LIBRARY OF CONGRESS
RULE INTERPRETATIONS

SECOND EDITION, 1989
2009, Update Number 1-2
### Library of Congress Rule Interpretations
2009, Update Number 1-2

#### LCRI Addition/Change Action

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<td>25.5B</td>
<td>Revised to specify policy on uniform titles of physical medium of monographic series</td>
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Current LCRI

Index

Replace p. 65-95
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1.4. PUBLICATION, DISTRIBUTION, ETC., AREA. [New]

LC/PCC practice: Apply the MARC 21 repeatable 260 field when there are changes in the publication, distribution, etc., information of a multipart monograph, serial, or integrating resource. Guidelines for the application are posted on the Library of Congress Web site at http://www.loc.gov/aba/cataloging/policy/.
12.4C2. CHANGE IN PLACE OF PUBLICATION, DISTRIBUTION, ETC. [New]

See LCRI 1.4 for application of the *MARC 21* repeatable 260 field.
12.4D2. CHANGE IN NAME OF PUBLISHER, DISTRIBUTOR, ETC.

See LCRI 1.4 for application of the *MARC 21* repeatable 260 field.

**Serials**

If the publisher is the same as the corporate body under which the serial is entered or the corporate body used as the qualifier in the uniform title under which the serial is entered, see rule 21.3B.
22.1. GENERAL RULE.

"AACR 2 Compatible" Headings

After August 1982, LC began to use and establish all headings in compliance with the Anglo-American Cataloguing Rules, second edition; however, certain categories of existing headings were designated "AACR2 compatible" and continued to be used on current cataloging. Newly created name authority records continued to be coded “AACR2 compatible” when the heading being established was based on a heading already coded “AACR2 compatible.”

In August 2007, the policies on “AACR2 compatible” headings were relaxed by introducing guidelines permitting the revision of “AACR2 compatible” headings but requiring the revision under certain circumstances.

“AACR2 compatible” headings may be reformulated to conform to AACR2; or, they may continue to be used as is as long as they do not fall into one of the categories below.

Existing heading must be revised

If changing the heading or a reference on a record coded “AACR2 compatible” [008/10=d], reformulate the heading to conform to AACR2 by

1) upgrading all elements of the name authority record to AACR2;

2) changing the value in 008/10 to “c”;

3) upgrading other name authority records on which the “AACR2 compatible” heading has been used either as part of the 1XX field or in the reference structure.

New heading or reference

When a new heading is being created or a new reference being added to an existing name authority record that would use an existing “AACR2 compatible” heading, reformulate the base heading to its AACR2 form; upgrade the heading on the base name authority record coded “AACR2 compatible,” and upgrade any additional name authority records that have used the “AACR2 compatible” heading.
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23.1. INTRODUCTORY NOTE.

Ambiguous Entities

Treat the ambiguous entities (entities that could be treated as either name headings or subject headings) listed below as geographic names and establish them under the general provisions of chapter 23, AACR2, tagging them as X51.

- City sections
- Collective settlements
- Communes
- Conservation districts
- Jurisdictions, Ancient (other than cities)
- Military installations (Active; also all established after 1899)
- Park districts
- Recreation districts
- Sanitation districts
- Utility districts
- Water districts

Military Installations

Treat military installations as local places. This means adding as a qualifier the country, state, province, etc., that would have been added to a city or town in the same place. Apply this even if the installation is located outside the country that controls it, i.e., add the heading for the larger place in which it is located in all cases. Make references from the name as a subheading of the country that controls it and as a subheading of the military branch to which it belongs. (Military installations that are treated as local places include forts, bases, camps, airfields, and Coast Guard stations but not shipyards.)

151 ## $a March Air Force Base (Calif.)
451 ## $a March Field (Calif.)
410 1# $a United States. $b March Air Force Base
410 1# $a United States. $b Air Force. $b March Air Force Base

151 ## $a Yokosuka Naval Base (Japan)
410 1# $a United States. $b Yokosuka Naval Base
410 1# $a United States. $b Navy. $b Yokosuka Naval Base

American Indian Tribes

The appropriate MARC 21 field for names of U.S. Indian tribes as legal entities in name authority records will henceforth be the 151 (Geographic name) field instead of the previously used 110 (Corporate name) field. This is in keeping with the guidance provided in rule 21.35 of AACR2.
in regard to treating tribal entities as national governments.

