouses	110
Aquariums, Public <sup>3</sup>	110
Arboretums <sup>3</sup>	110
Armories	110
Arsenals	110
Art works, Individual	100, 110, 130
Artificial satellites	110
Asylums (Charitable institutions)	110
Athletic contests	111
Banks	110
Bars	110
Biblical characters	100
Biological stations	110
Boards of trade (Chambers of commerce)	110
Botanical gardens <sup>3</sup>	110
Broadcasting stations	110
Business parks	110
Cathedrals	110
Cemeteries <sup>4</sup>	110
Chambers of Commerce	110
Chapels	110
Churches (In use or ruins)	110
Circuses	110
City sections <sup>5</sup>	151
Collective settlements <sup>6</sup>	151
Colleges	110
Comarcas	151
Comic strips <sup>7</sup>	130

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<sup>2</sup>See 2.2

<sup>3</sup>See 2.3

<sup>4</sup>See 2.4

<sup>5</sup>See 2.5

<sup>6</sup>See 2.6

Communes <sup>6</sup>	151
Competitions <sup>8</sup>	111
Computer programs and software <sup>7</sup>	130
Concentration camps <sup>4</sup>	110
Concert halls	110
Conservation districts <sup>6</sup>	151
Contests <sup>8</sup>	111
Convents	110
Correctional institutions	110
Country clubs <sup>4</sup>	110
Crematories	110
Dance halls	110
Denominations, Religious (Individual)	110
Dispensaries	110
Ecclesiastical entities that are also names of places, e.g., Catholic Church. Diocese of Basel (Switzerland) Constantinople (Ecclesiastical patriarchate)	110
Ecological stations	110
Educational institutions	110
Electronic discussion groups	130
Embassies	110
Events <sup>8</sup>	111
Exhibitions <sup>8</sup>	111
Expeditions, Military	111
Expeditions, Scientific	111
Experiment stations	110
Expositions <sup>8</sup>	111
Factories	110
Fairs <sup>8</sup>	111
Festivals and celebrations <sup>8</sup>	111
Fish hatcheries	110
Folk festivals and celebrations <sup>8</sup>	111
Forest districts	110
Forests (Administrative agencies)	110
Funds	110
Funeral homes, mortuaries	110
Galleries	110
Games (Events) <sup>8</sup>	111
Gangs	110
Halfway houses	110
Helplines, hotlines	110
Herbariums <sup>3</sup>	110
Hospitals	110
Hotels	110

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<sup>7</sup>Although entities in this category are generally established under title and tagged 130, those that are established under personal or corporate names are tagged 100 or 110.

<sup>8</sup>See 2.7

Housing projects	110
Individual works of art	100, 110, 130
Jurisdictions, Ancient (other than cities)	151
Laboratories	110
Libraries	110
Library districts	110
Markets	110
Military installations (Active; also all after 1899)	151
Mining districts	151
Monasteries	110
Morgues	110
Mosques	110
Motels	110
Motion pictures	130
Museums <sup>9</sup>	110
Night clubs	110
Nursing homes	110
Observatories	110
Old age homes	110
Opera companies	110
Orphanages	110
Parades <sup>8</sup>	111
Park districts <sup>6</sup>	151
Parks ( <b>Administrative</b> agencies) <sup>10</sup>	110
Planetariums <sup>3</sup>	110
Planned communities	151
Plans (Programs) <sup>11</sup>	110
Poorhouses	110
Port authorities	110
Prisons	110
Projects, plans, etc. <sup>10</sup>	110
Public celebrations, pageants, anniversaries <sup>8</sup>	111
Publishers' imprints	110
Pueblos	151
Races (Contests) <sup>8</sup>	111
Radio programs	130
Railroads	110
Recreation districts <sup>10</sup>	151
Refugee camps	110
Religious denominations	110
Research stations	110
Reserves ( <b>Administrative</b> agencies)	110

