



NACO Training for OCLC Libraries

Trainer's Manual

Prepared by
Cooperative Programs Section &
Associates

Library of Congress

April 2010

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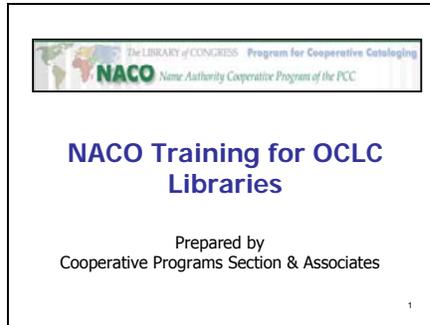
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Slide 1

**NACO Training for OCLC Libraries:****Trainers notes:**

1) Trainers may customize this slide.

2) Introduce yourself! and then have participants also introduce themselves. Extend a welcome to NACO libraries. Mention that NACO libraries are valued participants in building the **NAF = LC/NACO Authority File**
Icebreaker suggestion: New developments at LC; Something humorous about yourself [trainer], another NACO or cataloging experience, etc.

3) Be sure to talk about: where are the bathrooms; what is the schedule for breaks and lunch; where is the food to come from; is there a close source of drinks and/or coffee; inform people of any emergency info, such as where to go in the event of a fire alarm.

4) Breaks are 30 minutes with one in morning and one in afternoon. Lunch is generally an hour or no longer than one hour and fifteen minutes.

[Next slide]

The learning objectives of the course are--

Slide 2

**Workshop
Learning Objectives (1)**

At the end of the course, participants will be able to:

- Consult and use MARC 21 Authority Format, LC Guidelines Supplement, and DCM Z1
- Create and revise NARs according to AACR2 and the LCRIs (chpts. 22-26)

2

Workshop Learning Objectives (1):

Trainer note: Discuss each learning objective.

Consult and use MARC 21 Authority Format, LC Guidelines Supplement, DCM Z1 as tools for name authority creation.

These tools for authority creation can be found in Catalogers Desk Top.

We will look in on these tools during Day 1 discussions.

3) Create and revise NARs according to AACR2 & LCRIs (chpts. 22-26).

a) The workshop will cover chapters 22-26 of the LCRIs and AACR2 but focus on LCRIs.

Slide 3

**Workshop
Learning Objectives (2)**

- Apply content designation in accordance with the MARC 21 Authority Format
- Evaluate, update, and modify existing name authority records
- Determine if a named entity is established through NACO or SACO
- Understand NACO administrative details

3

Workshop Learning Objectives (2):

Trainer note: Other workshop learning objectives are:

Apply content designation according to MARC21 Authority Format [show a copy of MARC21 authority format; or mention that MARC21 authority format in Catalogers Desktop will be looked at later.

[Trainer: write on blackboard examples of content designation]

[Trainer] May mention that Day 5 of training materials we have a complete set of exercises on the modification of authority records.

[Trainer] May mention that deciding whether a named entity is established through NACO or SACO can at times be challenging. We will look at ways you can make this determination.

- NACO administrative details include: NACO independence, the review process, etc. As you will see on a later slide NACO administrative details will be discussed on Day 5 of workshop.

[Next set of slides]

Review of the 5 day outline--

Slide 4

DAY 1: NACO Foundations

- Authorities in a Shared Database
- PCC NACO Principles and Parameters
- Searching/BFM
- Normalization
- MARC 21 Authority Format
- Practicum and exercises

4

Day 1: NACO Foundations:**Training plan: Day 1**

- 1) Authorities in a shared database
- 2) PCC NACO principles and parameters
- 3) Normalization: a computer edit designed to eliminate all but the essential characters of a heading for the purpose of comparison.
- 4) MARC 21 Authority Format: Prepared by Network Development & MARC Standards Office; defines the codes and convention tags (tags, indicators, subfield codes, and coded values that identify the data elements in MARC authority records)

Note to Trainer: Practicum and exercises: There are various exercises (e.g.: normalization; tagging exercise, etc.) throughout Day 1 materials and review exercises in the Day 1 appendices. We will work together to complete all exercises except the review exercises. **[Trainer may want to include review exercises]**

Note to Trainer: Also trainer should mention that perhaps, if time allow, participants will be given the opportunity to use their NACO authorization codes in NAF to pull up NAR work forms, perform searching exercises, etc.

Slide 5

DAY 2: Personal Names

- Chapter 22 Personal Names
- Chapter 26 References
- Review AACR2 & focus on LCRI
- Practicum and exercises

5

Day 2: Personal Names:**Training plan: Day 2**

- 1) Personal names: chapter 22 of LCRI and AACR2 with focus on LCRIs.
- 2) Chapter 26 (References): We will look at chapter 26 (focus on LCRI) to determine which references are appropriate and those that are not appropriate because of the normalization guidelines.

Note to trainer: Practicum and exercises [Trainer must allow time for the creation of personal name authority records on Day 2 !]
Various personal name exercises are presented throughout day two training materials. These exercises will be completed and then discussed. [Trainer

might form participants into group setting and divide exercises accordingly]

Slide 6

DAY 3: Corporate Names

- Chapter 24 Corporate/Conference Names
- Chapter 26 References
- Review AACR2 & focus on LCRIs
- Practicum and exercises

6

Day 3: Corporate Names:**Training plan: Day 3**

Corporate bodies including conferences: chapters 24 & 26 of the LCRIs and AACR2 (focus on LCRIs)
Other topics covered: Government and non-government bodies, direct/indirect entry, corporate ambiguous headings, etc.

Note to trainer: practicum in the creation of NARs should be done by participants in the afternoon!

Slide 7

DAY 4: Geographic Names and Uniform Titles

- Chapter 23 Geographic names
- Chapter 25 Uniform titles
- Chapter 26 References
- Review AACR2 & focus on LCRIs
- Practicum and exercises

7

Day 4: Geographic Names and Uniform Titles:**Training plan: Day 4**

1) Chapter 23 & 26 (AACR2 & LCRI):
Geographic names
2) Chapter 25 & 26 (AACR2 and LCRI):
Uniform titles
3) **Note to Trainer:** If participants have other corporate heading questions trainer can review and answer questions regards corporate names before discussing chapters 23 and 25.

Note to Trainer: practicum in the creation of NARs should be done by participants in the afternoon!

Slide 8

DAY 5: Changes and Wrap-up

- Changes to NARs (DCM Z1)
- Review LCRIs & DCM Z1
- Practicum and exercises
- NACO administrative details

8

Day 5: Changes and Wrap-up**Training plan: Day 5**

Discuss briefly the outline for Day 5.

Trainer might mention: About 20% of NACO work involves headings that are already established. On the fifth day we talk about evaluating and changing NARs. It's also the day to wrap up the training week and anticipate the next steps in the review process.

Note to trainer: practicum on the creation of new authority record in the afternoon, if necessary or time allow.

Slide 9

**DAY 1: NACO Foundations
Including MARC 21**



Prepared by the
Cooperative Cataloging Team
& Associates

9

Day 1: NACO Foundations Including MARC 21:**Examples & Exercises in training materials:**

1) Some are made up, some are from the database, some are from the database with modifications.

2) \$a is assumed in all MARC coding examples when it is the first subfield given.

3) Some examples are old, and therefore may not be in accord with current practice.

Slide 10

NACO Foundations: Course Summary

This course is designed to introduce NACO participants to:

- The shared database environment
- PCC NACO principles and parameters
- MARC 21 Authority Format
- LC Guidelines Supplement in MARC21
- DCM Z1 (yellow pages)

10

NACO Foundations: Course Summary:

Shared database environment: Define what this means (eg: participants from national and international libraries working together to create NARs for the common good of all users).

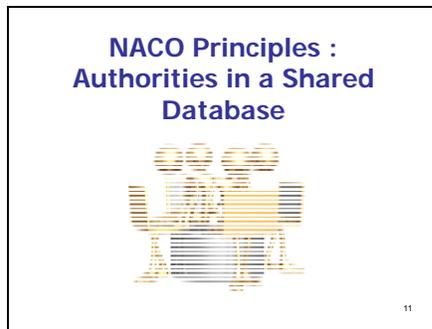
PCC NACO parameters: The underlying principle of the NACO Authority File is that participants agree to follow a common set of standards and guidelines when creating or changing authority records in order to maintain the integrity of a large shared authority file. These guidelines will be discussed later. There exist a need to streamline efforts while building a consistent and predictable file that will reduce the efforts of the global library

community and maximize its resources.

MARC21 Authority Format : Show copy if available.

DCM Z1: link on NACO home page (can show link on NACO home page)

Slide 11



NACO Principles: Authorities in a Shared Database:

1) Trainer might mention: Not only does the Library of Congress (LC) value the work of the cooperating libraries, but libraries all over the world benefit from your contributions.

Slide 12



Standards in Card Catalogs:

1) Library of Congress sold card sets to libraries roughly from 1900 to 1982. Other vendors also sold cards.

2) LC stopped selling cards September 1982 but shelflist resumed until 1984. (per CPSO, Aug. 27, 2008)

3) OCLC still produces and sells cards, although the numbers are unknown. (verified with OCLC Aug. 27, 2008)

Slide 13

Standards Today

- We have moved away from limitations of card cataloging
- LC is a member of PCC and must meet the same standards as any NACO library



13

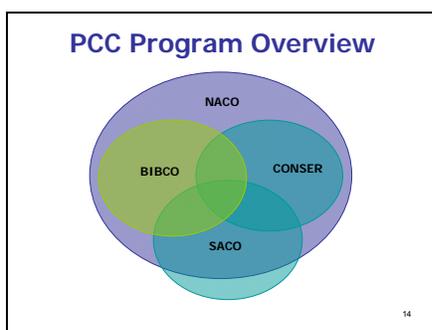
Standards Today:

1) Library of Congress, early on, set the standards among library catalogs around the world. Many of the standards that we work from today, especially for bib records, still reach back into the paper format of a 3x5" that was used for so long. But we are slowly but steadily moving away from those limitations.

2) LC continues to set standards for libraries around the world.

3) Computers will change those standards eventually.

Slide 14

**PCC Program Overview:**

1) There are over 671 (Aug. 2008) libraries contributing as separate institutions or in one of the many NACO funnel projects.

2) Please check number of libraries before giving this presentation with Anthony Franks, Head, Cooperative Programs Section.

3) Contributions to the file have risen dramatically since 1992. NACO-contributed records account for roughly one half of all new name

and series records in the authority file.

4) The NAF contains about 7.5? million records (2008).

5) The membership to NACO is a prerequisite for participating in the Bibliographic Record Cooperative Program (BIBCO) and the Cooperative Online Serials Program (CONSER).

6) The fourth component of the PCC program is the Subject Authority Cooperative Program (SACO).

Slide 15

Program for Cooperative Cataloging (PCC)

- About 700 partners in PCC
- NACO partners contribute name authority records to LC database via utilities
- Records are re-distributed via utilities, etc.

15

Program for Cooperative Cataloging (PCC):

- 1) Program for Cooperative Cataloging, initiated in Feb. 1995.
- 2) It is an international cooperative effort aimed at expanding access to library collections by providing useful, timely, and cost-effective cataloging that meets the accepted standards of libraries around the world. By 2003, we already had over 400 partners; now in 2009, we have broken the 600 mark. Of course, some contribute more than others.
- 3) Name Authority Cooperative program -- NACO began in 1977 as a joint project between the LC and the GPO to use and maintain a common authority file which would reduce the cost of authority work, the most expensive aspect of cataloging.
- 4) Library of Congress (LC) is one of the PCC partner institutions. It may be confusing when Cooperative Programs Team members speak of LC and the NACO partners as if LC is not part of NACO, but it is.
- 5) Other PCC institutional members include: National Library of South Africa, National Library of Wales, National Art Library (Great Britain) and various funnel projects: NACO Canada, Caribbean Funnel.

Slide 16

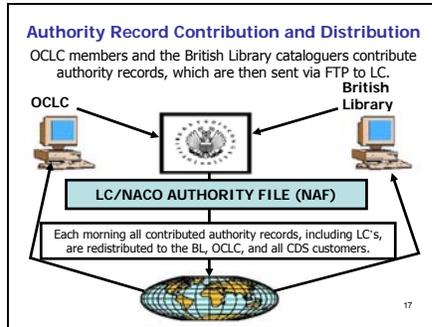
Exchanging Records

- More standardization required
- Local systems/utilities are different
- Earlier MARC formats were diverse (US MARC, CanMARC, UK MARC)
- MARC 21 is more universal

**Exchanging Records:**

- 1) As the library becomes more globalized, we are making more and more efforts to harmonize the rules and standards we work under, not just in MARC formats, but also in how to establish a unique identifier.
- 2) There is still a great deal of work to be done, but international harmonization efforts continue to grow, and you are now going to be a part of that.

Slide 17



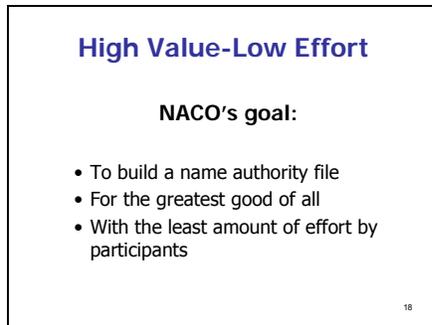
Authority Record Contribution and Distribution:

- Online Computer Library Center (OCLC) members along with catalogers at the British Library and NLM contribute authority records to the NAF. Records are now transferred via FTP (Internet's File Transfer Protocols) on a daily basis.
- Today most libraries contribute to the master file in the LC database via OCLC, creating an authority file national and international in scope.
- Copies of all new and changed records are re-distributed by LC on a daily basis to our bibliographic partners in order to synchronize the three files.

You are not alone---

(CDS – Cataloging Distribution Service)

Slide 18



High Value-Low Effort:

- 1) These principles of NACO may help us see the bigger picture.
- 2) Although these are not the only benefits, they are some of the most noticeable. After all, this whole effort started as a way to save money.

Slide 19

Dynamic File

- The LC/NAF is a dynamic file, changing every 24 hours
- Any record may be changed by another NACO participant for *appropriate* reasons

19

Dynamic File:

1) The LC NACO Authority File is in constant flux, **changing every 24 hours**.

2) Remember the numbers I gave you of modifications to NARs. It was nearly as large a number as new records created.

a) New information is constantly coming in through regular cataloguing, so we can expect constant change. Even though this does cause a need for maintenance, it is nonetheless a good thing in the long run.

b) Remember that one of the most important rules of a shared database is to respect your colleagues. Everybody makes mistakes, and you are certainly free to modify an authority record if you discover an error in fact or form, or have new information to add.

c) But a difference of opinion is not an acceptable reason to make changes. Reasons for making changes include: conflict, author prefer, heading created in error, etc.

Slide 20

Serving the Users

- The catalog serves the users
- A principle of cataloging:
All works of an author should be found under a standardized name. Variant forms of the title of a work should be found under a standardized (uniform) title

20

Serving the Users:

1) This comes from the 1961 Paris Principles developed by the International Federation of Library Associations (**IFLA**).

2) Remember that this basic idea applies to all names, not just people. In fact, that is what we are covering in this entire course, all the different entities that have names or titles and therefore need unique identifiers.

Slide 21

NARs and the NAF

- Name authority record (NAR) shows authorized form and variants
- LC/NACO authority file (NAF) includes all NARs
- Libraries choose levels of authority control
- LC requires NARs for most of its bib records, except MLC (minimal level cataloging)

21

NARs and the NAF:

When to create a name authority record can be found at: (DCM Z1: Introduction pages); generally make an NAR for any personal or corporate name that may be used as a main or added entry.

2) The standardized retrieval terms for the names and subjects on a bibliographic item are captured in authority records.

3) Libraries in NACO may decide which areas of their collection will require name authority records. They may choose to contribute NARs to NACO for only certain parts of their collections.

They may use slightly different practices for their local authority files.

For example, a local author who has only a vanity press publication in your file may not need a national-level authority record. Or maybe that person is the one you need to make sure gets into the NAF. It's up to your institution to decide on these policies.

4) LC requires authorities for most of its bib records, but not for Minimal Level Cataloging, although the headings of the bib records do need to be in AACR2 format. They also need to be taken into account when you are creating an authority record for something found in an MLC access point.

Slide 22

Cataloger's Judgment

- Use judgment when applying some rules
- A different choice isn't always an error, so respect the judgment of your colleagues
- *Leave a unique heading alone*

22

Cataloger's Judgment:

1) Over time, each cataloger will find their judgment developing with their own area of specialty (e.g. public libraries vs. the needs of academic libraries). Learn to trust your judgment. Sometimes there is no right or wrong answer, just what is appropriate to the needs of your library.

2) *As much as possible, leave a unique heading alone. Resist making changes for cosmetic purposes, even if they are allowed by the rules/RI's.*

Slide 23

Unique, Not Exhaustive

- NAR gives a unique heading as an access point for a bibliographic record
- NAR is not an encyclopedic entity
- Information should be brief and pertinent

23

Unique, Not Exhaustive:

1) Here's a place where the cataloger must judge how much information about an entity to include or omit. The NAR is not meant to be a detailed biography or history. The documentation will give you guidelines, but the needs of the situation will dictate that sometimes you need more information than others.

2) NAR's should be telegrams, not novels. A common name, for example, will need more info than an unusual one (Example: Smith, John "vs." Hillbilly Jim)

Trainer: Write on blackboard what personal NAR can contain such as:

1) Personal names can contain:
 Death/birth dates;
 occupation of person; degrees (if several degrees listed record persons latest degree) and those things that can break a conflict

2) Corporate bodies NAR can contain:
 Where body is located;
 conference dates and location; date corporate body established, etc.

Slide 24

Specific Practices

- A practice may not apply equally to all parts of NACO work
 e.g. Geographic names *always* require research, but personal names *seldom* do

24

Specific Practices:

1) As we go through the rules, we will show where there a practices specific to an area, and what exceptions exist to general policies.

Slide 25

Focus on Work in Hand

- Focus on records related to an item being cataloged
- NACO (and LC) catalogers are discouraged from cruising the database to find errors to report

25

Focus on Work in Hand:

Remember that you need to focus on work related to the work-in-hand. If you start cruising the database, you may end up correcting errors that don't really need to be corrected.

Slide 26

Go to the Source

- Ask the other library's NACO contact if there is a consistent pattern of problems
- NACO liaisons:
<http://www.loc.gov/catdir/pcc/naco/pccliaisons.html>

26

Go to the Source:

The NACO liaisons or contacts' email addresses and phone numbers for the various PCC NACO institutions are on the NACO web page.

If you spot a continuing pattern of suspicious cataloging practices, you could mention it to your NACO liaison at LC and let us investigate it.

Slide 27



**Cooperative Cataloging
Programs :
NACO Parameters**

27

**Cooperative Cataloging Programs:
NACO Parameters:**

There are fundamental parameters within which all NACO participants agree to work. PCC institutions agree to follow a common set of standards and guidelines when creating or changing authority records in order to maintain the integrity of a large shared authority file.

Trainer: The next slides will show what the parameters are--

Slide 28

NACO Parameters

- Documentation
- Contribution guidelines—PCC
- Special agreement
- Changes to existing NARs
- Cancellation of NARs
- Bibliographic File Maintenance (BFM)
- Searching (*why, how, and when*)
- Normalization rules

28

NACO Parameters:

Participants agree to a common set of standards when creating or changing records.

This maintains the integrity of LC/NACO Authority File.

The primary purpose of this class is to teach you the standards upon which we work.

To follow a common set of standards and guidelines when creating or changing authority records in order to maintain the integrity of a large shared authority file

NAF = LC/NACO Authority File

Slide 29

**NACO Parameter :
Documentation**

- **AACR2** (2nd ed., 2002 revision and updates) - Chapters 22-26
- **LCRI**s - Chapters 22-26
- **MARC 21** Authority Format
- **LC Guidelines** Supplement to the MARC 21 Authority Format
- **Descriptive Cataloging Manual (DCM : Z1)**

29

NACO Parameter: Documentation:

All new authority record contributions are to be formulated using the following documentation (cite list above)

AACR2 – Anglo-American Cataloguing Rules. These rules must be applied by NACO participants in conjunction with the LCRIs.

LCRIs – Library of Congress Rules of Interpretations -- These guidelines provide the PCC and LC policies related to AACR2. They state the AACR2 options chosen, provide explanation and expansion of certain rules in an attempt to assure uniformity which will facilitate retrieval, and increase the predictability of data elements in the NAF. The LCRIs are issued by the Library of Congress, but they have been influenced by the comments of our cooperative partners in the PCC program and the larger library community. NACO participants must use the published LCRIs.

MARC21 Authority Format – (also located in: Catalogers Desktop)

Sometimes called *White pages*: basic pages which describe and illustrate the structural elements (content designation) of authority records, such as leader, fixed fields, variable fields, subfields and all codes which are defined for these fields. These fields will be discussed later in Day 1.

Note: LC does not implement all elements described in the white pages and since the PCC program records follow LC guidelines, participants must refer to the supplements

known as the blue pages.

LC Guidelines – sometimes called blue pages; use when applying content designation (located in Cataloger's Desktop)

DCM Z1 – sometimes called yellow pages

NOTE: All of this documentation is available from LC's Cataloging Distribution Service in Cataloger's Desktop – Web version. No CD-Rom version is still available. Also copies of this documentation except AACR2 is also available as a PDF file on the NACO Training Materials residing at the NACO website

(<http://www.loc.gov/catdir/pcc/naco/trainees.html>) and updates are posted in NACO home page.

Slide 30

Use Both AACR2 and LCRI's

- **AACR2** gives the basic rules
- **LCRI's** give further explanations, additional applications, and examples
- **LCRI's** tell which AACR2 options to apply
A new heading may apply options differently than an existing heading (e.g. LCRI 22.17, dates), due to changes in the rules, etc.

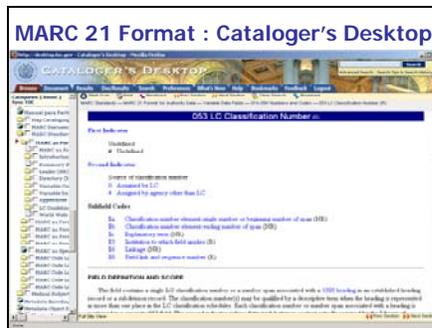
LCRI's takes precedence over AACR2

30

Use Both AACR2 and LCRI's:

Note: **LCRI 22.17 – Dates** – Tell us how to apply dates for persons living in the twentieth century or before the twentieth century.

Slide 31



MARC 21 Format: Cataloger's Desktop:

Note to Trainer: If possible, try to demonstrate Cataloger's Desktop directly in a browser.

This is a representation of the format of fields described in MARC21 (Cataloger's Desktop)—in this case the 053 field is demonstrated.

The MARC 21 Format for Authority Data can be found directly under their own title in the MARC Standards section of Cataloger's Desktop.

MARC 21 Authority Format – The basic pages that describe and illustrate the structural elements (content designation) of authority records, such as the leader, fixed fields, variable

fields, subfields, and codes defined for these fields.

LC does not implement all elements described in the MARC21 Authority Format, and since the PCC program records follow LC guidelines, participants must refer to the supplements known as the “LC Guidelines” when applying the content designation to authority records. A MARC record is composed of three elements: the record structure, the content designation, and the data content of the record.

Slide 32

LC Guidelines Supplement to MARC 21 Authority Format

- Instructions for LC, NACO, SACO, series, subjects practices
- Many have the statement "Do not use this field/subfield"

32

LC Guidelines Supplement to MARC 21 Authority Format:

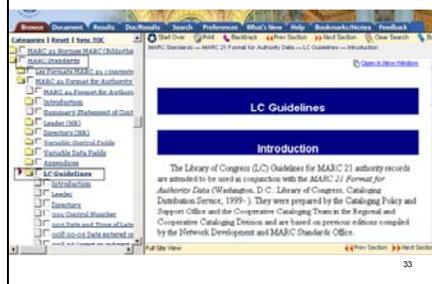
LC Guidelines (sometimes called also: Blue pages or LC Guidelines Supplement) are prepared by MARC Standards Office at LC.

Libraries using MARC record structure do not always implement every part of the MARC coding.

Since the PCC name and subject authority files are essentially LC local authority files, they follow LC's implementation patterns.

Slide 33

LC Guidelines



33

LC Guidelines:

1) The LC Guidelines can be found directly under their own title in the MARC Standards section of Cataloger's Desktop.

2) The Library of Congress (LC) Guidelines for MARC 21 authority records are intended to be used in conjunction with the *MARC 21 Format for Authority Data* (Washington, D.C.: Library of Congress, Cataloging Distribution Service, 1999-). They were prepared by the Policy and Standards Division and the Cooperative Cataloging Team in the Regional and Cooperative Cataloging Division and are based on previous editions compiled by the Network Development and MARC Standards Office.

LC Guidelines (supplement to MARC21 Authority Format) are issued by the Network Development and MARC Standards Office at LC to state which MARC 21 elements in the MARC 21 Authority Format (eg: white pages) are not implemented by LC. **NOTE:** In Cataloger's Desktop, the LC Guidelines (Supplement) is found in the MARC 21 Format for Authority Data as links labeled "LC guidelines" each MARC21 tag is discussed.

Slide 34

**Descriptive Cataloging Manual
(DCM: Z1)
Name and Series Authority Records**

- Instructions on handling NAR and SAR practices
- LC & PCC practices where they differ
- NACO normalization
- Examples

34

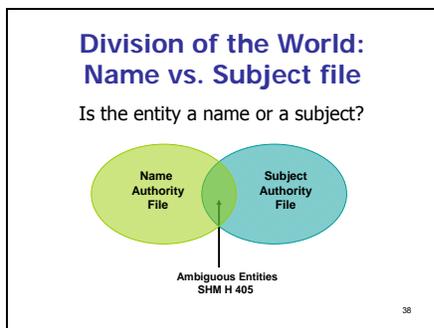
**Descriptive Cataloging Manual
(DCM : Z1) : Name and Series
Authority Records**

The Library of Congress (LC) Cataloging Policy and Support Office maintains DCM Z1 (sometimes called Yellow pages), reflecting the program practices for the content of name and series authority records. DCM Z1 also includes:

1. Conversion tables for fixed field names and tags in MARC, LC, and OCLC
2. Suggested wording for notes fields
3. Instructions for using records from other sources
4. Appendix 1 – Alphabetic List of Ambiguous Entities

Trainer note: As of June 1, 2006, LC does not create or update SARs

Slide 38



Division of the World : Name vs. Subject File:

These two indexes are separate files, and this can cause some problems. Generally, most headings are not ambiguous and are simple to categorize -- it is not a problem to determine which file they should reside in. But sometimes you must figure out to which file it belongs before you can create it. These lists have changed over time, so what was a name authority may now be a subject authority record, and vice versa. Guidelines for the problematic entities were developed at LC in the early 1980s and revised in 1995 with respect to: the file in which the authority records will reside; the conventions to be used in formulating the headings; the tags to be used for content designation; and the responsibility for establishing headings. These guidelines have been named the "Division of the World" although another way to think of them is the "Division of the Work."

Slide 39

Tabular Version of Z1 Appendix
<http://www.loc.gov/catdir/pcc/saco/alpha405.html>

An Alphabetic List of Ambiguous Entities
Name vs. Subject file where to establish what (Based on *Subject Cataloging Manual H 405*, February, 2003, updated April 2005)
NOTE: This list is not exhaustive!

Headings	MARC 21 Tag	Contribute Through		Formulate Using	
		NACO Group 1	SACO Group 2	AKA/BP	SCM
Authors	100	X			
Headings	100	X			
Subjects, Named	100	X			
Persons	100	X			
Periodicals	100	X		LCRD 1, P. 8	
Periodicals, genre	100		X		X
Periodicals, history	100		X		X
Periodicals, Public	100		X		X
Periodicals, subject	100		X		X
Persons	100	X			
Periodicals, individual	100, 110, 130	X			
Periodical, periodicals	100	X		LCRD 3A	

Tabular Version of Z1 Appendix:

A tabular version of SCM H 405/DCM Z1 Appendix 1 is available on the SACO home page ("An Alphabetic List of Ambiguous Entities") at <http://www.loc.gov/catdir/pcc/saco/alpha405.html> Subject Cataloging Manual Instruction Sheet H 405 – Instructions to establish Certain Entities in the Name or Subject Authority File. The SCM is available in printed loose-leaf format, on Cataloger's Desktop, and there is a chart based on it is on the Web, accessible from both the NACO and SACO home pages – click on "Alphabet list of ambiguous entities." In 2005, Acquisition and Bibliographic Access issued another version of this document for inclusion in the DCM Z1: *Appendix 1: Headings for Ambiguous Entities*. Also can find a copy of the Division of the World on NACO homepage.

Slide 40

Romanization Tables

- <http://www.loc.gov/catdir/cpso/roman.html>

ALA-LC Romanization Tables

Download the Adobe Acrobat Reader
to view PDF documents

The links below are to the scanned text of the 1997 edition of the ALA-LC Romanization Tables: Transliteration Schemes for Non-Roman Scripts, approved by the Library of Congress and the American Library Association, with the following exceptions:

- The table for Chinese is a revised table reflecting the Library's conversion to Pinyin romanization in 2000.
- The table for Kurdish is a revised table that replaces both the Kurdish (in Perso-Arabic Script) table (p. 134-155) and the Kurdish (1946) section of the Non-Slavic Languages (in Cyrillic Script) table (p. 148).
- The table for Ladino is a revised table that was approved in 2005.
- The table for Inuktitut is a new table that was approved in 2007.

The 1997 edition of the tables is also available for purchase in book form from the [Cataloging Distribution Service](#).

40

Romanization Tables:

1) ALA-LC Romanization Tables available as a link from the NACO home page.
<http://www.loc.gov/catdir/cpso/roman.html>; Obviously, to see these, you will need Adobe Acrobat Reader.

2) LC-ALA Romanization Tables – Contains the 1997 edition of the *Transliteration Schemes for Non-Roman Scripts*, approved by the Library of Congress and the American Library Association, with the following exceptions:

3) The 1997 edition of the tables is available for purchase in book form from the Cataloging Distribution Service; also as a PDF file on the CPSO home page (<http://lcweb.loc.gov/catdir/cpso/roman.html>); and the NACO home page has a link to the PDF file residing on the CPSO home page.

Slide 41

Source of Latest Changes

- PCC listserv (<http://www.loc.gov/catdir/pcc/pcclist-info.html>)
- Cataloging and Acquisitions Home (<http://www.loc.gov/aba/>)



41

Source of latest changes:

1) CPSO home page has announcements and proposals and should be checked regularly.

2) **Trainer may mention:** NACO Participants Manual viewed on NACO homepage is another source of NACO documentation

Slide 42

NACO Parameter : Contribution Guidelines for PCC

- NACO libraries decide which NARs to contribute
- Series and music uniform title NARs may be contributed only after completing additional training
- When creating certain types of NARs, other related NARs must be established

EXAMPLES:

42

Contribution guidelines—PCC.

NACO libraries ARE NOT obligated to contribute all authorities generated by their cataloging or any one individual heading

NACO libraries MAY contribute series authority records and music uniform title records only after completing additional training. Information on joining the NACO-Music funnel project and a schedule of series training workshops are available on request from the Cooperative Programs Section.

When creating certain types of NARs other related NARs MUST be created, if not already established, and contributed to NAF.

Trainer note: Examples of parameters on next ten (10) slides

Slide 43

1. Parent-Subordinate Hierarchies

For this NAR:
1XX Parent body. \$b Subordinate body

Another NAR is needed for:
1XX Parent body

43

Parent-Subordinate Hierarchies:**1. Body entered subordinate to parent body:**

All bodies that are part of an established hierarchy; e.g., when establishing a body that is entered subordinately to its parent body, if an NAR for the parent body is not present in the NAF, it must be established and contributed as well.

Slide 44

1b. Parent-Subordinate Hierarchies

For this NAR:
110 2 _ Universidad Complutense de Madrid. \$b Biblioteca

Another NAR is needed for:

110 2 _ Universidad Complutense de Madrid

44

Parent-Subordinate Hierarchies:

Example: Body entered subordinate to parent body

Subordinate body: Biblioteca (entered subordinatedly under parent body)
Must create another NAR for parent body, if not established, and submit to NAF (e.g.: parent body: Universidad Complutense de Madrid)

Trainer note: Remind participants that we are not showing \$a in examples.

Slide 45

1c. Parent-Subordinate Hierarchies

For this NAR:
1XX Parent body. \$b Subordinate body.
\$b Subordinate body

Another NAR is needed for:
1XX Parent body.
1XX Parent body. \$b Subordinate body

45

Parent-Subordinate Hierarchies:

1XX Parent body. \$b Subordinate body. \$b Subordinate body

If the parent body is not established "an NAR is needed"

If the immediate subordinate body is not established " an NAR is needed"

Slide 46

1d. Parent-Subordinate Hierarchies

For this NAR:
110 2 _ Universidad Complutense de Madrid.
\$b Colegio Mayor de San Pablo. \$b Centro de Estudios Universitarios

NARs needed for:

110 2 _ Universidad Complutense de Madrid.
110 2 _ Universidad Complutense de Madrid. \$b Colegio Mayor de San Pablo

46

Parent-Subordinate Hierarchies:

Example: Parent body. \$b Subordinate body. \$b Subordinate body

Slide 47

2. Bodies in Cross References

For this NAR:
 1XX Government agency (Jurisdiction)
 4XX Jurisdiction. \$b Government agency

Another NAR is needed:
1XX Jurisdiction

47

Bodies in Cross References:

1) All bodies referred through in cross references:

When a heading is entered independently but a reference is given through a higher body
 The higher body needs to be represented in the authority file. If the higher body is not represented in the authority file the library needs to create an additional name authority.

Slide 48

2b. Bodies in Cross References

For this NAR:
 110 2 _ Centre on Environment for the Handicapped (London, England)
 410 1 _ London (England). \$b Centre on Environment for the Handicapped

Another NAR is needed:
151 _ _ London (England)

48

Bodies in Cross References:

1) All bodies referred through in cross references:

So, for the jurisdictional cross-reference to be given, the place name must exist already.

NOTE: The 151 to 410 MARC change is reflective of the use of a place as a jurisdiction. This will be covered in more detail later in the Corporate bodies and Geographic names presentations. Don't worry about it here.

Slide 49

2c. Bodies in Cross References

For this NAR:
 110 1 _ British Columbia. \$b School Facilities Planning
 410 1 _ British Columbia. \$b Ministry of Education. \$b School Facilities Planning

Another NAR is needed:
 110 1 _ British Columbia. \$b Ministry of Education

49

Bodies in Cross References:

Example: Reference on NAR for body entered subordinately (eg: applying LCRI 24.19 : direct or indirect entry)

a) Must created needed NARs in headings and also references.

Slide 50

3. See Also References (5XX)

1XX Current name of business	1XX Earlier name of business
5XX Earlier name of business \$w a	5XX Current name of business \$w b

50

See Also References (5XX):

All names and corporate bodies used in see also references (5XXs) When establishing a name for an author who uses a pseudonym and for pointing to names in government office and corporate headings representing an earlier and later change of name.

The library needs to connect the headings by means of see also references.
In order to avoid blind references – a cross-reference that does not point to an actual record – the participant needs to make sure that the corresponding heading is also established. Sometimes those cross-references don't get established at all – that will be covered in various sessions.

Slide 51

3b. See Also References (5XX)

110 2 _ International Business Machines Corporation	110 2 _ Computing- Tabulating-Recording Company
510 2 _ Computing- Tabulating-Recording Company \$w a	510 2 _ International Business Machines Corporation \$w b

51

See Also References (5XX):

All corporate named bodies used in see also references (5XXs) should be established and have own NAR.

Slide 52

4. Name/Title Uniform Titles

For this NAR:
 1XX Author. \$t Title. \$k
 Selections

Another NAR is needed:
1XX Author

52

NAME/Title Uniform Titles:

All headings under which uniform titles are entered:

If a NAR for a uniform title is entered under an author who is not established A NAR for the author must also be contributed.

Slide 53

4b. Name/Title Uniform Titles

For this NAR:
 100 1 _ Shakespeare, William, \$d 1564-1616. \$t Romeo and Juliet. \$k Selections

Another NAR is needed:
 100 1 _ Shakespeare, William, \$d 1564-1616

53

Name/Title Uniform Titles:

All headings under which uniform titles are entered:

So, in order to establish the uniform title heading for Romeo and Juliet.

Selections, Shakespeare's name must already exist.

A separate authority record for the author/title is not necessary! The bibliographic record functions as the authority for the original work.

Slide 54

**NACO Parameter :
Special Agreement**

- Library and Archives Canada (LAC)
Formerly known as: NLC
- Information found in DCM Z1 : 1XX
(Canadian Headings – NAR's)

54

NACO parameter: Special Agreement:

By being a part of PCC, you are also agreeing to the special agreements that PCC has committed to.

The DCM Z1 pages, in the 1XX field , p. 1 explains the:

Procedures involved with Canadian name headings

Because of the agreement between LC and Library and Archives Canada (formerly National Library of Canada) to keep their files in synch, NACO catalogers working with Canadian imprints should consult DCM Z1 Variable Data Fields – 1XX Headings – NAR's in the yellow pages for instructions.

Some of this will be covered in the

training for personal names and corporate names.

Copies of these instructions for dealing with Canadian personal names and corporate names are found in the Appendix.

Slide 55

NACO Parameter :
Changes to existing NARs

*All headings in the NAF are
eligible to be changed by all
NACO participants*

55

NACO parameter: Changes to existing NARs:

This parameter applies only to changes to the heading fields; not additions of 4XX, 5XX or 670's.

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 heading 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 name/title authority records, catalogers are urged to refrain from making unnecessary changes to headings.

Although there are guidelines in the rules and/or LCRIs 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.

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, uniform 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 main entry, and changes in title proper do not require changes to authority records created for CIP items.

Refer authority records for headings that are totally invalid under AACR2 to your LC NACO contact.

Slide 56

**NACO Parameter :
Cancellation of NARs**

- Only LC catalogers can cancel NARs in the NAF
- NACO libraries notify LC to cancel NARs
- LC/NACO database is redistributed daily to the utilities

56

NACO Parameter: Cancellation of NARs:

LC does not allow for participants online cancellation. This is because of database maintenance issues, which apparently cannot handle multiple sources of deletion. It is NOT a lack of trust. The NAF is LC's local authority file, and for system and security reasons, delete capability needs to be limited to LC catalogers.

NACO partner needs to notify cancellations to their LC liaisons. Every member of PCC will have a liaison assigned to them. (NOTE: this is not necessarily the same person as your reviewer, although it can be.)

Cancellations are most often made because of duplicate headings for the same entity. There will be more details about this in a later session.

The construction of the master file database utilized by the NAF does not allow for online cancellation of authority records by participants using the bibliographic utilities software (eg: OCLC). Therefore when candidates for deletion are identified (usually because of duplication) NACO participants are encouraged to forward requests for cancellation of NARs to the Cooperative Programs liaison.

Slide 57

**NACO Parameter :
Bibliographic File Maintenance
(BFM)**

LC bibliographic records (as distributed by CDS)
must remain in synch with the NAF

<http://www.loc.gov/catdir/pcc/naco/bfmguide.html>

*NACO partners must notify LC when changes
to NARs affect headings used on LC
bibliographic records*

57

NACO Parameter: Bibliographic File Maintenance (BFM):

- 1) NACO participants must notify the Cooperative Cataloging Team (Coop Cat) to perform BFM if a new heading is created and the heading used by LC on its bibliographic records (as distributed by CDS) no longer matches.
- 2) You may also need to notify your utility to change bibliographic records there because of changes or new headings you create (plus doing BFM in your local catalog).
- 3) In order that LC bibliographic records (as distributed by CDS) remain in synch with the NAF, we ask NACO participants notify Cooperative Programs liaison to perform bibliographic file maintenance if a heading (1XX) is changed and that heading has been used on LC bibliographic records.
- 4) You may also need to notify or upgrade bibliographic records in the utilities (eg: OCLC) because of these changes.
- 5) Reporting records that need changes to headings (BFM = Bibliographic File Maintenance)

Slide 58

**NACO Parameter :
Searching**

Catalogers keep the database clean by searching for related records before contributing an authority record to the LC/NACO Authority File

58

NACO parameter: Searching:

LC catalogers can do database maintenance directly in the national authority file through the LC ILS. But other libraries, working in OCLC, need to report BFM to their LC colleagues on a limited basis.