Tribes recognized by the U.S. government are independent, autonomous political entities with inherent powers of self-government; they possess sovereignty and are equal to national governments. There are over 500 recognized tribes within the continental United States. Nearly all federally recognized tribes have jurisdiction over some delimited area of land, a geographic place, although land and area vary with each tribe.

When establishing headings for American Indian tribes of the United States, consult the official list created and maintained by the Department of the Interior, Bureau of Indian Affairs, published and updated in the Federal Register. The list of federally recognized tribes published bi-annually since 1979, entitled: Indian Entities Recognized and Eligible to Receive Services from the United States Bureau of Indian Affairs is available online at the Federal Register Web site at: <http://www.gpoaccess.gov/fr/>. Note that this site contains only the lists published since 1994. A copy of the most current list can be found on the CPSO Web site at: <http://www.loc.gov/catdir/cpso/biaind.pdf>. Updated lists of tribal entities from the Federal Register will be posted as received. This source, the date of publication, and the date accessed should be recorded in a 670 field in the name authority record and may be cited as “BIA Indian Entities.” If a name for a tribal entity is not found in the BIA list additional research may be conducted and/or the name may be established from information found on the work being cataloged, in this case the BIA list should be cited in a 675 field.

Example (complete name authority record fields not shown):

```
151 ## $a San Carlos Apache Tribe of the San Carlos Reservation, Arizona
670 ## $a BIA Indian Entities, 2005, Dec. 14, 2005 $b (San Carlos Apache Tribe of the San Carlos Reservation, Arizona)
```

Some tribes have a federally approved name that sounds as if the name were for a populated place rather than a tribe. Confusion may result when there actually is a populated place of that name. In such cases, the tribe and the populated place are separate entities, and both may be established as needed.

```
151 ## $a Native Village of Nunapitchuk (Tribe)
151 ## $a Nunapitchuk (Alaska) (Populated place)
```
Canadian Headings

If the Library and Archives Canada (LAC) form differs from LC/AACR2 form for capitalization, diacritics, or punctuation, follow LAC.

If a corporate name in French includes the diphthong œ, which appears in the LAC form as separate letters, use the LAC form in the heading.

Although LAC practice is to establish all corporate names in both English and French, LC practice is to use English whenever possible. Exception: Generally establish Québec corporate names in French.

If the LAC French-language heading is used and that heading has a qualifying term in French, change the term to the English term used in the LAC English-language equivalent heading.

NLC: CHAU-TV (Station de télévision : Carleton, Québec)
NLC equivalent: CHAU-TV (Television station : Carleton, Quebec)
heading: 110 2# $a CHAU-TV (Television station : Carleton, Québec)

If an LAC corporate heading contains a geographic qualifier, use the LC-established form of the geographic name as the qualifier.

NLC: Douglas Hospital (Verdun, Quebec)
heading: 110 2# $a Douglas Hospital (Verdun, Québec)

"AACR2 Compatible" Headings

After August 1982, LC began to use and establish all headings in compliance with the Anglo-American Cataloguing Rules, second edition; however, certain categories of existing headings were designated "AACR2 compatible" and continued to be used on current cataloging. Newly created name authority records continued to be coded “AACR2 compatible” when the heading being established was based on a heading already coded “AACR2 compatible.”

In August 2007, the policies on “AACR2 compatible” headings were relaxed by introducing guidelines permitting the revision of “AACR2 compatible” headings but requiring the revision under certain circumstances.

“ AACR2 compatible” headings may be reformulated to conform to AACR2; or, they may continue to be used as is as long as they do not fall into one of the categories below.

Existing heading must be revised

If changing the heading or a reference on a record coded “AACR2 compatible” [008/10=d], reformulate the heading to conform to AACR2 by
1) upgrading all elements of the name authority record to AACR2;

2) changing the value in 008/10 to “c”;

3) upgrading other name authority records on which the reformulated “AACR2 compatible” heading has been used either as part of the 1XX field or in the reference structure.

**New heading or reference**

When a new heading is being created or a new reference being added to an existing name authority record that would use an existing “AACR2 compatible” heading, reformulate the base heading to its AACR2 form; upgrade the heading on the base name authority record coded “AACR2 compatible,” and upgrade any additional name authority records that have used the “AACR2 compatible” heading.

**Airports**

Before August 1996, airports were established as geographic names under the provisions of chapter 23 AACR2, tagged X51. After July 1996, establish airports under the provisions of chapter 24, AACR2, tagged X10. If the name of the airport does not include the name of the place it serves, add the appropriate local place name qualifier. Do not make a reference through the local place in which the airport is located.