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<sup>9</sup>See 2.9

<sup>10</sup>See 2.8

<sup>11</sup>See 2.10

Restaurants	110
Sanitoriums	110
Sanitation districts <sup>6</sup>	151
Satellites, Artificial	110
School districts	110
Schools	110
Service stations	110
Ships	110
Shipyards	110
Shopping centers	110
Shows (Exhibitions) <sup>8</sup>	111
Software, Computer <sup>7</sup>	130
Sound recording labels	110
Space vehicles	110
Sporting events <sup>8</sup>	111
Stock exchanges	110
Stores, Retail	110
Studies (Research projects)	110
Synagogues	110
Television programs	130
Temples (in use; excludes temples in ruins)	110
Theater companies	110
Tournaments <sup>8</sup>	111
Tribes (as legal entities only, U.S. only)	151
Truck stops	110
Undertakers	110
Universities	110
Utility districts <sup>6</sup>	151
Water districts <sup>6</sup>	151
Web sites	130
Works of art, Individual	100, 110, 130
Zoological gardens <sup>3</sup>	110

**GROUP 2—SUBJECT AUTHORITY GROUP ENTITIES**

(Named entities always established according to subject cataloging guidelines and residing in either the name or subject authority file)

<b>Category</b>	<b>MARC 21 tag</b>
Amusement parks	151
Apartment houses	110
Aqueducts	151
Arches	150
Arenas	110
Artists' groups	150
Asian conglomerate corporations	110
Astronomical features (asteroids, comets, galaxies, planets, etc.)	151

Auditoriums	110
Awards	150
Bathhouses	110
Baths, Ancient	110
Bridges	151
Building details	150
Buildings, Private	110
Buildings occupied by corporate bodies <sup>9</sup>	110
Bus terminals	110
Camps	151
Canals	151
Capitols	110
Castles <sup>8</sup>	110
Celestial bodies	151
Cemeteries, Archaeological	151
Cities, Extinct (Pre-1500) <sup>12</sup>	151
City halls	110
Civic centers	110
Clans	100
Club houses	110
Coliseums	110
Collections, Public or Private	110
Collective farms	151
Community centers	110
Computer languages	150
Computer networks	150
Computer systems	150
Convention centers	110
Courthouses	110
Customhouses	110
Details, Building	150
Docks	151
Doors	150
Dwellings <sup>9</sup>	110
Estates	151
Events <sup>13</sup>	150
Exhibition buildings	110
Expeditions, Military	150
Fairgrounds	151
Families	100
Farms	151
Feasts	150
Ferry buildings	110
Fire stations	110
Forests (Geographic entities)	151

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<sup>12</sup>For instructions on establishing and applying headings for extinct cities, see SHM H 715.

<sup>13</sup>Events that generally cannot be repeated and have no formal name but are commonly referred to by generic terms only.

Fortresses (Structures)	151
Fountains	150
Gardens	151
Gates	150
Golf courses	151
Grain elevators	110
Gymnasiums	110
Hazardous waste sites	151
Highways	151
Historic sites	
(Including historic districts not in cities)	151
Immigration stations	110
Islands, Non-jurisdictional	151
Land grants	151
Lighthouses	110
Locks (Hydraulic engineering)	151
<b>Locomotives</b>	<b>150</b>
Manors	110
Mansions	110
Market buildings	110
Military installations	151
(inactive pre-1900 installations)	
Mine buildings	110
Mines	151
Mints	110
Monuments (Structures, statues, etc.)	150
Music halls	110
Office buildings	110
Official residences	110
Opera houses	110
Palaces <sup>9</sup>	110
Parks (Geographic entities)	151
Pavilions	110
Pipelines	151
Playgrounds	151
Plazas (Open spaces, squares. etc.)	151
Police stations	110
Pools, Public	151
Ports (Physical facilities)	151
Post offices	110
Posthouses	110
Power plants	110
Presidential mansions	110
Public comfort stations	110
Racetracks	110
Railway stations	110
Ranches	151
Recreation areas	151
Remote-controlled vehicles	150
Reservations, Indian	151

Reserves (Parks, forests, etc.)	151
Resorts	110
Roads	151
Rooms	150
Sanitary landfills	151
Satellites (i.e., moons)	151
Schools of artists	150
Shrines ( <i>not</i> churches)	150
Spas	110
Sport arenas	110
Sports facilities	110
Stadiums	110
Stagecoach stations	110
Streets	151
Structures (Non-geographic, e.g., towers)	150
Temples (In ruins)	110
Terminal buildings	110
Theater buildings	110
Theme parks	151
Tombs	150
Towers	150
Trails	151
Tribes (Ethnic groups)	150
Tunnels	151
Villas	110
Walls	150
Waterways	151
Wells	151

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## Tracings and References – General Information – 4XX Fields

### NACO:

#### Subfield Codes

Do not use subfield \$i or subfield \$w code r in 4XX fields.