This is linked to the fact that the NAF is our local authority file, so we have to be notified of some of those changes so that our local database can be kept in synch with our "local" authority file. The info on that will be discussed on day 5.

Trainer mention: Reporting BFM to the utility (eg: OCLC) is not required of NACO participants, but is highly encouraged. OCLC has an error report feature in Connexion that makes it easy to submit requests to change headings in the OCLC database.

Slide 59

Why Search? (1)

To prevent duplicate NARs

- Heading for entity already established?
- OCLC dedupe detection and validation programs need to be run
- Report deletions to LC liaison

59

Why search? (1):

Duplicates are normally created by inefficient searching and the 24-hour upload gap in the Name authority file.

Before creating a name authority record:

Search the OCLC authority file for the heading, including alternative forms of the heading.

If heading is established, is it coded for AACR2; if it is it's OK for use in cataloging; if not, it must be coded for AACR2 before any other changes are made to the record (NACO participants not obligated to code NARs for AACR2 unless other changes are being made to the record).

In addition, search WorldCat for bibliographic records that contain the heading or alternative forms of the heading.

Remember to search again every 24 hours for new NAR's.

Slide 60

Why Search? (2)

- To avoid conflict in *headings* and *references*
 - Remember: Normalization rules
- To gather information from existing *bibliographic* records

60

Why search? (2):

NOTE for 2nd bullet: To gather information from existing bib records to assure proper choice and form of heading and x-refs

Slide 61

Why search? (3)

- To identify bibliographic records that will need BFM
- To revise an existing NAR
 - ✓ Personal name changes
 - ✓ Corporate earlier-later
 - ✓ Other revisions

61

Why search? (3):

When you are revising an existing NAR its helpful to search again to see what additional information you may be able to find.

Remember: Search WorldCat for bibliographic records that contain the heading or alternative forms of the heading.

Slide 62

Searching : How?

- Search *bibliographic* and *authority* files
- Maybe even *subject* files
- Search more than one form, e.g.:
 - Fowler, Esther Miller
 - Fowler, E.
 - Miller, E.
 - Miller, Esther
 - Miller, E. Anne
- Search both the *heading* and the *x-refs*

62

Searching– How?:

1) Be sure to search possible alternative forms of a person's name to find any headings that may been entered under those forms. You're trying to find all the works by (and about) a person. This is even more necessary in languages with multiple surnames, etc.

2) Be sure to emphasize that the search strategies differ from program to program and person to person.

3) Places to search:

- a) LC/NACO Authority File (NAF via OCLC)
- b) OCLC bibliographic records
- c) Your local files
- d) Optionally: LC OPAC via

WWW

e) For Canadian names:

AMICUS

f) Occasionally: other reference sources, databases, WWW, etc.

Slide 63

Searching : When?

- Don't leave authority records in the save file too long
- Search again if 24 hours pass to:
 - ✓ Avoid conflicts
 - ✓ Avoid duplicates

Remember:
24 Hour Rule to Avoid Duplicate Headings

63

Searching– When?:

Trainer note: Remind participants that they **MUST** search headings and references again before contributing to the NAF to ensure that the same has not been contributed by another library.

Slide 64

NACO Normalization

- A program requirement DCM Z1 Intro.
- Agreed by all copy holding participants of the NAF (LC, OCLC, and the BL)
- All contributors must follow Normalization rules
- "Non-unique" or "Undifferentiated" Personal Name NARs may be needed

64

NACO Normalization:

NACO normalization is a program requirement that has been agreed to by all copy holding participants of the NAF (LC, OCLC, and the BL) in order to detect duplicate records.

When a new authority record is added to an authority file, each heading is compared against existing headings to determine whether the new heading is unique -- meaning adequately differentiated from existing headings. The headings already in the file and the one to be added are normalized before comparison so that only certain characters will be allowed to differentiate between headings. Normalization may affect how certain headings and cross references are formulated.

e.g., NACO contributors may need to create “undifferentiated” personal name headings in order to avoid duplicates due to normalization

Will talk more about this topic and see some examples later in this session.

Slide 65

NACO Normalization

DCM Z1
Intro.

- OCLC runs its database against a computer program using NACO Normalization rules
- Error reports on duplicates and conflicts come to LC
- Coop catalogers handle them

65

NACO Normalization:

Documentation on NACO NORMALIZATION is found in:

1. DCM Z1 Introduction (primary source)
2. Authority File Comparison

Rules on NACO home page
Coop catalogers may resolve any duplicate or conflict situations uncovered by the NACO Normalization check, but sometimes Coop catalogers will ask for PCC assistance to resolve these issues.

Slide 66

What happens in the Normalization process?

- All letters are converted to upper case
- Modified letters are converted to unmodified letters
- All diacritics are removed

66

What happens in the Normalization process?:

2nd bullet: an example of a modified letter is the Polish “ł” (Ł (upper case) ł (lower case)), or the Turkish “ı” (İ).

Slide 67

What happens in the Normalization process?

- Punctuation (except for the first comma in subfield a) is removed
- Subfield delimiters and subfield codes are retained and considered
- The contents of 1XX, 4XX, and 5XX fields are compared

67

What happens in the Normalization process?:

3rd bullet: the 7XX fields are not compared!

1st bullet: The only mark of punctuation that is retained during normalization is the first comma in subfield \$a. This exception means that the following two headings normalize to different forms:
 Catalog form: Chung, Hui
 Normalized form: CHUNG, HUI
 Catalog form: Chung-hui
 Normalized form: CHUNG HUI

Slide 68

Tags Are Not Compared

- MARC 21 tags are **NOT** considered when the computer compares heading strings for uniqueness
- Name heading tags: 100, 110, 111, 151, 130 (do not make a heading unique)

68

Tags are not compared:

MARC 21 tags NOT considered by the computer when comparing heading string for uniqueness.

MARC (Machine Readable Cataloging)

Slide 69

What happens to the symbols?:

- Deleted with no space remaining:
 [] ← apostrophe
- Replaced by a blank space:
 @ ? - / \ () = " , ← Comma after first one
- Unchanged:
 & + # b ← quotation mark
 musical sharp musical flat

69

What happens to the symbols?:

1) Many more symbols may be changed in normalization. Please check the actual "NACO Normalization rules"

NOTE: last symbol on first line is an apostrophe; last symbol on second line is a quotation mark; last symbols on the third line are a musical sharp and a musical flat.

The first comma in the \$a subfield (unless it is a terminal comma) is taken into account. In all other cases commas are converted to blank.

Slide 70

What's a Heading String?

Line of characters that are part of the tagged field

100 1 _ Le Bret, \$c Monsieur \$q (Alexis-Jean), \$d 1693-1772?

**NORMALIZES AS: LE BRET, \$c MONSIEUR \$q
ALEXIS JEAN \$d 1693 1772**

70

What's a Heading String?:

DCM Z1 also give guidance on rules for normalization:

- 1) The process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents.
- 2) Subfield delimiters and subfield codes are NOW considered as part of the comparison:
<http://www.loc.gov/catdir/pcc/naco/normrule-2.html>
- 3) The only mark of punctuation that is retained during normalization is the first comma in subfield \$a.
- 4) The normalized heading is illustrated in red on the slide.

Slide 71

Normalized Heading

- Normalized form:
151 __ ILE DE MONTREAL QUEBEC
- Catalog form:
151 __ île-de-Montréal (Québec)

71

Normalized Heading:

Example: Trainer discuss example

Slide 72

Normalization : Sources

- DCM Z1 Introduction, NACO Normalization
- NACO website:
<http://www.loc.gov/catdir/pcc/naco/normrule.html>

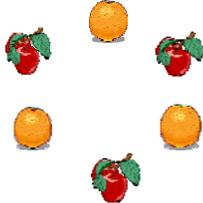
72

Normalization: Sources:

- 1) Please take a look at the DCM Z1 introduction or look online for the file at this URL.
- 2) Don't spend time here.

Slide 73

Conflicts and Duplicates:



73

Conflicts and Duplicates:

To prevent conflicts and duplicates, a cataloger needs to know the rules that have been programmed into the computer's normalization software. Catalogers must also understand the difference between a conflict and a duplicate.

Slide 74

What is a conflict?

Normalized match between

- 1XX vs. 1XXs
- 4XX vs. 1XXs & 5XXs

But

- 5XX *must* normalize to 1XXs
- 4XX to 4XX is fine

74

What is a conflict?:

Trainer note: Don't spend much time here: examples that follow demonstrate these conflicts.

Conflict situations: These will all be discussed in upcoming slides

- 1) If a 1xx in one authority record normalizes to the same form as a 1xx in another authority record, there is a conflict.
- 2) If a 1xx in one authority record normalizes to the same form as a 4xx in another authority record, there is a conflict.
- 3) A 5xx in one authority record must correspond to a 1xx in another authority record. This is because the 5xx is referring to the 1xx heading in the other

authority record, and the 5xx and the 1xx represent the same entity!
4) If a 4xx in one authority record normalizes to the same form as a 4xx in another authority record, there is no conflict. 4xx's in different authority records may conflict with each other.

Slide 75

1XX Duplicates

A 1XX may NOT normalize to the same string as another 1XX

100 1 _ Smith-Jones, Barb	↓
100 1 _ Smith Jones, Barb	↓

(This is a duplicate)

75

1XX Duplicates:

1) The "HYPHEN" becomes a blank space under normalization rules.

Note: If personal names cannot be distinguished create a non-unique.

ANIMATION: arrows fly in separately to show differences in punctuation; phrase "This is a duplicate" dissolves in last.

Slide 76

1XX-4XX Conflict

A 4XX may NOT normalize to the same string as a 1XX or 5XX

100 1 _ O'Brien, John	100 1 _ O'Brien, Jack
400 1 _ O'Brien, Jack	400 1 _ O'Brien, J.
	(Jack)

(This is a conflict)

76

1XX-4XX Conflict:

Items in red conflict with one another. The apostrophe is deleted. Do not trace a 4XX reference that normalizes to the same character string as an existing authorized 1XX heading in the national authority file, including the heading in the record to which the reference is made.

ANIMATION: "This is a conflict" dissolves in.

Slide 77

Conflict Within a Record

A 4XX may **NOT** normalize to the same string as another string in the same NAR

110 2 _	Winston-Salem Sunrise Hiking Club
410 2 _	Winston-Salem Hiking Club ←
410 2 _	Winston/Salem Hiking Club ←

(This is a conflict)

77

Conflict within a record:

- 1) The HYPHEN and the SLASH becomes blank space.
- 2) Watch out for visually misleading presentations that normalize the same.

ANIMATION: arrows fly in separately to show differences in punctuation; phrase "This is a duplicate" dissolves in last.

Slide 78

No Conflict Between Records

A 4XX MAY normalize to the same string as a 4XX in another NAR

100 1 _	Potter, Harold
400 1 _	Potter, Harry
100 1 _	Potter, Henry
400 1 _	Potter, Harry

(No conflicts here!)

78

No Conflict Between Records:

- 1) However a 4XX may normalize to another 4XX in another NAR in the catalog.

Slide 79

Mandatory Match 5XX-1XX

5XX **MUST** match 1XX on another NAR in the same authority file

110 2 _	Dallas/Fort Worth International Airport
510 2 _	Dallas/Fort Worth Regional Airport \$w a
110 2 _	Dallas/Fort Worth Regional Airport
510 2 _	Dallas/Fort Worth International Airport \$w b

79

Mandatory Match 5XX-1XX:

Example: 2 NARs ; the 5XX earlier body on first NAR; the earlier body as 1XX on its NAR.

Slide 80

Normalization Exercises



Look at each record and decide if any of the cross-references would normalize to the heading

80

Normalization Exercises:

In the following exercises, which 4XX cross references (if any) should be deleted because their normalized forms match the 1XX heading?

Take 10 minutes for this exercise, then review together.

Slide 81

Exercise 1

151 __ T'bilisi (Georgia)
 451 __ Tifis (Georgia)
 451 __ Tbilisi (Georgia) ← Delete this reference
 451 __ Tifis \$w nnaa
 451 __ Tbilisi (Georgian S.S.R.) \$w nne
 451 __ T'bilisi (Georgia)

81

Normalizes to same form as heading

Slide 82

Exercise 2

110 2 _ Ballard-Carlisle Historical & Genealogical Society
 410 2 _ Ballard-Carlisle Historical and Genealogical Society
 410 2 _ Ballard-Carlisle Historical-Genealogical Society

All OK!

82

(Not removed cf. Z1, p. 4)
ampersand normalizes

Slide 83

Exercise 3

110 1 _ United States. \$b Office of the
Under Secretary of Defense,
Acquisition

410 1 _ United States. \$b Office of the
Under Secretary of Defense for
Acquisition

410 1 _ United States. \$b Under Secretary
of Defense, Acquisition

410 1 _ United States. \$b Office of the
Under Secretary of Defense
(Acquisition)
[Delete this reference](#)

83

Third 410 normalizes to same as heading.

Slide 84

Exercise 4

100 1 _ Torrealba Ramos, Isabela

400 1 _ Torrealba-Ramos, Isabela [Delete this REF](#)

400 1 _ Ramos, Isabela Torrealba

84

Slide 85

Exercise 5

100 1 _ Epard, Jean-Luc

400 1 _ Epard, J.-L. \$q (Jean-Luc)

400 1 _ Epard, Jean Luc

[Delete](#)

85

Slide 86

**Name Authority Records
vs.
Bibliographic Records**

Similarities and Differences

86

Name Authority Records vs. Bibliographic Records:

Let's go over the MARC 21 Authority Format by taking a look at the components of the name authority record.

We'll use MARC 21 bibliographic records as a starting point. You probably are very familiar already with MARC 21 tags used in bibliographic records— let's see which tags and fields used in bibliographic records are similar to tags and fields used in authority records— and which tags are used differently across the two formats!

Slide 87

**Similarities
NARs vs. Bibliographic Records**

- MARC 21 indicators and variable field tag numbers are the same
i.e., corporate 110 - conference 111 - personal 100

EXCEPTION: 151s (place names) convert to 110s when used as jurisdictions

- MARC 21 subfield codes are the same

87

Similarities: NARs vs. bibliographic records:

Your cataloging experience is a good background for authority work. You will recognize some aspects of a Name Authority Record!

Trainer note: Do NOT dwell on 151 to 110 conversion. It will be discussed later.

Slide 88

**Similarities
NARs vs. Bibliographic records**

Both are FORMULATED by AACR2 rules and LC Rule Interpretations (Chapters 22-24)

88

Similarities: NARs vs bibliographic records:

1) Bibliographic records and Name Authority Records are formulated according to AACR2 and LCRIs (chapters: 22-24)

Slide 89

**Differences
NARs vs. Bibliographic records**

- No periods at the end of 1XX, 4XX or 5XX fields (unless field ends with initials or abbreviation)
 - Note: If making a change to a NAR, delete period(s)
- Fixed field (008) values are different

89

Differences: NARs vs bibliographic records:

- 1) This minor difference of a period may cause an imperfect match in the cataloging software you use.
- 2) When modifying an authority record for another 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).
- 3) Don't lock and replace an authority record *just* to remove a final period. It does not affect access.

Slide 90

**Differences
NARs vs. Bibliographic records**

Some variable fields are used differently

- use 4XX for variants, **NOT** series fields
- use 5XX for linking NARs, **NOT** as note fields
- use 6XX as notes and source data, **NOT** subject fields

90

Differences: NARs vs. bibliographic records:

- 1) The MARC field similarities are not, however, an exact match. Do not blindly trust their similarities.

Slide 91

**Differences
NARs vs. Bibliographic records**

Subfield \$w in authority records is used to denote "special relationships" in the 4XX or 5XX fields:

- 4XX \$w nne = previous AACR2 heading
- 5XX \$w a = earlier heading
- 5XX \$w b = later heading

91

Differences: NARs vs. bibliographic records:

There will be more in-depth coverage of the special control subfield \$w later in this session.

Trainer note: Briefly discuss 4XX "w nne" and 5XX "w a" and "w b"

Slide 92

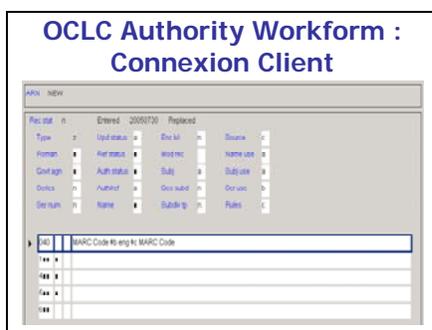


Creating a record: MARC 21 fields:

1) Now we are going to spend some time looking at the various MARC fields that are used in name authority records: what is their purpose? What is allowed? How are they used?

Trainers note: As of June 1, 2006, LC does not create or update SARs.

Slide 93



OCLC Authority Workform: Connexion Client:

1) This is a view of the blank workform in the Connexion Client.

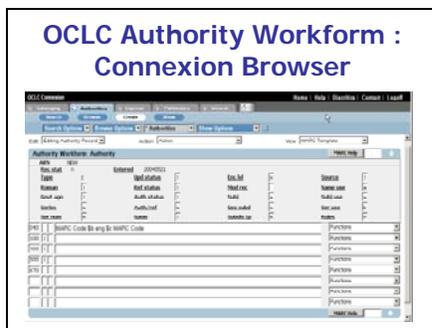
Note to Trainer: Point to fixed fields in need of attention in OCLC.

2) In an OCLC record, the fixed fields on the second column of codes needs the most attention from the cataloger. Most others are default values are to be left alone.

3) DCM Z1 tell us what are the basic contents of an authority record.
Authorized form of name
Sources for the form of name and variant forms (670)
Cross references leading to the heading from variant forms or related headings (4xx and 5xx references)
Additional information may be recorded in fixed fields (008) and in note areas (667/675)
Control data and content designation are also included

Note: Generally make a NAR for any personal or corporate (including geographic names used as an access point (primary or secondary entry (eg: subject)

Slide 94

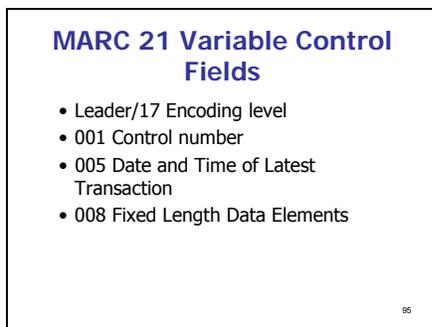


**OCLC Authority Workform:
Connexion Browser:**

1) This is a view of a blank workform in the Connexion Browser.

Note that you don't have to download the Connexion client software to be able to work in OCLC; the web interface will allow you to do everything you need. To the best of my knowledge, there is no difference between the capabilities of the two interfaces.

Slide 95



MARC 21 Variable Control Fields:

Main elements of the MARC record:

The Leader is the first field of an authority record.

The Leader consists of data elements that contain numbers or coded values that define the parameters for the processing of the record. In the OCLC Authority Workform the following three fields are part of the Leader.

Leader/05: Record status (Rec stat:) – will always be value 'n' = New

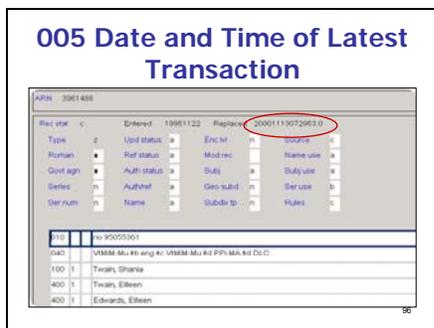
Leader/06: Type of record (Type:) – will always be value 'z' = Authority data

Leader/17: Encoding level (Enc lvl:) 03 will always use 0n7 = Complete authority record.

Historically, value 007 (incomplete authority record) was used to identify 0 early notice records, 0 which were records submitted on manual worksheets that were not immediately added in full form to the online file. Records with value 007 may be modified only by the library that input the record and by LC. Contact your LC liaison if you encounter 0 early notice 0 records that you would like to use or modify

001 Control Number is identical to subfield of 010 LCCN.

Slide 96



005 Date and Time of Latest Transaction:

1) 005 field with date and time of latest transaction. This field is system generated and cannot be modified.

2) 005 is used to make sure that the latest version of the record is never replaced by an earlier version. Contribution failures will occur when the 005 of a record being modified by a NACO participant does not match the 005 of the master file record.

3) Unlike in the old Passport system, the Connexion system doesn't display the date and time as a variable 005 field. Instead, the data is shown in the fixed field area after the word "Replaced"

ANIMATION: Red oval dissolves in.

Slide 97

		i	i	i	s
ENCLVL	LEADER07	Encoding Level	a = early notice	a = verified *	
UPD STATUS	008/31	Record update in progress	a = verified; can be used *	b = being updated	
REF STATUS	008/29	Reference Evaluation	a = valid refs *	b = unevaluated	a = no refs *
AUTH STATUS	008/33	Level of Establishment	a = full *	b = memo	a = provisional *
NAME	008/02	Undifferentiated Personal Name	a = personal name *	b = non-unique *	a = not a personal name *
RULES	008/30	Descriptive Cataloging Rules	a = earlier	b = AACR1	a = AACR2 *
SOURCE	008/09	Cataloging Source	[blank] = LC and national libraries	a = PCC library *	d = other
					a = unknown

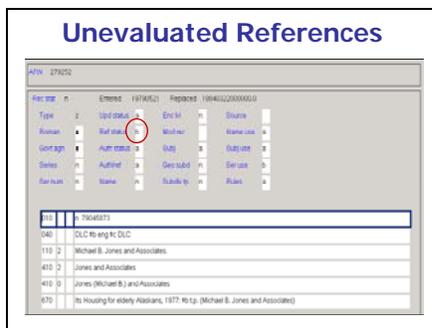
* value most likely to be used by PCC library

Fixed Field Conversion Table:

Note to trainer: This is a reference sheet – do not teach from this slide. **See appendix at back for copy of most common fixed fields**

The Leader is the first field of an authority record. The Leader consists of data elements that contain numbers or coded values that define the parameters for the processing of the record.

Slide 98



Unevaluated references:

008/29 – Reference Evaluation (Ref status:)

All new NACO records must have value 'a' or 'n.'

If a NACO participant decides to change an existing record which is coded 'b,' that record must be evaluated.

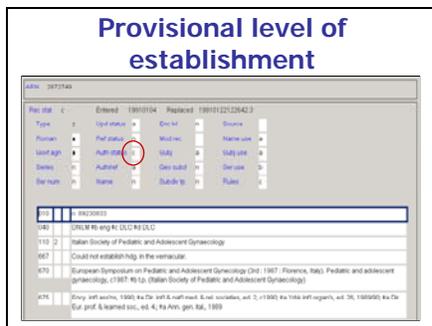
If the NAR is coded 'b,' is in correct AACR2 form, and needs no changes, use it as is.

If the NAR is coded 'b,' is in correct AACR2 form, and needs changes, evaluate the references according to Chapter 26 and upgrade the code to 'a.'

In this example the 2nd reference is not AACR2 valid practice; the record was created before the adoption of AACR2. The record will continue to exist until the reference tracing is evaluated.

ANIMATION: Red circle dissolves in.

Slide 99



Provisional level of establishment:

008/33 – Level of Establishment (Auth status:)

Value "a" -- Nearly all new NACO records will be fully established with value 'a'.

Value "b" are for memorandum (headings 100-151) – That are fully established but not used in a bibliographic record. Authority work was done before the decision was made to not use the heading in a bib record; however the information is retained for future use. When the heading is used in a bib record, code "b" may be changed to code "a" or "c"

Value "c" – PROVISIONALS The yellow pages for 008/33 explains under what circumstances NACO participants may create provisional authority records.

The library does not have the language expertise.

The library is unable, due to limited resources or constraints, to complete the authority work or to determine appropriate references required to

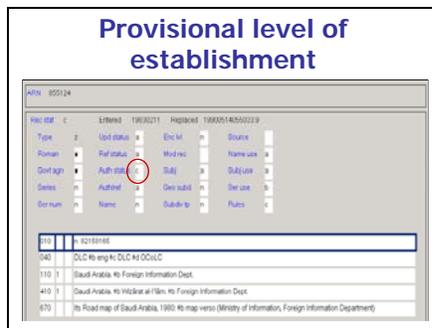
established full headings.
However participants SHOULD NOT create a provisional record for a heading that is in conflict with an established heading.

In addition to the yellow pages LCRI 24.3A provides the following guidance – If the form in the official language is not available from a reliable reference source, use the form that is available and mark the heading "provisional."
NOTE: Newly created headings that are based on provisional coded headings must also be coded provisional.

For example, the Italian Society of Pediatric and Adolescent Gynaecology is established as a provisional heading, so any bodies entered subordinately to it must also be coded provisional.

ANIMATION: Circle dissolves in.

Slide 100



Provisional level of establishment:

Another example of a provisional name. The official language of Saudi Arabia is Arabic, but the Arabic form of this agency was not known.

Note that the previous record had a 667 note explaining the provisional nature but this one does not.

ANIMATION: Circle flies in.

name are coded to match the coding of the personal name alone.

ANIMATION: circle dissolves in.

Slide 103

Undifferentiated personal name

Type	Use	Ext	Source
Normal	Full status	Med/rev	Name use
Consign	Auth status	Dist	Subj use
Series	Author	Gen subd	Gen use
Derivat	Name	Subd-tp	Rules

010	1	0100/1980
040		DLC Ks eng Ks DLC Ks DLC
100	1	Nguyễn Văn Đăng
400	0	Nguyễn Văn Đăng
670		[author of Tin hâu chính sách của Đảng và nhà nước đối với đạo Thiên Chúa]
670		Mã Tin hâu chính sách của Đảng và nhà nước đối với đạo Thiên Chúa, 1980. Ks t.p. (Nguyễn Văn Đăng)
670		[author of Hồi đáp về Luận báo về, chăm sóc và giáo dục trẻ em]
670		Mã Hồi đáp về Luận báo về, chăm sóc và giáo dục trẻ em, 1980. Ks t.p. (Nguyễn Văn Đăng)
670		[translator of Tin về cấp nguồn chi phí]
670		Tin về cấp nguồn chi phí, 1987. Ks t.p. (Nguyễn Văn Đăng)

Undifferentiated personal name:

Here is an example of an undifferentiated name authority set up because differently spelled forms all normalize to the same form.

In the bibliographic record, you would use the form with the spelling used by the particular person, not necessarily the form in the 1XX of the authority record.

Another example is in the DCM Z1, introduction, section on normalization).

ANIMATION: Red circle dissolves in. Blue circles are on the slide already.

Slide 104

Descriptive cataloging rules : pre-AACR2

Type	Use	Ext	Source
Normal	Full status	Med/rev	Name use
Consign	Auth status	Dist	Subj use
Series	Author	Gen subd	Gen use
Derivat	Name	Subd-tp	Rules

010	1	0101/1980
040		DLC Ks eng Ks DLC Ks DLC
011	1	International CIBL Language Symposium, 4th, 30, Ks London, Eng, 1975
011	2	CIBL Language Symposium, International
011	3	International Symposium on Phonology, 1st, 1st, Ks Bonn, G, 1975
011	4	International Symposium on First Language Acquisition, 4th, 26, Ks Florence, Italy, 1972
011	5	The development... 1978: 4th forward (3rd International CIBL Language Symposium, London, 1975/1976, 2d ed.), International Symposium on First Language Acquisition, Florence, Italy, 1972

Descriptive cataloging rules-- pre-AACR2:

008/10 – Descriptive Cataloging Rules
a = earlier rules (do not use for new NACO records)

b = AACR1 (do not use for new NACO records)

c = AACR2 (valid for nearly all new NACO records)

d = AACR2-compatible (see LCRI 22.1, 24.1, 26.1)

Almost all new headings should be coded for AACR2. The default in OCLC is set to this (value 'c'). The exception to this for new headings is discussed in the next slides about AACR2-compatible headings.

ANIMATION: circle dissolves in.

Slide 105

**Descriptive cataloging rules :
AACR2-compatible**

**Descriptive cataloging rules--
AACR2-compatible:**

1) AACR2-compatible headings are explained in LCRI 22.1, 24.1, and 26.1. We will discuss in Day 2 & 3.

2) **Note to trainer:** This slide is an example of an AACR2-compatible personal name. The AACR2 form would not have the \$c Sir in it (notice that the he doesn't use it on the title page).

3) New headings that are based upon an AACR2-compatible heading trigger the need to change the base heading to AACR2.

ANIMATION: circle dissolves in.

Slide 106

**Descriptive cataloging rules :
AACR2 compatible**

**Descriptive cataloging rules- AACR2
compatible:**

Example of an AACR2-compatible corporate name.

The AACR2 form would be AMACOM (Organization). When you are simply using that name, you can leave it as is. However, if a new subordinate heading is creating based upon this heading, then you must modify the parent heading here, changing that d to a c, in order to create only an AACR2 heading for the subordinate body.

Guidelines on AACR2-compatible headings were relaxed in August 2007, permitting the revision of AACR2-compatible headings in many cases, but requiring it in some cases. Direct attendees to LCRI 22.1 for complete guidelines.

ANIMATION: circle dissolves in.

Slide 107

MARC 21 Variable Data Fields

- 010 LCCN
- 040 Cataloging Source
- 043 Geographic Area Code
- 053 LC Classification Number

107

MARC 21 Variable Data Fields:

1) These are the important OXX fields that you need to know.

Slide 108

MARC 21 Variable Data Fields

010 Library of Congress Control Number

\$a LC control number

\$z Canceled/invalid LC control number

Four prefixes used in NARs:

n 2004021004	no 89003876
nr2001002281	nb2001030176

108

MARC 21 Variable Data Fields:

1) Try to use actual MARC pages to illustrate these fields. Optionally, have the students open up CatDesktop to find MARC21 Authority Format.

2) 010 Library of Congress Control Number – system-supplied by OCLC

3) Both indicators are blank

4) LC control number

5) \$z Canceled/invalid LC control number

6) Name authority alphabetic prefixes used in 010:

n Name authority record originating in LC

nb Name authority record originating in the British Library

nr Name authority record originating in RLIN (even though RLG is going out of business, you need to know this code for recognition)

no Name authority record originating in OCLC

7) LC Control Numbers consist of a prefix, a year portion (2 characters in length for 1978-2000, 4 characters since 2001), and a serial number portion six digits in length. See the MARC 21 Authority format for more detail on the structure of LC Control Numbers. The number of spaces it takes up, including blanks, is important for validation purposes.

Slide 109

MARC 21 Variable Data Fields

040 Cataloging Source

- \$a Original cataloging agency
- \$b Language of cataloging – for NACO always “eng”
- \$c Transcribing agency
- \$d Modifying agency

109

MARC 21 Variable Data Fields:

- 1) **040 Cataloging Source** – system-supplied by OCLC
 - 2) Both indicators are blank
 - 3) Original cataloging agency
- \$b Language of cataloging – for NACO always = eng
- \$c Transcribing agency
- \$d Modifying agency This is the only one you should be touching, only when modifying a record.

Slide 110

Record with 010 & 040

Type	z	Used status	Err. M.	Source
Number		Ref status	Mod. no.	Name use
Cont. agn.		Auth status	Subj.	Study use
Series		Publisher	Gen. subd.	Rev. use
Sub. loc.		Name	U.S. & Sp.	Rev. use

010	1	00007704	42	no	00043902								
040	1	DLC	no	eng	R	DLC	no	DLC	no	1910	Mu	no	DLC
050	1	GD04	Chua	05042043									
063	0	ML412	B586	no	Biography								
100	1	Barnes, Lennox, no	1918										
400	1	Amber, Lennox, no	1918										
400	1	Barnes, Lennox, no	1918										
400	1	Barnes, L. no	Leonard, no	1918									
400	1	Barnes, Lennox, no	1918										
070	1	His Sonata for clarinet and piano, G1943.											

Record with 010 & 040:

OCLC record showing 010 with a canceled LCCN. Notice the 'z' subfield for cancelled record number.

This record also has a biography 053 classification number that has been added by the Library of Congress as part of a special experimental project to add biography numbers for musicians. You can also see the 040 in use, showing the record of not only who created it, but who has modified it since then.

In this case, LC was the original cataloging agency (\$a) and LC transcribed the record (\$c). LC then made an update to this record at some point (\$d). Indiana University Music Library updated the record (\$d InU-Mu) again, then LC made another update (\$d DLC). We cannot tell from this record when these updates were made, but the sequence of updating is clearly displayed.

ANIMATION: Red boxes dissolve in on mouse click.

Slide 111

MARC 21 Variable Data Fields

- **043** Geographic Area Code (Optional)
- **053** LC Classification Number
 - NACO libraries permitted to add for literary authors
 - Second indicator value is always 0
 - Web form on NACO home page for requesting classification numbers
 - Repeatable for authors that write in more than one language

111

MARC 21 Variable Data Fields:

Trainer note: Try to use actual MARC pages to illustrate these fields.

1) **043 Geographic Area Code**
 a) Further discussed in Geo names presentation, Day 4
 b) Geographic area codes associated with the 1XX heading in an established heading record or a subdivision record. The source of the code in subfield is *MARC Code List for Geographic Areas*.
 c) LC Guidelines (eg: Blue pages): NACO participants may supply the 043 field in Name/Series authority records at their own discretion, following the guidelines in the *MARC Code List for Geographic Areas*.

2) **053 LC Classification Number**
 a) Used in conjunction with literary authors. Also shows up in series authority records, but you don't need to worry about that yet. NACO libraries are strongly encouraged to do this!!!!

Slide 112

Record with optional 043

The screenshot shows a MARC record with the following fields:

- 010 1# 78032878
- 011 1# 052: M. Kemp, P. D. G. The D. G. The D. G. The D. G.
- 043 1# 052: M. Kemp, P. D. G. The D. G. The D. G.
- 051 1# (Sump) (B.C.)
- 053 1# (Sump, S.C. Per. ins.)
- 070 1# White, R. V. The Sump pioneers, 1874 (pub.) (Sump)
- 070 1# N.L.C. 851 #6 (NACR 2) Sump (B.C.)
- 081 1# Mr. White, C. S. Sump

112

Record with optional 043:

1) Record with optional 043 added.
 2) This also shows another example of a record with an old LCCN and different libraries that have modified the record (different codes in 040).

ANIMATION: Red box dissolves in on mouse click.

053 0 PG3476.N3 \$c Russian
100 1 Nabokov, Vladimir
Vladimirovich, \$d 1899-1977

ANIMATION: Red box dissolves in on mouse click.

Slide 115

Basic name authority record
Required fields in ALL NAR's: 010, 040, 1XX, 670

115

Basic name authority record:

Trainer note: This is a BASIC example with the minimum required fields.

Slide 116

Headings : Names and Terms

- 100 Personal Name
- 110 Corporate Name
- 111 Meeting Name
- 130 Uniform Title
- 151 Geographic Name

116

Headings-- Names and Terms:

Trainer note: Don't dwell on this section. The individual MARC codes will be covered in individual presentations. This is a summary.

1) These are all the headings fields that you will see in the authority records. We are not going to deal with them in specific during this session since you will be addressing them in the appropriate presentations, but rather we will look at the possibilities of these fields.

2) Bring up examples in OCLC & MARC Authority format to show the possibilities:

100 1 _ Cervantes Saavedra, Miguel de, \$d 1547-1616

100 0 _ Edward, \$c King of England,

\$d ca. 1003-1066
 100 0 _ Lady (undifferentiated NAR;
 example of phrase NAR)
 100 3 _ Adams family
 110 1 _ United States. \$b President
 110 2 0 University of Aberdeen (shows
 410 1 in X-ref); also show subordinate
 bodies under University

3) Example of 110 0? None given in
 MARC, not sure it's used.
 111 2 0 Seminar on AACR2 \$d (1979 :
 \$c University of Nottingham)
 110 2 0 American Library Association.
 \$b Conference (Xrefs in 411)
 130 _ 0 Gawain and the Grene Knight
 100 1 _ Homer. \$t Iliad
 151 __ Washington (D.C.)
 151 __ Georgetown (Washington,
 D.C.) (shows 410 1 in X-ref)

Slide 117

100 : Heading-Personal (NR)

<u>First Indicator</u>	<u>Second Indicator</u>
Type of personal name entry element	Undefined
0 - Forename	# - Undefined
1 - Surname	
3 - Family name (subject file)	

Subfield Codes

\$a - Personal name (NR)	\$l - Language of a work (NR)
\$b - Numeration (NR)	\$n - Number of part/section of a work (R)
\$c - Titles and other words associated with a name (R)	\$p - Name of part/section of a work (R)
\$d - Dates associated with a name (NR)	\$q - Fuller form of name (NR)
\$f - Date of a work (NR)	\$s - Version (NR)
\$k - Form subheading (R)	\$t - Title of a work (NR)

117

100: Heading-Personal (NR):

Trainer note: See appendix for larger copy.

- 1) Here are the indicators and subfield codes available for the 100 field. The most commonly used subfield codes are \$a, \$d, and \$q.
- 2) Be sure to go over the meaning of (NR) and (R) and how they are applied.

Slide 118

Most Subfield Codes

- Use only one letter
- Contain data transcribed from item

e.g. 100 0 _ Gustaf \$b V, \$c King of Sweden, \$d 1858-1950

118

Most Subfield Codes:

1st bullet: Subfield are simple and consist of a single letter. An exception to the single letter use is \$w, which is combined with other letters to convey complex data.

For example, \$w nne indicates a link to a former AACR-2 heading; \$w a and \$w b denote special chronological relationships between headings. There will be much more on this later in this session, and then again in the other NACO modules.

Slide 119

Headings : Personal Names

100 1 _ Cervantes Saavedra, Miguel de, \$d 1547-1616

100 0 _ Edward, \$c King of England, \$d ca. 1003-1066

100 0 _ Lady (undifferentiated NAR; example of phrase NAR)

100 3 _ Adams family (created in subject file only)

119

Headings– Personal Names:

These are all the headings fields that you will see in the authority records. We are not going to deal with them in specific during this session since you will be addressing them in the appropriate presentations, but rather we will look at the possibilities of these fields.

Bring up examples in OCLC & MARC Authority format to show the possibilities:

Slide 120

110 : Heading-Corporate Name (NR)

<u>First Indicator</u>	<u>Second Indicator</u>
Type of corporate name entry element	Undefined
1 - Jurisdiction name	# - Undefined
2 - Name in direct order	

Subfield Codes

\$a - Corporate name or jurisdiction name as entry element (NR)	\$l - Language of a work (NR)
\$b - Subordinate unit (R)	\$n - Number of part/section/meeting (R)
\$c - Location of meeting (NR)	\$p - Name of part/section of a work (R)
\$d - Date of meeting or treaty signing (R)	\$r - Key for music (NR)
\$f - Date of a work (NR)	\$s - Version (NR)
\$k - Form subheading (R)	\$t - Title of a work (NR)

120

110– Heading-Corporate Name (NR):

Trainer note: See appendix for larger copy.

First indicator 0 for inverted name is obsolete
Common subfield codes are \$a & \$b.

Slide 121

111 : Heading-Meeting Name (NR)

<u>First Indicator</u>	<u>Second Indicator</u>
2 - Name in direct order	Undefined
	# - Undefined

Subfield Codes

\$a - Meeting name or jurisdiction name as entry element (NR)	\$p - Name of part/section of a work (R)
\$c - Location of meeting (NR)	\$q - Name of meeting following jurisdiction name entry element (NR)
\$d - Date of meeting (NR)	\$s - Version (NR)
\$e - Subordinate unit (R)	\$t - Title of a work (NR)
\$f - Date of a work (NR)	
\$k - Form subheading (R)	
\$l - Language of a work (NR)	
\$n - Number of part/section/meeting (R)	

121

111– Heading-Meeting Name (NR):

First indicator codes

1 for jurisdiction is obsolete.

Slide 122

Headings : Corporate Body & Meeting Names

110 1 _ United States. \$b President

110 2 _ University of Aberdeen

111 2 _ Seminar on AACR2 \$d (1979 : \$c University of Nottingham)

110 2 _ American Library Association. \$b Conference

122

Headings– Corporate Body & Meeting Names:

Trainer note: Quick demo of possibilities.