**LC practice:** Headings for airports existing in the name authority and bibliographic databases will be revised as a project by the Cataloging Policy and Support Office (CPSO), but revise existing headings needed in current cataloging as encountered.

```
110 2# $a Dallas-Fort Worth International Airport
110 2# $a Heathrow Airport (London, England)
110 2# $a Shin Tōkyō Kokusai Kūkō
110 2# $a Davis Airport (Luzerne County, Pa.)
110 2# $a Davis Airport (Montgomery County, Md.)
```

**Cemeteries**

Before August 1996 cemeteries were established either as name or subject headings, tagged X51. After July 1996 establish all cemeteries as name headings, tagged X10.

**LC practice:** Heads for cemeteries existing in the subject authority file will be converted to name headings as a project by CPSO. CPSO will also revise existing name authority and bibliographic records as a project, but revise existing headings needed in current cataloging as encountered.

Establish cemeteries according to the provisions of chapter 24, AACR2. Qualify the name
of the cemetery with the name of the local geographic place in which it is located, i.e., city, county, etc., even if the cemetery is national, state, provincial, etc., in character. (Revise existing headings that do not reflect this policy when such headings are needed in current cataloging.) Do not make a reference through the place in which the cemetery is located.

110 2# $a National Memorial Cemetery of the Pacific (Honolulu, Hawaii)
110 2# $a Cimetière de Champeaux (Montmorency, France)
110 2# $a McMillan Cemetery (Marshall County, Okla.)
110 2# $a Cmentarz Ewangelicko-Augsburski w Warszawie (Warsaw, Poland)
110 2# $a Necrópolis Cristóbal Colón (Havana, Cuba)

Concentration Camps

Before August 1996, concentration camps were established either as name or subject headings, tagged X51. After July 1996, establish all concentration camps as name headings, tagged X10.

Establish concentration camps according to the provisions of chapter 24, AACR2. Construct headings based upon information found on items issued by the body or information found in authoritative reference sources. Do not routinely construct the name of a concentration camp to reflect solely the local place name. If the form of the heading cannot be determined from reference sources, use the form as found in the item being cataloged. Qualify the heading for a concentration camp that consists solely of the name of a place with “(Concentration camp).” (Revise existing headings and associated bibliographic records that do not reflect this policy when such headings are needed in current cataloging. Do not retain the post-1980, pre-August 1996 heading as a reference, unless it is a valid AACR2 reference.) Do not make a reference through the local place in which the concentration camp is located.

LC practice: Convert headings for concentration camps existing in the subject authority file to name headings as needed. In converting subject authority records to name authority records, copy the subject authority record into the name authority file. Add the control number of the subject authority record as a 010$z; revise the form of heading and the tagging; evaluate existing references (revise or delete), add additional references as appropriate, delete any 550 fields; retain any 670 field(s) as is (including "Work cat." preceding the citation), add a 670 field that justifies the heading chosen (item being cataloged or LC database citation); and change FFD 8 to value n, code FFD 12 as appropriate, and add the cataloger's code in FFD 25. Submit a proposal to delete the record from the subject authority file to the Subject Headings Editorial Team, Cataloging Policy and Support Office in accordance with procedures in Subject Cataloging Manual: Subject Headings H193, section 11, and H193.5. (NACO libraries: Submit the proposal to Cooperative Cataloging Team, Regional and

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Note that the order of fields when copying a subject authority record differs from the traditional order of fields for name authority records. Do not reorder the fields.
Cooperative Cataloging Division.)

\begin{itemize}
\item 110 2# $a$ Auschwitz (Concentration camp)
\item 410 2# $a$ Konzentrationslager Auschwitz
\item 410 2# $a$ KL Auschwitz
\item 110 2# $a$ Konsentrasiekamp te Bethulie
\item 410 2# $a$ Bethulie (Concentration camp)
\item 110 2# $a$ Náos Gyaros
\item 410 2# $a$ Gioura (Concentration camp)
\end{itemize}

**Plans, Programs, and Projects**

Treat plans, programs, and projects as corporate bodies whether or not they have a staff. Do not consider that headings for entities with these words in their names need the addition of a qualifier that conveys the idea of a corporate body (cf. 24.4B).