#### **\$w - Control subfield in 4XX See From Tracing**

\_\_\_\_/0 Special relationship

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

\_\_\_\_/1 Tracing use restriction

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

\_\_\_\_/2 Earlier form of heading

Use code n (Not applicable) when neither code a nor **code e** applies and a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

\_\_\_\_/3 Reference display

Code n (Not applicable) allows the generation of a cross reference display and need not be coded in subfield \$w/3. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

### SACO:

SACO participants should follow the LC Subject usage guidelines that follow.

### LC:

#### Subfield Codes:

Do not use subfield \$i or subfield \$w code r in 4XX fields.

### NAMES/SERIES

#### **\$w - Control subfield in 4XX See From Tracing fields**

\_\_\_\_/0 Special relationship

Do not use the following codes:

a - Earlier heading

b - Later heading

d - Acronym

g - Broader term

h - Narrower term

i - Reference instruction phrase in subfield \$i

**Tracings and References  
LC Guidelines**

f - Musical composition                      r – Relationship information  
t - Immediate parent body

Code d may occur in LC records created before 1981.

—/1 Tracing use restriction

Do not use the following codes:

a - Name reference structure only	e - Name and series reference structures
b - Subject reference structure only	f - Subject and series reference structures
c - Series reference structure only	g - Name, subject, and series reference structures
d - Name and subject reference structures	

—/2 Earlier form of heading

Do not use the following code:

o - Earlier established form of heading (other authority file)

Use code a (Pre-AACR 2 form of heading (national name authority file)) when the tracing is for a linking reference from a pre-AACR 2 heading.

Use code e (Earlier established form of heading (national authority file)) in the LC/NAF primarily when a reference from the former heading is appropriate. This includes former headings where code c (AACR 2) or code d (Non-AACR 2 form used with AACR 2) were used. Do not automatically make a reference from the former heading in order to supply code e.

The following obsolete codes may appear in LC records created before the adoption of AACR 2 in January 1981 until these records have been evaluated (008/29, Reference evaluation is changed to code a) and the authority record updated.

b - AACR 1 [OBSOLETE]  
c - AACR 2 [OBSOLETE]  
d - Non-AACR 2 form used with AACR 2 [OBSOLETE]

—/3 Reference display

Do not use the following codes:

c - Reference not displayed, field 663 or 360 used  
d - Reference not displayed, field 665 used  
**b - Reference not displayed, field 664 used**

LC has not **actively supplied** field **664** or **665** since **the 1980's**; **if these fields or code d or b are found in 4XXs upgrade the NAR to the current practice.** Use code a (Reference not displayed) when appropriate for suppressing a cross reference display.

**SUBJECTS:**

**\$w - Control subfield in 4XX See From Tracing fields**

—/0 Special relationship

Use code n (Not applicable) in this position.

**Tracings and References  
LC Guidelines**

—/1 Tracing use restriction

Use code n (Not applicable) in this position.

—/2 Earlier form of heading

Use code e (Earlier established form of heading (national authority file), or code n (Not applicable) in this position.

—/3 Reference display

Use code n (Not applicable) in this position.

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**551 See Also From Tracing – Geographic Name**

**NACO:**

Do not use subfields:

\$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative Projects Section before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for Tracings and References.

**SACO:**

Do not use subfields:

i, \$0, \$4, \$5, \$6, \$8.

SACO usage for subfield \$w is given in the LC Guidelines section for Tracings and References.

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**LC:**

**NAMES/SERIES:**

Do not use subfields:

\$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Use subfield \$0 only in records imported from the Library and Archives Canada.

Usage for subfield \$w is given in the LC Guidelines section for Tracings and References.

**SUBJECTS:**

Do not use subfields:

i, \$0, \$5, \$4, \$6, \$8.

Usage for subfield \$w is given in the LC Guidelines section for Tracings and References.