Slide 123

130 : Heading-Uniform Title (NR)

<u>First Indicator</u>	<u>Second Indicator</u>
Undefined	Nonfiling characters
# - Undefined	0-9 - Number of nonfiling characters

Subfield Codes

\$a - Uniform title (NR)	\$p - Name of part/section of a work (R)
\$d - Date of treaty signing (R)	\$s - Version (NR)
\$f - Date of a work (NR)	\$t - Title of a work (NR)
\$h - Medium (NR)	\$x - General subdivision (R)
\$k - Form subheading (R)	\$y - Chronological subdivision (R)
\$l - Language of a work (NR)	\$z - Geographic subdivision (R)
\$m - Medium of performance for music (R)	
\$n - Number of part/section of a work (R)	

123

Slide 124

**151 Heading :
Geographic Name (NR)**

<u>First Indicator</u>	<u>Second Indicator</u>
Undefined	Undefined
# - Undefined	# - Undefined

Subfield Codes

\$a - Geographic name (NR)
 \$v - Form subdivision (R)
 \$x - General subdivision (R)
 \$y - Chronological subdivision (R)
 \$z - Geographic subdivision (R)

124

Geographic names are established as 151s. There are no indicators. Only subfields \$a are used with 151s in name authority records. The \$w subfield may also appear in the 451/551 fields.

A geographic name heading (151) may be established in either the subject or the name authority file; however, it is only the geographic heading established in the name authority file that is also eligible for use as a jurisdiction or government heading (110). That is what we are establishing here. Emphasize that we are NOT discussing geographic subject headings.

Slide 125

**Headings : Uniform Titles &
Geographic Names**

130 _ 0 Gawain and the Grene Knight
 100 0 _ Homer. \$t Iliad
 151 __ Washington (D.C.)
 151 __ Georgetown (Washington, D.C.)

125

Headings—Uniform Titles & Geographic Names:

Trainer: Discuss briefly each example.

Slide 126

Tracings and References

- **4XX** See From Tracings
- **5XX** See Also From Tracings
- \$w control subfield appears in references

126

Tracings and references:

Trainer note : Try to use actual MARC pages to illustrate these fields. See appendix for larger copy to trainee. Justification of references: Justify names or titles given as references by information cited from sources. However, justification is **NOT** required in the following cases (DCM Z1: 670 field)

- (a) References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading
- (b) References made on the basis of the cataloger's awareness of different romanizations or orthographies
- (c) Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources.
- (d) References made on the basis of information from the National Library of Canada (cf. DCM Z1 Appendix 2: Canadian headings)
- (e) References to earlier/later headings of corporate bodies reflecting changes due to national orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.
- (f) References made on the basis of information from the British Library as part of the English Short Title Catalogue project.

Trainer: Mention that the \$w subfield is not possible in the headings fields, but only in the cross-references fields. The "\$w" will appear at end of 4XX string in OCLC.

Slide 127

\$w Control Subfield

- Uses 1-4 letter codes instead of transcribed information
- Shows relationship between heading and references or other headings
- Different uses in 4XX & 5XX

127

\$w Control Subfield:

1) Examples follow to illustrate. See appendix at back for trainees copy (eg.: larger copy)

2) Quick mention of different uses for 4XX vs. 5XX

4XX Former AACR2 name \$w nnen

5XX Earlier form of name \$w annn

Slide 128

4XX : See From Tracings

- **400** Personal Name
- **410** Corporate Name
- **411** Meeting Name
- **430** Uniform Title
- **451** Geographic Name

128

4XX– See From Tracings:

1) The 4xx fields are variant names that refer searchers to the authorized 1xx heading form of the name.

2) In the next few slides, we'll look at how they are structured.

Note to trainer: Try to use actual MARC pages to illustrate these fields.

LCRI 26.1: Supply references according to the rules; references should be formulated in same form as headings and should match the heading in fullness.

Note: the \$w subfield is not possible in the 1xx headings fields, but only in the 4xx or 5xx cross-references fields.

Slide 129

**Cross-references :
Personal Names**

400 1 _ Cervantes, Miguel de, \$d 1547-1616
 400 0 _ Edward, \$c the Confessor, Saint, \$d
 ca. 1003-1066
 400 0 _ Lady, \$d 1661-1720
 400 3 _ Smith family (created in subject file
 only)

129

Cross-references– Personal Names:

Trainer note: This is an overview of the elements in these fields. You'll learn more about what content to use in them in later sessions.

Notice the use of indicators 1 for surname and 0 for a forename as the entry element.

0 is for a forename, or first name.

1 is for a surname, or last name.

3 is for a family name, and it not used in name authority records.

Family names appear in subject authority records. The MARC 21 Authority Format applies to subject authorities as well as name authorities. We'll focus mostly on the Name Authority features.

Slide 130

**Cross-References :
Corporate Bodies & Meetings**

410 2 _ President of the United States
 410 1 _ Aberdeen, Scot. \$b University \$w nnaa
 411 2 _ Seminar on the Anglo-American
 Cataloguing Rules (2nd Edition)
 \$d (1979 : \$c University of
 Nottingham)
 411 2 _ Conference of Librarians
 (American Library Association)

130

**Cross-References– Corporate
Bodies & Meetings:**

Trainer note to participants: you may remember seeing the 1XX headings on an earlier slide. These are the variant forms. Notice the indicators here. Three of the cross references have indicator 2 for direct entry.

1) Example: The University of Aberdeen heading illustrates a few different things. The cross reference through the city uses the indicator 1 for indirect entry. That use of the indicator is fine. It's a type of reference with a \$w control subfield that we no longer make. If you see it in a name authority record, you may leave it there, but you'd never make this cross reference.

2) Here are the 1XX headings represented by the 4XX cross references on this slide: Trainer might write these on board--

110 1_ United States. \$b President—subordinate entry

110 2_ University of Aberdeen

Trainer note: 410 1_ Aberdeen, Scot. \$b University \$w nnaa (nnaa : Pre-

AACR2 heading is not a valid AACR2 reference; OCLC not required to make but if on NAR leave on record)

111 2_ Seminar on AACR2 \$d (1979 : \$c University of Nottingham)—uses the abbreviated form of the publication

110 1_ American Library Association. \$b Conference of Librarians —shows the conference entered under its parent body

Slide 131

**Cross-References :
Uniform Titles & Geographic
Names**

430 _ 0 Sir Gawain and the Grene
Knight

400 0 _ Homer. \$t Homeri Ilias

451 __ Nation's Capital (D.C.)

131

Cross-References– Uniform Titles & Geographic Names:

These cross references show some interesting tag and indicator patterns. The one for Homer is a personal name entry on a uniform title, so the “400 0_” looks familiar. Sir Gawain is the uniform title itself, so the indicators are used differently. The 451 is for a geographic name, with its own pattern—no indicators.

5) These cross references are used on these headings: Trainer might write these on board--

130 0 Gawain and the Grene Knight

100 0_ Homer. \$t Iliad

151 __ Washington (D.C.)

Slide 132

5XX : See Also From Tracings

- 500 Personal Name
- 510 Corporate Name
- 511 Meeting Name
- 530 Uniform Title
- 551 Geographic Name

132

5XX– See Also From Tracings:

1) Remember that the 4xx See From References were for different forms of a name. One form of a name becomes the authorized 1xx heading in a Name Authority record, and any variants are merely 4xx cross references in that same Name Authority Record.

2) Form in 5xx should be identical to the 1XX found on the related NAR. Generally 5xx references should go both ways (eg: whenever a 5xx is traced on an NAR the corresponding 5xx reference should be traced on the other NAR.

3) See Also From References are used when one form of name could be used as a variant in more than one Name Authority Record.

Think of the name “Jackie Smith” as a 1xx heading in a NAR and also as a variant for John Smith, Jackson Smith, or Jacqueline Smith. In every NAR where it appears, “Jackie Smith” would have the 5xx tag. Anyone who searches that name will retrieve all the NARs with “Jackie Smith” as either a 1xx heading or a 5xx tracing.

Note to trainer: Try to use actual MARC pages to illustrate these fields

Slide 133

**See also references
Personal Names**

100 1 _ Plaidy, Jean, \$d 1906-1993
500 1 _ Ford, Elbur, \$d 1906-1993 \$w
nnnc

100 1 _ Arthur, Grace
500 0 _ Lady

100 3 _ Adams family (created in subject
file)
500 3 _ Ade family (created in subject file)

133

See also references– Personal Names:

Notice the \$w subfield in the first example. Since the “c” is in the 4th spot in the left-to-right lineup, we see the leading “nnn” letters before the “c”. This is a very special use of the \$w control subfield to show the relationship between multiple name authority records for authors who use pseudonyms. We’ll see it used in the Personal Name lessons. Look at the Ade family references. Once again, you can see how a MARC 21 Authority Format 5xx reference would look in a subject authority record. The indicator 3 is used in subject authorities, but not in name authorities.

Trainer note: Bring up examples in OCLC & MARC Authority format to show the possibilities:

Slide 134

**See also references :
Corporate Bodies & Meetings**

110 2 _ University of Aberdeen
510 2 _ King's College and University
 (Aberdeen, Scotland) **\$w a**

111 2 _ Seminar on Architecture and
 Urban Planning in Finland
511 2 _ Seminar on Architecture and
 Urban Planning **\$w a**

134

See also references– Corporate Bodies & Meetings:

These all show earlier forms of the names in headings on the NARS where they appear.

110 2_ University of Aberdeen—is the later name of the merger of this King's College and another institution.

The "\$w a" shows only one letter of the possible 4 letters. That's because "a" is in the first spot. There's no need for "nnn" after the "a".

The "a" stands for an earlier name of these corporate bodies.

Trainer note: There could be various Seminars and Meetings with the other two references.

Other examples:

510 2 _ American Library Association.
 \$b Meeting **\$w a**

Slide 135

**See also References :
Uniform Titles & Geographic
Names**

130 _ 0 Series on Arbitration
530 _ 0 Arbitration series

151 __ Leon (Kingdom)
551 __ Castile (Kingdom)

NOTE: *In certain cases, the relationship is unclear, and no \$w is present.*

135

See also References-- Uniform Titles & Geographic Names:

1) The note says that See also references are not common for these two categories of records.

The record n 86737087 has the 1xx Arbitration series, with a 530 for Series on arbitration.

The record n 84727156, 1xx Series on arbitration, carries the 530 appearing on this slide.

The name of the series may have waffled back and forth between these two forms, and it wasn't a clear earlier-later distinction.

2) n 79100689 151 Leon (Kingdom) has 551 Castile (Kingdom)
n 79103666 151 Castile (Kingdom) has 551 Leon (Kingdom)

This isn't a true earlier-later situation. The kingdoms Leon and Castile merged back in 1230, but Leon still had a separate identity and administrative records for about 100 years until it faded away and only Castile remained. In a case like this, there are two records, but no way to represent the relationship with the \$w control subfield, so here's a 5xx with no \$w.

Slide 136

**Simple See Reference;
Linking Reference**

010	1	n	79104307
040			OLC \$s eng \$s OLC \$s OLC \$s \$w
040			g-gi-
151			T \$title (Georgia)
451			T \$title (Georgia)
451			\$word \$title (Georgia)
451			T \$title (Georgia)
451			T \$title nnaa
451			T \$title (Georgian S.S.R.) \$w nnaa
451			T \$title (Georgia)
670			Call to BGN, 12-29-92 \$s (T \$title, popl. 4174274, 44747E, variant: T \$title) 11-23-93 (reconfirmation, correct form: T \$title)
670			Russia and the newly independent nations of the former USSR [MAP] March, 1993. \$s (T \$title, capital of Georgia)
670			GOEneVIMAN, 09-29-98 \$s (T \$title, PPLC: 41° 42' 04" N, 44° 47' 04" E, : s ref. from T \$title, \$word, ADM2: 41° 42' 00" N, 44° 49' E.)
781			0 \$u Georgia (Republic) \$u T \$title

Simple See Reference; Linking Reference:

1) Here's an example of an older record that includes two kinds of references using \$w.

2) Note to trainer: OCLC NACO participants are responsible for making \$w nna, but not \$w nnaa.

3) If the record contains \$w nnaa, you may leave it there, but don't construct this reference.

ANIMATION: Arrows dissolve in on each mouse click.

Slide 137

Later 'See Also' Reference	
510	50002751
540	DDC Ho ang fr DDC fr DDC fr DDPD fr DDC
110	2 Washington National Airport
410	1 Washington (D.C.), Ho National Airport
410	1 Washington (D.C.), Ho Washington National Airport
410	2 National Airport (Washington, D.C.)
410	1 Arlington (Va.), Ho Washington National Airport
510	2 Ronald Reagan Washington National Airport fr b ←
670	Airport names, 1945
<small>U.S. Cong. House, Comm. on Transportation and Infrastructure. Ronald Reagan National Airport, 1999: H. R. 1 (H.R. 2025, to redesignate Washington National Airport as Ronald Reagan Washington National Airport), p. 2 (according to Nat'l Park Serv., a first airport committee voted, in 1927, to acquire new airport south of Washington, D.C., area known as Gravelly Point, designed to replace Washington Hoover Airport, where Pentagon is today, became known as Gravelly Point Airport Project, and National Airport, and in 1943, Washington National Airport</small>	

Later 'See Also' Reference:

Trainer note: Here's the first of two related records showing earlier and later names.

The 1xx in this record shows the earlier name, and the 5xx reference is for the later name.

See 510 and the 'w' subfield and 'b' indicator. A single letter code is a very common occurrence in a 5XX \$w.

ANIMATION: Red arrow dissolves in on mouse click.

Slide 138

Earlier 'See Also' Reference	
510	50000122
540	DDPD Ho ang fr DDPD fr DDC
110	2 Ronald Reagan Washington National Airport
410	2 Reagan Washington National Airport
410	2 Ronald Reagan National Airport
510	2 Washington National Airport fr a ←
670	U.S. Cong. House, Comm. on Transportation and Infrastructure. Ronald Reagan National Airport, 1999: H. R. 1 (H.R. 2025, to redesignate Washington National Airport as Ronald Reagan Washington National Airport, Ronald Reagan National Airport

Earlier 'See Also' Reference:

Here's the second record in the earlier-later example.

The 1xx has the later name, and the 5xx has the earlier name with "\$w a".

ANIMATION: Red arrow dissolves in on mouse click.

Slide 139

Content Designation Exercise Instructions

Consult documentation to complete :

- MARC fields
- Indicators
- Subfield codes

139

The answers sheets in Day 1 appendix has more examples than exercises.

Slide 140

Content Designation Exercise
100 1 _ O'Connor, Sandra Day, \$d 1930-
140

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 1xx or 100 headings

Slide 141

Content Designation Exercise
100 1 _ Jones, R. M. \$q (Ronald Mervyn)
141

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 1xx or 100 headings

Slide 142

Content Designation Exercise
100 0 _ Bonaventure, \$c Father, O.F.M., \$d 1885-1967
142

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 1xx or 100 headings

Slide 143

Content Designation Exercise	
1 0 0 1 _	West, \$c Mrs. \$q (Jane), \$d 1758-1852
4 0 0 0 _	Author of The loyalists, \$d 1758-1852
4 0 0 1 _	Loyalists, Author of the, \$d 1758-1852
4 0 0 1 _	Advantages of education, Author of, \$d 1758-1852
<small>143</small>	

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 1xx or 100 headings

Slide 144

Content Designation Exercise	
100 0 _	Giles, \$c of Rome, Archbishop of Bourges, \$d ca. 1243-1316. \$t Works. \$f 1985
<small>144</small>	

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 1xx or 100 headings

Slide 145

Content Designation Exercise	
100 1 _	Trudeau, G. B., \$d 1948- \$t Doonesbury book. \$l Italian. \$k Selections
<small>145</small>	

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 1xx or 100 headings

Slide 146

Content Designation Exercise	
100 1 _	Proust, Marcel, \$d 1871-1922. \$t Amour de Swann. \$l English
400 1 _	Proust, Marcel, \$d 1871-1922. \$t Du côté de chez Swann. \$p Amour de Swann. \$l English
<small>146</small>	

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 1xx or 100 headings

Slide 147

Content Designation Exercise	
1 1 0 2 _	First African Baptist Church (Tuscaloosa, Ala.)
<small>147</small>	

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 110 Headings—
Corporate Bodies

Slide 148

Content Designation Exercise	
1 1 0 2 _	Western Association of Fish and Wildlife Agencies (U.S.). \$b Conference
4 1 1 2 _	Conference of the Western Association of Fish and Wildlife Agencies

Where do you look for this Content Designation?
MARC 21 Authority Format,
Section on 110 Headings—
Corporate Bodies

Slide 149

Content Designation Exercise
<p><u>1</u> <u>1</u> <u>1</u> <u>2</u> _ International Conference on Transportation for the Nuclear Industry</p>
<small>149</small>

Where do you look for this
Content Designation?
MARC 21 Authority Format,
Section on 111 Headings—
Meeting Names

Slide 150

Content Designation Exercise
<p><u>1</u> <u>1</u> <u>1</u> <u>2</u> _ Women's Week 1984 \$<u>d</u> (1984 :\$<u>C</u> Montgomery College)</p>
<small>150</small>

Where do you look for this
Content Designation?
MARC 21 Authority Format,
Section on 111 Headings—
Meeting Names

Slide 151

Content Designation Exercise
<p><u>1</u> <u>5</u> <u>1</u> _ _ Hawick (Scotland)</p>
<p><u>4</u> <u>5</u> <u>1</u> _ _ Hawick (Roxburgshire)\$<u>w</u> <u>nne</u> <i>[prev. AACR2 heading]</i></p>
<small>151</small>

Where do you look for help?
MARC 21 Authority File, section
on 451 See From Tracing-
Geographic Name, subfield
codes

Slide 152

**Creating a record:
MARC 21 fields continued**



152

Creating a record: MARC 21 fields continued:

Now we are going to spend some time looking at the various MARC fields that are used in name authority records:

What is their purpose?
What is allowed
How are they used?

Slide 153

Other Reference Types

- **663/664** have explanatory text and headings
- **663** Complex See Also References – usually needed with pseudonyms
- **664** Complex See References – consult Coop if needed
- **665** History Reference – delete if record needs other maintenance

153

Other reference types:

You won't use these very much, but you may need to evaluate them for current practices. They are most commonly used in relationship to unusual pseudonym combinations. (E.g. Jorge Luis Borges, Adolfo Bioy Casares & B. Lynch Suarez.)

1) 663 Complex See Also Reference—Name
(cf. LCRIs 22.2B and 26.2D)

This field contains the *explanatory text* and the *headings referred to* that are required when relationships exist between an established name and other established names that cannot be adequately conveyed by one or more simple cross references generated from 5XX See Also From Tracing fields. The field is appropriate only in an established heading record for names.

LC Guidelines pages: Prefer simple cross refs to complex cross refs. Use only when the relationship of other names to the name contained in the 1XX heading cannot be adequately expressed by simple see also refs.

2) 664 Complex See Reference—Name

This field contains the explanatory text and the headings referred to that are required when relationships exist between an un-established name and one or more established names that cannot be adequately conveyed by simple cross references generated from 4XX See From Tracing fields in established heading records. The field is appropriate only in traced reference records for names.

See information in: MARC 21 Authority Format: LC Guidelines (cf. Catalogers Desktop)

3) 665 History Reference

This field contains text for reference notes with historical information for names. It is provided when more information is needed about the relationships that exist than can be adequately conveyed by using simple cross references generated from the 5XX fields.

665 information found in: MARC21 Authority Format: LC Guidelines (cf. Catalogers Desktop)

Do not use. Whenever a record created prior to Feb. 1981 must be changed for any reason, delete any occurrence of field 665 and add or adjust the 5XX fields to accommodate the information originally recorded in field 665.

Slide 154

100 1 _ Plaidy, Jean, \$d 1906-1993	100 1 _ Carr, Philippa, \$d 1906-1993
500 1 _ Carr, Philippa, \$d 1906-1993	500 1 _ Plaidy, Jean, \$d 1906-1993
500 1 _ Holt, Victoria, \$d 1906-1993	663 _ _ Works by this author are entered under the name used in the item. For a list of other names used by this author, search also under \$b Plaidy, Jean, 1906-1993
663 _ _ For works of this author entered under other names, search also under \$b Carr, Philippa, 1906-1993, \$b Ford, Elbur, 1906-1993, \$b Holt, Victoria, 1906-1993, \$b Kellow, Kathleen, 1906-1993, \$b Tate, Ellalice, 1906-1993	100 1 _ Holt, Victoria, \$d 1906-1993
	500 1 _ Plaidy, Jean, \$d 1906-1993
	663 _ _ Works by this author are entered under the name used in the item. For a list of other names used by this author, search also under \$b Plaidy, Jean, 1906-1993

Example 663 field and 5XX references:

1) This prolific fiction author has written under many different pen names. The NAR for the Basic heading on the left includes all the names used by the author, and has the most inclusive 663 note.

Note: The other NARs represent names given as 500 See Also From references on the basic NAR, and have a simpler 663 note.

2) Notice that the 663 has the explanation in the \$a, and gives the other names in \$b. On the NAR for the Basic heading, the 663 has 5 different names. This example omits the other 500 references and NARs for Elbur Ford, Kathleen Kellow, and Ellalice Tate.

Another example: would be Carolyn Keene, the author of the Nancy Drew mystery stories or Ellery Queen, mystery writer.

3) **Basic heading on left:** refers to the 2 associated headings on right with 663 note; the 2 associated headings on the right can only refer back to the basic heading in the 663 note. All 'see also' references are suppressed with 'c' coding in the 4th position under the 'w' subfield. These references are covered by the 663 tag. 2 headings would only require simple 'see also' references.

Another example: would be Carolyn

Keene, the author of the Nancy Drew mystery stories or Ellery Queen, mystery writer.

ANIMATION: Each arrow dissolves in on mouse click.

Slide 155

**667 Nonpublic General Note
(R)**

Attributes:

- Repeatable
- Both indicators blank
- Non-repeatable subfield is the only subfield allowed

DCM Z1
667 field

155

Nonpublic General note: Repeatable field

1) The 667 is used most often for a cataloger to leave a message for other catalogers about the 1XX heading.
2) It's bare-bones with just the \$a and text, because it's for a human to read, not for a library system to manipulate data.

3) 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 listing (not exhaustive) of types 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.

Each distinct item of information is contained in a separate 667 field. Separate 667 field may be given in any order.

Examples:

DCM Z1 (also look for good examples in the actual MARC pages). Review instances with participants when the 667 would be used.

667 Not same as: [name or title, LCCN]

667 Cannot identify with: [name or title, LCCN]

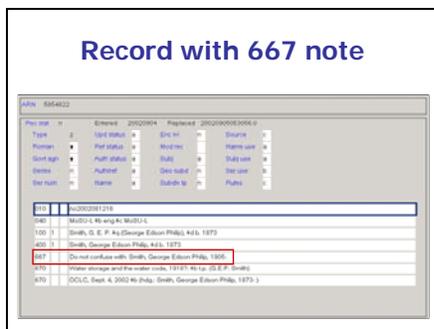
667 Formerly on undifferentiated name record: [LCCN of undifferentiated name record]

667 Coded "provisional" because [reason for coding]

667 SUBJECT USAGE: This heading is not valid for use as a geographic subdivision.

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

Slide 156



667 note in NAR:

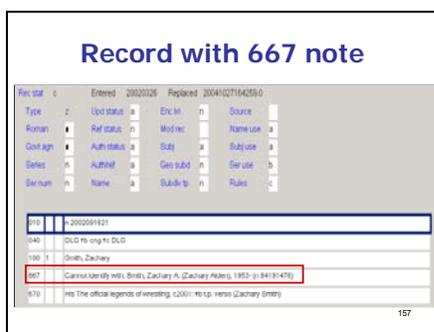
1) 667 Do not confuse with:

2) See Z1 DCM 667 field: In Multiple uses for 667. In this case, possibly the author's son.

3) Trainer: remember to remind participants to also add a 667 to record for: Smith, George Edison Philip, 1905- (eg: 667 Do not confuse with: Smith, G. E. P. \$q (George Edison Philip), \$d b. 1873

ANIMATION: Red box dissolves in on mouse click.

Slide 157



667 note in NAR:

Another 667 example. You searched Smith, Zachary, and found a name authority for a person with a similar name.

After doing the appropriate amount of checking, you're still uncertain on the possible relationship of your author with another of similar name. Same person? Two different authors?

You can make a new, unique NAR for your author, but save time for the next cataloger by putting a 667 on both name authority records involved.

This is a signal for the next person to handle a publication by one of these authors that they could add information to the NARs to clarify the relationship.

From Z1 670 pages: Functions of the 670 Field

1. To supply information, from bibliographic, and non bibliographic sources (e.g., phone calls, letters, databases, WWW), in support of the choice and form of the heading and references.
2. To store info. that may be used to break a conflict later.
3. To identify a person with a particular work or as an author in a particular discipline or time period.
4. To identify separate individuals whose access points must remain identical for now (i.e., undifferentiated personal name headings).
5. 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 headings.
6. To record research required by the current rules.
7. To facilitate authority and bibliographic file maintenance (help in decisions about duplicate headings and misattributions – i.e. which author matches which bibliographic record?).
8. To support machine manipulation of records.

Slide 161

**670 Required Elements
(Subfield \$a)**

- Title proper of item being cataloged or reference source
- Date of publication or viewing

161

670 field required elements: DCM Z1

The title of the work being cited should be complete enough for later identification. Abbreviations and ellipses may be used.

The 670 doesn't need to start with the main entry (author) of the item, but macros to generate authority records usually include the main entry before the title. There is no need to delete the main entry.

If title proper is generic or indistinctive and macros not used to generated NAR--

Precede generic or indistinctive title with: the main entry of the work which can be abbreviated or in a NAR be replaced by a pronoun. "If main entry is the same as the title proper plus a qualifier, give the uniform title main entry instead of the title proper."

Date of publication should be given in the same form as it is in the 260 of the bibliographic record, e.g., if the date in

the 260 is a copyright date, that same form should be used in the 670 of the NAR; No brackets though.

260 of bib record: c1980 "use in NAR" : c1980

260 of bib record: [1990] "use in NAR": 1990

260 of bib record: 197- "use in NAR": 197-

260 of bib record: 1990? "use in NAR": 1990?

Slide 162

670 Required Elements (Subfield \$b)

- Location
- Usage of name being established as found on chief source or in a reference source
- Other locations and data found

670 __ _ On the globe, 2003: \$b t.p. (Thomas Murdoch Riley) p. 3 (b. 1962)

162

Personal names are transcribed "as found" on chief source (i.e., direct order vs. inverted construction).

Include any titles, etc., variants in other locations within items or in reference source.

100 Doddridge, Joseph ...

**670 \$b t.p. (Joseph Doddridge)
p. 5 (Rev. Dr. Joseph Doddridge)**

We have an example later to show your actions if the name doesn't appear on the item.

Be selective about citing forms of name not on the chief source. Record only those judged to add important information about the name such as fuller forms or those that justify cross references.

Record all forms of the name on chief source of item being cataloged.

Slide 163

Examples of the 670 Field

670 __ Estrada Martínez, Celia Elvira.
Metodología para la enseñanza-
aprendizaje del canto, 2000: \$b t.p.
(Roberto Gutiérrez Ramírez)

670 __ The day the earth stood still home
page, Aug. 10, 2000 \$b (Michael Rennie;
b. Aug. 25, 1902)

670 __ W. was W. Amer. Art, 1999 \$b (Cravath,
Dorothy Wagner Puccinelli, b. 1901)

163

670 Source Data Found
This field contains a citation for a consulted source in which information is found about the 1XX heading in an established heading record, an established heading and subdivision record, or a subdivision record. The field may also include the information found in the source. Each source citation is contained in a separate 670 field.

Slide 164

670 Field \$b

- When abbreviating location or other data, balance brevity and clarity:
t.p. jkt. b. 1883 est. 1945
- If information provided is not in English, avoid abbreviations when these might be confusing

164

670 Field \$b
Remember we are working in an international world, so that our concern for clarity needs to take that into account.

Slide 165

670 Subfield \$b – “Name not given”

165

670 subfield \$b– “Name not given”
670 Field: DCM Z1 (Source Data Found section)
1) Notice that the first 670 is for the work being cataloged.
2) If the name being established is not found in the first 670 for the “work cat.,” give “(name not given)” in the subfield \$b.
The additional 670s in this NAR do carry the name being established.

ANIMATION: Red text box dissolves in on mouse click, followed by line under “name not given.”

Slide 166

670 for Reference Works

Location information is not needed when citing a database or alphabetical reference source:

670 __ Columbia [gaz.](#) of the world, c1998 \$b (Aleutians East, borough, SW Alaska)

670 __ Internet movie database, May 21, 2004 \$b (Michael Rennie; b. 25 Aug. 1909, Bradford, England; d. 10 June 1971) \$u <http://us.imdb.com>

166

670 for reference works:

First example: this 3-volume reference source is arranged alphabetically, and the data were found in the expected alphabetic place, so no need to specify the volume and page where the data were found. This example also shows that abbreviations of titles may be used as long as the information is clear.

Second example: we can add the \$u with the URL.... <http://us.imdb.com>
(**Optional decision** : DCM Z1 670 field)

Note to Trainer: See another example next slide and notes.

Slide 167

**670 for Reference Works
Subfield "\$ u"**

670 __ 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 authors works \$u <http://www.stephenking.com>

167

Another Example-- Reference Source Citation: 670 subfield "u" :

"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 heading that cannot be cited succinctly in the authority record."

The use of a URI in 670 "u" does not take the place of required data in subfields \$a and \$b

Do not provide URIs for general reference sources and or web-based reference sources that are included in the LCRIs (eg: GNIS, GEOnet, Contemporary Authors online)
If URL is given must be given in subfield \$u

MARC 21 Authority Format (675 field)

As of January 2006, catalogers may supply a subfield \$u in 670s of Name/series authority records following the guidelines in Descriptive Cataloging Manual Z1, supplement to the MARC 21 Format for Authority Data. These guidelines suggest that a cataloger should use judgment in supplying URIs because:

- 1) URIs are subject to rapid

change thus incurring an increased need for maintenance and
 2) URIs are unnecessary when a well-crafted 670 note provides enough information to identify the 1XX and references

Slide 168

Heading vs. Usage

- Heading is the access point, as constructed by cataloger
- Usage is the name as found on the piece

100 1 _ Westheimer, Ruth K. †q (Ruth Karola), §d 1928-

Usage: CIP t.p. (Dr. Ruth Westheimer)

110 1 _ Gera (Germany : Bezirk). \$b Rat

Usage: t.p. (Rat des Bezirkes Gera)

168

Heading vs. Usage:

It's important to record headings and usage correctly in 670 citations. For personal names, headings are inverted with surname, forename. Usage gives the forename surname in direct order, unless it appears in the source in some other form. Westheimer, Ruth K. (Ruth Karola), 1928- ; In this personal name, the professional title Dr. is not part of the heading.

Note to trainer: How the German government body heading is formed; quite different from usage. Use catalog entry form for Gera as jurisdictional heading.

Slide 169

670 Database Citations

When citing OCLC or other bibliographic databases cite usage to reinforce choice of heading

670 _ _ OCLC, Aug. 5, 2008 \$b (hdg.: Rennie, Michael James, 1909- ; usage: Michael Rennie)

DCM Z1
670 field

169

670 Database Citations:

Trainer: Go over the Special Types of Citations in Z1 670 so this is clear.

Slide 170

670 Economy of Resources

- A NAR is not a biographical or historical record of person or corporate body
- NACO encourages the use of macros and other time saving, cost effective devices in the creation of NARs

170

670 Economy of Resources:

Don't add too much info. Just enough to uniquely identify the individual:

Examples of types: Personal names:

Current occupation or profession

Highest academic achievement

Terms of address

Variant names of author

This can vary according to circumstances. If it is a common name, it needs more detail than an uncommon one.

Example of types: Corporate names:

Where body located

Date body came into existence

(earlier/later situation)

Variant names of the body

Include in the data cited all the hierarchy required to justify needed references, but do not include elements irrelevant to the particular heading being established (eg: subordinate body's name); use judgment if automated authority generation programs supply additional information beyond the specific corporate body's name.

Slide 171

670 Punctuation

- Except for the parentheses in the subfield \$b, no prescribed punctuation in 670
- Punctuation helps set off information so that data provided is clear to users of the authority file
- It is important to be concise and clear; of the two, clarity is the most important

171

670 Punctuation:

1) MARC 21 AF gives input conventions to guide choices in punctuation, but this is to help catalogers read the 670. There's not much computer manipulation of 670 data once it's created.

2) Unless a specific directive is given in the text punctuation is not prescribed. Catalogers are expected to use judgment and common sense. (e.g., date of publication preceded by a comma helps the user to know that the date is not part of the title)

3) Punctuation and style need not be consistent from record to record as long as information is clear and accurate.

Slide 172

670 Things to Remember

- First 670 is the item being cataloged
- Information found within the same item is added in the same 670 subfield \$b (e.g., variant forms, dates, etc.)
- Data must be given in Romanized form
Non-Latin script references that are added need to be justified with non-roman script

172

670 Things to Remember:**Non-Latin script data:**

In name authority records general information can be found in the PSD website at: <http://www.loc.gov/catdir/cpsso/nonlatingeneral.html>.

Addition of the non-Latin script reference form is optional. If a cataloger chooses to provide nonroman script references, the 670\$b should contain both the non-roman script transcriptions(s) found in the source, and the systematically romanized form(s).

3) The format of constructing 670 field is: romanize the title citation in 670 \$a; in 670 \$b, use the equals sign to equate the non-Latin script form found on the item to the systematically romanized form. **Example:** 670 \$a Fu shi yi chao zhi ping lun juan, 2007: \$b t.p. (张竟琼 = Zhang Jingqiong) front flap (b. Jan. 1965; Native of Jiangsu Nantong; with Jiangnan da xue)

Note: Non-Latin references generated via OCLC pre-population project using data-mining techniques were machine-derived references from non-Latin bibliographic heading fields, thus do not contain justification in the 670 \$b

DCM Z1 670 Section:

“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 references, the 670 \$b should contain both the nonroman script transcription(s) found in the source, and the systematically romanized form(s).”

LCRI 26.1:

“In general, construct a reference in the same form in which it would be constructed if chosen as the heading. **Exception:** Until practices related to the form and style of nonroman script references have been established, it is not necessary to construct nonroman references in the same form as the

heading. ...”

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

Slide 173

670 Things to Remember

- Information in 670s of existing NARs is rarely changed (except for egregious errors)
- Information is added to the 670 of a NAR originally created for a CIP item when published item shows variant forms, etc.
- For each new source of information for heading & cross-references, add another 670

173

670 Things to Remember:

2nd bullet example:

1) As originally established from CIP galley sheets:
670 Title, year: \$b CIP t.p. (John Q. Public)

2) Book later comes out with different form and/or with variants elsewhere in it. 670 is modified:

Title, year: \$b CIP t.p. (John Q. Public) bk. t.p. (John Quincy Public)

Use same 670 for CIP & book.

Slide 174

670 Things to Remember

- Additional 670s are generally added in order of work done, **not** inserted before existing 670s
- Date of searching/consultation is added to all non-print citations
- Recording dates (DCM Z1: 670)

174

670 Things to Remember:

1) Do not routinely delete or change existing 670 fields, input by LC or by a NACO participant, when adding new 670 fields.

Give subsequent 670 fields in any order, adding new fields after existing ones. **(DCM Z1: 670)**

2) Dates in 670 “\$a” can be given as:

- a) 31 Aug. 1980
- b) 1946 Aug. 31

Recording dates (DCM Z1: 670)

“To facilitate international contribution and use of authority records, when giving dates use the abbreviated forms for months given in AACR2 Appendix

B.15. (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.)”

Note to trainer: participants should NOT give the date as: **8/01/90**

Slide 175

670 Things to Remember

Subfield \$b is not necessary when the exact form of name is included in subfield \$a (title) and no other information needs to be given, e.g., date of birth, fuller form of name, loc. of corporate body or place:

670 __ _ Autobiography and correspondence of Allen Trimble, 1909.

<http://www.loc.gov/catdir/pcc/naco/670faq.html>

175

670 Things to Remember:

“If the only expression 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 name in subfield “b” may be omitted, provided no important information is lost” (**DCM Z1: 670**)

Slide 176

670 Data for Personal Name

The Russians, c1976, t.p. Hedrick Smith; p. 2 of cover: Hedrick Smith, who won the Pulitzer Prize in 1974 for coverage from Moscow, is a co-author of *The Pentagon Papers* and a veteran *New York Times* correspondent. Formerly Deputy National News Editor for the *New York Times*, he is now Washington Bureau chief. A graduate of Williams College, Mr. Smith attended Oxford as a Fulbright Scholar and Harvard as a Nieman Fellow. He lives in Chevy Chase, Maryland, with his wife, Ann, and their four children.

176

670 Data for Personal Name:

An item can contain much more information than you need in the 670. What bits of data would you include in a 670? Notice that this has no birth date.

Slide 177

670 for Personal Name

670 __ The Russians, c1976: \$b t.p.
(Hedrick Smith) p. 2 of
cover (Hedrick Smith,
journalist, New York Times;
attended Oxford and
Harvard; resides in Chevy
Chase, MD)

177

670 for Personal Name:

1) A sample of a 670, based on the information given on title page and p. 2 of cover.

Note: Since we don't have information on date, we give a bit more detail that would help to identify him.

Slide 178

670 Data for Personal Name

The Russians, c1976, t.p. Hedrick Smith; p. 2 of cover: Hedrick Smith, who won the Pulitzer Prize in 1974 for coverage from Moscow, is a co-author of *The Pentagon Papers* and a veteran *New York Times* correspondent. Formerly Deputy National News Editor for the *New York Times*, he is now Washington Bureau chief. *Born on July 9, 1933, he is a native of Kilmacalm, Scotland.* A graduate of Williams College, Mr. Smith attended Oxford as a Fulbright Scholar and Harvard as a Nieman Fellow. He lives in Chevy Chase, Maryland, with his wife, Ann, and their four children.

178

670 Data for Personal Name:

With a little extra information that gives us his date of birth, the amount and type of information recorded in the 670 changes.

The more specific information:
Helps us make his NAR unique
Makes him easier to identify

Slide 179

670 for Personal Name

670 __ The Russians, c1976: \$b
t.p. (Hedrick Smith) p. 2 of
cover (Hedrick Smith,
journalist; b. July 9, 1933
in Scotland)

179

670 for Personal Name:

With a little extra information that gives us his date of birth, the amount and type of information recorded in the 670 changes.

The more specific information:
Helps us make his NAR unique
Makes him easier to identify

Slide 180

670 Data for Corporate Body Name

National Library of South Africa home page, About us, November 27, 2000: Until 1 November 1999, for historical reasons, South Africa had two national libraries, the South African Library, founded in 1818, in Cape Town, and the State Library, founded in 1887, in Pretoria....The new institution was constituted on 1 November 1999. On that day the South African Library and the State Library ceased to exist as separate entities and became the Cape Town and Pretoria Divisions respectively of the National Library of South Africa.

180

670 Data for Corporate body Name:

- 1) Typically, we don't record much info about Corporate bodies.
- 2) Websites can be helpful, if the research it doesn't take too much time or effort.
- 3) For this body, it's good to have:
 - date of foundation
 - details of merger to justify earlier/later NARs
 - new official name

Slide 181

670 for Corporate Body Name

670 __ Title of book: \$b t.p. (National Library of South Africa)

670 __ National Library of South Africa home page, Nov. 27, 2000: \$b About us (National Library of South Africa was formed Nov. 1, 1999 by a merger of the South African Library and the State Library)

181

670 for Corporate Body Name:

- 1) Typically, we don't record much info about Corporate bodies.
- 2) Websites can be helpful, if the research it doesn't take too much time or effort.
- 3) For this body, it's good to have:
 - date of foundation
 - details of merger to justify earlier/later NARs
 - new official name

Slide 182

670 Data for Geographic Name

Washington on the Brazos, 1977, t.p., Washington, Texas; p. 4 of cover, Washington-on-the-Brazos is known as "the birthplace of Texas", a distinction it earned when on March 1, 1836 it became the meeting place of the Texas delegates who formally announced Texas' intention to separate from Mexico The name "Washington-on-the-Brazos" was used to distinguish the settlement from "Washington-on-the-Potomac".

182

670 Data for Geographic Name:

Trainer note: This is a trainer-created example.