**Printers**

The purpose of this section is to provide guidance in the formulation of headings for printers for use in the cataloging of rare materials. In the context of rare materials, the word "printer" also means "publisher" and "bookseller."

Establish names of printers in the form found in modern reference sources in the language of the country in which the printer is located when that varies from the chief source of information in the item being cataloged, according to the principle for form of pre-1801 names (LCRI 22.1B) and persons not known primarily as an author (AACR2 22.1B). If a corporate name is not clearly indicative of a corporate body, add the qualifier "Printer," "Bookseller," "Firm," etc., as appropriate (cf. LCRI 24.4B). Make see references from unused variant forms and see also references from the established forms of related persons or corporate bodies.

Establish a firm as a corporate body, in direct order.

\begin{itemize}
\item source: Ex Officina Elzeviriana
  \begin{itemize}
  \item heading: 110 2# $a$ Officina Elzeviriana
  \end{itemize}
\item source: Viduae & haeredum Ioannis Stelsii
  \begin{itemize}
  \item heading: 110 2# $a$ Vidua & Haeredes Ioannis Stelsii
  \end{itemize}
\end{itemize}

**Heirs, Assigns, Estate**

Establish phrases denoting the heirs or estate of a printer in direct order in the nominative case with a see also reference from the established form of the printer's name.

\begin{itemize}
\item source: Gli heredi di Philippo de Giunta
\end{itemize}
heading: 110 2# $a Heredi di Philippo de Giunta
410 2# $a Haeredes Philippi Iuntae Florentini
410 2# $a Junta (Firm : Florence, Italy)
410 2# $a Giunti (Firm : Florence, Italy)
500 1# $a Giunta, Filippo, $d 1450-1517

source: Haeredes Christiani Egenolphii
heading: 110 2# $a Chr. Egenolffs Erben
410 2# $a Haeredes Christiani Egenolphii
410 2# $a Christian Egenolffs Erben
410 2# $a Egenolffs Erben
500 1# $a Egenolff, Christian, $d 1502-1555
670 ## $a Benzing $b (Chr. Egenolffs Erben)

source: Reprinted at Edinburgh : By the Heirs and Successors of Andrew Anderson
heading: 110 2# $a Heirs and Successors of Andrew Anderson
500 1# $a Anderson, Andrew, $d d. 1676
500 1# $a Anderson, James, $d fl. 1676-1694
500 1# $a Anderson, Agnes, $d d. 1716
670 ## $a A dict. of the printers and booksellers in England, Scotland and Ireland from 1641 to 1667, 1908:$bp. 5 (Andrew Anderson, d. 1676, was succeeded by his widow Agnes and his son James)
670 ## $a A dict. of the printers and booksellers in England, Scotland and Ireland from 1668 to 1725, 1922:$bp. 5-6 (Andrew Anderson's widow Agnes, conducted the business under the style Heirs and Successors of Andrew Anderson until her death in 1716)

source: London : Printed by John Basket ... and by the Assigns of Henry Hills
heading: 110 2# $a Assigns of Henry Hills
500 1# $a Hills, Henry, $d d. 1713

source: De erven F. Bohn
heading: 110 2# $a Erven F. Bohn
500 1# $a Bohn, F.

source: The Paul M. Fekula collection : a catalogue / published by the
estate of Paul M. Fekula

heading: 110 2# $a Estate of Paul M. Fekula
500 1# $a Fekula, Paul M.

Officina, etc.

source: Ex officina Oporiniana
heading: 110 2# $a Officina Oporiniana
500 1# $a Oporinus, Joannes, $d 1507-1568

source: Typographia Komarek in Via Cursus [Latin name]
source: Nella Stamperia del Komarek [Vernacular name]
source: Stamperia Komarek, a spese di G. Ughetti [Vernacular variant]
heading: 110 2# $a Stamperia del Komarek
410 2# $a Typographia Komarek
410 2# $a Stamperia Komarek
410 2# $a Komarek (Firm : Rome, Italy)
500 1# $a Komarek, Francesco Bezzarrini
500 1# $a Komarek, Giovanni Jacopo

source: Ex Officina Plantiniana [Latin name]
source: Plantijnsche Drukkerij [Vernacular name]
heading: 110 2# $a Plantijnsche Drukkerij
410 2# $a Officina Plantiniana
500 1# $a Plantin, Christophe, $d ca. 1520-1589

Partnerships, etc.