The information cited here as coming from the book actually comes from a Wikipedia article. It will be the data in the first 670 citation that you need to create the NAR for a Geographic Name.

Slide 183

670 Data for Geographic Name**GNIS search:**

Washington, PPL; Collected during Phase I data compilation (1976-1981), primarily from U.S. Geological Survey 1:24,000-scale topographic maps (or 1:25K, Puerto Rico 1:20K), various edition dates, and from U.S. Board on Geographic Names files; variant name: Washington-on-the-Brazos; 30°19'31"N 096°09'24"W

183

670 Geographic name:

- 1) This illustrates the additional required search data that you need to create the NAR for a Geographic Name.
- 2) You will put it in a second 670 to show what you found on an official web page for US place names.

Slide 184

670 for Geographic Name

670 _ _ Washington on the Brazos, 1977: \$b t.p. (Washington, Texas)

670 _ _ GNIS search, Aug. 21, 2007: \$b (Washington; variant: Washington-on-the-Brazos; ppl 30°19'31"N 096°09'24"W)

184

670 Geographic name:

- 1) It illustrates the 670 citations that you need to create the NAR for a Geographic Name.
- 2) The first 670 cites "the book" you are cataloging.
- 3) The second 670 shows what you found on an official web page for US place names.

Slide 185

670 Exercises

Give the 670, based on the information found in the book and other resources, as appropriate.

185

670 exercises:

- 1) Allow participants to complete these either individually or as a group.
- 2) Have participants construct all appropriate 670s from information given.

Slide 186

670 Data for Personal Name

Goa, c1998, t.p., Bryn Thomas; p. i: Bryn Thomas; Bryn's family connections with India go back over 1000 years, although he was born in Zimbabwe. Camping holidays by the Indian Ocean in Mozambique induced wanderlust from which he has never recovered. Back in Europe, an anthropology degree at Durham University earned him a job polishing the leaves of pot plants in London. He has also worked as an English teacher in Cairo, Singapore and Tokyo. Bryn's Trans-Siberian Handbook was shortlisted for the Thomas Cook Guidebook of the Year awards. He is also co-author of the LP guides to *India* and *Britain*.

186

A sample of a 670, based on the information given on title page and p. 2 of cover.

Note that since we don't have information on date, we give a bit more detail that would help to identify him.

Slide 187

670 Answer for Personal Name

670 __ Goa, c1998: \$b t.p. (Bryn Thomas) p. i (b. Zimbabwe, anthropology degree at Durham Univ., taught English in Cairo, Singapore, and Tokyo)

187

A sample of a 670, based on the information given on title page and p. 2 of cover.

Note that since we don't have information on date, we give a bit more detail that would help to identify him.

Slide 188

670 Data for Corporate Body Name

Lore of the Library of Congress, c1998, jacket: on August 24, 1814, British troops burned the Capitol building and destroyed the Library's collection of 3,000 volumes. On January 30, 1815, Congress approved the purchase of Thomas Jefferson's personal library of 6,487 books.

Library of Congress home page, About the Library, December 19, 2008: The Library of Congress began in 1800 inside the U.S. Capitol. It now occupies three buildings. The Thomas Jefferson Building (1897) is the original separate Library of Congress building. The John Adams Building was built in 1938 and the James Madison Memorial Building was completed in 1981.

188

The book title contains the name of the body for which you'll make a NAR.

The web site contains much more info, but the founding date is the most significant for the 670 citation.

Slide 189

670 Answer for Corporate Body Name

670 __ Lore of the Library of Congress, c1998.

670 __ Library of Congress home page, Dec. 19, 2008: \$b About the Library (Library of Congress; founded in 1800)

189

The book title contains the name of the body for which you'll make a NAR.

The web site contains much more info, but the founding date is the most significant for the 670 citation.

Slide 190

670 Data for Geographic Name

New London to New Brighton Antique Car Run, 1995, pamphlet t.p., New London, Minnesota; inside of pamphlet, New London is the starting point for the Antique Car Run, a 120 mile endurance tour for vehicles from 1908 and earlier. This event has been held in mid-August each year since 1987.

190

This is a trainer-created example with some Wikipedia article information presented as your work cat., a pamphlet on a road rally event.

Please recall that Geographic name NARS require an additional citation from an official web list of names. The PCC NACO web site has an FAQ on Geographic names, and it discusses the proper notations for latitude and longitude:
<http://www.loc.gov/catdir/pcc/naco/geogfaq.html#1>

Slide 191

670 Answer for Geographic Name

670 __ New London to New Brighton Antique Car Run, 1995: \$b t.p. (New London, Minnesota)

191

This is a 670 for your work cat.

Slide 192

670 Data for Geographic Name

GNIS search April 23, 2009: New London, Populated Place; Collected during Phase I data compilation (1976-1981), primarily from U.S. Geological Survey 1:24,000-scale topographic maps (or 1:25K, Puerto Rico 1:20K), various edition dates, and from U.S. Board on Geographic Names files. ; variant name: City of New London; Kandiyohi Cty.; 45°18'04"N 094°56'39"W

192

The New London NAR as a Geographic name, it requires an additional citation from an official web list of names.

The PCC NACO web site has an FAQ on Geographic names, and it discusses the proper notations for latitude and longitude:

<http://www.loc.gov/catdir/pcc/naco/geogfaq.html#1>

Slide 193

670 Answer for Geographic Name

670 __ _ GNIS search, Apr. 1, 2009:
\$b (New London, PPL,
Kandiyohi County,
Minnesota; 45°18'04"N
094°56'39"W; variant name:
City of New London)

193

Please recall that Geographic name NARS require an additional citation from an official web list of names.

The PCC NACO web site has an FAQ on Geographic names, and it discusses the proper notations for latitude and longitude:

<http://www.loc.gov/catdir/pcc/naco/geogfaq.html#1>

Slide 194

675 Source Data Not Found (NR)

Attributes

- Both indicators blank
- Field is not repeatable – only one per NAR
- Subfield \$a is repeatable and is the only subfield allowed (never a \$b)

DCM Z1
675 field

675 __ _ \$a Lippincott; \$a Rand McNally;
\$a Web. geog.

194

Source Data Not Found : Non-repeatable field

This field contains a citation for a consulted source in which no information is found about the 1XX heading in an established heading record, an established heading and subdivision record, or a subdivision record. In unusual instances, the field may also include questionable information that is found in the source (e.g., when the name found may refer to a different person).

Multiple source citations are contained in a single 675 field.

ANIMATION: Red circle dissolves in on mouse click.

DCM Z1 675 field: It is not always necessary to include in the 675 field every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent record. Better to note the likely sources so that someone else doesn't repeat your work.

DCM Z1 675 field: Include in the 675 field a source(s) giving information about the earlier and/or later name(s) or titles recorded in the 5XX field(s).

Subfield \$a explicitly added for training purposes—normally first subfield \$a not indicated in these training materials.

Slide 195

Functions of the 675 Field

- To record sources of various types (e.g., books, phone calls, letters)
- To justify creating an undifferentiated NAR
- To save other catalogers' time
- To show that no information was found to support the choice/form of the 1XX
- To justify a 5XX earlier/later reference

195

Functions of the 675 Field:

1) Source for fourth bullet: (cf. LCRI 26.3 B-C See Also References, 3) Procedures b) source citations, or (p. 2, no. 3 b)

Slide 196

675 \$b Type Information

Include "670 \$b-type data" in a 675 , especially when justifying earlier/later links (cf. LCRI 26.3 B-C, See Also References, 3) Procedures, b) source citations)

675 __ Handbook of cardboard manufacture, c1967: t.p. (Cardboard Factory Superintendents Assoc.)

196

675 \$b Type Information:

LCRI 26.3 B-C, See Also References, 3) Procedures, b) source citations--- If any other source gives only an earlier or later name but not the name used in the heading, cite the source in the 675 field. For serials, give the complete citation in the 670 field if any volume contains the heading or in the 675 field if no volume contains the heading.

Note: there is no subfield \$b inserted before location information in 675. If a subfield \$b is explicitly coded in an OCLC authority record, it will not validate, and it will fail to be added or replaced. You'll get an error message.

Slide 197

Rec id#	z	Entered	Replaced	Entered	Replaced	Source
670		19920914		19990910	0501015	
675						
510						
410						
410						
410						
510						
670						
675						

670/675 combination in NAR:

Trainer note: Mention that the 670/675 combination in this NAR is then flip-flopped in the next NAR. No change of text is necessary, just copy and paste.

Slide 198

Rec id#	z	Entered	Replaced	Entered	Replaced	Source
670		19920916		19990910	0501061	
675						
510						
410						
410						
510						
670						
675						

670/675 combination in NAR:

1) This 675 justifies the 510 See also reference for the later name.

Slide 199

Other Fields

- **7XX** Established Heading Linking Entry
– Only from national libraries, except:
- **781 (Optional)** Subdivision Heading Linking Entry—Geographic Subdivision
– May be added by NACO participants
- **952** Cataloger’s Permanent Note
– Good place for questions/comments

199

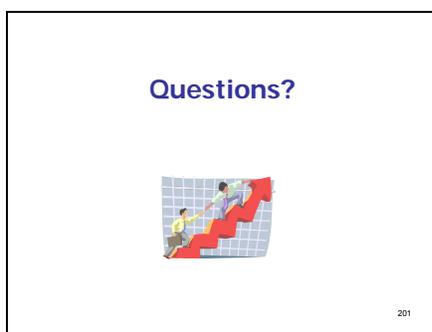
Other Fields:

1) 7XX fields: Established Heading Linking Entry:
a) The use of 7XX in the name or series authority records is to record the authorized form of a name from a national library, whether or not the heading differs from the heading or reference fields in the NACO authority record. The use of this field is limited to a National Bibliographic Agency or its authorized deputy. The purpose of including a 7XX in an NAR or SAR is usually to allow a National Bibliographic 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. **See MARC Authority Format for more information.**

2) 781 field (PCC OPTIONAL Practice):
a) NACO participants may, at their own discretion, provide a 781 field in name authority record for geographic headings (151) when creating them for the NAF.
b) The 781 is used to indicate the appropriate form to be used as a geographic subdivision in a bibliographic record when the heading itself is

contains a 667 field subject cataloging usage note indicating the proper geographic subdivision form, delete the 667 field and replace it with a 781 field.

Slide 201



Slide 202

Review questions

- What do you have to do if you haven't finished working on an NAR and need to finish it the next day?
Answer: Save NAR to "Save File"
- What is the purpose of the 670?
Answer: Record information about the name or title represented in 1XX field
- What are three characters that are converted to blank spaces in normalization?
Answer: Hyphen, colon, and semicolon, etc.

202

You must search again as thoroughly as you did the day before, since the database has now been updated.

The 670 field:

To supply information, from bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters), in support of the choice and form of the heading and references.

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 separate individuals whose access points must remain identical for now (i.e., undifferentiated personal name headings).

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 headings.

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 headings and misattributions.

To support machine manipulation based on algorithms using information in the 670.

Characters that are converted to blank spaces: ? - / @ " ()

Slide 203

Review questions

- What kinds of conflict are not acceptable?
Answer: 1XX and 1XX; 4XX and 1XX
- When is it appropriate to code an authority record provisional?
Answer: Lack of language expertise

203

.1XX to 1XX and 1XX to 4XX conflict are not acceptable.

If you lack language expertise or cannot complete the authority record as needed, then you may code it as provisional, but be sure to explain why in 667.

Slide 204

MARC fields: Exercise # 1

- Create an appropriate 670
- On the t.p.: The way things used to be by Brian Keller, published in 1995
- On cover p. 4: short author biography, giving Brian James Keller, born in 1967 in Cranston, Illinois; professor of American history at University of Illinois with a list of other works written by the author

204

Slide 205

MARC fields: Answer #1

670 __ The way things used to be, 1995:
\$b t.p. (Brian Keller) cover p. 4
(Brian James Keller, b. 1967 in
Cranston, IL; prof. of history)

205

Slide 206

MARC fields: Exercise #2

- You are cataloging a book that has an NAR based upon the CIP galley. The t.p. of the book says the author's name is Evelyn James-O'Connor and gives a short biography on the dust jacket, that tells you Evelyn James was born in Abilene, TX during the Depression, then became a Rosie the Riveter during the WWII. What do you change and/or add?

100 1 _ James-O'Connor, Evelyn, \$d 1929-

670 __ Memories of dark days, 2007: \$b CIP
t.p. (Evelyn James-O'Connor) dataview
(b. 1929)

206

This must be an electronic CIP or ECIP, because the location "Dataview" sounds like something viewed online.

Slide 207

MARC fields: Answer #2

670 __ Memories of dark days, 2007: \$b
CIP t.p. (Evelyn James-O'Connor)
dataview (b. 1929) book jkt.
(Evelyn James; b. Abilene, TX)

Add cross references:

400 1_ James, Evelyn, \$d 1929-

400 1_ O'Connor, Evelyn James-, \$d 1929-

207

No new 670 needed; Add the book citation to the same 670, and include the birthplace in \$b.

Slide 208

MARC fields: Exercise #3

- You are cataloging a book by Ferrán Sánchez i Agustí, an author who writes in both Catalan & Spanish. All of his previous works have been in Spanish. This is the first time he has had a book published in Catalan, which you have classed in PC3942.429.A65.
- What do you do to the record?

208

Slide 209

MARC fields: Answer #3

- Look to see if LC has already used this classification number; if not, request it via the web form
- Add new field to the record (optional)
053 _ 0 PC3942.429.A65 \$c Catalan
- (If necessary, add 040 \$d with your MARC code)
- If 053 for Spanish class already exists, add \$c Spanish (optional)

209

Slide 210

MARC fields: Exercise #4

- You are cataloging a reprint of a pamphlet by Bill de Caledonia with accompanying commentary, which claims that this is a pseudonym for Juan Perón. You decide that, according to the rules, this is not a separate bibliographic identity, and therefore the Caledonia NAR needs to be deleted in favor of the Juan Perón NAR.
- What other actions do you need to take?

210

You can emphasize that the decision of separate bibliographic identity is a cataloger judgment.

Slide 211

MARC fields: Answer #4

- Add 400 for Bill de Caledonia to NAR for Perón, with appropriate \$w code for former AACR2 heading
- Add 670 based upon the pamphlet, including information from commentary on pseudonym
- Send appropriate BFM, if necessary, to: naco@loc.gov
- Send request to delete Caledonia NAR to: naco@loc.gov

211

- 1.) Trainer note: 040 \$d (eg: institutional MARC 21 code) is system generated for folks working in OCLC.
- 2.) Trainer note: Adding of “z” to NAR can be done by LC Coop Team.

Send all deletion requests and BFM reports to: naco@loc.gov. In the subject line : “BFM/NAR deletion”

Slide 212

MARC fields: Exercise #5

- In searching for information about *another* John Smith, this one born in 1857, an Anglican clergyman, you look in *Crockford's Clerical directory*, v. 20 of a serial from 1888, but find nothing. The NAR must be based upon the book in hand
- What do you need to add to the authority record you are creating based upon this action?

212

QQQ for revision committee: Should this read?--Your item is by John Smith, and you suspect he may be the John Smith, born in 1857, an Anglican clergyman who is already in the database. You search Crockford's Clerical Dictionary, v. 20 of a serial from 1888, but find nothing. We imagine adding the 675 and reciprocal 667s “Cannot identify with...” if there's an existing NAR.

Note to trainer: Conflict situation

Slide 213

MARC fields: Answer #5

Add to record:

675 __ _ Crockford's Clerical directory, v.
20

213

No need to cite p. number since this is an alphabetical directory. When citing a multi-part item, it is helpful to include the volume number as above. This is not required, though.

Slide 214

MARC fields: Exercise #6

- You are cataloging a book by Jean Smith, and there is already an NAR with that name (n 42548265). In looking at the database, however, you decide that the publication dates are all in the 1930's, while this book's author was born in 1925 .
- **What do you need to do?**

214

Slide 215

MARC fields Exercise #6

- Add a 667 saying: Do not confuse with Smith, Jean (n 42548265)
- Mirror image that 667 on the older NAR

215

The 667 phrases like this one are not prescriptive, but are customary usages.

Slide 216

MARC fields: Exercise #7

- In cataloging a book by Terrance Jones, you discover two NAR's, one set up under Jones, Terrance M. and another under Jones, Terrance, 1958-. They are clearly the same person.
- **What do you need to do?**

216

Slide 217

MARC fields: Answer #7

- You decide which NAR to keep, and put all the valuable data on that NAR
- Report the need for deletion and any BFM for LC records to your LC liaison
- You may wish to do BFM locally and send a BFM report to OCLC (optional)

217

Slide 218

MARC fields: Exercise #8

- You are cataloging a book by Sidney Hook that has been reprinted from 1935. You've searched the database today, and there is no NAR established, but there is an old bibliographic record in OCLC that is probably the same person. The 245 shows Sidney Hook; the 700 shows Hook, Sidney, 1902-
- What do you need to do on your new NAR?

218

Slide 219

MARC fields: Answer #8

Once having created the new NAR for Hook, Sidney, 1902- you also need to create a:

```
670 __ OCLC database, Sept. 6, 2007:  
      $b (hdg.: Hook, Sidney, 1902- ;  
      usage: Sidney Hook)
```

219

Slide 220

MARC fields: Exercise #9

- You have to set up an NAR for a corporate body in Basque, but you have no one at your library who can handle that language. The book offers a Spanish form of the name, which you can read, so you decide to set it up under that language.
- What else do you need to do?

220

Slide 221

MARC fields: Answer #9

- Code 008/33 c for provisional
- Add a 667 field:
667 Coded provisional due to lack of Basque expertise
- Optionally, ask for help on PCC listserv

221

Slide 222

MARC fields: Exercise #10

- You are setting up a neighborhood called Bom Retiro in the city of Curitiba, Brazil. You've searched in Geonet and the Colombia Gazetteer, but found nothing.
- Besides the appropriate 1XX and 4XX's, what fields do you need?
- What optional fields could you include?

222

Slide 223

MARC fields: Answer #10

- 670 based upon the work in hand
- 675 Geonet; \$a Colombia Gaz.
- 043 s-bl--- (optional)
- 667 SUBJECT USAGE: This heading is not valid for use as a geographic subdivision (optional)



223

This is the last slide.

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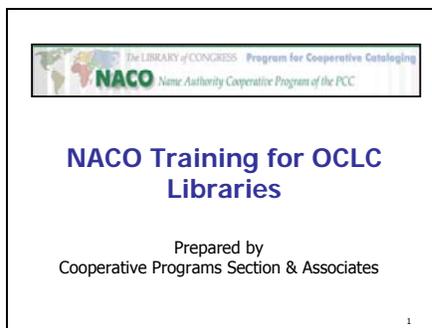
INSERT

TAB

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Slide 1

**NACO Training for OCLC Libraries:****Trainers notes:**

- 1) Trainers may customize this slide.
- 2) Introduce yourself! and then have participants also introduce themselves. Extend a welcome to NACO libraries. Mention that NACO libraries are valued participants in building the **NAF = LC/NACO Authority File**
Icebreaker suggestion: New developments at LC; Something humorous about yourself [trainer], another NACO or cataloging experience, etc.
- 3) Be sure to talk about: where are the bathrooms; what is the schedule for breaks and lunch; where is the food to come from; is there a close source of drinks and/or coffee; inform people of any emergency info, such as where to go in the event of a fire alarm.
- 4) Breaks are 30 minutes with one in morning and one in afternoon. Lunch is generally an hour or no longer than one hour and fifteen minutes.

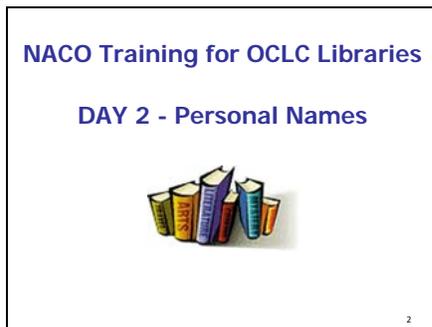
[Next slide]

The learning objectives of the course are--

NACO Training for OCLC Libraries:

trainer should update and personalize if so desired.
Recommended: name, phone number, email

Slide 2



Slide 3

Punctuation	
<ul style="list-style-type: none"> • Periods: insert after initials Eliot, T. S. H. D. Garrido V., M. I. G. Bellsolá, Domingo • If letters not initials, omit periods X Y Z X O X 	<div style="text-align: right; border: 1px solid black; border-radius: 50%; padding: 2px; display: inline-block;">LCRI 1.0C, 22.1B</div> <ul style="list-style-type: none"> • Spaces: insert between initials and letters Brown, G. B. • Do not leave spaces between single initials in "additions" to headings Brown, G. B., §c F.I.P.S. <i>But</i> Brown, G. B., §c Ph. D.

Punctuation:**LCRI 22.1B**

1) Initials/letters

a) Name portion of heading

Periods. If the name of a person consists of or contains initials, input a period after an initial if it is certain that the letter is an initial. In case of doubt, do not insert a period.

If the name consists of separate letters that are presumed not to be initials, omit or include periods according to the predominant usage of the person.

Spaces: If the name contains two or more forenames represented by initials, consists entirely of initials, or consists entirely of separate letters that are not initials, input a single space between the initials/letters in all cases.

b) "Additions" to name headings

Periods. With initials, include periods unless the author's predominant usage makes it clear that the author omits them.

Spaces. Do not leave spaces between single initials/letters.

Abbreviations: Treat an abbreviation consisting of more than a single letter as if it were a distinct word, separating it with a space from preceding and succeeding words or initials/letters.

Slide 4

Capitalization AACR2
App. A1-2

- Capitalize first word of heading and subheading
- Words or phrases characterizing persons
 - Lady of **Quality**
 - Author of **E**arly impressions
- Additions to certain headings
 - Moses, **G**randma
 - Deidier, **a**bbé
 - Brown, George, **R**ev.

4

Capitalization:

1) We continue here with a discussion of the punctuation in personal name headings. This follows the appendix rules in AACR2.

A.2A1.

In general, capitalize the first word of each heading and subheading. Capitalize other words in personal, place, and corporate names used as headings and corporate names used as subheadings as instructed in the rules for the language involved.

A.2B. Words or phrases characterizing persons
A.2B1.

Capitalize a word, or the substantive words in a phrase, characterizing a person and used as a heading (see also 22.11D and A.13H).

Capitalize proper names contained in such a phrase as instructed in the rules for the language involved. Capitalize a quoted title within a personal name heading as instructed in A.4A.

Physician

Lady of Quality

Citizen of Albany

Author of Early impressions

A.2C. Additions to certain headings for persons

A.2C1.

Capitalize additions to headings for persons made according to the instructions in certain rules (e.g., 22.11, 22.12, 22.15A, 22.19) as instructed in the rules for the language involved. If the addition is given in parentheses (see 22.11A and 22.19A), capitalize the first word of the addition and any proper name.

Moses, *Grandma*

Deidier, *abbé*

Alfonso XIII, *King of Spain*

John, *Abbot of Ford*

Thomas (*Anglo-Norman poet*)

Brown, George, *Rev.*

Slide 5

Abbreviations AACR2
App. B.2

- Include abbreviations that are integral part of the name (e.g., *St.* (Saint)) if person uses the abbreviation
 - 100 1 _ *St.* James, Phyllis
 - 100 1 _ Garrido, *Fco.* Javier \$q (Francisco Javier)
- Abbreviate distinguishing term *if abbreviated in source*
 - 100 1 _ Brown, George F., \$c *Dr.*
 - 100 1 _ Brown, George, \$c *Rev.*

but if not abbreviated in source:

 - 100 1 _ Jackson, William, \$c Reverend Doctor
 - 100 1 _ Brown, George, \$c *Captain*

5

Abbreviations:

The underlying principle for recording these is transcription: WYSIWYG (What you see is what you get.)

B.2. Headings**B.2A.**

Use only the following categories of abbreviations in headings:

- 1) those that are integral parts of the heading (e.g., *St.* (Saint)), if the person or corporate body uses the abbreviation
- 2) designations of function (e.g.,

comp.) (see 21.0D)

3) certain names of larger places added to the name of another place (see 23.4) or to the name of a corporate body (see 24.4C2)

4) certain terms used with dates (e.g., *b.*, *fl.*) (see 22.17)

5) distinguishing terms added to names of persons, if they are abbreviated in the source from which they are taken (see 22.15B, 22.19B).

In the final two examples, the authors' names appear with the distinguishing terms spelled out in full. The cataloger is not permitted to abbreviate distinguishing terms unless they appear in abbreviated form.

Slide 6

Roman Numerals

AACR2
App. C.2A

- Do not use roman numerals in headings for regular people unless there is a conflict
100 1 _ Astor, John Jacob, \$d 1864-1912
John Jacob Astor IV
- But use roman numerals in headings for persons (e.g.: rulers, popes)
100 0 _ Benedict \$b XVI, \$c Pope, \$d 1927-
100 0 _ Juan Carlos \$b I, \$c King of Spain, \$d 1938-

6

Roman Numerals:

These are comparatively rare, since it applies mainly to rulers, which only change once a lifetime.

Note that Roman numerals are not included in headings for normal people

C.2. Arabic vs. Roman

C.2A. Headings

C.2A1.

Use roman numerals in headings for persons (e.g., rulers, popes) and for corporate bodies identified by names including roman numerals unless, in the case of a corporate body, a particular rule instructs otherwise (see 24.7B2).

John XXIII, Pope

XXth Century Heating & Ventilating Co.

For Astor: we don't use "IV" because of the process of

elimination; AACR2 22.15, AACR2 22.15C, and AACR2 22.20. Policy office considers IV the same as Jr., etc. Can it ever be used? Yes, but it would be a last resort to break a conflict that can't be broken any other way or if the author insists that it is part of his name. It would be in a \$c per MARC21 there is an example, used only when the name is coded as a surname. Per Ana Cristan 2/5/2009

The \$b can only be used after a name coded as a forename.

Omissions:

Children's book example for modern use of ill. NOTE that there is no exception in the authority record. You will only see \$e in the **bib record**.

Slide 7

Omissions LCRI
21.0D

- DO NOT** include in NARs designations of function that may be included in *bib. records*

700 1 _ Smith, John Allan, \$d 1907- \$e comp.
700 1 _ Weinstein, Edythe, \$e interviewee
700 1 _ Adams, Sarah \$q (Sarah L.), \$e ill.

010	1	Barad, Helen	
045	3	Conductor's secret? \$i by Helen Barad; illustrated by Walter Philippe Harchy	
046	1	New York: \$b Random House Children's Books, \$c c2005	
010	1	1 v. (unpaged) : \$b col. ill. : \$b 21 cm.	
045	3	Cherry princess	
046	1	Princess secrets	
		710	2 <u>Harchy, Philippe</u> \$a ill.

7

Slide 8

Omissions AACR2
1.1F7

Omit all honorifics or terms of address appearing in the chief source

- Includes omitting British terms of honor (Sir, Dame, Lord, Lady) from newly established headings entered under surname
- Existing headings should not be changed to reflect current policy unless the heading needs to be changed for another reason

8

Omissions:

British terms of honor are still retained in statement of responsibility and can be added to resolve conflicts.

Omit British terms of honor (Sir, Dame, Lord, Lady) from headings entered under surname unless conflict exist or name consist only of a surname.

Sir Arthur Conan Doyle underwent a recent change, dropping the Sir.

NOTE: the database cannot be

trusted due to change of rules.

Slide 9

AACR2-Compatible Headings

- August 2007, policy change
- Relaxed standards for upgrading
- Required NAR revisions under certain circumstances

LCRI 22.1

9

AACR2-Compatible Headings:

Don't dwell on this much here, since it will be taught in more detail in the Corporate Bodies presentation.

NOTE: the amount of BFM required should be a factor in the decision to make the optional upgrade to AACR.

Slide 10

Selecting the Name

Choice Of Name



10

Selecting the Name: Choice of Name:

What we are focusing on in this section is the **choice** of name upon which you will base the 100 \$a only.

We are not yet talking about what is the **catalog-entry form**, with entry element, additions, omissions, etc. Many cataloguers do not separate this decision from **the way the name will be established as a heading**, but it is actually a separate decision with its own set of rules.

Slide 11

Choice of Name AACR2
22.1A

In general, choose, as the basis of the heading for a person, the name by which he or she is *commonly known*

11

Choice of Name:

For instance, Jimmy Carter (not James Earl Carter) or D.W. Griffith (not David Wark Griffith)

[examples from 22.1A]

In the following slides, we will be looking at ways to decide what *commonly known* means.

Slide 12

Choice of Name AACR2
22.1A

This may be the person's real name, pseudonym, title of nobility, nickname, initials, or other *appellation*.

Jimmy Carter
Not James Earl Carter
 Tito Puente
Not Ernesto Antonio Puente

12

Choice of Name:**CHANGE EXAMPLE: 22.1A.**

In general, choose, as the basis of the heading for a person, the name by which he or she is commonly known.

This may be the person's real name, pseudonym, title of nobility, nickname, initials, or other appellation.

Treat a roman numeral associated with a given name (as, for example, in the case of some popes, royalty, and ecclesiastics) as part of the name.

Slide 13

Choice of Name

AACR2
1.0A

Creator of a work:

Determine that a person is commonly known from the chief sources of information of works by that person issued in his/her language.

13

Choice of Name:

This rule tells the cataloger where to look for the most "commonly known" form of an author's name.

That form is what will be used in the 100 subfield \$a of an authority record.

The most commonly used source is the chief source of the item being cataloged.

AACR2 provides guidelines for determining the chief source based on type of resource.

This rule does not limit the consideration of chief source of information to publications issued during the person's lifetime; consider all posthumous publications.

For persons living before 1801 when chief source show one form of name and another name is used in modern ref sources in the persons language, prefer the modern ref source.

LCRI 22.1B

- also consider posthumous publications
 - for authors before 1801, prefer form found in modern reference sources in the person's language to chief sources with another form
 - treat music composers as authors; if no form in chief sources of printed music is in the composer's language, determine the name from reference sources of the composer's country of residence or activity. If the name is not listed there, use the form found in the chief sources of information.

Slide 14

Choice of Name

LCRI
22.1B

Also apply the approach used for authors to:

- Persons who work in a context other than that of writing text (e.g., painters, sculptors, performers, actors) *when name appears in a formal statement found in the item*
- Composers, *regardless of whether or not their names appear in a statement of responsibility*

14

Choice of Name:

This is a rule change in early 2006; so don't change previous practice.

AACR2 22.1B. Determine the name by which a person is commonly known from the chief sources of information (see 1.0A) of works by that person issued in his or her language. If the person works in a nonverbal context (e.g., a painter, a sculptor) or is not known primarily as an author, determine the name by which he or she is commonly known from reference sources issued in his or her language or country of residence or activity.

LCRI 22.1B: Persons Treated in the Same Manner as Authors

In determining the name by which a person is commonly known, the rule distinguishes between "authors" and others. For purposes of simplification, generally use the approach applied to authors also to 1) persons who work in a context other than that of writing text, e.g., a painter, a sculptor, a performer whose name appears in a formal statement found in the item

(e.g., statement of responsibility)
 2) composers, regardless of whether their names appear in a statement of responsibility or not.

...

Sources for Names Treated as Authors:

- 1) The rule does not limit the consideration of chief source of information to publications issued during the person's lifetime; this is deliberate: consider also posthumous publications.
- 2) For persons living before 1801, when chief sources of information show one form of name and another form is used in modern reference sources in the person's language, prefer the latter.
- 3) Determine the name of a composer from the form found in the chief sources of information in publications of the printed music in the composer's language. If no form in these chief sources of information is in the composer's language, determine the name from reference sources of the composer's country of residence or activity. If the name is not listed in reference sources of the composer's country of residence or activity, use the form found in the chief sources of information.

Slide 15

Choice of Name LCRI
22.1B

Persons as subjects:

- **Research is required.** Reference sources preferably in the person's language or in the language of his/her country of residence or activity
- Item in hand can be considered a reference source

15

Choice of Name:

Sources for Names Not Treated as Authors and Persons Who Appear Primarily as Subjects:

- 1) The "reference sources" mentioned in footnote 1 of the rules must be issued in the person's language or in the language of his/her country of residence or activity.
- 2) For persons who are found both in the usual reference tools (encyclopedias, etc.) and in other sources such as works about the person, two different forms may be seen, each consistently appearing in one of the two types of sources. In that case, use judgment and choose the form that is most likely to be the one sought by library users.
- 3) If the only reference source is the

item being cataloged, generally use the fullest form found anywhere in the item whenever the name varies in fullness. If the item gives both a nickname and a real name, generally use the real name. When a less full form or a nickname is clearly the one by which the person is best known, however, use this less full form or the nickname in the heading.

Slide 16

Choice of Name 

If it is not clear by what name a person is most commonly known, choose according to these criteria:

1. Most frequent form in the person's works
2. Most frequent form in reference sources
3. Latest name

16

Choice of Name:

It is a prescriptive list, so proceed in this order.

AACR2 22.2A1:

If a person (other than one using a pseudonym or pseudonyms, see 22.2B) is known by more than one name, choose the name by which the person is clearly most commonly known, if there is one. Otherwise, choose one name or form of name according to the following order of preference:

- a) the name that appears most frequently in the person's works
- b) the name that appears most frequently in reference sources
- c) the latest name.

Slide 17

Choice of Name : Nicknames

If name shows a nickname in parentheses or quotation marks as part of other forenames, omit the nickname in formulating the heading:

Usage: Martin (Bud) Schulman LCRI 22.2A

100 1 _ Schulman, Martin

400 1 _ Schulman, Bud

Usage: Louis "Satchmo" Armstrong

100 1 _ Armstrong, Louis, \$d 1901-1971

400 1 _ Armstrong, Satchmo, \$d 1901-1971

17

Choice of Names: Nicknames:

1) The item may show a nickname on chief source, but you are to use the formal name with a reference from the nickname.

Slide 18

Choice of Name : Abbreviated Name LCRI 22.1B

If name selected for heading contains an abbreviation rather than an initial, use the abbreviation in the heading

100 1 _ Brownridge, Wm. \$q (William)

100 1 _ Fdez.-Rivera García, Manuel \$q (Fernández-Rivera García)

18

Choice of Name: Abbreviated Name:

The emphasis here is on the form of the \$a subfield, not the \$q subfield, although we include it here for completeness.

Form of Name: Abbreviated name

If the name selected for the heading for a person known primarily as an author contains a name represented by an abbreviation other than by an initial, use the abbreviated form in the heading. (If the full form of the name for the particular person is available at the time the heading is established, add it within parentheses, cf. 22.18.)

name: Wm. Brownridge
 heading: 100 1# \$a Brownridge, Wm. \$q (William)

400 1# \$a Brownridge, William

name: Manuel Fdez.-Rivera García
 heading: 100 1# \$a Fdez.-Rivera García, Manuel \$q (Fernández-Rivera García)

400 1# \$a Fernández-Rivera García, Manuel

name: Sa. Freeman
 heading: 100 1# \$a Freeman, Sa. \$q (Samuel)

400 1# \$a Freeman, Samuel

name: Th. Ziehen
 heading: 100 1# \$a Ziehen, Th. \$q (Theodor)

400 1# \$a Ziehen, Theodor

name: Th. de Waal
 heading: 100 1# \$a Waal, Th. de

name: Mohd. Taib Osman
 heading: 100 0# \$a Mohd. Taib Osman

NOTE: MAKE SURE you know what the abbreviation stands for based on sources that you can cite. The abbreviation Th. could also stand for Theodore or Thomas or Thad or Thaddeus or Thierry or Themistocles.

Slide 19

**Choice of Name :
Surname Alone** 

Single author that uses only surname

- Search to find other publications with other names
- Use form found most frequently
- Otherwise use single surname

19

Choice of Name: Surname Alone:

Form of Name: Surname alone-- single author: For a person known primarily as an author, if the chief source of information shows this person as the single author and shows his/her surname without other names, search briefly to see if there are other publications that are his/her works. If the search is successful, use the form found most frequently. Otherwise, use the surname without other names as the heading. *Change the heading if subsequently received items show other names with the surname in the chief source of information.* N.B. See LCRI 22.5C5 for a different treatment of authors writing in Portuguese.

Surname alone -- multiple authors: For persons known primarily as authors, if the chief source of information shows more than one person as author and shows each surname without other names, add the forenames provided they can be found in the item being cataloged. Otherwise, follow the preceding instructions for single authors represented by surnames alone.

Slide 20

Choice of Name : Surname Alone LCRI 22.1B

Multiple authors using only surnames

- Add forenames if found in item
- Otherwise follow instructions for single author

20

Form of Name

1) Surname alone -- single author. For a person known primarily as an author, if the chief source of information shows this person as the single author and shows his/her surname without other names, search briefly to see if there are other publications that are his/her works. If the search is successful, use the form found most frequently. Otherwise, use the surname without other names as the heading. *Change the heading if subsequently received items show other names with the surname in the chief source of information.* N.B. See LCRI 22.5C5 for a different treatment of authors writing in Portuguese.

2) Surname alone -- multiple authors. For persons known primarily as authors, if the chief source of information shows more than one person as author and shows each surname without other names, add the forenames provided they can be found in the item being cataloged. Otherwise, follow the preceding instructions for single authors represented by surnames alone.

Slide 21

Choice of Name : Married Women LCRI 22.2A

If married woman's name shows her own forename(s) in parentheses as part of her married name, omit the parenthetical elements in formulating the heading:

Usage: Mrs. John A. (Edna I.) Spies
 100 1 _ Spies, John A., \$c Mrs.
 400 1 _ Spies, Edna I.

21

This is less likely to be used in the 21st century, but may be found in earlier publications.

[Married women reminder: 22.2C1 covers changes of name. The rule instructs us to choose the latest name or form of name unless there is reason to believe that an earlier name will persist as the name by which the person is better known. Same rule applies to people who acquire and become known by a title of nobility. See also 22.5C for rules on compound surnames.]

Note first use in this presentation of \$c subfield. Will be explained later.

Slide 22

Choice Among Different Forms Of The Same Name

- Headings already coded AACR2
- Different forms of name/same item
- Different forms of name/different items
- Different language forms
- Names written in non-roman script

LCRI 22.3A

22

The first bullet “Headings already coded AACR2” is a phrase used in LCRI to mean that the heading is already established in a name authority record.

The next four bullets deal with situations where the name is not yet in a name authority record, and you need to make choices depending on the presentation in the item in hand.

Slide 23

Headings Already Coded "AACR2"

- Generally do not change established headings
- Add cross-references for variant forms
- *Author's preference* would be a reason for change of heading

LCRI 22.3A

23

If you've done searching and found an established authority record, the heading does not get changed except under exceptional circumstances.

Author's preference trumps all other rules for choice of name.

LCRI 22.3A

Headings Already Coded "AACR2"

If an established heading is already coded “AACR2” (including those labeled preliminary -- 008 byte 33 (OCLC's name is Auth Status) = d) and subsequently received items show forms in the chief source that vary in fullness, generally do not change the established heading.

Note: Occasionally the need arises to change a heading that has already been coded (established as a NAR) to reflect another form that varies solely in fullness. One such exception is that the author has notified the Library of Congress that another form is preferred. Other exceptions should be carefully considered before making the change.

Headings 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. See LCRI 22.1 for additional details.

Slide 24

**Different Forms,
Same Item** LCRI
22.3A

Choose from:

- 1) chief source;
- 2) prominent source (if appears in only one prominent source);
- 3) fullest form if neither 1 nor 2 applies

- Title page: T.B. Smith
Verso of t.p.: T. Basil Smith III
Hdg.: 100 1 _ Smith, T. B. \$q (T. Basil)
- Verso of t.p.: R.J. Gottschall
Page 239: Robert J. Gottschall
Hdg.: 100 1 _ Gottschall, R. J. \$q (Robert J.)

24

Context: This assumes that you have neither authority work nor other bib records to take into account.

Examples from the LCRIs 22.3A p. 2

Explain that in first bullet the form was found on the t.p. If one of the sources is the chief source, use the form found there.

In Example 2 there was no form on t.p. (chief source). The choices listed in the box are in order of preference.

Ask if anyone knows what "prominent source" means – see AACR2 0.8

0.8. The word *prominently* (used in such phrases as *prominently named* and *stated prominently*) means that a statement to which it applies must be a formal statement found on one of the prescribed sources of information (see 1.0A) for areas 1 and 2 for the class of materials to which the item being catalogued belongs.