1) If there is clear evidence that the partnership is a formally established, stable entity, establish the phrase as a corporate body with a qualifier as appropriate. Make see also references from the headings for the partners.

source: Books Printed for A. and J. Churchill at the Black Swan in Pater Noster Row [Vernacular name]
source: Impensis Awnsham & Johan. Churchill [Latin name]
410 2# $a Awnsham and John Churchill (Booksellers : London, England)
500 1# $a Churchill, Awnsham, $d d. 1728
500 1# $a Churchill, John
2) In the absence of clear evidence that the relationship is a formal or legal partnership, do not establish as a corporate body. Rather, establish the names of the various persons, and any related corporate body, separately. On a specific bibliographic record, make added entries as indicated in the imprint and colophon of the item being cataloged.
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 main or added entry on a bibliographic record because the forest, park, preserve, etc., has some responsibility for the intellectual content of the item, create a name authority record for the forest, park, preserve, etc., under its name as a corporate body and qualify the name with “(Agency).”

110 2# $a Chugach National Forest (Agency: U.S.)
410 1# $a United States. $b Forest Service. $b Chugach National Forest

110 2# $a Aniakchak National Monument and Preserve (Agency: U.S.)
410 1# $a United States. $b National Park Service. $b Aniakchak National Monument and Preserve
25.5B CONFLICT RESOLUTION.

TABLE OF CONTENTS

General

Serials (Including Numbered and Unnumbered Monographic Series) Series Entered Under Title

1) General
2) Choice of qualifying term
3) Form of qualifying term
4) Change in qualifier
5) Unnumbered/numbered titles from the same body
6) Serial section title or subseries title with initial article
7) Numbering grammatically integrated with title proper
8) Serial common title or main series title not issued alone or lacking numbering
9) Serial common title or main series title issued alone or has numbering
10) Supplement title entered subordinately to main title

Serials (Including Numbered and Unnumbered Monographic Series) Entered Under Name Heading

1) General
2) Choice of qualifying term

Monographs

1) Single-part monograph or not-analyzed multipart item
2) Analyzed multipart item entered under a title proper
3) Analyzed multipart item entered under a name heading
4) Collective uniform title headings “Works” and “Selections”: NAR and SAR for different multipart items

Integrating Resources

Series-Like Phrases

1) Entry under title
2) Entry under name heading
3) Conflict with another phrase heading

Title/Phrase Heading in Series Authority Record Identical to Personal or Corporate Name

Radio and Television Programs

U.S. Census Publications
Comics

Motion Pictures

Choreographic Works

1) Background
2) Uniform titles for choreographic works

Named Individual Works of Art

Appendix 1: Motion Pictures, Television Programs, Radio Programs

CONSER standard and minimal record practice: It is only required to apply this LCRI to non-analyzable serials with generic titles, monographic series, and headings for related work added entries. However, it is not required to create a uniform title for an online monographic series solely to differentiate that physical medium from others.

The first part of this LCRI addresses conflict resolution for serials (including numbered and unnumbered monographic series). This part of the LCRI represents LC/PCC practice. As of June 1, 2006, LC catalogers will consult SARS only when determining if conflict exists.

Also, see the sections “Monographs” and “Integrating Resources” below for guidelines about the use of qualifiers for single-volume monographs, multipart items, and integrating resources.

Note: Indicators are not given in the examples when the heading could be used in either an authority or a bibliographic record because the indicators in authority and bibliographic records are not the same for the 130 field.

General

1) The "catalog" when testing for conflict. When searching the catalog to determine if a uniform title is needed for a serial/series or multipart item, define the "catalog" as the file against which the searching and cataloging is being done. In addition, catalogers (including LC overseas offices' catalogers and PCC participants) may take into account any serial/series or multipart item with the same title of which they know, whether or not it is in the catalog.

2) Eligible title fields for conflict

   a) Take into account the title proper of a serial/series/multipart item; such a title proper can be found in the 245, 247, 4XX, 730, 760-787, 8XX fields of bibliographic records and the 130 field of series authority records (SARS).

   b) Do not take into account variant forms of title represented by added entries (246, 740 fields) in bibliographic records or by cross references (4XX fields) in name and series authority records. (Note: according to LCRI 26.5A, a qualifier is added to a cross reference in the authority...
LIBRARY OF CONGRESS RULE INTERPRETATIONS (LCRI)

Cumulative list of currently valid LCRI to the *Anglo-American Cataloguing Rules*, second edition, 2002 revision.

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