So, for books, prominently means: t.p., other preliminaries, colophon (these are the prescribed sources of information for books for areas 1 (title and statement of responsibility area) and 2 (edition area).

LCRI 22.3A Note: Do not choose for the heading a form appearing in the following sources if the name appears prominently elsewhere in the item: 1) the copyright statement; 2) the colophon for items published in the countries of the former Soviet Union.

Further example:

Verso of t.p.: Victoria Galofre Neuto
P. 1 of cover: Victoria Galofre
Hdg.: 100 1 _ \$a Galofre Neuto, Victoria

Slide 25

Different Forms, Different Item

New authority records being created: LCRI
22.3A

- 1) If form found on item agrees with usage on existing bib records, accept this usage as the basis for the AACR2 heading
- 2) If form found does not agree with usage on existing bib records, choose the form in this order:
 - a) Most commonly found
 - b) Latest form
 - c) Fullest form

25

Context: This situation is based upon the assumption of no authority record but you do have bib records in the database that must be taken into account.

Emphasize that the list in #2 is a prescriptive list based upon the rule.

NOTE: the example that follows is *made-up*.

22.3A. Fullness

If the forms of a name vary in fullness, choose the form most commonly found. As required, make references from the other form(s).

If no one form predominates, choose the latest form. In case of doubt about which is the latest form, choose the fuller or fullest form.

LCRI 22.3A

Headings Already Coded

"AACR2"

If an established heading is already coded "AACR2" (including those labeled preliminary -- 008 byte 33 = d) and subsequently received items show forms in the chief source that vary in fullness, generally do not change the established heading.

Note: Occasionally the need arises to change a heading that has already been coded to reflect another form that varies solely in fullness. One such exception to the basic policy of retaining the established heading is that the author has notified the Library of Congress that another form is preferred. Other exceptions should be carefully considered before making the change.

NOTE: this is where the 80% rule used to kick in. It was gotten rid of in January 2009.

When determining the fullest form for a person who uses both initials and forenames, make no distinction between initials and forenames, e.g. "B.E.F. Pagen" is fuller than "Bernard Edward Pagen."

NOTE: if you have date information, you should include that in the heading regardless of whether or not it is included in the bib records in the database. This will cause BFM.

Slide 26

Different Forms, Different Item LCRI 22.3A

<p>Item in hand</p> <p>100 1 Ducote, Jackie. 245 10 What Louisiana employers need from Louisiana's education system / \$c prepared by Jackie Ducote. c2003</p>	<p>OCLC bib. recs.</p> <table border="1"> <tr> <td style="width: 50%; vertical-align: top;"> <p>100 1 Ducote, Jacklyn M. 245 10 Schools in Louisiana : what employees need / \$c by Jacklyn M. Ducote. Pub c1987</p> </td> <td style="width: 50%; vertical-align: top;"> <p>100 1 Ducote, Jackie. 245 10 Louisiana's education system / \$c prepared by Jackie Ducote. Pub. 1999</p> </td> </tr> <tr> <td style="width: 50%; vertical-align: top;"> <p>100 1 Ducote, Jacklyn M. 245 10 Louisiana schooling / \$c Jackie Ducote. Pub 1994</p> </td> <td style="width: 50%; vertical-align: top;"> <p>245 00 Educational system of Louisiana / \$c edited by Jackie Ducote. Pub. 2000 700 1 Ducote, J. M.</p> </td> </tr> </table>	<p>100 1 Ducote, Jacklyn M. 245 10 Schools in Louisiana : what employees need / \$c by Jacklyn M. Ducote. Pub c1987</p>	<p>100 1 Ducote, Jackie. 245 10 Louisiana's education system / \$c prepared by Jackie Ducote. Pub. 1999</p>	<p>100 1 Ducote, Jacklyn M. 245 10 Louisiana schooling / \$c Jackie Ducote. Pub 1994</p>	<p>245 00 Educational system of Louisiana / \$c edited by Jackie Ducote. Pub. 2000 700 1 Ducote, J. M.</p>
<p>100 1 Ducote, Jacklyn M. 245 10 Schools in Louisiana : what employees need / \$c by Jacklyn M. Ducote. Pub c1987</p>	<p>100 1 Ducote, Jackie. 245 10 Louisiana's education system / \$c prepared by Jackie Ducote. Pub. 1999</p>				
<p>100 1 Ducote, Jacklyn M. 245 10 Louisiana schooling / \$c Jackie Ducote. Pub 1994</p>	<p>245 00 Educational system of Louisiana / \$c edited by Jackie Ducote. Pub. 2000 700 1 Ducote, J. M.</p>				

Step 1 commonly found form 26

Based on the item in hand and the records found in OCLC, what is the AACR2 form of the heading? The commonly found form is Jackie Ducote.

Slide 27

Different Forms, Different Item

100 1 _ Ducote, Jackie
400 1 _ Ducote, Jacklyn M.
670 __ What Louisiana employers need from Louisiana's education system, c2003: \$b t.p. (Jackie Ducote)
670 __ OCLC, Sept. 11, 2007 \$b (hdgs.: Ducote, Jackie; Ducote, Jacklyn M.; Ducote, J. M.; usage: Jackie Ducote; Jacklyn M. Ducote)

27

Note that it's not necessary to show the counts of usage in the 670 to prove that Jackie Ducote is the more common form. No reference is made from the heading found, Ducote, J. M. (Jackie Ducote) because this form is not actually used by the author.

Slide 28

Different Forms, Different Item LCRI 22.3A

<p>Item in hand</p> <p>245 10 What Louisiana employers need from Louisiana's education system / \$c prepared by Jackie Ducote. 260 [Baton Rouge] : \$b Louisiana Association of Business and Industry, \$c c2003.</p>	<p>OCLC bib. recs.</p> <table border="1"> <tr> <td style="width: 50%; vertical-align: top;"> <p>100 1_ Ducote, Jacklyn M. 245 10 Louisiana charter school handbook / \$c compiled by Jacklyn M. Ducote.</p> </td> <td style="width: 50%; vertical-align: top;"> <p>260 [Baton Rouge] : \$b Louisiana Association of Business, \$ 2000.</p> </td> </tr> </table>	<p>100 1_ Ducote, Jacklyn M. 245 10 Louisiana charter school handbook / \$c compiled by Jacklyn M. Ducote.</p>	<p>260 [Baton Rouge] : \$b Louisiana Association of Business, \$ 2000.</p>
<p>100 1_ Ducote, Jacklyn M. 245 10 Louisiana charter school handbook / \$c compiled by Jacklyn M. Ducote.</p>	<p>260 [Baton Rouge] : \$b Louisiana Association of Business, \$ 2000.</p>		

Step 2
No commonly found form – choose latest form 28

However, let's say you have only two items, what would be your choice? The latest form, which still leaves us with Jackie Ducote.

Form Of Name "Not Same" As Usage On Bib Record

You search "the catalog" (i.e. OCLC) to see if the form you have agrees with the form found on other records.

You find one other record, with a different form: Jacklyn M. Ducote.

To determine the AACR2 form, you first look for the most commonly found form. Since no form is

commonly found, you choose the latest form as the AACR2 form: Jackie Ducote.

Slide 29

**Different Forms,
Different Item**

100 1 _ Ducote, Jackie
 400 1 _ Ducote, Jacklyn M.
 670 _ _ What Louisiana employers need from Louisiana's education system, c2003: \$b t.p. (Jackie Ducote)
 670 _ _ OCLC, Sept. 11, 2007 \$b (hdg.: Ducote, Jacklyn M.; usage: Jacklyn M. Ducote)

Step 2
 No commonly found form – choose latest form

29

It's important to show both the heading(s) and usage found in your OCLC search. One reason: if the heading has a qualifier that shows what an initial stands for, or has birth/death dates, those will usually be included in the final AACR2 heading you're establishing.

Slide 30

**Different Forms,
Different Item** LCRI
22.3A

Item in hand	OCLC bib. recs.
245 10 What Louisiana employers need from Louisiana's education system / \$c prepared by Jackie Ducote. 260 _ _ [Baton Rouge] : \$b Louisiana Association of Business and Industry, \$c 2003.	100 1 _ Ducote, Jacklyn M. 245 10 Louisiana charter school handbook / \$c compiled by Jacklyn M. Ducote. 260 [Baton Rouge] : \$b Louisiana Association of Business, \$ 2003.

Step 3
 No commonly found form; doubt about latest form
 Choose fullest form

30

Emphasize that this is a made-up example, where we have altered the pub date of the OCLC bib record in order to illustrate the point about choosing latest form. If you only have two items to take into account and you cannot choose with certainty which one is latest, you fall back on the “in case of doubt” clause and choose the fullest form.

Slide 31

**Different Forms,
Different Item**

100 1 _ Ducote, Jacklyn M.
 400 1 _ Ducote, Jackie
 670 _ _ What Louisiana employers need from
 Louisiana's education system, c2003: \$b
 t.p. (Jackie Ducote)
 670 _ _ OCLC, Sept. 11, 2007 \$b (hdg.: Ducote,
 Jacklyn M.; usage: Jacklyn M. Ducote)

Step 3
 No commonly found form; no latest form
 Choose fullest form

31

It's important to show both the heading(s) and usage found in your OCLC. One reason: if the heading has a qualifier that shows what an initial stands for, or has birth/death dates, those will usually be included in the final AACR2 heading you're establishing.

This is a place where catalogers should use judgment and not agonize over which form to use. It may not be worth a cataloger's time to go through all the OCLC records to determine the latest publication date if the author has multiple publications.

Slide 32

**Choice Among Different Forms :
Different Languages**

**How To Choose the Correct Form
For The Heading**

32

Slide 33

Author Writes In More Than One Language

- Different language forms in author's works
- No predominant language form in author's works
- Attention to language of author

AACR2 & LCRI 22.3B

33

If you work with such authors, these examples will be of special interest.

Slide 34

Author Writes In More Than One Language

français español português

français français

Choose form corresponding to language of most works

34

Choose form corresponding to language of most of the persons works. If, however, one of the languages is Latin or Greek, apply 22.3B2.

In case of doubt, choose the form most commonly found in reference sources of the person's country of residence or activity.

For persons identified by a well-established English form of name, see 22.3B3.

If the name chosen is written in a non-roman script, see 22.3C.

Slide 35

Author Writes In More Than One Language

LCRI 22.3B1

No predominant language? "In case of doubt" provision says

Consult reference sources of the person's country of residence or activity.

français español

Deutsch

35

In case of doubt, choose the form most commonly found in reference sources of the person's country of residence or activity. For persons identified by a well-established English form of name, see 22.3B3. If the name chosen is written in a nonroman script, see 22.3C. LCRI 22.3B1: For an author who writes in two or more languages, the rule includes an "in case of doubt" provision, when there is no predominant language, that sends the cataloger to reference sources of the person's country of residence or activity. If there are no such reference sources, the person is not

listed, or for any other reason reference sources do not settle the matter, use in the heading the form of name in the person's native language.

After an author has been established, if subsequently received works show a form in a language not selected for the heading, change the heading when the most common form of the author's works are in that language.

Helpful note: when being revised, use 952 to convey contextual information for your decision.

Slide 36

Name In Different Language Forms

AACR2
22.3B2

- Name in vernacular and in Latin or Greek form
- Apply AACR2 22.3B2
 - Choose most common form in reference sources
 - In "case of doubt" clause
 - ✓ Use Latin or Greek form if before 1400 A.D.
 - ✓ Use vernacular if after 1400 A.D.

36

22.3B2. Names in vernacular and Greek or Latin forms

If a name occurs in reference sources and/or in the person's works in a Greek or Latin form as well as in a form in the person's vernacular, choose the form most commonly found in reference sources.

In case of doubt, choose the Latin or Greek form for persons who were active before, or mostly before, A.D. 1400. For persons active after that date, choose the vernacular form.

Note that this is fairly specialized.

Slide 37

Name In Different Language Forms

Use English form of name for:

AACR2 22.3B3

- Person entered under given name
- Classical Roman whose name is well established under English form in English-language ref sources
Horace *not* Quintus Horacius Flaccus
Pope John XXIII *not* Joannes Papa XXIII
Charles V *not* Karl V
- In case of doubt use Latin or vernacular form

37

Slide 38

Names Written In Non-Roman Script

AACR2 22.3C



<http://www.loc.gov/catdir/cpso/roman.html>

38

Japanese ideographs

http://farm4.static.flickr.com/3153/3028578568_0dd6afd5c5.jpg?v=0

Arabic script from el Alhambra

http://farm3.static.flickr.com/2095/2388969179_9af560cb46.jpg?v=0

Slide 39

Names Written In Non-Roman Script

AACR2 22.3C

- Persons who bear names derived from a non-Roman script but write in a Roman-alphabet language should not be treated under this rule
- Decision that a person writes in a Roman alphabet language is based on 1st item cataloged

39

LCRI 22.3C: Applicability

Persons who bear names derived from a nonroman script but who write in a roman-alphabet language should not be treated under this rule. The decision that the person is writing in a roman-alphabet language is based on the first item cataloged, i.e., the fact that the text of this item was originally written in a roman-alphabet language. (If it becomes evident later that most of the person's works were written in a nonroman script, apply the provisions of this rule interpretation.)

Slide 40

Names Written In Non-Roman Script AACR2 22.3C1

Persons entered under a given name:

- Choose form that has become well-established in English-language reference sources
Confucius *not* Kongzi
- If variant English forms found, choose the most common
- If no English form found or no one form predominates, romanize according to *ALA-LC Romanization Tables*

40

Another example of a well-established English form is Homer, not Homeros (Greek spelling □ Ομηρος).

Note that names that are well-established tend to be very well-known people, so many of these are already established. It is rare that you will be able to implement this rule.

Trainer's note: focus on these in detail on if you have someone who deals with non-Roman languages.

Slide 41

Names Written In Non-Roman Script AACR2 & LCRI 22.3C2

Persons entered under a surname:

- Choose romanized form well-established in English-language ref sources
Gamal Abdel Nasser *not* Jamāl 'Abd al-Nāṣir
- If variant romanized forms found, choose the most common

41

22.3C2. Persons entered under surname

If the name of a person entered under surname (see 22.5) is written in a nonroman script, romanize the name according to the table for the language adopted by the cataloguing agency. Add vowels to names that are not vocalized. As required, make references from other romanized forms.

Slide 42

Names Written In Non-Roman Script LCRI 22.3C2

- If person's name is likely to appear in general English language reference sources, search: *Academic American Encyclopedia*, *Encyclopedia Americana*, and *Encyclopaedia Britannica* (15th ed.)
- Name found in all 3 sources: use that form
Peter Ilich Tchaikovsky
- Name found in all 3 sources *but form varies*: use form in *Encyclopaedia Britannica*

42

LCRI 22.3C2

If a person entered under a given name or a surname is likely to appear in general English-language reference sources, search *Academic American Encyclopedia*, *The Encyclopedia Americana*, and *Encyclopaedia Britannica* (15th ed.). If the name is found in all three of these sources in a single form, use the form found there. If the form varies in these three sources, use the form found in *Encyclopaedia Britannica* (15th ed.).

If the name is not found in all three of these sources, use the systematically romanized form of the name in the heading.

Exception: For famous persons entered under given name but not found in all three of the general English-language encyclopedias because of specialized fame,

consult major specialized encyclopedias (e.g., New Catholic Encyclopedia, The Oxford Classical Dictionary) to determine if there is a well-established English-language form of the name. ("Found in" the reference source means that there is an article under the person's name.)

For persons of too recent fame to be included in the three general English-language encyclopedias named above (e.g., new authors, dancers, persons recently becoming famous as political figures, Soviet dissidents, chess players), consult the yearbooks of the encyclopedias and the indexes of such major newspapers as The New York Times and The Washington Post to determine if there is a well-established English-language form of the name.

If found in all 3 sources use that form.

Example: Tchaikovsky, Peter Ilich, †d 1840-1893 (found in all three reference sources)

There are special guidelines for names written in Cyrillic and Hebrew scripts.

Slide 43

Names Written In Non-Roman Script

AACR2
22.3C2

If name **not found** in all 3 of the designated sources, use the systematically romanized form of name in the heading

Chaikovskii, Modest Il'ich

43

LCRI 22.3C2

Systematically Romanized Indic Names

When systematically romanizing headings for Indic personal names containing characters or groups of characters that attempt to reproduce the sound of English initials, romanize these characters with their equivalents from the romanization tables. Refer from a form giving the same romanization of the surname but representing the abbreviated forms by the equivalent English initials whose sound they attempt to reproduce.

Slide 44

Names Written In Non-Roman Script AACR2 & LCRI 22.3C

Exception: For famous persons entered under **given name** but **not found** in any of the 3 designated encyclopedias:

Consult major specialized encyclopedias for a well-established, English-language form

44

Note there are 2 exceptions to LCRI on reference sources to consult: [one on this slide and the next]

Exception: For famous persons entered under given name but not found in all three of the general English-language encyclopedias because of specialized fame, consult major specialized encyclopedias (e.g., New Catholic Encyclopedia, The Oxford Classical Dictionary) to determine if there is a well-established English-language form of the name.

Slide 45

Names Written In Non-Roman Script AACR2 22.3C

Exception: For persons of too recent fame to be included in the 3 designated encyclopedias:

Consult the **yearbooks** of the encyclopedias and the **indexes** of major newspapers

45

For persons of too recent fame to be included in the three general English-language encyclopedias named above (e.g., new authors, dancers, persons recently becoming famous as political figures, Soviet dissidents, chess players), consult the yearbooks of the encyclopedias and the indexes of such major newspapers as The New York Times and The Washington Post to determine if there is a well-established English-language form of the name.

Slide 46

Choice Among Different Names



46

Slide 47

Change Of Name To Existing NAR

Many reasons possible:

- Marriage/Divorce
- Entering religious order
- Acquired title: Baron
- Legal reasons: Musicians
- Professional reasons: Actors
- Too "old-fashioned"
- Change of gender

47

This rule does not apply to persons using a pseudonym or pseudonyms. NOTE: this is talking about change of heading, no simply adding cross-references. NOTE: this list is not complete.

Slide 48

Change Of Name To Existing NAR

AACR2 22.2C

- Generally only one NAR should be found in the NAF representing one author
- If a person **changes** his/her name: NAR for person is changed to reflect the **new name or latest name**

48

AACR2 22.2C1 says "If a person (other than one using a pseudonym or pseudonyms) has changed his or her name, choose the latest name or form of name unless there is reason to believe that an earlier name will persist as the name by which the person is better known ..."

Slide 49

Change Of Name To Existing NAR

Previous 1XX Heading

100 1 _ Onassis, Jacqueline Kennedy, \$d 1929-1994

400 1 _ Kennedy, Jacqueline Bouvier, \$d 1929-1994 \$w nne

670 _ _ Heller, D. Jacqueline Kennedy, 1961.

670 _ _ Washington post, May 20, 1994: \$b p. A1 (Jacqueline Kennedy Onassis, d. 5-19-1994, 10:15 pm, New York, N.Y.) p. A20 (Jacqueline Bouvier Kennedy Onassis, b. 7-28-1929, Southampton, N.Y., daughter of John Bouvier; married John F. Kennedy, 9-12-1953) p. 6 (married Aristotle Onassis, 1968)

670 _ _ Jackie, Ethel, Joan, c2000: \$b p. 458 (Jacqueline Bouvier Kennedy Onassis; d. 05-19-1994)

AACR2 22.2C

49

Another example:

100 1 Ali, Muhammad, \$d 1942-

400 1 Clay, Cassius, \$d 1942-

400 0 Cassius X, \$d 1942-

400 1 X, Cassius, \$d 1942-

400 1 Ali, Muhammed, \$d 1942-

400 0 Muhammad Ali, \$d 1942-

670 His I am the greatest! [Phonodisc] 1963.

670 Kaletsky, R. Ali and me, c1982 (a.e.) \$b p. 11 (Cassius Marcellus Clay)

Slide 50

**Change Of Name To Existing
NAR?**

Better known by earlier name

AACR2
22.2C

100 1 _ Kennedy, Caroline, \$d 1957-

400 1 _ Schlossberg, Caroline Kennedy, \$d 1957-

670 _ _ Contemp. authors, v. 140 \$b (Kennedy, Caroline (Bouvier); b. 1957; lawyer and writer)

670 _ _ NUCMC data from John F. Kennedy Library for Her Papers, 1983-1988 \$b (Kennedy, Caroline Bouvier, 1957- ; married Edwin Schlossberg; Caroline Kennedy Schlossberg)

50

An example of a name that does not get changed to the latest form because the person continues to be better known by the earlier name.

Slide 51

Choice Among Different Names

Multiple NARs required

51

Slide 52

**Choice Among Different Names
Real Names**

AACR2
22.2B

- Apply this LCRI *only in retrospect* – once evidence is clear
- If different real names are used concurrently by a contemporary author
- **AND** if works under one name are different from works written under the other name(s)
- Establish as many headings as necessary

52

Bullet three: There should be a definable distinction between the subject or genre of works under different real names. Give examples *Different Real Names Used Concurrently by Contemporaries*

Apply this interpretation only in retrospect, after information received from publications, etc., has begun to provide the necessary evidence and this evidence is clear. If a contemporary author who uses different real names concurrently (as opposed to abandoning one real name in favor of another) and this usage at the same time of multiple real names can be ascribed to the

fact that the works written under one name are different from works written under other name(s), then treat the case in the same way as pseudonyms and follow LCRI 22.2B for the details of using multiple headings. The next slide shows an example.

Slide 53

Choice Among Different Names Real Names	
100 1 _ Knight, Kathryn Lasky Works for adults are written under the name Kathryn Lasky Knight	100 1 _ Lasky, Kathryn Works for children are written under the name Kathryn Lasky

heading 1: 100 1# \$a Knight, Kathryn Lasky
(Works for adults are written under the name Kathryn Lasky Knight)
heading 2: 100 1# \$a Lasky, Kathryn
(Works for children are written at the same time under the name Kathryn Lasky)

Slide 54

Choice Among Different Names Pseudonyms	
CONTEMPORARY all living authors and any author who has died since December 31, 1900.	NON-CONTEMPORARY lived before, or primarily before, January 1, 1901.
<i>In case of doubt, consider the person a non-contemporary.</i>	

The reason for this division is that you need greater proof to establish multiple NAR's for a non-contemporary pseudonym situation. This does not mean you will not have multiple NAR's for non-contemporary people.
Research:
The more pseudonyms you have, the more likely that research is necessary, regardless of contemporary or not. For pseudonyms for both contemporary and non-contemporary, multiple NAR's usually require justification and research.

For non-contemporary authors, it is imperative, in order to provide a greater proof of multiple bibliographic identities.

Slide 55

**Choice Among Different Names
Contemporary, One Pseudonym**



Allen Stewart Königsberg, born on December 1, 1935, is known by his pseudonym Woody Allen.

ONE NAR

55

If all the works by one person appear under one pseudonym, choose the pseudonym. If the real name is known, make a reference from the real name to the pseudonym.

Slide 56

**Choice Among Different Names
Contemporary, One Pseudonym**

100 1 _ Allen, Woody

400 1 _ Königsberg, Allen Stewart

400 1 _ Königsberg, Allan Stewart *Real name is a x-ref*

670 _ _ Woody Allen [Phonodisc] 1964.

670 _ _ Film composers guide, c1990 \$b (Woody Allen; Allen Stewart Königsberg; b. 12-1-1935, Brooklyn, N.Y.)

670 _ _ Reimertz, S. Woody Allen, 2000: \$b p. 9 (b. Dec. 1, 1935, in Brooklyn, New York, N.Y.; Allan Stewart Königsberg; began using name Woody Allen in spring 1952)

**AACR2
22.2B**

56

22.2B1. One pseudonym

If all the works by one person appear under one pseudonym, choose the pseudonym. If the real name is known, make a reference from the real name to the pseudonym.

Only 1 NAR is created in this case.

NOTE: 670 reference work is used.

Slide 57

Choice Among Different Names Contemporary, Pseudonyms

Only **two** names: create two separate NARs

- Connect the names with simple see also (5XX) references (*no \$w nnc*)

Multiple pseudonyms: create as many NARs as necessary

- Choose basic heading
- Use 663 fields
- Connect with simple see also (5XX) references (*with \$w nnc*)

57

22.2B3. Contemporary authors

If a contemporary author uses more than one pseudonym or his or her real name and one or more pseudonyms, use, as the basis for the heading for each work, the name appearing in it. Make references to connect the names (see 26.2C and 26.2D).

If, in the works of contemporary authors, different names appear in different editions of the same work or two or more names appear in one edition, choose, for all editions, the name most frequently used in editions of the work. If that cannot be determined readily, choose the name appearing in the latest available edition of the work. Make name-title references from the other name or names (see 26.2B1).

LCRI 22.B: 4) Before August 2007, names of composers and performers may have been excluded from establishing multiple headings when pseudonyms were used; however, beginning August 2007, the guidelines here are to be applied to all contemporary authors without exception. When in current cataloging a heading for a contemporary author that does not follow these guidelines is found, create separate headings for all pseudonyms used on separately published works following the guidelines "Multiple Headings – 'Basic' Headings" below.

If according to these guidelines, only two headings are created for the author, do not attempt to choose a "basic" heading (see the next section on references for the directive to connect the two headings with simple "see also"

references).

Multiple Headings--References

1) If only two headings are created for an author, connect the names with simple see also references (cf. 26.2C1).

Slide 58

**Choice Among Different Names
Contemporary, Pseudonym**



Barbara Vine /s/ Ruth Rendell

58

Ruth Rendell is real name, Barbara Vine is pseudonym.

Slide 59

**Choice Among Different Names
Contemporary, Pseudonym**

100 1 _ Rendell, Ruth, \$d 1930-	100 1 _ Vine, Barbara, \$d 1930-
500 1 _ Vine, Barbara, \$d 1930-	500 1 _ Rendell, Ruth, \$d 1930-
670 _ _ Her From Doon with death, 1964.	670 _ _ Her The house of stairs, 1989: \$b CIP t.p. (Barbara Vine) publ. info. (pseud. of Ruth Rendell; res., London, Eng.)
670 _ _ Her A dark-adapted eye, 1986: \$b CIP t.p. (Barbara Vine)	
670 _ _ Info. from pub., 1/28/86 \$b (Barbara Vine is pseud. used by Ruth Rendell)	

59

The two names are connected by simple see also references. This shows how the 1xx and 5xx fields refer to each other.

Slide 60

**Choice Among Different Names
Contemporary, Pseudonyms**

Contemporary author: Three or more names
(multiple pseudonyms)

- Create NARs for each name
- Choose a "basic" heading
- Provide 663 field for each NAR
- Use linking 5XX references coded \$w nnc

AACR2
22.2B

60

Ask class: How many work with pseudonyms in your work?

The following slides show all the possible cases, but we may not want to spend time on every case, since many are uncommon.

NOTE: This repeats the second bullet on slide 53 with further details.

NOTE: The basic heading does not have to be the person's "real" name. It should be the most predominantly used name.

LCRI 22.2B

3) If the works appear under more than one name (as shown from publications or reference sources) and these names include at least one pseudonym, create multiple headings, one for each name, including the possibly unused real name. Note:

Establish separate headings only for pseudonyms used (or likely to be used) on separately published works. Pseudonyms used in other contexts (e.g., newspaper or periodical articles) are not separately established.

Multiple Headings--"Basic" Headings

When more than two headings are created, however, identify one of the headings as the "basic" heading for purposes of simplifying the cross reference structure and for use as the subject of biographical or critical works. Choose the "basic" heading according to the following instructions:

- 1) If multiple headings for the author have already been created, look for evidence of a single heading used in pre-AACR2 cataloging if that heading is readily available on existing name authority record(s). Use the AACR2 form for the pre-AACR2 heading as the "basic" heading.
- 2) If multiple headings for the author are now being created for the first time, use the existing single heading as the "basic" heading.
- 3) If multiple headings for the author already exist because there was no earlier indication that the multiple headings represented one person, use the predominant form as the "basic" heading.

Multiple Headings—References

2) If more than two headings are created for an author, choose a "basic" heading according to the above guidelines. On the authority record for this heading, trace cataloger-generated see also references from all other headings used, justifying the references in 670 citations, according to normal practice. Provide a 663 cataloger-generated reference field listing all the other names established with the following text:

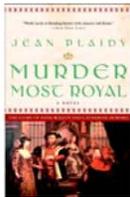
For works of this author entered under other names, search also under: [list names].

On each of the other authority records created for the author, trace a cataloger-generated see also reference from the "basic" heading, justifying that reference in a 670 citation, according to normal practice. (Other names may be mentioned in the 670 if it is convenient to do so.) Provide a 663 cataloger-generated reference field with the following text:

Works by this author are entered under the name used in the item. For a listing of other names used by this author, search also under: [basic heading]. When the author uses another new name, create a new name authority record for that name and also add it to the reference structure and 663 listing on the authority record for the "basic" heading. (Do not add information about it to the authority records for other names used by the author.)

Slide 61

**Choice Among Different Names
Contemporary, Pseudonyms**



Plaidy, Jean (also wrote under: Philippa Carr, Victoria Holt, Ellalice Tate, Elbur Ford, Kathleen Kellow)

Note: She used various names for different subject matter.

61

Most authors using multiple names already have been established, but you may come up with new cases.

Slide 62

100 1 _ Plaidy, Jean, \$d 1906-1993
 400 1 _ Hibbert, Eleanor, \$d 1906-1993
 400 1 _ Burford, Eleanor, \$d 1906-1993
 500 1 _ Ford, Elbur, \$d 1906-1993 \$w nnc
 500 1 _ Kellow, Kathleen, \$d 1906-1993 \$w nnc
 500 1 _ Tate, Ellalice, \$d 1906-1993 \$w nnc
 500 1 _ Holt, Victoria, \$d 1906-1993 \$w nnc
 500 1 _ Carr, Philippa, \$d 1906-1993 \$w nnc
 663 _ _ For works of this author entered under other names, search also under \$b Carr, Philippa, 1906-1993 \$a and \$b Ford, Elbur, 1906-1993 \$a and \$b Holt, Victoria, 1906-1993 \$a and \$b Kellow, Kathleen, 1906-1993 \$a and \$b Tate, Ellalice, 1906-1993

**Basic heading
LCRI 22.2B**

62

Plaidy, Jean is chosen as the “basic” heading. LCRI 22.2B p. 2 gives instructions on which heading to choose as the basic heading. The basic heading contains 5XX references for all the other names and a 663 that lists all the other names.

663 wording and punctuation is proscriptive. To not follow this may cause problems in the searching capability of the database. Look in MARC21 Authority Format for examples.

NOTE: The basic heading does not have to be the person’s “real” name. It should be the most

predominantly used name.

Slide 63

```
100 1 _Carr, Philippa, $d 1906-1993
400 1 _Karr, Filippa, $d 1906-1993
500 1 _Plaidy, Jean, $d 1906-1993 $w nnc
663 _ _ Works by this author are entered under the name
        used in the item. For a list of other names used by this
        author, search also under $b Plaidy, Jean, 1906-1993
670 _ _ The changeling, c1989: $b t.p. (Philippa Carr)
670 _ _ Contemp. auth., c1976: $b v. 17-20 (Hibbert, Eleanor
        Burford, 1906-; Eleanor Burford; pseuds.: Philippa
        Carr, Elbur Ford, Victoria Holt, Kathleen Kellow, Jean
        Plaidy, Ellallice Tate)
```

63

This is a record for one of the other names. If author begins to write under another name create an NAR for that heading and add name to the base heading.

The 663 in this record points back to the “basic” heading which includes references to all of the names used by this person. The same 663 field would be used on each of the NARs that isn’t the “basic” heading.

NOTE: this NAR does not include the real name or other cross-references, only the ones appropriate to the heading of this NAR and the ONE linking 500 to base heading.

Slide 64

**Choice Among Different Names
Non-Contemporary Author**

Author may write under different names but
NOT recognizably under separate
bibliographic identities.

Create 1 NAR

64

This is the default situation for non-contemporary authors.

AACR2 22.2B4.

If a person using more than one pseudonym or his or her real name and one or more pseudonyms *neither* has established separate bibliographic identities (see 22.2B2) *nor* is a contemporary author (see 22.2B3)

choose, as the basis for the heading, the name by which that person has come to be identified in later editions of his or her works, in critical works, or in other reference sources (*in that order of preference*). *Make references from other names.*

LCRI 22.2B

Multiple Headings--Non-contemporaries

If the works appear under more than one name, including at least one pseudonym, consider whether the different works show separate bibliographic identities for the author because the works can be divided into clearly differentiated types (e.g., one name for boys' sport stories and another name for works on nuclear physics). If a clear differentiation based on this criterion is possible, create separate headings for each name. In case of doubt, do not consider that there are such separate bibliographic identities for the author and instead create a single heading.

Slide 65

**Choice Among Different Names
Non-Contemporary Author,
Pseudonym**



Marian or Mary Ann
Evans, 1819-1880,
known by her
pseudonym, **George
Eliot**

65

We'll take a look at the name authority record for this non-contemporary author.

Slide 66

100 1 _ Eliot, George, \$d 1819-1880
400 1 _ Cross, Marian Evans, \$d 1819-1880
400 1 _ Evans, Mary Ann, \$d 1819-1880
400 1 _ Eliot, Dézordéz, \$d 1819-1880
400 1 _ Eliot, George, \$c pseud., i.e. Marian Evans, afterwards Cross, \$d 1819-1880 \$w nnaa
400 1 _ Eliot, Dzhordzh, \$d 1819-1880
670 _ _ Literature Resources Centre WWW site, 31 May 2007:\$b George Elliot page (variant name: Evans, Mary Anne)
670 _ _ DNB \$b (Cross, Mary Ann or Marian; b. 11/22/1819. Chivers Colton, Warwickshire; d. 12/22/1880, Chelsea; wrote novels as George Eliot; dau. Robert Evans; in 1854 formed connection with George Henry Lewes "which she always regards as a marriage," lasting until L.'s death in 1878; m. J.W. Cross, 5/6/1880)

Only 1 NAR needed

66

Only one NAR needed when author only uses pseudonym and does not use her real name or uses it in a very limited fashion.

Slide 67

**Choice Among Different Names
Non-Contemporary Author,
Pseudonyms**

- If different bibliographic identities are established
- Create 2 NARs
- Connect with simple 5XXs

67

However, if it can be confirmed that the non-contemporary author is writing under separate identities, then you will still create multiple NAR's for the author.

Slide 68

100 1 _ Carroll, Lewis, \$d 1832-1898
 400 1 _ Karol, Luis, \$d 1832-1898
 400 1 _ Kerol, Lius, \$d 1832-1898
 400 1 _ Kerroll, L'uis, \$d 1832-1898
 400 1 _ Karrol', L., \$d 1832-1898
 400 0 _ Oxford chiel, \$d 1832-1898
 400 1 _ Carroll, Lewis, \$d 1832-1898
 500 1 _ Dodgson, Charles Lutwidge, \$d 1832-1898
 670 _ _ His Euclid and his modern rivals, 1879 \$b (hdg: Dodgson, Charles Lutwidge, 1832-1898; usage: Charles L. Dodgson)
 670 _ _ Wikipedia, Sept. 28, 2007 \$b (Lewis Carroll; Charles Lutwidge Dodgson (Jan. 27, 1832-Jan. 14, 1898), better known by the pen name Lewis Carroll)

Wrote literary works under Carroll and mathematical works under Dodgson



68

Simple see also references are used to connect the two and only two names.

This is just a sampling of cross-references from the NAR.

Slide 69

**Choice Among Different Names
 Non-Contemporary Author,
 Pseudonyms**

If multiple bibliographic identities are proven

- Create as many NARs as necessary
- Follow same practices as contemporary authors
 - Choose a "basic" heading
 - Provide 663 field for each NAR
 - Use linking 5XX references coded \$w nnnc

69

Documentation doesn't include an example for this type of record. It's really just like a NAR for a contemporary author, except that it is for authors born before 1901.

Emphasize the need for research again, especially for non-contemporary.

Slide 70

Exercises

Choose the name that will be the basis for the heading



70

Please take about 10 minutes to do these next few exercises where you will choose the form of name upon which you will base your heading. NOTE: we are not giving the authorized form, just the *choice of name*, since that is what we have been discussing.

Some of the answers will be very simple.

Slide 71

**Choice of Personal Name
Exercise 1**

670 __ Religious consciousness and identity status ... 1993: \$b t.p. (Douglas Alan Smyth) vita (b. 1954)

Name chosen for heading: **Douglas Alan Smyth**

AACR2 22.1A

Slide 72

**Choice of Personal Name
Exercise 2**

670 __ Greygallows, 1972: \$b t.p. (Barbara Michaels)

670 __ Contemp. Authors, v. 21-24: \$b (Mertz, Barbara (Gross), 1927-; pseud. Barbara Michaels; b. Sept. 29, 1927)

AACR2 22.2B2

Pattern of names seen in books: Barbara Mertz writes books on Egyptian folklore; Barbara Michaels writes fiction

- Name chosen for heading 1: **Barbara Michaels**
- Name chosen for heading 2: **Barbara Mertz**

72

Note that this will need two NAR's, not one. This is part of the point of the exercise.

Slide 73

**Choice of Personal Name
Exercise 3**

670 __ Correspondence with Wayne L. Morse, 1955-1956: \$b t.p. (Thomas O. Ballinger)

670 __ OCLC, May 6, 1996 \$b (hdg.: Ballinger, Thomas O.; usage Thomas O. Ballinger)

Name chosen for heading: **Thomas O. Ballinger**

AACR2 22.1A

73

The answer to this better be easy to figure out!

Slide 74

**Choice of Personal Name
Exercise 4**

670 __ Dynamics of cobalt electrodes in chromic acids electrolytes, 1991: \$b t.p. (Joseph C. Bell)

670 __ Univ. of Virginia list of degree recipients, May 1991: \$b (Bell, Joseph Charles)

Name chosen for heading: **Joseph C. Bell**

AACR2 22.1B

74

Slide 75

**Choice of Personal Name
Exercise 5**

670 __ Inquiries into the circumstances surrounding the release of Robert "Mudman" Simon, 1995: \$b p. 3 (motorcycle gang member and police murderer)

Person is the subject of the work, not the author; not found in any available reference work

LCRI 22.1B; LCRI 22.2A

Name chosen for heading: **Robert Simon**

75

Slide 76

**Choice of Personal Name
Exercise 6**

670 __ The effect of effort allocation information ..., 1991: \$b t.p. (D. Lynne Persing) vita (b. Sept. 25, 1953) leaf 156, etc. (Lynne Persing, Daryl Lynne Persing)

Name chosen for heading: **D. Lynne Persing**

AACR2 22.1B

76

Slide 77

**Choice of Personal Name
Exercise 7**

670 __ _ The gifts of the Spirit, 1998: \$b t.p. (Rev. David Rogerson) cover p. 4 (David Burnham Rogerson, b. Mar. 4, 1824; d. July 5, 1902; clergyman of the United Methodist Church of New Haven)

- NOTE: reprint of 1860 publication *AACR2 22.3A*
- Database research reveals David B. Rogerson, author of a book on bird-watching in 1862; the un-established heading used is Rogerson, David, 1824-
- Cataloger's judgment: same person
Name chosen for heading: **David B. Rogerson**

77

This involves cataloger's judgment.

Don't count the 1998 reprint as an additional item. Consider its original 1860 date as the date for the Gifts of the Spirit.

The bird book is 1862, or the latest publication.

The 1824 birth date is a good clue to assume that this is the same person, so we use the latest date.

Non-contemporary author example

You roll the dice and decide they are one and the same person, so you choose the form of heading based upon the fuller form, since there is not enough evidence to determine predominance.

22.3A last sentence

If no one form predominates, choose the latest form. *In case of doubt about which is the latest form, choose the fuller or fullest form.*

Slide 78

**Choice of Personal Name
Exercise 8**

670 __ _ Bilingualism and mathematics learning, 1991: \$b t.p. (P.C. Clarkson) t.p. verso (Australian CIP hdg.: Clarkson, P. C. (Philip Castledine), 1974-)

Name chosen for heading: **P.C. Clarkson**

LCRI 22.1B

78

Slide 79

**Choice of Personal Name
Exercise 9**

670 __ Re-placing America, 2000: \$b t.p.
(Geraldson) p. 47 (Kimberly
Geraldson) *LCRI 22.1B*

Name chosen for heading: **Kimberly
Geraldson**

79

Slide 80

**Choice of Personal Name
Exercise 10**

670 __ Ye Zimei, 1991 : \$b t.p. (Ye Zimei)
p. 11 (real name: Ye Suqun; b. 1966; an
actress)

Name chosen for heading: **Ye Zimei**

AACR2 22.2B

80

Slide 81

Entry Element

- Surname
- Compound surname
- Surname with separately written prefixes
- Author's preference

81

Up to now, we've been talking about choice of name for heading. Now we wish element formatting for to discuss the entry that name.

Slide 82

Entry Element AACR2
22.4A

- Generally, the entry element for a heading is governed by the individual's language
- If person's preference differs from above, follow that preference
- Most names are inverted, with a comma:
Surname, Forename

82

Authoritative alphabetic lists means publications of the “who’s who” type, not telephone directories or similar compilations.

AACR2 22.4A: Select as entry element the part of the name under which the person would normally be listed in authoritative alphabetic lists in his or her language or country of residence or activity

Generally, the form for personal name headings is governed by the individual's language. For most personal names, the elements are inverted, i.e., the Surname precedes the Forename, separated by a comma

LCRI 22.4: Initial Articles

If the language is not Arabic, Hebrew, Yiddish, or Urdu, retain initial articles at the beginning of the entry element.

For Arabic, Hebrew, Yiddish, or Urdu see the LCRI.

Slide 83

Entry Element AACR2
22.4B

Entry element may or may not be the first element of the name:

Name usage as: **Ram Gopal**
Heading entered as: 100 0 _ Ram Gopal

Name usage as: **Chiang Kai-shek**
Surname: Chiang
Heading entered as: 100 1 _ Chiang, Kai-shek

Name usage as: **Mary Cassatt**
Heading entered as: 100 1 _ Cassatt, Mary

83

If the entry element is the first element of the name, enter the name in direct order.

1st example: is Indian, Ram is descriptive word and first name (no surname used)

2nd example: first element is surname (Chinese)

3rd example: entry element not first element, transpose/invert the elements

If the first element is a surname, follow it by a comma.

If the entry element is not the first element of the name, transpose/invert the elements of the name preceding the entry element. Follow the entry element by a

comma.

Slide 84

Surname

Enter under the surname if it

- contains a surname,
- consists only of a surname,
- contains an element that functions as a surname

AACR2
22.4A & B

100 1 _ Bernhardt, Sarah, \$d 1844-1923
 100 1 _ Mantovani, \$d 1905-1980
 100 1 _ X, Malcolm, \$d 1925-1965

84

If the name does not contain a surname but contains an element that identifies the individual and functions as a surname, enter under this element followed by a comma and the rest of the name.

Enter a name containing a surname or consisting only of a surname under the surname unless subsequent rules (22.6, 22.10, 22.28) provide for entry under different element.

LCRI 22.5A deals with guidelines for Filipino names

Slide 85

Compound Surnames

- Enter under preferred form if known
- If unknown, enter under form found in reference sources in person's language or country of residence or activity
- Rules for the order of entry elements vary according to person's language

AACR2
22.5C2

85

Compound Surnames

Enter a name containing a compound surname under the element by which the person bearing the name prefers to be entered. If this is unknown, enter the name under the element under which it is listed in reference sources in the person's language or country of residence or activity.

LCRI 22.5C2

Spanish: If a Spanish-language author abbreviates the first of the two surnames (the normal entry element), consider that this is an

indication of the person's preference. Make a reference from the first surname.

name used: Luis G. de Valdeavellano

full name: Luis García de Valdeavellano

heading: 100 1# \$a Valdeavellano, Luis G. de \$q (Luis García)

400 1# \$a G. de

Valdeavellano, Luis \$q (García de Valdeavellano)

Hungarian: If a Hungarian name consists of two surnames and the first surname is represented by an initial or an abbreviation, enter the name under the second surname. Make a reference from the first surname.

name: B. Kovács László

heading: 100 1# \$a Kovács, László B.

reference: 400 1# \$a B. Kovács, László

Note: Change existing headings established before November 2000 not in accord with this policy when the headings are needed in current cataloging.

Slide 86

Hyphenated Surnames

AACR2
22.5C3

Enter hyphenated surnames under the first element

100 1 _ Henry-Bordeaux, Paule
100 1 _ Day-Lewis, Daniel

86

22.5C3. Hyphenated surnames

If the elements of a compound surname are regularly or occasionally hyphenated, enter under the first element (see also 22.5E1).

Day-Lewis, C.

Enäjärvi-Haavio, Elsa

Chaput-Rolland, Solange

Henry-Bordeaux, Paule

Lykke-Seest, Hans

Landová-Štychová, Luisa

Slide 87

Hyphenated Compound Surname

100 1 _ Villiers-Tuthill, Kathleen



87

Note that this surname is hyphenated. Sometimes married women use [married name of husband]-- [surname of parent], Susan [forename]

ANIMATION: 100 1 _Villiers-Tuthill, Kathleen dissolves in on click

Slide 88

Other Compound Surnames

Married women whose surname consists of surname before marriage and husband's surname

Entered under first element:
100 1 _ Fernández de Alaíza, María C.

Entered under husband's surname:
100 1 _ Ye Lian, Meiyang

88

22.5C5. Other compound surnames. Married women whose surname consists of surname before marriage and husband's surname. Enter under the first element of the compound surname (regardless of its nature) if the person's language is Czech, French, Hungarian, Italian, or Spanish. In all other cases, enter under the husband's surname. For hyphenated names, see 22.5C3.

In this example, Ye is the husband's surname, therefore it is the entry element, since Chinese is not one of the five listed languages.

Slide 89

Compound Surname Uncertain

Compound surname? 

Treat it as a compound surname unless the person's language is: English, Danish, Faroese, Norwegian, or Swedish

89

If the person's language is English, enter under the last part of the name and do not refer from the preceding part unless the name has been treated as a compound surname in ref sources.

This is especially noticeable in the US, because we have so many different ethnic names, which do use compound surnames. But if they are publishing in the US, in English, then we set them up under the last surname, according to English rules, not the rules of that particular language group. This is rooted in the fact that we are an English-language cataloging agency. A particularly strong example of this is Spanish forms of names of American citizens.

NOTE: Gabriel Garcia Marquez is from Colombia. If he lived and worked in the US, his name would be established under Marquez, not under Garcia Marquez.

If the person's language is Danish, Faroese, Norwegian, or Swedish enter under the last part of the name and refer from the preceding part (example: Olsen, Ib Spang; x-ref: Spang Olsen, Ib

Slide 90

Compound Surname?

the long and perilous journey
a history of the east of atlantic

AACR2
22.5C5
OR 22.5C6

AACR2 22.5C5
AACR2 22.5C6

↑

100 1 _ Buckrich, Judith Raphael 90

Note that this may appear to be a compound surname but it is not hyphenated. According to the rules for English this is entered under the last entry element.

22.5C5. Other compound surnames. Married women whose surname consists of surname before marriage and husband's surname.

22.5C6. Nature of surname uncertain

Apply the rules in the order presented. If you know that 22.5C5 applies, that determines the heading. If not, then apply 22.5C6. For an English-language person, the result is the same.

Heading: Buckrich, Judith Raphael

Slide 91

Words Indicating Relationship

AACR2
22.5C8

- Omit such terms as *Jr., Sr., III, fils, père,* occurring in languages other than Portuguese *unless a conflict exists*
- **BUT:** Treat (*Filho, Junior, Neto, Netto, or Sobrinho*) following a Portuguese surname as part of the name

91

Note in this case the Roman numeral III is considered the same as Jr. or Sr.

John Jacob Astor IV

Because of the process of elimination; AACR2 22.15, AACR2 22.15C, and AACR2 22.20. Policy office considers III the same as Jr., etc. Can it ever be used? Yes, but it would be a last resort to break a conflict that can't be broken any other way or if the author insists that it is part of his name. It would be in a \$c per MARC21 there is an example, used only when the name is coded as a surname. Per Ana Cristan, Policy Off., 2/5/2009

Slide 92

Surnames with Prefixes

AACR2 & LCRI
22.5D

- Determine nationality and language
- Entry element based on how name is listed in reference sources in that language or country of residence or activity

92

Reference sources are alphabetically-arranged, such as encyclopedias, biographical directories, etc.

Slide 93

Surnames with Articles and Prepositions

AACR2
22.5D1

Rule contains language-specific instructions

100 1 _ Van Buren, Martin (English)
 100 1 _ Le Hégarat, G. (French)
 100 1 _ Zum Winkel, Detted (German)
 100 1 _ Las Heras, Manuel Antonio (Spanish)
 100 1 _ Fonseca, Martinho Augusto da (Port.)
 100 1 _ Da Ponte, Lorenzo (Italian)

93

When the first work of a Dutch author is in English, nonetheless, treat him/her under the “Dutch” provisions of the rule (LCRI 22.5D1)

Slide 94

LANGUAGE	PREFIX	ENTER UNDER
English	À, D', De, De la, Du, Le, Van, Von, etc.	Prefix
French	La, Le, Du, Des	Prefix
	Preposition alone: D', De	Part following Preposition
German	Article or Article/Preposition Contraction: Zum, Vom	Prefix
Italian	Modern names: A, D', Da, De, Del, Della, Di, Li, Lo	Prefix
Spanish	Article only	Prefix
Portuguese	Da, Dos	Part following prefix

These are just some of the languages covered in the rule.

Question for Bron, etc.: Should this be one of the sheets in the appendix and not the chart? Refer to it in the PPT?

Slide 95

Different Languages

AACR2
22.5D

- If person used 2 or more languages, enter under predominant language
- In case of doubt, follow rules for **English** if English is one of the languages
- If person has changed countries, follow rules for the language of the adopted country
- Last resort: follow rules for language of name

95

Basically, this cites the text of the rule.

Slide 96

Name Appears non-English

- Item written in English
- Item published in the U.S. or another English-language country

✓ *Treat author as if his/her language is English*
100 1 _ Von der Porten, Edward P.
Do not code heading as provisional

96

For a German-language name like this one, the German rules say to put under the last name, and the English rules say to put it under the prefix. So in the U.S., this gets set up under Von.

Slide 97

Name Appears non-English

- Item written in English
- Item published in U.S./English-language country
- Cataloger judges **author's language is not English**

✓ *Treat his/her language as not being English*
Code heading as provisional

97

e.g.: Vita indicates author is native to Thailand and is temporarily in the US

For example: A Thai author published an English book in the U.S. Cataloger judges author's language is Thai. Thus we code the heading provisional if no Thai romanization form was found.

Slide 98

Name Appears non-English

- Item written in English
- Item published in English in a non-English language country

✓ *Treat author as if his/her language is NOT English*

If author's native language requires diacritics that do not appear on the item, Code the heading as provisional

98

This can be confusing, but it is an exercise of cataloger's judgment.

Slide 99

Surnames with other Prefixes

- If the prefix is
 - neither an article
 - nor a preposition
 - nor a combination of the two
- Enter under the prefix
 - 100 1 _ Ben Ma'yr, Berl
 - 100 1 _ Ó Faoláin, Seán
 - 100 1 _ 'Abd al-Ḥamīd, Aḥmad

AACR2
22.5D2

99

NOTE: most of these prefixes mean "son of"; Abd means "servant of".

Slide 100

**Surnames with Prefixes :
Hyphenated/Combined**

- If prefix is
 - hyphenated **OR**
 - combined with the surname
- Enter under prefix
 - 100 1 _ Fon-Lampe, A. A.
 - 100 1 _ FitzGerald, David

AACR2
22.5E

100

When prefix is hyphenated or combined with the surname, enter under prefix. As required, refer from the part of the name following the prefix (x-ref. required for: Fon-Lampe, A. A.; but no x-ref for: FitzGerald, David)

Slide 101

Given Name AACR2 & LCRI
22.8

- Enter under given name if
 - No surname given
 - And listed in reference sources under given name
- Include any extra words as part of name if commonly associated with the name
 - 100 0 _ Leonardo, \$c da Vinci, \$d 1452- 1519
 - 100 0 _ John, \$c the Baptist
 - but*
 - 100 0 _ Marie de l'Incarnation

101

22.8A1.

Enter a name that does not include a surname and that is borne by a person who is not identified by a title of nobility under the part of the name under which the person is listed in reference sources. In case of doubt, enter under the last element, following the instructions in 22.5B. Include in the name any words or phrases denoting place of origin, domicile, occupation, or other characteristics that are commonly associated with the name in works by the person or in reference sources. Precede such words or phrases by a comma. Refer, as appropriate, from the associated words or phrases, from variant forms of the name, and from other names by which the person is known.

LCRI 22.8 gives guidance on Ethiopian, Somalian, and Congolese names.

LCRI 22.8A1 gives more guidance on words or phrases denoting place of origin, domicile, occupation, etc.

Generally, this rule requires a comma between the name and an associated phrase. Note, however, that in languages other than English there are examples of a single name that cannot be broken down into the components "name" and "phrase." Do not punctuate these with a comma. (However, make a reference from the form using a comma.) Several examples are furnished by the headings for Carmelites and certain other religious who formerly took a name in religion that combined a forename with the name of a saint, of a dogma, or of some event in the life of Jesus or Mary.

100 0# \$a Marie de l'Incarnation

400 0# \$a Marie, \$c de l'Incarnation

Slide 102

Title of Nobility

AACR2
& LCRI
22.6

- Enter under the proper name of his title
- Followed by the person's name in direct order
- Followed by the term of rank

100 1 _ Wellington, Arthur Wellesley, \$c
Duke of, \$d 1769-1852

102

Emphasize commonly known by title requirement for this heading form.

If not commonly known by title, ????

22.6A1.
Enter under the proper name in a title of nobility (including courtesy titles) if the person is commonly known by that title.

Apply this rule to those persons who: use their titles rather than their surnames in their works

or b) are listed under their titles in reference sources.

Follow the proper name in the title by the personal name (excluding unused forenames) in direct order and the term of rank *in the vernacular*. *Omit the surname and term of rank if the person does not use a term of rank or a substitute for it. Refer from the surname (see 26.2A3) unless the proper name in the title is the same as the surname.*

LCRI 22.6

The application of the basic provisions of this rule often results in a form of name for a person of nobility that is not the form most commonly found in the chief sources of information of that person's works. Therefore the Duke of Wellington whose personal name was Arthur Wellesley is entered under the proper name of the title "Wellington. Then follow by the person name in direct order then follow by rank.

Apply 22.6 to persons of nobility who are known primarily as authors and who use on their works only a term of rank and their title without forenames. If person not primarily known as author consult ref sources. Directive on "excluding unused forenames"

Slide 103

Element Treated as Surname

- *In case of doubt*, enter under the last element as if it were a surname
- If person is listed in reference sources by a part of the name other than the first, treat that element as a surname

100 1 _ Planudes, Maximus, \$d ca. 1260-ca. 1310

AACR2
22.8A

103

22.8A1 in case of doubt clause: for example, if there were doubt about Leonardo da Vinci or Judas Iscariot, they would be entered under the last element following instructions in 22.5, e.g. Vinci, Leonardo da or Iscariot, Judas.

LCRI 22.8A2: If a person is most commonly known only by given names and the name is entered under an element other than the first, treat the name as a surname when determining which additions are appropriate for inclusion in the heading.

AACR2 22.8B has rules for names including a patronymic. AACR2 22.8C deals with names for royal person. If the name by which a royal person is known includes the name of a royal house, dynasty, territorial designation, etc., or a surname, enter the name in direct order. Add titles as instructed in 22.16A.

Slide 104

Entry Element : Phrase

- Enter a name consisting of a phrase or a characterizing word or phrase in direct order
100 0 _ Boy George
100 0 _ Calamity Jane
- Add a qualifier if needed
100 0 _ River \$c (Writer)
100 0 _ Taj Mahal \$c (Musician)

AACR2
& LCRI
22.11

104

22.11A lists several kinds of phrases:

name that consists of a phrase or appellation that does not contain a forename: enter in direct order
phrase that consists of a forename or forenames preceded by words other than a term of address or a title of position or office: enter in direct order

If, however, such a name has the appearance of a forename, forenames, or initials, and a surname, enter under the pseudosurname. Refer from the name in direct order.

Other, A.N.

x A.N. Other

If such a name does not convey the idea of a person, **add in parentheses** a suitable designation in English

River (Writer) ; no comma after river or before dollar sign.

Other examples:

Father Time

Dr. X

50 cent \$c (Musician)

Slide 105

Entry Element : Phrase Exception

Enter under forename when forename is preceded by a term of address or title

Tante Marcelle
100 0 _ Marcelle, \$c Tante

Cousin Fannie
100 0 _ Fannie, \$c Cousin

Chef Pierre
100 0 _ Pierre, \$c Chef, \$d 1933-

AACR2 & LCRI 22.11

105

22.11B. If a phrase consists of a forename preceded by a term of address (e.g., a word indicating relationship) or a title of position or office (e.g., a professional appellation), enter under the forename. Treat other word(s) as additions to the forename(s). Refer from the name in direct order.

Note: all of these get entered directly in cross-references. Emphasize that this must be how the person is *commonly known*. Other example: Grandma Moses

Slide 106

Characterizing Word or Phrase or Phrase Naming Another Work by a Person

100 0 _ Author of A fallen angel

AACR2 & LCRI 22.11D & App. A.2B



Enter directly under the characterizing word or phrase or phrase naming another work by a person **ONLY** for persons whose names are unknown (cf. 21.5C), not to persons whose names are known (cf. 21.4A).

APPENDIX A.2B
“CAPITALIZATION OF WORDS OR PHRASES CHARACTERIZING PERSONS.

Alternate example: Man of No Party

ANIMATION: 100 0 _ Author of A

fallen angel dissolves in on click.

Slide 107

Entry Under Initials, Letters, or Numerals

Rule for names consisting of initials, separate letters, or numerals – enter in direct order

100 0 _ H. D. \$q (Hilda Doolittle), \$d 1886-1961

100 0 _ A. de O.

100 0 _ 61648 \$c (Writer)

100 0 _ 3-2 \$c (Rap vocalist)

AACR2 & LCRI 22.10

107

LCRI 22.10 gives further guidance on spacing and on the kinds of references that should be made.

AACR2 22.9 – Entry of other names – special rules for Roman and Icelandic names. Read them if you deal with those names.

NOTE that the fourth example is qualified because he is a musician, which requires a qualifier.

Slide 108

Additions to Name : No Conflict

- Fuller form
- Dates
- Entry under given name: royalty & royal relatives
- Entry under given name: popes, bishops, other persons of religious vocation

108

Remember that name authority records must give unique headings to the names we establish. If names appear to be the same, it's a conflict. The rules and rule interpretations tell us to add certain elements to names when there is a conflict and sometimes in the absence of conflict.

The following slides show the additions required by the rules even when there is no conflict.

Remind audience that Fuller form is equal to dates– and must be added when known.

Slide 109

**Additions to Name :
Fuller Form Of Name**

AACR2 &
LCRI 22.18

Add fuller form (in parentheses) to names that contain initials or abbreviations when the full form is known with certainty.

Do not search solely to discover this information when there is no conflict

109

LC applies the option in AACR2 to add the fuller form of name to names with initials or abbreviations when the name is known at the time of creation even if there is no conflict in the database.

Slide 110

**Additions To Names :
Fuller Form of Name**

AACR2 &
LCRI 22.18

Initials in given name:

100 1 _ Browning, B. L. \$q (Bertie Lee), \$d
1902-1999

100 0 _ M. Alicia \$q (Mary Alicia), \$c Sister,
S.C.N.

110

2) If the initial occurs in the name entered as a given name, etc., give in the parenthetical addition all the names that appear in the heading. Place the parenthetical addition directly after the given name and before any other addition (e.g., date, title).

3) For names that are represented in the heading by an abbreviation rather than an initial (cf. LCRI 22.1B), give in the parenthetical addition the full name for the particular person.

Slide 111

**Additions to Names :
Fuller Form of Name**

Abbreviated name: AACR2 &
LCRI 22.18

100 1 _ Brownridge, Wm. \$q (William)

100 1 _ Fdez.-Rivera García, Manuel \$q
(Fernández-Rivera García)

111

Note: You have to have actual evidence that Wm. stands for William. You can't just add the qualifier on the assumption that it does.

Xref: 400 1_ \$a Brownridge,
William

Slide 112

 <p style="text-align: center;">Essential cataloguing</p> <p style="text-align: center;">J. H. Bowman</p>	<p>p. 4 of cover</p> <p>John Bowman is Programme Director for Library and Information Studies at the School of Library, Archive, and Information Studies, University College London.</p>
--	--

100 1 _ Bowman, J. H. \$q (John H.)

670 _ _ Essential cataloguing, 2003: \$b t.p. (J.H. Bowman) cover p. 4 (John Bowman; librarian, professor)

112

Actual evidence that the forename initial “J” stands for “John” comes from the page 4 of cover.

ANIMATION:

100 1 _ Bowman, J. H. \$q (John H.)
670 _ _ Essential cataloguing, 2003: \$b t.p.
(J.H. Bowman) cover p. 4 (John Bowman;
librarian,
professor)

dissolves in on click.

Slide 113

**Additions to Names :
Fuller Form of Name**

Initials in forename

100 1 _ Flam, F. A. \$q (Floyd A.)

but: LCRI
22.18

100 1 _ Beruete y Moret, A. de
\$q (Aureliano), \$d 1876-1922

Not \$q (Aureliano **de**)

113

If the initial occurs in the forename portion of the surname-forename heading, give in the parenthetical addition not only the full form but also the other forenames that appear in the forename portion of the heading. However, do not include a particle or prefix that appears in the forename portion when the prefix appears at the end. Place the parenthetical addition directly after the forename portion and before any other addition (e.g., date, title).

Slide 114

Additions to Names : Dates

AACR2 & LCRI
22.17

Apply optional provision: This means adding a date whenever it is known (to new headings)

<p>Pre-20TH Century Persons:</p> <p>anyone who lived before, or primarily before, 1901</p>	<p>Post-19TH Century Persons:</p> <p>anyone who has died since Dec. 31, 1900</p>
---	---

114

22.17 has an option:

Optionally, add date(s) to any personal name, even if there is no need to distinguish between headings.

LCRI 22.17: Apply the optional provision. This means adding a date whenever it is known (to new headings that do not conflict).

Slide 115

Additions To Names : Pre-20th Century Persons

- Dates can be less precise than 20th or 21st century person's dates
- Can use fl. dates or single fl. date in exceptional cases
- Can use century dates
- May require research

AACR2 & LCRI
22.17

115

“Fl.” stands for “Flourish”

Slide 116

Additions To Names : Pre-20th Century Persons

1706-1790
ca. 1550-1633?
d. 1617?
b. 1812
d. 1415 or 6
fl. 1559-1570
fl. 1621
16th cent.
jin shi 1152

AACR2 & LCRI
22.17

116

Use precise dates or approximate dates when known. Can also use years of activity or century dates.
fl.= years of activity

Century = century when years of birth and death and years of activity are unknown but century of activity is known.

Use year of birth preceded by “b. or “d.” when it is known that the person is no longer living, but only the birth or death year is known (either exactly or approximately).

Note that a more detailed, comprehensive list of possibilities can be found in the rules.

Slide 117

**Additions To Name :
20th/21st Century Persons**

Use precise dates

- Add birth date if known (1969-)
- Add birth and death dates if both known (1912-1990)
- Add death date if just that is known (d. 1981)

AACR2 & LCR1 22.17

117

LC applies the option in AACR2 22.17 to add the date to the heading whenever that date is available. There is no requirement that you search for a date if the heading being established does not conflict. If you find the date in the normal course of cataloging a work, use it. Also be sure to stress that no decision has been made for 21st century authors as there is not yet a “critical mass.” The reason for the restriction is to avoid research; however technology has made that less onerous.

Dates with “b.” imply that the person is known to be dead but the death date is unknown and you are unlikely to be able to find out what it is. Open dates imply that the person was alive at the time the heading was created, nothing more.

Slide 118

**Additions To Name :
Adding Dates** AACR2
22.17

Smith, John, 1924-	Living person (at time heading was set up)
Smith, John, 1900 Jan. 10-	} Same name, same year
Smith, John, 1900 Mar. 2-	
Smith, John, 1837-1896	Both years known
Smith, John, b. 1837	Death year unknown
Smith, John, d. 1859	Birth year unknown
Smith, John, 1837?-1896	Probable year of birth
Smith, John, ca. 1837-1896	Approx. year of birth
Smith, John, 1837-ca. 1896	Approx. year of death
Smith, John, ca. 1837-ca. 1896	Both years approx.
Smith, Carl F., fl. 1893-1940	Some years of activity known

118

AACR2 22.17 has good examples of pre 20th century and also 20th/21st century persons.

Slide 119

**Additions To Names :
Death Dates** LCRI
22.17

- *Policy change as of Feb. 2006*
- **Optionally**, add death dates to headings that have open birth dates
- *Do not* add dates to existing headings without any dates, unless the heading must be revised later for some reason

Ghostley, Alice, \$d 1926-2007

119

If an existing heading is not in conflict, and has no dates, you should not add dates to the heading itself. You may add new information in the 670.

This is a long-standing NACO policy.

According to a policy change in February 2006, catalogers may exercise the option to add death dates to established headings that contain birth dates only.

Slide 120

**Additions To Names :
Given Name, Royalty**

- Add to name of person a phrase consisting of a person's title (in English if possible)
- And the name of state or people *in English*



100 0 _ Diana, \$c Princess of Wales, \$d 1961-1997

120

The AACR2 footnote 15 says: Persons with such highest status are kings and queens, persons of imperial rank (emperors and empresses) and persons with titles which denote such a status within a state or people (grand-dukes, grand-duchesses, princes, princesses, etc.). Rank is the only determining factor in applying these rules not the degree of authority or power wielded by the person.

Slide 121

**Additions To Names :
Given Name, Religious Officials**

AACR2 & LCRI
22.16B-D

Add identifying title, if possible, *in English*

- Popes – ALWAYS use Pope
- Bishops, cardinals, archbishops, etc.
- Other persons of religious vocation

100 0 _ Benedict \$b XVI, \$c Pope, \$d 1927-

121

Catalogers may refer to a special tutorial on religious names prepared by Judy Knop of the ATLA, American Theological Library Association.

Give link here.

Slide 122

**Additions To Names :
No Conflict**

AACR2 & LCRI
22.13-14

- Saints:
 - 100 0 _ Teresa, \$c of Avila, Saint, \$d 1515-1582
- If conflict, add a suitable word or phrase:
 - 100 0 _ Augustine, \$c Saint, Archbishop of Canterbury
 - 100 0 _ Augustine, \$c Saint, Bishop of Hippo
- Spirits:
 - 100 1 _ Presley, Elvis, \$d 1935-1977 \$c (Spirit) ¹²²

Good place to note that a \$c subfield can have more than one word or phrase connected to a name, and will then have appropriate punctuation.

22.13A.

Add *Saint* after the name of a Christian saint, unless the person was a pope, emperor, empress, king, or queen, in which case follow 22.16A-22.16B.

22.13B.

Add any other suitable word or phrase necessary to distinguish between two saints.

Augustine, Saint,
Archbishop of Canterbury
Augustine, Saint, Bishop of
Hippo

LCRI 22.13B. Determine the uniqueness of the name of a saint from a reference source (e.g., Holweck's A Biographical Dictionary of the Saints). If the name is not unique, add a "suitable word or phrase" to the heading even if the dates are available.

22.14A.

Add (*Spirit*) to a heading established for a spirit communication (see 21.26).

LCRI 22.14A. If the spirit is

supposed to be that of a real person, establish the heading for the person (unless he or she is already established) and add the word "(Spirit)" to the complete heading for the person.

Note: The qualifier (Spirit) comes after any dates used for the real person. e.g. **Beethoven, Ludwig van, 1770-1827 (Spirit)**

Slide 123

**Additions To Names :
No Conflict**

AACR2
& LCRI
22.15

- Names entered under surname:
 - 100 1 _ Babb, \$c **padre**
 - 100 1 _ Seuss, \$c **Dr.**
 - 100 1 _ Moses, \$c **Grandma**, \$d 1860-1961
- Terms of address of married women:
 - 100 1 _ Ward, Humphry, \$c **Mrs.**

123

22.15A.

If the name by which a person is known consists only of a surname, add the word or phrase associated with the name in works by the person or in reference sources. As required, refer from the name in direct order.

22.15B.

Add the term of address of a married woman if she is identified only by her husband's name. Add the term after the last element of the husband's name.

Slide 124

Exercises



124

For these next four exercises, ask attendees to select the form of name, plus the automatic additions.

Slide 125

OCLC Personal Name Authority Exercise 1

ARN NEW

Rec.stat	n	Entered [system supplied]						
Type	z	Und status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	n	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	a	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC

100 1_ Pérez Carrasco, Fco. Javier \$q (Francisco Javier), \$d 1951-

AACR2 22.5C2

670 __ Health statistics of the population of Guadalajara, 1992: \$b t.p. (Fco. Javier Pérez Carrasco) verso t.p. (Francisco Javier Pérez C.) introd. (b. Mexico City; May 16, 1951)

Add notes

Slide 126

OCLC Personal Name Authority Exercise 2

ARN NEW

Rec.stat	n	Entered [system supplied]						
Type	z	Und status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	n	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	a	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC

100 1_ Della Valle, Adriano

AACR2 22.5D1 modern Italian

670 __ Delle persone e della famiglia, c1989: \$b t.p. (Adriano Della Valle)

Caution: nationality is Italian

If this were an Italian-American, the entry would be under Valle, Adriano della.

Slide 127

OCLC Personal Name Authority Exercise 3

ARN NEW

Rec.stat	n	Entered [system supplied]						
Type	z	Und status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	n	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	a	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC

100 1_ Zum Brunn, Emilie, \$d 1922-

Because author is German, apply AACR2 22.5D.

670 __ Maître Eckhart, c1984, \$b t.p. (Emilie Zum Brunn) p. 4 of cover (b. 1922, Thoune, Suisse)

Caution: nationality is German

Add notes...

Slide 128

OCLC Personal Name Authority Exercise 4

ARN NEW

Rec.stat	n	Entered [system supplied]			
Type	z	Ind.status	a	Encl.lvl	n
Source	c	Ref.status	n	Mod.rec	n
Name.use	a	Auth.status	a	Subj	a
Subj.use	a	Auth.ref	a	Geo.subd	n
Ser.use	b	Name	a	Subd.type	n
Rules	c				

040 __ MARC \$b eng \$c MARC
100 1 _ Golden-Bentley, Corrinne

AACR2 22.5C3 (hyphen)

670 __ Parental links to antisocial and delinquent...1993: \$b t.p.
(Corrine "Kim" Golden-Bentley)

Add notes...

Slide 129

Duplicates and Conflicts

What To Do?



129

Working in a live database, what will you find?
 Duplicates
 Conflicts

Slide 130

Duplicates

When 2 or more NARs exist for the *same* person

- Solution: keep one NAR and delete others
- Copy all extra information into NAR that you are keeping

130

Before dealing with conflict, be sure that it is not a duplicate. Sometimes the duplicates are the exact same form and sometimes there are duplicate NAR's with slightly different headings for the same person. Regardless, these are not conflicts, but something that has to be cleaned up.

How to handle duplicates:
 Do not agonize! Traditionally, we keep the one with the fullest information. However, add useful information from the one you are deleting, regardless of which one you keep. Cataloger's judgment

must be used when deciding which heading to keep. Remember the impact on BFM!

Be sure to notify the Cooperative Programs Section of BFM, and remember to send the LCCN's of the affected records, not the OCLC numbers!

Slide 131

Conflicts 

When there are 2 *different* persons with the identical form of name

- Solution: break the conflict with additions to name
- Create undifferentiated name authority record

131

In this situation, the cataloger must try to break the conflict. This would involve checking the work being cataloged again to see if further information is found somewhere in it that can be used to break the conflict. Other possibilities include searching the OCLC database to find other works and see if there is information on headings or other forms that can be used. The cataloger could call or email the author or the author's publisher if they can find that information. Reference sources can be consulted, websites searched, etc. If the cataloger is unable to break the conflict then the existing NAR must be converted into an undifferentiated name.

Slide 132

Conflicts : Four Situations

- New 100 vs. Established 100
- New 400 vs. Established 100
- New 100 vs. Established 400
- New 100 NAR vs. Bibliographic 100 or 700 form for which no NAR exists

132

Remind the students that these are assumed to be different people.

Summary of situations:

1st bullet: Preferable to add info to the new NAR heading, leaving the old one alone is possible.

2nd bullet: Normalization rules do not permit this kind of conflict. Break the conflict by adding to the 400 reference (preferable) or by changing the 100 on the existing NAR. If no information is available for either, change the 400 on the new NAR to a 500.

3rd bullet: there are several ways to break this conflict (normalization rules don't allow this type of conflict). Break the conflict either by adding to the 400 on the existing NAR if information is available for it, or by adding to the new heading if information on it is available. If there is no way to break the conflict, change the 400 to a 500.

Remember that you always want to modify the 4XX in preference to the 1XX.

4th bullet: This is a conflict, but it does not require action from you. Catalogers are not required to break conflicts with names on bibliographic records for which no NARs yet exist. This is a rare situation, which generates questions. The point to remember is that you do not have to change the existing bibliographic record access points just because they conflict with a new NAR.

Slide 133

Options for Resolving Conflicts

AACR2 &
LCRI
22.17-20

1. Modify new heading
2. Modify established heading
3. Make an undifferentiated name

133

This is the prescribed order for handling conflict. It is always preferable to modify the new heading. Try to avoid modifying established headings (because of BFM!) or making undifferentiated headings.

Slide 134

Resolving Conflicts: 20th/21st Century Persons

Add, in order of preference:

AACR2 &
LCRI
22.17-20

1. Fuller form of name
2. Date (other than a fl. or cent. date)
3. Distinguishing term, term of address or honor associated with name and presented formally with the name

134

Note: Should be Resolving Conflicts 20th cent. persons

LCRI 22.17-20: Go over these in the LCRI with the class

1) f both fuller form and date, add both.

b) Do not go beyond making a routine telephone call to a place within the continental U.S. or searching the cataloger's reference collection to determine the date

100 0_ Madonna, \$c 1958-

c) Term must appear *in a prominent source* (cf. AACR 0.8) in items by the person or *with the name in headings in reference sources*. This means that the term or phrase has to appear prominently with the name. You cannot take a term or phrase as a conflict resolver if the term or phrase does not appear with the name as described above.

100 1_ Brown, George, \$c Rev.

100 0_ Smith, John, \$c Dr.

Note also though that 22.19A1 allows the cataloger to devise a suitable brief term for names entered under given name:

100 0_ Nelly \$c (Rapper)

When making the addition to a given name/forename, etc., add the term of address or descriptive phrase within parentheses. When making the addition to a surname, use a comma to separate the name and the term of address or descriptive phrase.

t.p.: a merchant of York

signed on p. 7: T.H.

heading: 100 0# \$a T. H. \$c (Merchant of York)

N.B.: You cannot use the terms: actor, editor, producer, author, etc. in a heading for a 20th century person to break a conflict because these are terms that can be used to describe almost anyone and do not help in distinguishing one person from another.

Slide 135

Resolving Conflicts: 20th/21st Century Persons

AACR2 & LCRI
22.17-20

4. Full forename or surname *neither* used *nor* represented by initials in the heading

100 1 _ Smith, John \$q (John Edward)

5. Full forename when forename chosen for the heading is a nickname

100 1 _ Smith, Johnny \$q (John Edward)

Go over these in the LCRI with the class

Smith, John (John Edward) is an example of #4. Edward is actually a middle name, but it considered (in AACR2 terms) a forename element.

Smith, Johnny (John Edward) is an example of #5

Slide 136

Resolving Conflicts: 20th/21st Century Persons

AACR2 & LCRI
22.17-20

6. A "flourished" date – **not for 20th/21st century**

7. A century date – **not for 20th/21st century**

136

Go over these in the LCRI (LCRI 22.17-22.20 and 22.17) with the class

Slide 137

**Resolving Conflicts:
Pre-20th Century Persons**

AACR2 & LCRI
22.19

If dates NOT known, resolve conflict with:

Term of address	T.H. \$c (Merchant of York)
Descriptive phrase	Webb, William, \$c gentleman
"Flourished" date(s)	Johnson, Carl F., \$d fl. 1893-1940
Century date(s)	Joannes, Diaconus, \$d 12 th cent.

137

The additions listed above are given in general order of preference. Prefer terms of address and descriptive phrases appearing with the name on the chief source of information over those found elsewhere in the item, and prefer terms and phrases found in the item over those in reference sources. When a descriptive phrase is long or complex and would result in an awkward addition to the heading, prefer the fl. or cent. date(s).

When the addition is made to a **given name**, the term of address or descriptive phrase is added in parentheses. When the addition is made to a **surname**, a comma is used to separate the name and the term of address or descriptive phrase. In the T. H. (Merchant of York) example above, the cataloger is not able to determine whether T. H. is a surname or forename.

Slide 138

Additions To Names : Conflict

LCRI 22.19

Musicians: a word designating a musician's occupation may be used as a qualifier when conflict cannot be broken any other way

100 1 _ Roberts, Marcus, \$c pianist

100 1 _ Baker, Sharon, \$c soprano

138

When no other means is available for distinguishing between a musician and another person with the same name for whom a heading is already established (including changing the existing heading), a word designating a musician's occupation, such as "violinist," "keyboard player," or "soprano," may be used as a qualifier. The term *used should be in English and in the form of an agent noun*, e.g., "oboist" for one listed as playing the oboe.

Qualifiers following names entered under surname are ordinarily taken from a source and separated only by a comma. In the case of musicians it is not necessary that the distinguishing term appear with the

name in the source. The term may be taken from any where in the item.

Musician is another term that can be used unless there is a more descriptive term.

Change a currently undifferentiated heading to one with such a qualifier when it is being used on a new bibliographic record. If a qualifier later appears to give a seriously inaccurate characterization of the musician, change the heading by 1) the addition of a date, 2) the addition of a fuller form of name, or 3) changing the qualifier.

Slide 139

**Additions To Names : Conflict
Given Name**

AACR2 &
LCRI
22.19A

If fuller form of name nor dates are available

Devise a suitable brief term and add it in parentheses

100 0 _ Thomas \$c (Anglo-Norman poet)
100 0 _ Hidayätullah \$c (Librarian)

139

Do not dwell upon these with any length.

Forename entry: qualifiers are separated from the name by parentheses and are always devised by the cataloger

Slide 140

Additions To Names : Conflict

Biblical Figures: Use the term "Biblical figure" or "Biblical" plus the designation of the major biblical category that fits the person

100 0 _ Miriam \$c (Biblical figure)

100 0 _ Jonah \$c (Biblical prophet)

LCRI 22.19

140

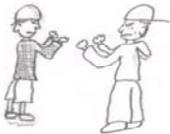
This is a rare situation as well, and in fact most common Biblical figure are already established.

LCRI 22.19: "When the heading for a mortal mentioned in the Bible conflicts, and the conflict cannot be resolved by the addition of another qualifier (e.g., 22.8A1, 22.13A), add in parentheses the term "Biblical" plus the designation of the major Biblical category that fits the person (e.g., "(Biblical prophet)," "(Biblical patriarch)."

If the person does not fit one of the major Biblical categories, use "(Biblical figure)."

Slide 141

What If Conflicts Cannot Be Resolved?



141

Slide 142

Can't Resolve Conflict?

AACR2 22.20

If the conflict cannot be resolved, create an undifferentiated name authority record

Multiple persons under one NAR

142

NOTE that this is a last resort. Undifferentiated NARs are created only for personal names (AACR2 22.20) and are created only after exhausting the possibilities listed in RIs (22.17-20) for breaking conflicts (20th/21st century persons and pre-20th century persons)

On the next slides, we will be looking at the NAR and how to construct an undifferentiated NAR.

Slide 143

NAR : Undifferentiated

Fixed field: NAME (008/32) = **b**

100 1 _ Miller, Robert

670 _ [Author of The primary schools of Mexico]

670 _ The primary schools of Mexico, 1984: \$b t.p. (Robert Miller)

670 _ [Editor of Fishing in Maine]

670 _ Fishing in Maine, 2003: \$b t.p. (Robert Miller)

675 _ Contemporary authors; ~~\$a~~ Biog. dict. of Amer. educ., 1978

143

Undifferentiated headings: 008/32 (“Name:” in OCLC) is coded “b” for undifferentiated names.

1) Undifferentiated NARS contain 2 sets of 670s for same item/person represented on the record. The first 670 is in brackets and states the function of the person in question and contains no subfield “\$b”.
 2) The second 670 is triggered by the item in hand and is given as per usual. Additional 670s can be added for other titles/reference works, if useful, even though these sources do not contain information that will resolve the conflict but would show the scope of the author’s varied writings.

Example:

[Author of Old lace]

670 Old lace, 1998: \$b t.p. (Bill Jones)

670 Desert rates, 1999: \$b (Bill Jones) Jkt. (pseud. of well-known writer of works on finance)

3) An Undifferentiated NAR should usually include at least one 670 or 675 source citation from an appropriate reference source, indicating that some research was done to try to resolve the conflict. The 675 field is not repeatable, so all sources consulted get listed in one 675 (with multiple \$a subfields)

FAQ: The NACO homepage has an excellent FAQ on 670’s and undifferentiated names.

Slide 144

Changing Undifferentiated to Differentiated Name	
100 1 _	Miller, Robert
670 _ _	[Author of The primary schools of Mexico]
670 _ _	The primary schools of Mexico, 1984: \$b t.p. (Robert Miller)
670 _ _	[Author of Fishing in Maine]
670 _ _	Fishing in Maine, 2003: \$b t.p. (Robert Miller)
675 _ _	Contemporary authors; \$a Biog. dict. of Amer. educ., 1978

Differentiating two names:

- 1) If information becomes available about one of the persons that allows you to differentiate them, remove the **fields** related to the person for whom a new authority can be established.
- 2) If there is now just one person remaining on the existing record, delete the 670 that has the bracketed caption for that person.
- 3) Change the value in the 008/32 fixed field "Name:." from 'b' to 'a.'

Slide 145

Result of Establishing New Name	
Existing NAR (n 84012345)	
100 1 _	Miller, Robert
670 _ _	The primary schools of Mexico, 1984: \$b t.p. (Robert Miller)
675 _ _	Contemporary authors; \$a Biog. dict. Of Amer. educ., 1978
New NAR (no2004038227)	
100 1 _	Miller, Robert, \$d 1946-
667 _ _	Formerly on undifferentiated name record: n 84012345
670 _ _	Fishing in Maine, 2003: \$b t.p. (Robert Miller)
670 _ _	New England fishing guide, c2004: \$b t.p. (Robert Miller) jkt. (b. May 29, 1946)

- 1) When a name is deleted from the undifferentiated NAR because information is now available to resolve the conflict, always make a new authority record for that person.
- 2) On the record for the person that was pulled off of the undifferentiated record, you need to add a 667 field with a note as shown above (see DCM Z1 008/32).
Example: 667 \$a Formerly on undifferentiated name record [LCCN of undifferentiated name record]
- 3) Add an additional 670 citation to the new NAR for the source that gave you the information you used to differentiate this name.

Slide 146

Special Rules for Names in Certain Languages

- Arabic alphabet
- Burmese and Karen names
- Chinese names
- Indic names
- Indonesian names
- Malay names
- Thai names
- North Indian names

AACR2 &
LCRI
22.22-22.28

146

22.21A.

The preceding rules in this chapter give general guidance for personal names not written in the roman alphabet and for names in a non-European language written in the roman alphabet.

These rules are specific to these languages, and you need to read them if you work in these languages. We are not discussing them in class.

Slide 147

Exercises

Adding qualifiers, terms of address, and dates to headings: \$q, \$c, and \$d subfields



147

Please take about 10 minutes to do these next few exercises where you will make any additions necessary to the headings

Slide 148

OCLC Personal Name Authority Exercise 1

[NEW]							
Rep	stat	n	Entered [system supplied]				
Type	z	Upr	status	a	Enc	lvl	n
Roman	■	Ref	status	n	Mod	rec	n
Govt	agn	Auth	status	a	Subj		a
Series	n	Auth/ref	a	Geo	subd	n	b
Ser	num	Name	a	Subd	type	n	c

040 __ MARC \$b eng \$c MARC
100 1 _ Bell, Joseph C. \$q (Joseph Charles)

AACR2 & LCRI 22.18

670 __ Dynamics of cobalt electrodes in chromic acids electrolytes, 1991: \$b t.p. (Joseph C. Bell)
670 __ OCLC database, May 2, 1992: \$b (hdg.: Bell, Joseph Charles)

Slide 149

OCLC Personal Name Authority Exercise 2

ARN NEW
 Rec.stat n Entered [system supplied]

Type	z	Upld status	a	Enc. lvl	n	Source	c
Roman	■	Ref. status	n	Mod. rec.	n	Name use	a
Govt. agn	■	Auth. status	a	Subj	a	Subj use	a
Series	n	Auth./ref	a	Geo subd	n	Ser. use	b
Ser. num	n	Name	a	Subd. type	n	Rules	c

040 __ MARC \$b eng \$c MARC
 100 1 _ Persing, D. Lynne \$q (Daryl Lynne), \$d 1953-
 22.1B; LCRI22.18A option; LCRI 22.17 option

670 __ The effect of effort allocation information ... 1991:
 \$b t.p. (D. Lynne Persing) vita (b. Sept. 25, 1953)
 leaf 156, Etc. (Lynne Persing, Daryl Lynne Persing)

Slide 150

OCLC Personal Name Authority Exercise 3

ARN NEW
 Rec.stat n Entered [system supplied]

Type	z	Upld status	a	Enc. lvl	n	Source	c
Roman	■	Ref. status	n	Mod. rec.	n	Name use	a
Govt. agn	■	Auth. status	a	Subj	a	Subj use	a
Series	n	Auth./ref	a	Geo subd	n	Ser. use	b
Ser. num	n	Name	a	Subd. type	n	Rules	c

040 __ MARC \$b eng \$c MARC
 100 1 _ Paterson, John, \$d b. 1887
 22.17 & LCRI

670 __ The goodly fellowship of the prophets, 1948: \$b
 t.p. (John Paterson: prof. of Hebrew, Drew
 Theological Seminary)

670 __ OCLC database, May 11, 1996 \$b (hdg.: Paterson,
 John, 1887- [from old catalog]: usage: John
 Paterson)

Slide 151

OCLC Personal Name Authority Exercise 4

ARN NEW
 Rec.stat n Entered [system supplied]

Type	z	Upld status	a	Enc. lvl	n	Source	c
Roman	■	Ref. status	n	Mod. rec.	n	Name use	a
Govt. agn	■	Auth. status	a	Subj	a	Subj use	a
Series	n	Auth./ref	a	Geo subd	n	Ser. use	b
Ser. num	n	Name	a	Subd. type	n	Rules	c

040 __ MARC \$b eng \$c MARC
 100 0 _ M. Eleanore, \$q (Mary Eleanore) , \$c Sister,
 \$d 1890-1940
 AACR2 22.8A1

670 __ Literary essay in English, 1923: \$b t.p. (Sister M.
 Eleanore)

670 __ Catholic authors, 1948: \$b p. 227 (Sister Mary
 Eleanore; Katherine Mary Brosnahan, 1890-
 1940)

670 __ OCLC, Apr. 27, 1996 \$b (hdgs.: Eleanore, Mary,
 Sister, 1890- ; Eleanore, M., Sister; usage: Sister
 M. Eleanore)

This type of heading requires consulting reference sources according to 22.8A1.

Rule states: Enter a name that does not include a surname and that is borne by a person who is not identified by a title of nobility under the part of the name under which the person is listed in reference sources. The form is based on the usage in the first and last 670s: M. Eleanore.

Slide 152

OCLC Personal Name Authority Exercise 5

ARN NEW
 Rec.stat n Entered [system supplied]
 Type 7 Upld status a Enc. lvl n Source c
 Roman ■ Ref status n Mod. rec Name use a
 Govt. agn ■ Auth status a Subj a Subj use a
 Series n Auth/ref a Geo subd n Ser use b
 Ser num n Name a Subd type n Rules c

040 __ MARC \$b eng \$c MARC

100 1 _ Rosser, Alison, \$c flautist
 LCRI 22.19

670 __ Flute: technical workbook, 1989: \$b t.p. (Alison Rosser)
 670 __ Australian Flute Society, Oct. 7, 2003: \$b (Leading Australian flautists who have performed or lectured at flute conventions have included Alison Rosser)

Note: existing heading under Alison Rosser who wrote on wildlife conservation

Slide 153

OCLC Personal Name Authority Exercise 6

ARN NEW
 Rec.stat n Entered [system supplied]
 Type 7 Upld status a Enc. lvl n Source c
 Roman ■ Ref status n Mod. rec Name use a
 Govt. agn ■ Auth status a Subj a Subj use a
 Series n Auth/ref a Geo subd n Ser use b
 Ser num n Name a Subd type n Rules c

040 __ MARC \$b eng \$c MARC
 100 1 _ Brown, George, \$c Captain

\$c added to break conflict per LCRI 22.17-22.20 pt. 1(c) & AACR2 22.19

670 __ Tales of an Elizabethan wayfarer, 1857: \$b t.p. (Captain George Brown)

Brown, George already established in another NAR

Slide 154

References

4XX Fields
 and
 5XX Fields

AACR2 & LCRI
 26

154

Slide 155

References for Personal Names

- Remember normalization rules
- Construct a reference in the same form as if chosen as the heading
 - Include dates to match heading
 - Qualify initials with full form if known

100 1 _ Bodin, Eugène, \$d 1824-1897
 400 1 _ Bodin, E. \$q (Eugène), \$d 1824-1897

AACR2 & LCRI 26.1
155

Normalization

Do not trace a reference that would normalize to the same form as the heading on the same record or as the same form as a heading on another record. Do not trace a reference that would normalize to the same form as another reference on the same record. However, references on different NARs may conflict with each other.

Forms of References

Construct references in the same form in which it would be constructed if chosen as the heading. Because the LC AACR2 authority file includes headings constructed according to earlier practices, in some cases the references must be formulated to match the existing heading. Again, in this case we are talking about AACR2-compatible headings and more specifically when you need to use one of these headings. See LCRI 26.1 p. 2 section d).

Include dates in references if they have been included in the heading. There is an exception that will be discussed later.

Slide 156

Primary Entry Elements

All elements to the left of the comma and the first element to the right of the comma in \$a

100 1 _ Jackson, Richard(L.)
 400 1 _ Jackson, Rick

670 __ Conflict and cooperation in police labour relations, c1980: \$b t.p. (Richard L. Jackson) p. 239 (Rick Jackson) p. 4 of cover (Richard L.M. Jackson)

Do not make:

400 1 _ Jackson, Richard(L. M.)

LCRI 26.2
156

Trace a reference from each variant that affects the primary elements of the name. In inverted headings, this means variations in all elements to the left of the comma and in the first element to the right of the comma. **DO NOT TRACE** a reference that would normalize to the same form as the heading on the same record, to another reference on the same record, or to the same form as the heading on another record.

The **L.** of the heading is not an

issue, because it is not a primary entry element.

In this example, although there is a variant form found on the back cover, no reference is made for this form (**L. M.**) because the primary elements are not affected.

There are other examples of this in LCRI 26.2 that can be gone over with the class.

Slide 157

Different Entry Elements

Refer from different elements of the heading

100 1 _ Lloyd George, David, \$d 1863-1945
400 1 _ George, David Lloyd, \$d 1863-1945

100 1 _ Casas, Bartolomé de las, \$d 1474-1566
400 1 _ De Las Casas, Bartolomé, \$d 1474-1566
400 1 _ Las Casas, Bartolomé, \$d 1474-1566

100 0 _ Maria Alicia
400 1 _ Alicia, Maria

AACR2
26.2A3

157

These are automatic, rule-driven cross-references. You do not have to justify them in the 670 in any way.

Slide 158

Recording Variant Forms

LCRI 26.2

Record variants from the chief source or other locations in the same item if they add information

100 1 _ Wilde, Patricia
400 1 _ Wilde, Patty
670 _ _ Moose encounters, 2004: \$b t.p. (Patricia Wilde) pref. (Patty Wilde)

158

Record all forms of name found on the chief source.

For forms of name not on the chief source, be selective: record only those forms you judge to add important information identifying the author or to justify tracing a reference, or that might be used to break a conflict later on. Trace references only from forms recorded.

For example, the more buried the source of the variant form of name, the less likely you will need a cross-reference, because it is not an example of “usage” that is likely to

be searched.

Slide 159

Recording Variant Forms

Record variants that appear on sources of a different item if they add information

100 1 _ Inmon, William H. LCRI
26.2

400 1 _ Inmon, W. H. \$q (William H.)

670 _ _ Effective data base design, 1980:
\$b t.p. (William H. Inmon)

670 _ _ Design review methodology for a
data base environment, c1982: \$b
t.p. (W.H. Inmon)

159

Note that the cross-reference is needed not only because it is a variant form in a prominent location, but because it affects the primary elements of the name. If it did not, a cross-reference would not be required, even though you would want to record the variant form in a 670.

Slide 160

References with Initials

100 1 _ Hays, James D., \$d 1926- LCRI
26.1

400 1 _ Hays, J. D. \$q (James D.), \$d 1926-

670 _ _ Geological investigations of the North Pacific, 1985. \$b t.p. (James D. Hays) p. 4 of cover (J.D. Hays; b. 1926)

670 _ _ Phone call to author, Dec. 18, 1995:
\$b (James Donald Hays; professor of geology)

not

400 1 _ Hays, J. D. \$q (James Donald), \$d 1926- 160

In references containing initials, include in parentheses the full form of the name represented by the initial(s) when known. However, if the initial is represented in the heading without the full form being given there, make the reference “match” the heading. For example, the first example on the slide (Hays): middle name Donald not used in 100 so shouldn't be used in 400 either.

Slide 161

References with Initials

100 1 _ Arnol'dov, Arnol'd Isaevich LCRI
26.1

ALA/LC Russian Romanization

400 1 _ Arnoldow, A. I.

NON-ALA/LC Romanization

not

400 1 _ Arnoldow, A. I. \$q (Arnol'd Isaevich)

Do not combine different language forms for transliterations in one heading

161

1XX is a correct romanization using the authorized ALA/LC Russian Romanization Tables; the reference is based on a non- ALA/LC Russian Romanization, probably for Russian-German transliterations.

Slide 162

One Reference for Each Variant

100 1 _ Meier-David, Huguette LCRI
26.2

400 1 _ David, Huguette Meier-

400 1 _ Meyer David, Huguette

670 _ _ Zado, R. Die kleine Rodung, 1978: \$b t.p. (Huguette Meier-David) verso t.p. (Huguette Meier David) p. 16 (Huguette Meyer-David)

not

400 1 _ David, Huguette Meyer-

162

Generally, make only one reference from each variant. If applicable, make *one* reference under each surname element, other than particles and prefixes, not already referred from. Normally, do not otherwise make references that are “variants of the variant.”

There is an exception to this rule-driven decision for languages with regular usage of multiple surnames, such as Spanish or Italian.

You also would not make a reference from David, Huguette Meier (without the hyphen) nor from Meier David, Huguette (without the hyphen) because these normalize to the 100 and first 400. Candidate for change since this is copied from LCRI.

Slide 163

Use Forms Generated by Usage	
100 1 _ Mills, R. A. \$q (Rachel A.)	LCRI 26.2
400 1 _ Mills, Rachel	
670 _ _ Modern ocean floor processes and the geological record, 1998: \$b t.p. (R.A. Mills) pref. (Rachel Mills)	
<i>not</i>	
400 1 _ Mills, Rachel A.	
<i>In case of conflict with Mills, Rachel use:</i>	
400 1 _ Mills, Rachel \$q (Rachel A.)	163

In constructing references, prefer forms corresponding to usage over forms corresponding to qualifiers. Rachel A. does NOT represent usage in the 670, therefore it should not appear in the \$a subfield. If another Rachel Mills is established in the authority file, it will conflict with the 400. So to break that conflict, you would add a qualifier to the 400, but you would not change the \$a subfield, because it does not represent usage, as found in the 670.

Go over special considerations in LCRI 26.2, p. 4-5
Candidate for change, since this is taken directly from LCRI.

Slide 164

See References	
In case of conflict that can be resolved from the 670, add the information to the <i>reference only</i>	LCRI 26.2C
100 1 _ Erhard, Werner	
400 1 _ Rosenberg, Jack, \$d 1932-	
Another NAR exists:	
100 1 _ Rosenberg, Jack	164

Two situations could trigger this. Jack Rosenberg is the new NAR and there is no date information to make it unique at the time of creation, so you add the date to the 400 of the established record, because it was recorded in a later 670 on the Erhard record.

Both records are established and the Erhard record is getting a new cross-reference, which conflicts with the already established Rosenberg record. The new information includes a date, so it must be included in the new cross reference to break the 100 to 400 conflict.

LCRI 26.2C: If the form of reference conflicts with an established heading, resolve the conflict by using dates in the reference, even if they are not used in the heading.

EXAMPLE:

100 1 McArthur, W. M. (no conflict)
 400 1 McArthur, William, 1922- (conflict with a 100 hdg. for McArthur, William resolved by adding date)

Slide 165

See Also References LCRI 26.2C

If it is a 400 to 100 conflict that cannot be resolved, make a simple 5XX

100 1 _ Goldstein, Chaim Itsl
 500 1 _ Goldstein, Charles

Another NAR already established:
 100 1 _ Goldstein, Charles

165

This conflict is heading to cross-reference only. (If it were heading to heading, an undifferentiated name record would probably be the answer.)

If there are no data to resolve a conflict of this kind, make a see also reference instead of a see reference (i.e. code the reference as a 500 instead of a 400). This applies whether the cross reference is already in the file or is the result of the item being cataloged.

Slide 166

See Also References : Groups LCRI 26.2C

Group containing the name of one or more of its members:

- See also reference from heading for each individual named to the group heading
- See also reference from the group heading to the heading for each individual

166

“When the name of a group contains the name of one or more of its members, make a see also reference from the heading for each individual named in the group heading to the heading for that group and from that group heading to the heading for each individual.”

This rule revision was made in August 2001 at the request of PCC libraries. They wanted the reference structure to go in both directions for all related headings and they also wanted to be able to apply this rule to groups other than musical groups, e.g. architectural and law firms.

LC practice: “The Library of Congress limits making these see also references to entities described within LC's collections of special materials (in lieu of making multiple added entries on individual bibliographic records) including music performing groups, when the information is readily available, the names of individual members are already established, and cataloging resources permit. Do not create an authority record for an individual just to add the see also reference. (Note: Between 1995-2007 LC did not make references from the group heading to each individual in the group, i.e., it did not add a 510 tracing for the group to the authority records for each member of the group. Add a missing reference only when encountered in current cataloging and the name of an individual member of the group is already established)”

Slide 167

NAR A	110 2 _ Sonny & Cher
	410 2 _ Sonny and Cher
	500 1 _ Bono, Sonny
	500 0 _ Cher, \$d 1946-
NAR B	100 1 _ Bono, Sonny
	400 1 _ Bono, Salvatore, \$d 1935-1998
	510 2 _ Sonny & Cher
NAR C	100 0 _ Cher, \$d 1946-
	400 1 _ Sarkisian, Cherilyn, \$d 1946-
	400 1 _ Bono, Cher, \$d 1946-
	510 2 _ Sonny & Cher

Reciprocal cross-references made between Performing group name and individuals named in the group.

Note: in the authority record for Cher, the complete set of 4XX references in the NAR isn't given for lack of room on the slide.

Slide 168

Exercises

Add 4XX references



168

Please take about 10 minutes to do these next few exercises where you will make any additions necessary to the headings and add cross references.

Slide 169

OCLC Personal Name Authority Exercise 1

ARJ NEW

Rec.stat	n	Entered [system supplied]						
Type	z	Upd status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	a	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	a	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC

100 1 _ Persing, D. Lynne \$q (Daryl Lynne) , \$d 1953-
22.18; LCRJ22.18A option; LCRJ 22.17 option

400 1 _ Persing, Daryl Lynne, \$d 1953-

400 1 _ Persing, Lynne, \$d 1953- [LCRI 26.2](#)

670 __ The effect of effort allocation information ... 1991: \$b t.p. (D. Lynne Persing) vita (b. Sept. 25, 1953) leaf 156, etc. (Lynne Persing, Daryl Lynne Persing)

Slide 170

OCLC Personal Name Authority Exercise 2

ARJ NEW

Rec.stat	n	Entered [system supplied]						
Type	z	Upd status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	a	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	a	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC

100 1 _ Clarkson, P. C. \$q (Philip Castledine), \$d 1947-
[AACR2 22.18; 22.17](#)

400 1 _ Clarkson, Philip Castledine, \$d 1947-
[AACR2 22.18](#)

670 __ Bilingualism and mathematics learning, 1991: \$b t.p. (P. C. Clarkson) t.p. verso (Australian CIP hdg.: Clarkson, P. C. (Philip Castledine), 1947-.)

Slide 171

OCLC Personal Name Authority Exercise 3

Rec.stat	n	Entered [system supplied]							
ARN	NEW								
z	U	Ref	Enc	n	Source	c			
Roman	Ref	status	Mod	rec	Name	use	a		
Govt	Auth	status	Subj	a	Subj	use	a		
Series	Auth/ref	a	Geo	subd	n	Ser	use	b	
Ser	num	Name	a	Subd	type	n	Rules	c	

040 __ MARC \$b eng \$c MARC
 100 1 _ Pérez Carrasco, Fco. Javier \$q (Francisco Javier), \$d 1951-
 400 1 _ Pérez Carrasco, Francisco Javier, \$d 1951-
 400 1 _ Carrasco, Fco. Javier Pérez \$q (Francisco Javier Pérez), \$d 1951
 400 1 _ Pérez C., Francisco Javier \$q (Pérez Carrasco), \$d 1951-
 400 1 _ Carrasco, Francisco Javier Pérez, \$d 1951-
 670 __ Health statistics of the population of Guadalajara, 1992:
 \$b t.p. (Fco. Javier Pérez Carrasco) verso t.p. (Francisco
 Javier Pérez C.) Introd. (b. Mexico City; May 16, 1951)

X-refs per LCRI 26.2, p. 1, #2--NOT: Pérez C., Fco. Javier, NO
 USAGE: LCRI 26.2, p.1, #5; option from AACR2 22.18A (fuller
 form of name); no x-ref from C. Francisco... LCRI 26.2, p. 4

Slide 172

OCLC Personal Name Authority Exercise 4

Rec.stat	n	Entered [system supplied]							
ARN	NEW								
z	U	Ref	Enc	n	Source	c			
Roman	Ref	status	Mod	rec	Name	use	a		
Govt	Auth	status	Subj	a	Subj	use	a		
Series	Auth/ref	a	Geo	subd	n	Ser	use	b	
Ser	num	Name	a	Subd	type	n	Rules	c	

040 __ MARC \$b eng \$c MARC
 100 1 _ Golden-Bentley, Corrine
 LCRI 22.2A (Bud) Schulman); 22.5C3 (hyphen)
 400 1_ Bentley, Corrine Golden-
 400 1_ Golden-Bentley, Kim 26.2A2
 400 1_ Bentley, Kim Golden-
 Variant of a variant, but covered by LCRI 26.2 5)
 670 __ Parental links to antisocial and delinquent...1993:
 \$b t.p. (Corrine "Kim" Golden-Bentley)

Slide 173

OCLC Personal Name Authority Exercise 5

Rec.stat	n	Entered [system supplied]							
ARN	NEW								
z	U	Ref	Enc	n	Source	c			
Roman	Ref	status	Mod	rec	Name	use	a		
Govt	Auth	status	Subj	a	Subj	use	a		
Series	Auth/ref	a	Geo	subd	n	Ser	use	b	
Ser	num	Name	a	Subd	type	n	Rules	c	

040 __ MARC \$b eng \$c MARC
 100 0 _ M. Eleanore , \$q (Mary Eleanore), \$c Sister, 22.8A1
 \$d 1890-1940
 400 0 _ Mary Eleanore, \$c Sister, \$d 1890-1940 26.2A3
 (rotate): NO
 400 1 _ Eleanore, M., \$q (Mary), \$d 1890-1940 \$c Sister, entry
 under surname
 400 1 _ Brosnahan, Katherine Mary, \$d 1890-1940
 670 __ Literary essay in English, 1923: \$b t.p. (Sister M.
 Eleanore)
 670 __ Catholic authors, 1948: \$b p. 227 (Sister Mary
 Eleanore; Katherine Mary Brosnahan, 1890-1940)
 670 __ OCLC, Apr. 27, 1996 \$b (hdgs.: Eleanore, Mary
 Sister, 1890- ; Eleanore, M., Sister; usage: Sister M.
 Eleanore)

This type of heading requires consulting reference sources according to 22.8A1. Rule states: Enter a name that does not include a surname and that is borne by a person who is not identified by a title of nobility under the part of the name under which the person is listed in reference sources. The form is based on the usage in the first and last 670s: M. Eleanore.

Slide 174

OCLC Personal Name Authority Exercise 6

ARN 1234568

Rec stat	n	Entered [system supplied]					
Type	z	Used status	a	Enc. Id	n	Source	c
Roman	■	Ref status	(a)	Mod. fac	a	Name use	a
Govt. agn	■	Auth status	a	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser. num	n	Name	a	Subd. type	n	Rules	c

040 __ MARC \$b eng \$c MARC

100 1 _ Solis, Ted [LCRI 22.3A](#);

400 1 _ Solis, Theodore \$w nne [22.1D1](#)

670 __ The Marimba in Mexico City, 1983: \$b t.p. (Theodore Solis)

670 __ Puerto Rican music in Hawai'i [SR] p1989: \$b label (Ted Solis, ethnomusicologist at the Univ. of Arizona)

670 __ [\[NEW\]](#) Phone call to T. Solis, Aug. 11, 1996 \$b (prefers: Ted Solis) [\[NEW\]](#)

Note: add acute accent to 100 and 400

Slide 175

Questions 



175

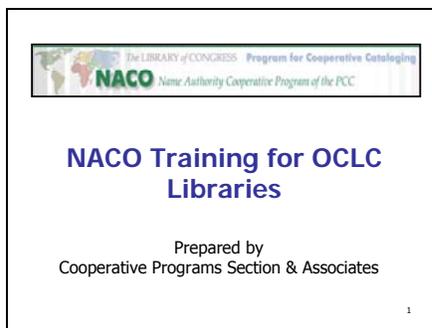
INSERT

TAB

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FOR DOUBLE SIDED COPY*

Slide 1

**NACO Training for OCLC Libraries:****Trainers notes:**

1) Trainers may customize this slide.

2) Introduce yourself! and then have participants also introduce themselves. Extend a welcome to NACO libraries. Mention that NACO libraries are valued participants in building the **NAF = LC/NACO Authority File**
Icebreaker suggestion: New developments at LC; Something humorous about yourself [trainer], another NACO or cataloging experience, etc.

3) Be sure to talk about: where are the bathrooms; what is the schedule for breaks and lunch; where is the food to come from; is there a close source of drinks and/or coffee; inform people of any emergency info, such as where to go in the event of a fire alarm.

4) Breaks are 30 minutes with one in morning and one in afternoon. Lunch is generally an hour or no longer than one hour and fifteen minutes.

[Next slide]

The learning objectives of the course are--

Slide 2

Corporate Bodies
Chapters 24 & 26

Associations	Business firms
Government agencies	Non-profit enterprises
Churches	Projects & programs
Institutions	Expeditions
Conferences	Exhibitions
	Vessels



2

Corporate Bodies:

Today we consider corporate bodies. The first thing to look at is the definition, which is actually given to us IN the rules in 21.1B1. Remember that cataloging defines things differently than the real world. There are also other things that are treated as corporate bodies that do not necessarily meet the basic definition. Ultimately, many of these items are treated that way because they are group-based. Even a ship is a group entity of sorts. We consider all of these group entities as corporate bodies.

21.1B1. Definition

A corporate body is an organization or a group of persons that is identified by a particular name and that acts, or may act, as an entity. Consider a corporate body to have a name if the words referring to it are a specific appellation rather than a general description. Consider a body to have a name if, in a script and language using capital letters for proper names, the initial letters of the words referring to it are consistently capitalized, and/or if, in a language using articles, the words are always associated with a definite article. Typical examples of corporate bodies are associations, institutions, business firms, nonprofit enterprises, governments, government agencies, projects and programs, religious bodies, local church groups identified by the name of the church, and conferences¹.

Some corporate bodies are subordinate to other bodies (e.g., the Peabody Museum of Natural History is subordinate to Yale University, the Annual General Meeting is subordinate to the Canadian Library Association).

Consider ad hoc events (such as athletic contests, exhibitions, expeditions, fairs, and festivals) and vessels (e.g., ships and spacecraft) to be corporate bodies.

¹ Conferences are meetings of individuals or representatives of various bodies for the purpose of discussing and/or acting on topics of common interest, or meetings of representatives

of a corporate body that constitute its legislative or governing body.

Slide 3

MARC 21 Authority Format and 008 Fields			
Field name	Auth. status	Subfield	Subfield usage
Source	008/31	008/29	008/32
Subfield	Name	Subfield	008/33
ENC LVL	LEADER/17	Encoding Level	o = early notice n = verified *
UPD STATUS	008/31	Record update in progress	a = verified, usable* b = being updated
REF STATUS	008/29	Reference Evaluation	a = valid refs. * b = unevaluated n = no refs. *
AUTH STATUS	008/33	Level of Establishment	a = full * b = memo c = provisional * d = preliminary
NAME	008/32	Undifferentiated Personal Name	a = personal name * b = not unique * n = not a pers. name *
RULES	008/10	Descriptive Cataloging Rules	a = earlier b = AACR1 c = AACR2 *
SOURCE	008/39	Cataloging Source	d = AAC2.compartibls. * [blank] = LC and national libraries c = PCC library * d = other u = unknown

MARC 21 Authority Format and 008 Fields:

Example of 008 “name” field; only need to look at OCLC side. So, to start with, here is the appropriate fixed fields for corporate bodies in the MARC authority record. The only significant change from personal names is the 008/32. The value in 008/32 (Name:) will always be “n” for corporate bodies.

Slide 4

110 Heading : Corporate Name (NR)	
First Indicator Type of corporate name entry element 1 - Jurisdiction name 2 - Name in direct order	Second Indicator Undefined # - Undefined
Subfield Codes	
\$a - Corporate name or jurisdiction name as entry element (NR)	\$l - Language of a work (NR)
\$b - Subordinate unit (R)	\$n - Number of part/section/meeting (R)
\$c - Location of meeting (NR)	\$p - Name of part/section of a work (R)
\$d - Date of meeting or treaty signing (R)	\$r - Key for music (NR)
\$f - Date of a work (NR)	\$s - Version (NR)
\$k - Form subheading (R)	\$t - Title of a work (NR)

110 Heading : Corporate Name (NR):

- 1) This is a review chart from Day 1 MARC 21 instructions.
- 2) Take a look at this MARC 21 Authority Format LC Supplement pages for 110 field.
- 3) First indicator value 0 is not used on AACR2 headings or references. But the other two choices are both used, depending on whether or not you have a government body that is established under a geographic jurisdiction.
- 4) First indicator 0 for inverted name is obsolete

For X10's, the only two codes of importance are the \$a and \$b subfields. NOTE: \$c, \$d, & \$n can be used when a conference is set up subordinately.

(\$n would be used only in the bib record.)

Slide 5

111 Heading : Meeting Name (NR)

<u>First Indicator</u> Type of meeting name entry element 2 - Name in direct order	<u>Second Indicator</u> Undefined # - Undefined
--	---

Subfield Codes

\$a - Meeting name or jurisdiction name as entry element (NR)	\$p - Name of part/section of a work (R)
\$c - Location of meeting (NR)	\$q - Name of meeting following jurisdiction name entry element (NR)
\$d - Date of meeting (NR)	\$s - Version (NR)
\$e - Subordinate unit (R)	\$t - Title of a work (NR)
\$f - Date of a work (NR)	
\$k - Form subheading (R)	
\$l - Language of a work (NR)	
\$n - Number of part/section/meeting (R)	

5

111 Heading: Meeting Name (NR):

This is a review chart from Day 1 MARC 21 instructions
Next, take a look at the MARC 21 Authority Format Supplement page for X11 field.

First indicator values 0 and 1 are not used on AACR2 headings or references. Only 2 for direct order is ever needed in these headings. We do have other subfields that are important here: \$c, \$d, and \$n. Also, very rarely \$e: Note that subordinate units of meeting names are entered in \$e, not \$b (take a look at the examples given in the X11 page).

Slide 6

**Ambiguous Entities
"Division of the World"**

- Heathrow Airport → • Airports 110/NAF - LCRI 24,1
- Stanley Cup (Hockey) → • Sporting events 111/NAF - LCRI 24,7
- Stock Exchange Tower (Montréal, Québec) → • Office buildings 110/SAF - SCM H 405
- Juno Awards → • Awards 150/SAF - SCM H 405
- Elmendorf Air Force Base (Alaska) → • Military installations (Active) 151/NAF - SCM H 405

DCM Z1 App. 1,
SHM H 405

6

Ambiguous Entities "Division of the World":

NAF = Name Authority File
SAF = Subject Authority File

1) If you'll remember, we discussed this documentation at the beginning of the class on Day 1. This is the piece of info that is actually found in about three different places. It's important to remember to check this anytime you are establishing a type of corporate body that you don't usually establish, because it can surprise you. Plus, there is

the fact that this list has changed over time, so you can't blindly trust the database to guide you correctly as to whether something should be a name or subject authority record.

2) Remember that if this document does not answer your question, feel free to consult with the Policy & Standards Division.

Slide 7

Guidelines Regarding Punctuation & Spacing

<ul style="list-style-type: none"> • Quotation Marks • Initials • Abbreviations • Place name at the end • Numerical or alphabetical designation 	<ul style="list-style-type: none"> • Dash/hyphen • Year in the conference name • Series of words • Canadian/British Styles
--	--

LCRI 24.1A

7

Guidelines Regarding Punctuation & Spacing:

1) First we'll look at a few situations where punctuation consistency is important in recording a corporate body name in a heading. Some will be quite familiar, since they are based on the overall punctuation rules. Discuss as needed:

a) The rules cited below are the ones for which we do NOT have examples in the next few slides.

b) LCRI 24.1A

c) Punctuation/Spacing

d) These guidelines appear also in LCRI 1.0C.

2) Place name at end. If the form of name selected as the heading includes a place name at the end and the place is enclosed within parentheses or is preceded by a comma-space, retain in the heading the punctuation as found.

110 2# \$a California State University, Northridge

3) Numerical or alphabetical designation. When the name of a body consists of both a numerical or alphabetical designation and words indicating the body's function, include both in the heading for the body. Separate the two parts with a dash.

source: Abteilung V - Vermessungswesen

heading: 110 2# \$a [Parent body]. \$b Abteilung V-Vermessungswesen

source: Social and Economic Sciences (Section K)

heading: 110 2# \$a [Parent body]. \$b Social and Economic Sciences-Section K

source: Sub-task Force I, Gas Dissolved in Water

heading: 110 2# \$a [Parent body]. \$b Sub-task Force I-Gas Dissolved in Water

4) Dash or hyphen. If the form of name selected as the heading includes a dash or a hyphen that sets off a data element (usually a place name), regularize the punctuation by using a dash (two hyphens) without spacing on either side.

source: University of Nebraska-Lincoln

heading: 110 2# \$a University of Nebraska-Lincoln

source: Centro abruzzese di ricerche storiche - Teramo

heading: 110 2# \$a Centro abruzzese di ricerche storiche-Teramo

Slide 8

Punctuation : Quotation Marks
LCRI 24.1

670	1	## 9504767
040		## PPU ## eng ## PPU
110	2	## Museo Arqueológico "Juan M. Leguizamón" ←
410	2	## Museo Arqueológico de Salta "Juan Martín Leguizamón" ←
410	2	## Museo Arqueológico de Salta
410	2	## Museo Arqueológico de la Provincia de Salta
410	1	## Salta (Argentina : Provincia) ## Museo Arqueológico "Juan M. Leguizamón" ←
670		## Unidad sobre cultura y región, 1980 : ## 1. Museo Arqueológico "Juan M. Leguizamón" con Museo Arqueológico de Salta "Juan Martín Leguizamón" p. 9 Museo Arqueológico de la Provincia de Salta

Punctuation : Quotation Marks:

Example 1 above: *Quotation Marks*.

If the form of name selected as the heading includes quotation marks around an element or elements of the name, retain them (*cf.* example in rule 24.7B4). Use American-style double quotation marks in the heading, instead of other forms of quotation marks.

If there are quotation marks around the entire \$a subfield, do not include them in the heading.

Slide 9

Punctuation : Initials & Abbreviations
LCRI 24.1

110	2	## (U.S.D.) Derby
670		## Proposed D.C. zone system, c1978: ## map recto (Design by (U.S.D.) Derby)
110	2	## (USDA) Task Force on Black Farm Ownership
670		## Report of the USDA Task Force on Black Farm Ownership, 1983 ## t.p. (U.S.D.) Task Force on Black Farm Ownership)
110	1	## Buenos Aires (Argentina : Provincia). ## Direcci'on de la Energía. ## (D) Estad'ística. ## (Sec) Informaci'on
670		## Informe anual estad'ístico ... 1976: ## t.p. (Direcci'on de la Energía. (D) Estad'ística. (Sec) Informaci'on)

Punctuation: Initials & Abbreviations:

1) Examples 2a-2b above: *Initials*. If the form of name selected as the heading consists of or contains initials, regularize the spacing and put one space after an initial that is followed by a word or other element that is not an initial and no space after an initial that is followed by another initial consisting of one letter. Regardless of how it is presented on the page.

2) Example 3 above: *Abbreviations*. Precede or follow initials consisting of two or more letters with a space, e.g., "Gauley Bridge (W. Va.)," "Ph. D. Associates." If the form of name selected as the heading includes an abbreviation, retain in the heading the abbreviation as found.

Slide 10

**Punctuation :
Series of Words**

LCRI
24.1

- Add a comma to a series of words appearing in the English language (e.g., Society for India, Pakistan, and Ceylon)
- Canadian headings: follow Library and Archives of Canada (LAC)
- British headings: follow what is in the publication

10

Punctuation: Series of Words:

This is taken from the Chicago *Manual of Style*, which is the basis for AACR2 punctuation rules.

Slide 11

Establishing A Corporate Body

Basic Principles



11

Slide 12

Three Basic Principles

- Determine the name of the body
 - Government or non-government body
- Determine the entry for the body
 - Direct entry or subordinate entry
 - If subordinate is it direct or indirect subheading
- Determine what, if any, additions or omissions are necessary

12

**Establishing a corporate body:
Three basic principles:**

1) This approach to the principles is the structure that we will be following today. It is similar to personal names' structure in that we will be determining the choice of name first, then the entry element, then the additions and omissions. Cross-references will come last.

2) Underlying structure: share with the students if you think that will help.

a) Name of body is first

b) Entry for body under its own name is default

- c) Subordinate entry and indirect subheadings
- d) Then qualifiers and omissions
- e) Finally Xrefs of all types

Slide 13

General Rule : Entry

AACR2 24.1

- Enter a corporate body **directly** under the name by which it is commonly identified **except** if rules 24.13 or 24.18 apply
- The name is determined from **items issued by the body in its language** or, if that does not apply, from **reference sources**

13

General Rule: Entry:

1) There are 27 rules for corp. bodies but only 4 of them deal with subordinate entry. *Therefore the thrust is to enter directly whenever possible.* In this class, we will probably spend more time on subordinate entry than direct because they are the exceptions to the rule rather than the normal situation.

24.13 – rules for entering a body under the name of a higher or related body

24.14 – direct or indirect subheading

24.18 – rules for entering a body under the name of a government

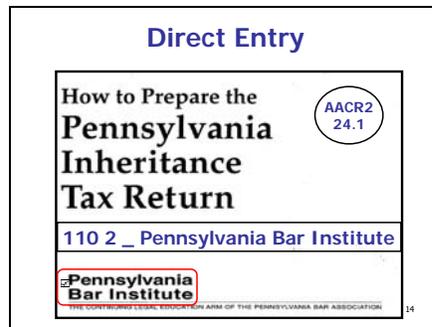
24.19 – direct or indirect subheading

2) 24.1. **General Rule**

24.1A. :Enter a corporate body directly under the name by which it is commonly identified, except when the rules that follow provide for entering it under the name of a higher or related body (see 24.13) or under the name of a government (see 24.18). Determine the name by which a corporate body is commonly identified from items issued by that body in its language (see also 24.3A), or, when this condition does not apply, from

reference sources.

Slide 14



Direct Entry:

Here is a first example of direct entry. We are using the form found on the chief source of information, as given to us. The principles of priority order of sources still apply, as does the primary rule of accepting what we are given.

Note that this body is subordinate to the Pennsylvania Bar Association, but it gets entered directly because it doesn't fall under any of the provisions of 24.13.

Just because it is subordinate organizationally does not mean it is subordinate entry.

ANIMATION: 110 dissolves in on click.

Slide 15

**Variant Names :
Which Form to Use?**

- Variant forms in items issued by the body:
use form on chief source AACR2 24.2B
& 24.2D
- Variant forms on chief source:
 1. Use formally presented form
 2. Use the predominant form
 3. Use a brief form that would differentiate the body from others
 4. Use the form found in reference sources; if not found, use the official form

15

Variant Names: Which Form to Use?

Chief source, formal presentation, and predominance are the ordered criteria by which we choose a corporate body heading.

Formal: not embedded in text, but set apart by layout and typography

Informal: usually embedded in text, in a non-prominent area

Slide 16

Variant Names

Initials vs. Full form LCRI 24.2D

Issued by body:

1. Choose **full form** over initials if both appear formally in same source
2. If variant forms appear **formally** in different publications, choose predominant form.
3. If the predominant form is an initial form, check NAF to see if those initials conflict with any other heading or reference for another body.
4. If there is a conflict, use the full form.

16

Variant Names:

1) This ordered criteria continues in choosing between initials vs. full form of name, with a preference toward a full form of name. However, this does not mean that initials cannot be used, but it must be justified.

NOTE: these criteria apply to the form of name chosen on works *issued by that body*.

Slide 17

Variant Names

Initials vs. Full form LCRI 24.2D

Not issued by body:

Treat item being cataloged as a reference source. Choose full form over initials (even if initials are prominent and full form is not).

17

Variant Names:

1) Initials vs Full form– which to choose

Slide 18

Initials vs. Full Form

Electing the Mayor and the
London Assembly

An ERS House of Lords
Briefing

AACR2 & LCRI
24.2D

 Published by
Electoral Reform Society

110 2 _ Electoral Reform Society

Initials vs Full Form:

Here is an example of choosing a heading with variant forms on the same source. What's formal? What's prominent? What's predominant? Is there conflict? Publication issued by the body. Is either name presented formally? ERS logo is considered formal. ERS in text is informal. Formal vs. informal can be a matter of cataloger's judgment.

Electoral Reform Society is debatable – it's a formal statement, but buried in text. If you judge that all three are presented formally or that neither is, use the predominant form. Is there a predominant form? (ERS does appear twice compared to once for Electoral Reform Society).

So if you decide that ERS is predominant, you have to check to see if ERS conflicts with other headings or references on other headings. And it does (one screen from OCLC):
ERS >> Economic Research Services (Firm)
ERS >> Education Renewal Strategy (South Africa)
Etc.

6) There are 7 cross references of ERS other than the one on this record, so there is conflict.
7) Result: you end up choosing the full form of name as the heading in this case.

Slide 19

**Initials vs. Full Form :
Issuing Body**

LCRI
24.2D

1. Item issued by the body
2. T.p. forms of name: ABA, ABA, American Bar Association
3. Result: choose predominant form ABA as heading
4. **THEN** search for conflict: ABA found as cross-reference on multiple NAR's
5. Result: choose fuller form as heading

110 2 _ ABA

110 2 _ American Bar Association

19

Initials vs Full Form: Issuing Body:

1) This is another example of working through the process systematically to decide that the full form is the correct choice of heading. Notice that we ended up with the same decision as the previous slide (fuller form of name). The rules tend to prefer fuller form of name. It is rare to have an initialism as a heading.

Slide 20

**Initials vs. Full Form :
Non-Issuing Body**

AACR2 & LCRI
24.2D

Item **not** issued by the body
t.p.: SBA
p. 4 Standard Banking Association
Choose fuller form

110 2 _ Standard Banking Association

20

Initials vs Full Form: Non-Issuing Body:

1) For items not issued by the body, the item becomes a reference source, and LCRI 24.2D says to choose the full form over the initials when both appear anywhere in the item, even if the initials appear prominently and the full form does not.

Slide 21

**Name of Body Appears in
Different Languages on the
Same Publication**

Which Language to Use?

LCRI 24.3A

21

Name of Body Appears in Different Languages on the Same Publication:

For corporate bodies, an important question to wrestle with includes language. This is becoming more and more important in our increasingly globalized world. Some libraries won't have to deal with this much, but others have to deal with it frequently, so we must look at the rules that help us decide.

Slide 22

Special Rules for Languages

LCRI 24.3A

- If name of corporate body appears on publication in different languages
- If body is international
- If name of corporate body appears in one language form

22

Special Rules for Languages:

There a list of if-then's to work through. The primary questions behind most of them are: what is the official language of the body? Of the country? How does it appear?

Slide 23

Different Languages : Use Official Language

LCRI 24.3A

Different Languages: Use Official Language:

1) Official language of the body most likely is Japanese. This one stops at #1, based on this assumption.

LCRI 24.3A

If name of corporate body appears on its publications in different languages, apply the following: If one of these is the official language of the body, use it.

Slide 24

International Bodies

AACR2 & LCRI 24.3A

- International body is one which has offices in several countries
- Basic principle: Use English form

24

International Bodies:

If the body is an international one and its name appears in English in formal presentations in the chief sources of its own items, use the English form (24.3B1).

If there is no English form, apply the provisions listed in LCRI 24.3A..

LCRI 24.3A

If name of corporate body appears on its publications in different languages, apply the

following:

If one of these is the official language of the body, use it.

If the body has two or more official languages, one of which is English, use the English form.

Slide 25

International Body : Use English Form									
File #	Entered	Revised	File #	Source	Type	Legal status	End M	Name	LCRI 24.3A
410					2			International Federation of Blood Donor Organizations	
410					2			Fédération internationale des organisations de donneurs de sang bénévoles	
410					2			Federazione internazionale delle organizzazioni dei donatori di sangue	
410					2			Federación internacional de las Organizaciones de Donantes de sangre	
410					2			Fédération internationale des organisations de donneurs de sang	
410					2			F.I.O.D.S.	
410					2			F.I.O.D.S.	
410					2			International Federation of Blood Donor Organizations	
410					2			F.I.O.D.S. (revue, le 15 février 1981) (N. 1) (F.I.O.D.S. - Fédération internationale des organisations de donneurs de sang bénévoles; Federación internacional delle organizzazioni dei donatori di sangue; Federación internacional de las Organizaciones de Donantes de Sangre; International Federation of Blood Donor Organizations) s. 1 (Fédération internationale des organisations de donneurs de sang)	
070								Trick of file, 19990740 (International Federation of Blood Donor Organizations)	

International Body: Use English Form:

Same type example as last slide. Note that the second 670 was added at a later date, with the plural form of "Organization," justifying the last 410 reference.

Slide 26

One Language Form	
LCRI 24.3A	
• Use official language of body (for non-government bodies)	
• Use official language of country (for government bodies)	
• If form in official language is not found in body's publications, check reference source	
• If form in official language is not found in reference source, use the form that is available and code the heading provisional₆₅	

One Language Form:

LCRI 24.3A

If the name of a corporate body appears on its publications in one language form, construct the heading in the official language of the body (for nongovernmental bodies) or official language of the country (for government bodies) whenever the official language is known and publications with the official language form are likely to be received. Take the name from a reliable reference source when the name in the official

language does not appear in the body's publications. If the form in the official language is not available from a reliable reference source, use the form that is available and mark the heading "**provisional.**" Change the heading when the official language form becomes known. If the official language is not known or there is doubt about the official language or it is unlikely that a publication with the official language form will ever be received, use the form appearing on the body's publications. Do not mark the heading "provisional."

Slide 27

Coding as Provisional

LCRI 24.3A

Reference sources consulted, but official language form not found. Use available form and code **provisional.**

27

Coding as Provisional:

Note: Nowadays, it's much easier to find official forms using the Web. This is an application of #5.

LCRI 24.3A

If name of corporate body appears on its publications in different languages, apply the following:

If one of these is the official language of the body, use it.

If the body has two or more official languages, one of which is English, use the English form.

If the body has two or more official languages, none of which is English, use the form in the language predominantly used in items issued by the body.

If the official language of the body is not known, use the form in the official language of the country in which the body is

located if the country has a single official language.

If categories 1)-4) are not applicable, use the English, French, German, Spanish, or Russian form, in that order of preference. If none of these applies, use the form in the language that comes first in English alphabetic order.

ANIMATION: RED CIRCLE dissolves in on click.

Slide 28

Subordinate Body Not Established in Official Language of the Body

Field	Value
010	10000414
040	PPPPH4 ang N PPPH4 N5 DLC
110	Universite de Geneve. H Graduate School of Ecumenical Studies
410	Graduate School of Ecumenical Studies (Geneva, Switzerland)
667	Graduate School of Ecumenical Studies (Geneva, Switzerland)
667	Graduate School of Ecumenical Studies (Geneva, Switzerland)

28

Subordinate Body Not Established in Official Language of the Body:

Since the graduate school only appears in English and the French form is unknown the hdg. must be established provisionally.

Add 667 to explain why (if poss.) you could not establish this subordinate body in the vernacular and to justify the “c” in the auth status.

Note the 667 note.

Rule repeat:

If the name of a corporate body appears on its publications in one language form, construct the heading in the official language of the body (for nongovernment bodies) or official language of the country (for government bodies) whenever the official language is known and publications with the official language form are likely to be received. Take the name from a reliable reference source when the name in the official language does not appear in the body's publications. **If the form in the official language is not available from a reliable reference source, use the form that is available and mark the**

heading "provisional." Change the heading when the official language form becomes known. If the official language is not known or there is doubt about the official language or it is unlikely that a publication with the official language form will ever be received, use the form appearing on the body's publications. Do not mark the heading "provisional."

Slide 29

Variants : Minor Changes

LCRI 24.2

- Without explicit evidence consider different usages as variants and no new NAR
- Consider as minor changes:
 - Change in representation of words (e.g.: **Fishery** Data Center vs. **Fisheries** Data Center)
 - Change in preposition, article, or conjunction (e.g.: Missouri Commission **for** Water Research vs. Missouri Commission **of** Water Research)
 - Change in punctuation

29

Variants: Minor Changes:

Care needs to be taken to distinguish between changes of name that result in new authority records and 5XX see also references and variant names that result in 4XX see references on existing authority records.

There is no hard and fast rule.

Consider whether the item with the potential change of name is the body's own publication or if it emanates from some other body.

Are reference sources available to confirm a change? Are the differences truly significant or are they in such words as prepositions? Or is it actually subject words that indicate a difference in the scope of the corporation's work? The determination is often a matter of experience in dealing with corporate bodies.

LCRI 24.2

N.B. For headings satisfying these conditions of minor change, if the heading has already been treated as a name change, however, with multiple headings in use consequently, do not collapse these into one heading, unless there is additional, explicit evidence that only variant names are involved.

Proposed Bodies (bodies that don't exist yet)

If a heading is needed for a proposed body, use the name found in the available sources. If the body is

actually established later under a different name, use the established name in the heading and treat the proposed name as a variant form (i.e. do not make earlier/later headings).

Slide 30

Body Changes Its Name

AACR2 24.1C1



- Establish a new heading (i.e. create a new NAR)
- Link the two NARs with 510s
- Add a 670 or a 675 to justify

30

Body changes its Name:

Here we have a handy announcement by the company that Opus Consulting is now Punter Southall Financial Management. This is sufficient justification to create a new NAR that is cited in a 670.

If the relationship is earlier/later, the 510s should generally be coded with \$w a or \$w b as appropriate.

Slide 31

Corporate Name Exercises

Choose **only** the Name for the Authority Heading

31

Corporate Name Exercises

Three exercises here

Trainer Note: Take 15 minutes for doing them and reviewing them.

Slide 32

Exercise 1

ARJ NEW	Entered [system supplied]							
Rec_stat	n	z	Upd status	a	Enc lvl	n	Source	c
Type	z	Upd status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	n	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	n	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC AACR2 24.1A

110 2 _ Pat Finucane Centre

670 __ Human rights directory, Ireland, 1993: \$b cover (Pat Finucane Centre) leaf 16 (Patrick Finucane Centre for Human Rights and Social Change; est. in 1989)

NOTE: Item issued by the body

This is the priority order of sources rule in action.

The notes are included in order to help the student make their decisions. The note will not always be necessary.

Slide 33

Exercise 2

ARJ NEW	Entered [system supplied]							
Rec_stat	n	z	Upd status	a	Enc lvl	n	Source	c
Type	z	Upd status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	n	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	n	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC

110 2 _ Mt. Hood Forest Study Group AACR2 24.2B

670 __ Proposal for wilderness study areas ... 1972: \$b t.p. (Mt. Hood Forest Study Group) fwd. (Mount Hood Forest Study Group; MHFSG)

NOTE: Item issued by the body

Abbreviated form (Mt.) chosen over full form (Mount) due to priority order of sources.

Slide 34

Exercise 3

ARJ NEW	Entered [system supplied]							
Rec_stat	n	z	Upd status	a	Enc lvl	n	Source	c
Type	z	Upd status	a	Enc lvl	n	Source	c	
Roman	■	Ref status	n	Mod rec		Name use	a	
Govt agn	■	Auth status	a	Subj	a	Subj use	a	
Series	n	Auth/ref	a	Geo subd	n	Ser use	b	
Ser num	n	Name	n	Subd type	n	Rules	c	

040 __ MARC \$b eng \$c MARC

110 2 _ Italian Society of Pharmacology

667 __ Could not establish in the vernacular. AACR2 24.3A

670 __ Proceedings of the VI Congress of the Italian Society of Pharmacology, c1993.

NOTE: Establish the Society only.

Add a 667 due to provisional coding. Note that heading would be changed and current heading would become a cross-reference if the vernacular form becomes available.

Slide 35

**Headings For Subordinate &
Related
Non-government Bodies**

AACR2 & LCRI 24.13
TYPES 1-6

35

Headings for Subordinate & Related Non-government Bodies:

Now that we've looked at the form and default decision of direct entry, we now need to pause a moment to look at subordinate entry, with both direct and indirect subheadings, for both government and non-government bodies.

This may seem like an odd direction to take it in, because these are the exceptions to the default decision of direct entry, but...

it is this list of criteria against which you need to test any new heading to see if meets any of the criteria for subordinate entry before saying, yes, it is direct entry.

These are the rules that you need to constantly recheck when setting up corporate bodies.

Slide 36

**Subordinate Entry for
Non-government**

AACR2 24.12A

Enter a subordinate body or a related body directly under its own name unless its name belongs to one or more of the types listed in 24.13...

36

Subordinate Entry for Non-government:

1) For non-government bodies, the standard is direct entry unless it meets one of these six types.

2) Rule text: Refer to the name of a subordinate body entered directly from its name in the form of a subheading of the higher body (see 26.3A7).

Trainer Note: the rule does mention a rule-generated cross-reference. We will references in more detail in the references section.

Slide 37

Subordinate Entry

Usage and heading may not necessarily match in subordinate entry types

Usage: *Simon Fraser Faculty of Education*

Heading: 110 2 _ Simon Fraser University.
\$b Faculty of Education

37

Subordinate Entry:

Alternate example, if name were UAA School of Health Sciences, the heading would consist of the UAA in its authorized form as the parent body and you would omit UAA from the subheading. So, how it is presented on your source matters, but doesn't necessarily control the form of the heading.

Slide 38

Type 1 – A name containing a term that by definition implies that the body is part of another (e.g., *Department, Division, Section, Branch*).

38

Type 1: A name containing a term that by definition implies that the body is part of another (e.g., *Department, Division, Section, Branch*):

1) A name containing a term that by definition implies that the body is part of another (e.g., Department, Division, Section, Branch).

Abbreviation rules from the appendix still apply.

2) Another example would be 110 2 _ Library of Congress. \$b Card Division

NOTE: these are word-driven rules, not necessarily logical. For example, this type actually could be type 5 as well, if the word department was replaced by something like Faculty.

Slide 39

Type 2 – A name containing a word that normally implies administrative subordination (e.g., *Committee, Commission*) provided that the name of the higher body is required for the identification of the subordinate body.

010		n 92059102
040		DLC #b eng #r DLC
110	2	International Council on Social Welfare. #b Working Group 9
410	2	International Council on Social Welfare. #b Working Group Nine
970		The Unemployed, policies and services, 1988: #b t.p. (Working Group 9, International Council on Social Welfare)

AACR2 & LCRI 24.13, Type 2

39

Type 2: A name containing a word that normally implies administrative subordination (e.g., *Committee, Commission*) provided that the name of the higher body is required for the identification of the subordinate body:

This type is equally word-driven, but there is greater variety of words in three languages. LCRI for Type 2 provides a fuller list of words in English, French, and Spanish. If you work in another language, you must become familiar with the equivalent words for that language.

NOTE THE IF/THEN – we have here an exception to Type 2 as well – example follows.

The alternative form of the number is an automatic cross-reference from rule 26.3A5.

Slide 40

Type 2 – ... provided that the name of the higher body is required for the identification of the subordinate body.

010		n 01030627
040		DLC #b eng #r DLC #r DLC-S
110	2	A.G.A. Gas Supply Committee
410	2	AGA Gas Supply Committee
410	2	American Gas Association. #b Gas Supply Committee
510	2	A.G.A. Gas Supply and Demand Committee #e b
670		The Gas energy supply outlook, 1990-2000, 1990 (a.e.) #b t.p. (A.G.A. Gas Supply Committee; American Gas Association; Arlington, Va.)
670		The Gas energy demand and supply outlook, 1993-2010: #b t.p. (A.G.A. Gas Supply and Demand Committee)

AACR2 & LCRI 24.13, Type 2, Exception

"A.G.A." is part of the committee name — Enter directly

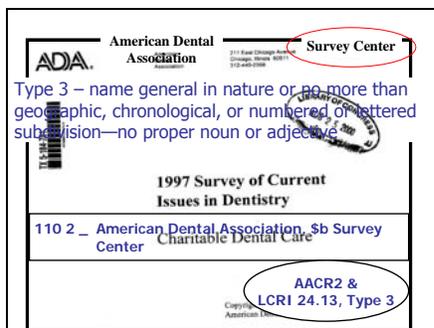
40

Type 2 – ... provided that the name of the higher body is required for the identification of the subordinate body:

The “provided that ...” portion of the rule for type 2 applies in this case.

These subordinate bodies are entered directly because the name of the parent is part of the name of the subordinate body.

Slide 41



Type 3 – name general in nature or no more than geographic, chronological, or numbered or lettered subdivision—no proper noun or adjective

The general in nature type is fairly rare because most names have something distinctive about them.

1) A name that is general in nature or that does no more than indicate a geographic, chronological, or numbered or lettered subdivision of a parent body.

In case of doubt enter directly:

Human Resources Centre
(London, England)

Research and Training Institute

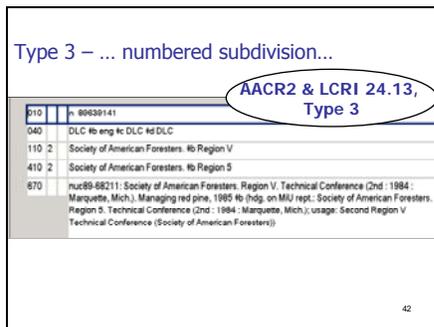
2) The Library of Congress interprets "a name that is general in nature" in the rule as follows: "general in nature" usually means that the name contains neither very distinctive elements (such as **proper nouns or adjectives**) nor **subject words**. For example, enter subordinately

Technical Information Library
Friends of the Library
Annual Meeting

3) Otherwise, consider that the name is not "general in nature" and enter it independently with qualifiers as necessary (cf. LCRI 24.4C).

Academy of Sciences
Carnegie Library
Fine Arts Museum
Music Archive

Slide 42



Type 3 – ... numbered subdivision...

1) A name that does no more than indicate a geographic, chronological, or numbered or lettered subdivision of a parent body.

Slide 43

**Institute of International Relations
Centre for European Affairs**

AACR2 & LCRIs 24.13, Type 3 (Exception)
In case of doubt, enter the body directly

Occasional Research Papers No. 6

**THE CONSOCIATIONAL DIMENSION
OF EUROPEAN INTEGRATION:
LIMITS AND POSSIBILITIES
OF TRANSNATIONAL DEMOCRACY**

Dimitris N. Chrysochoou,
*Part-time lecturer at Birkbeck College,
Centre for Extra-Mural Studies,
University of London*

110 2 _ Centre for European Affairs (Institute of International Relations) 43

AACR2 & LCRIs 24.13, Type 3 (Exception): In case of doubt, enter the body directly

This is the exception to Type 3; note that the "In case of doubt" is part of the rule. It requires cataloger's judgment. If you can't decide, then decide to enter directly.

Why is this not general in nature? It includes subject words (European).

Interpretation

The Library of Congress interprets "a name that is general in nature" in the rule as follows: "general in nature" usually means that the name contains neither very distinctive elements (such as **proper nouns or adjectives**) nor **subject words**. For example, enter subordinately

- Technical Information Library
- Friends of the Library
- Annual Meeting

3) Otherwise, consider that the name is not "general in nature" and enter it independently with qualifiers as necessary (cf. LCRI 24.4C).

- Academy of Sciences
- Carnegie Library
- Fine Arts Museum
- Music Archive

Trainer note: ANIMATED SLIDE – second click will bring in heading in direct order

Slide 44

Type 4 – name does not convey idea of corporate body

LCRI 24.13, Type 4

010		p. 81129914
040		DLC \$e eng #: DLC \$d OCLC
110	2	CBS Inc. \$b Economics and Research
410	2	CER
410	2	CBS/CER
410	2	CBS Inc. \$b Corporate Economics and Research
670		Social patterns (ser. x-ref) Klapper, J.T. How to judge a pot, 1980 \$b tp. \$c Economics and Research (CER) p. 1 of cover (CBS/CER)
670		Phone call to author \$b (Corporate Economics and Research, CBS Inc.)

44

Type 4 – name does not convey idea of corporate body:

1) A name that does not convey the idea of a corporate body.

Note: there is a period at the end of the heading that should be deleted if this heading is ever modified for any other reason. The two references from initials with periods would not be correct to make today, and can be deleted if modifying the record for another reason.

Slide 45

Type 5 – A name of a university faculty, school, college, institute, laboratory, etc., that simply indicates a particular field of study.

AACR2 24.13, Type 5

010	1	04149130
040		DGPO Hb eng Hb DLC
110	2	Stanford University. Hb Institute for Plasma Research.
670		Liang, E.P. Emission model of Gamma-ray bursts, 1993. Hb tp. (Stanford University, Institute for Plasma Research)

45

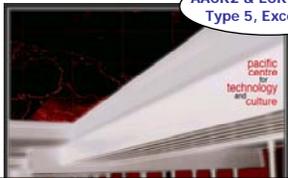
Type 5 – A name of a university faculty, school, college, institute, laboratory, etc., that simply indicates a particular field of study:

A name of a university faculty, school, college, institute, laboratory, etc., that simply indicates a particular field of study.

This is a good example of how important it is to be clear in your 670 information. Without the comma here, a different conclusion could be drawn about the presentation of the material. Subordinate entries can fall into more than one type. If this example had been presented on the source as one phrase (Stanford University Institute for Plasma Research), then it would be a Type 6 in addition to Type 5.

Slide 46

AACR2 & LCRI 24.13, Type 5, Exception



110 2 _ Pacific Centre for Technology and Culture

The name includes the word "Pacific", which is more than a particular field of study.

46

AACR2 & LCRI 13, Type 5, Exception

This name would be entered directly rather than subordinately to the University of Victoria because the name does *not* simply indicate a particular field of study.

It includes a word (Pacific) that is unrelated to the type of body (institute, laboratory, etc.) or the field of study (Technology & Culture).

Slide 47

Type 6 – A name that includes the entire name of the higher or related body.

AACR2 24.13, Type 6

010		000081211
040		RFB #b eng lc RFB
110	2	Kent State University #b Libraries #b Friends
410	2	Friends of the Kent State University Libraries
670		Bon Pasco. 1993 #b colophon (Friends of the Kent State University Libraries)

47

Type 6 – A name that includes the entire name of the higher or related body:

LCRI 24.13 Type 6, page 3:
 “Friends” can be considered corporate in connotation through common usage for Friends of the Library.

These types will be frequently transposed when setting up the heading. Transcription influences but does not control the structure of the heading.

This might also be considered Type 3 as well, because Friends has become a name “general in nature.”

Note: When setting up a name like this, your parent heading is created based on the hierarchy of the parent body. In this case, that is the Libraries, which are set up subordinately already. You can have a subordinate heading with multiple \$b subfields.

Slide 48

Type 6 – A name that includes the entire name of the higher or related body.

LCRI 24.13, Type 6, Exclusion

010		00000021647
040		WUJ #b eng lc WUJ
110	2	University of Alaska Museum of the North
410	2	UA Museum of the North
410	2	University of Alaska Fairbanks #b Museum of the North
410	2	University of Alaska (System) #b Museum of the North
510	2	University of Alaska Museum #e a
670		University of Alaska Museum insect omnibus, via WWW, Mar. 6, 2005 #b (University of Alaska Museum of the North, located on the University of Alaska Fairbanks Campus) HTML header (UA Museum of the North)
675		LC database, Mar. 6, 2005 (University of Alaska Museum)

The University of Alaska has multiple campuses. The museum is actually located in Fairbanks.

48

Type 6 – A name that includes the entire name of the higher or related body:

Look for a #1 type example to replace Museum of the North example.

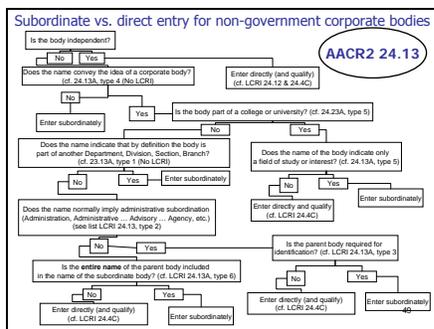
LCRI 24.13, Type 6 *Exclusions from Type 6* : This example is exclusion #2.

2) The name is a U.S. state university institution that contains the name of the statewide system.

name: University of Nebraska Medical Center
heading: University of Nebraska Medical Center
Not: University of Nebraska

(Central administration). Medical Center

Slide 49



Subordinate vs. direct entry for non-government corporate bodies:

This is a reference slide Chart not meant for detailed review in class

Trainer note: A copy will be available in the appendix.

Slide 50

Direct or Indirect Subheading : Non-Government Bodies
AACR2 24.14

- Enter a body belonging to one or more types listed in 24.13 as a subheading of the lowest element in the hierarchy that is entered under its own name.
- Omit intervening elements in hierarchy unless the name of the subordinate or related body has been, or is likely to be, used by another body under the same higher or related body.

50

Direct or Indirect Subheading : Non-Government Bodies:

So, we've now covered the 6 types for non-gov. bodies. But once we've decided it must be subordinate, we need to look at that organization chart, if at all possible. How many levels are in the hierarchy? How many of those levels *must* be included in the heading? Remember the basic idea, only enough needed for identification. The basic idea will be to only put the minimum number of levels of subordination in a heading. You

do not want to include the entire organization chart if you don't have to.

NOTE: Although we have not mentioned cross-references yet, note that there will be a cross-reference with multiple levels.

Slide 51

Direct or Indirect Subheading
AACR2 24.14

Hierarchy: University of British Columbia
Faculty of Arts
Department of Geography
Geographic Information Centre

110 2 _ University of British Columbia. \$b
Geographic Information Centre

* If in doubt, retain immediate higher body in heading.

51

Direct or Indirect Subheading:

Is the Dept. of English likely to have a Geo Info Centre?
The Dept. of Physics? No, only the Dept. of Geography
So no intervening hierarchy needs to be included in that heading (not counting cross-references).

Slide 52

Headings For Governments
AACR2 24.13E1

- Use **conventional name** of the government unless the official name is in common use
- To establish a heading for the government you must establish the heading for the geographic area

52

Headings For Governments:

Now we're going to look at subordinate entry for government bodies.
Here is an important point to establish before setting up such a heading.

Slide 53



Headings For Governments:

Note: This will be discussed again in the Geographic names presentation.

Slide 54

Subordinate Entry for Government Bodies

AACR2 & LCRI
24.17-24.18

Enter a government agency subordinately to the name of the government if it belongs to one or more of the following types ...

54

Subordinate Entry for Government Bodies:

We'll be looking at the eleven types next. Some of them will be very familiar, others will be used but rarely.

We are going to go rapidly through the slides that are repeats of the non-gov. body section.

Slide 55

Type 1 – A name containing a term that by definition implies that the body is part of another (e.g., *Department, Division, Section, Branch*).

COMPENSATION PLANS

LCRI 24.18, Type 1 **FOR THE**

STATE OF HAWAII

DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT

110 1 _ Hawaii. \$b Dept. of Human Resources Development

July 1, 2000

Type 1 – A name containing a term that by definition implies that the body is part of another (e.g., *Department, Division, Section, Branch*):

This is word-driven. NOTE: this is essentially the same as the non-government bodies.

1) An agency with a name containing a term that by definition implies that the body is part of another (e.g., Department, Division, Section, Branch, and their equivalents in other languages).

Trainer note: ANIMATION – second click brings up heading

for this body.

Slide 56

Type 2 – An agency with a name containing a word that normally implies administrative subordination in the terminology of the government concerned (e.g., *Committee*, *Commission*), provided that the name of the government is required for the identification of the agency.

**Baby Boomer Data:
Hawai'i 2000**

A Publication of the LCRI 24.18,
Type 2

Executive Office on Aging
State of Hawaii

110 1 _ Hawaii. \$b Executive Office
on Aging

No. 1 Capital District
250 South Hotel Street - Suite 100
Honolulu, Hawaii 96813-2811

Type 2 – An agency with a name containing a word that normally implies administrative subordination in the terminology of the government concerned (e.g., *Committee*, *Commission*), provided that the name of the government is required for the identification of the agency:

This is word-driven. NOTE: this is essentially the same as the non-government bodies.

Remember that the only languages with a fixed list are English, French, and Spanish. Any other language is cataloger's judgment.

Type 2: An agency with a name containing a word that normally implies administrative subordination in the terminology of the government concerned (e.g., *Committee*, *Commission*), *provided that the name of the government is required for the identification of the agency.*

Slide 57

Type 2 – ... provided that the name of the government is required for the identification of the agency.

Type 2 – ... provided that the name of the government is required for the identification of the agency:

remember the second part of the rule: "... provided that the name of the government is required for the identification of the agency." No equivalent of 24.13 type 6 for government headings. ***If the name of the government is stated explicitly or implied in the wording of the name, enter it independently, in all other cases, enter it subordinately.***

ANIMATION: 110 dissolves in

Slide 58

Type 3 – An agency with a name that is "general in nature" or that does no more than indicate a geographic, chronological, or numbered or lettered subdivision of the government or of one of its agencies entered subordinately.

NOTE: this is essentially the same as the non-government bodies, except that there is a distinction between national-level and below national-level bodies.

LCRI 24.18 Type 3

The Library of Congress interprets "a name that is general in nature" in the rule as follows:

National-level bodies. If the body is at the national-level of government, consider that the name is "general" -- and enter it subordinately--if its name lacks distinctive elements of the following types: proper nouns or adjectives; subject words; or the term "national," or "state" (meaning "national"), or equivalents in foreign languages.

- Research Center
- Library
- Technical Laboratory
- Enter the names of all other national-level bodies independently.
- Population Research Center
- Nuclear Energy Library
- Technical Laboratory of Oceanographic Research
- National Institutes of Health
- Corporation for Public Broadcasting
- National Gallery
- State Library

Note: Prior to 1989, headings for names of national-level bodies consisting solely of a general phrase plus the term "national" or "state" (or their equivalents) were entered subordinately; such headings are revised

You may consider qualifying the 110 by using the term 'Agency' under provisions of 24.4B1 cataloger's judgment. Qualifiers are discussed in the next section.

Slide 61

Type 5 – An agency that is a ministry or similar major executive agency (i.e., one that has no other agency above it) as defined by official publications of the government in question

Type	2	Local status	Ext. id	Country
Branch		Stat. status	Ext. ref.	Home use
City of origin		Publ. status	Subj.	Publ. use
Series		Author	Gen. subd.	Ext. use
Ext. pub.		Name	Subdiv. by	Publ.

ID	Agency
110	24.0 no. 10000000
110	Canada, <u>Ministry of Transport</u>
410	Canada, <u>Ministère des Transports</u>
410	Canada, <u>Ministry of Transport, Ministry of</u>
410	Canada, <u>Ministry of Transport, Ministère des</u>
310	Canada, <u>Min. of Transport</u>
510	Canada, <u>Min. Transport Canada web</u>
670	N.C. 618114-16 (AACR 2: Canada, Ministry of Transport, Name changed 2010/05 from Dept. of Transport to Ministry of Transport, and again 1972/1 to Transport Canada. Variant name, 1972/1: Transport Canada)

Here we are finally getting into types that are specific to governments. Note that these agencies on the national level are usually already established. For the US, a recent example was (ask them!) Homeland Security. On the state level or below, you may still need to create these, since they are not yet established as widely.

Slide 62

Type 6 – A legislative body

AACR2 24.18, Type 6; AACR2 24.21

110 1 _ Colorado. \$b General Assembly.
\$b Welfare Oversight Committee

Welfare Oversight Committee

Report to the
COLORADO
GENERAL ASSEMBLY

Colorado Legislative Council
Research Publication No. 492
December 2001

NOTE: For Types 6-11, there is also a section of Special Rules in this chapter that adds more detail, some of which we cover here, some which we do not in any detail. Basically, these are specialized areas that tend to be used by specialized catalogers. For example, law catalogers are more likely to deal with headings for Courts. Catalogers who do work with history and politics will be the ones more frequently (though not exclusively) creating headings for legislative bodies and heads of state. Result is we are not going to cover them here

in agonizing detail. But if you do work in those areas, please be aware of that special section of the rules and be sure to read through them carefully when creating a heading of that nature. Even those who do work in those areas don't create them every day. Also remember that consulting with your liaison for these less common headings is highly encouraged.

Type 6

A legislative body (see also 24.21).

Most national-level bodies are already established, so this is more likely to come up with state-level and lower level bodies.

Slide 63

Type 7 – A court

AACR2 24.18, Type 7;
AACR2 24.23

010		n 81041171
040		DLC #b eng #c DLC
110	1	Illinois. #b Appellate Court (2nd District)
670		Its Rules of practice ... 1934: #b t.p. (Appellate Court, Second District of Illinois)

63

The structure is always based upon the jurisdictional level of authority, followed by the name of the court and the appropriate location. 24.23 is the more detailed rule for instructions on how to set these up.

Slide 64

Type 8 – A principal service of the armed forces of a government

AACR2 24.18, Type 8 & AACR2 24.24

010	1	a	9511716
040			DLC # eng # DLC #4 DLC
110	1		Great Britain. # Royal Marines. # Royal Marine Commando, 43rd
410	1		Great Britain. # Army. # 43rd Royal Marine Commando Av rmas
410	2		43 RM Commando
410	2		43 Royal Marine Commando
410	1		Great Britain. # Royal Marines. # Commando, 43rd
670			Commando subaltern at sea; 1996 # CIP galley (43 Royal Marine Commando; 43 RM Commando; usage: 43rd Royal Marine Commando)
670			LC data base; 11-20-95 # (bdg: Great Britain. Army. 43rd Royal Marine Commando)

24.24 goes in to more detail regarding the lower-level units of the armed forces. Watch out for the lower levels of the armed forces. The parent body tend to be established, but regiments, etc. often are not, especially older ones.

24.24A. Armed forces at the national level
24.24A1.

Enter a principal service of the armed forces of a national government under the heading for the government, followed by the name of the service. Omit the name (or abbreviation of the name) of the government in noun form unless the omission would result in objectionable distortion.

United States. *Army Map Service*

If the name of such a component branch, etc., contains, but does not begin with, the name or an indication of the name of the principal service, enter it as a direct subheading of the heading for the service and omit the name or indication of the name unless objectionable distortion would result.

24.24B. Armed forces below the national level

24.24B1.

Enter an armed force of a government below the national level under the heading for the government, followed by the name of the force.

New York (State). *Militia*

New York (State). *National Guard*

24.24B2.

Enter a component branch of an armed force of a government below the national level as a subheading of the heading for the force as instructed in 24.24A.

New York (State). *Militia. Regiment of Artillery, 9th*

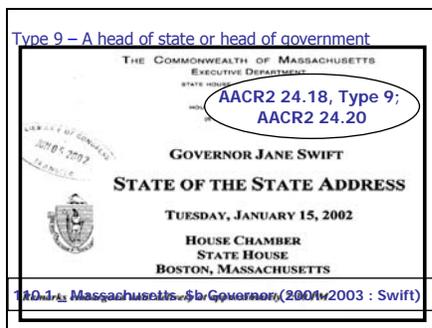
(Name: 9th Regiment of Artillery, N.Y.S.M.)

24.24B3.

Enter a component branch, etc., of a force below the national level that has been absorbed into the national military forces as a component branch of the national force (see 24.24A).

United States. *Army. New York Volunteers, 83rd*

Slide 65



Note that there is a reference structure set up with the personal name of the ruler, depending on which one you have in hand and need. Personal name heading of governor: Swift, Jane, 1965- Most items will have the personal name heading as an access point, not the corporate name. Its usage is very limited.

Type 9

A head of state or head of government (see also 24.20).

United Kingdom.

Sovereign

Montréal (Québec).

Mayor

United States. President

Virginia. Governor

Slide 66



In these headings, you always need to be aware of the location of the embassy, etc., since it is always needed as a qualifier. The subordinate body will always be set up in the vernacular to be fully established.

24.25A.

Enter an embassy, consulate, legation, or other continuing office representing one country in another under the heading for the country represented, followed by the name of the embassy, etc. Give the subheading in the language (see 24.3A) of the country represented, and omit from it the name of the country.

If the heading is for an embassy or legation, add the name of the country to which it is accredited.

Germany. Gesandtschaft

(Switzerland)

United Kingdom. Embassy

(U.S.)

United States. Legation

(Bulgaria)

Yugoslavia. Poslanstvo (U.S.)

Canada. Embassy (Belgium)

If the heading is for a consulate or other local office, add the name of the city in which it is located.

France. *Consulat (Buenos Aires, Argentina)*
United Kingdom. *Consulate (Cairo, Egypt)*

Slide 67

Type 11 – A delegation to an international or intergovernmental body (see also AACR2 24.26)

110 1 _ United States. \$b Delegation (Inter-American Conference for the Maintenance of Peace (1936 : Buenos Aires, Argentina))

110 1 _ Mexico. \$b Delegación (Inter-American Conference for the Maintenance of Peace (1936 : Buenos Aires, Argentina))

67

The heading for the delegation, commission, mission, etc. is in the language of the country represented. (note Delegation vs. Delegación) Usually delegations are sent to conferences, which will lead to the frequent use of qualifiers.

Slide 68

**Government Bodies:
Direct or Indirect Subheading**

AACR2 & LCRI
24.19

Enter an agency belonging to one or more of the types in 24.18 as a direct subheading of the government unless the name of the agency has been, or is likely to be, used by another agency entered under same government.

68

Again, for government bodies, only include the in-between layers of the hierarchy if needed for clarity. The question to ask is, do I need that level for identification of this body?

Slide 69

**Government Bodies:
Direct or Indirect Subheading**

LCRI 24.19

Hierarchy: British Columbia
 Schools Department
 Division of Operations and Services
 School Operations Branch

110 1 _ British Columbia. \$b School Operations Branch

69

School Operations Branch is sufficiently distinctive within British Columbia, to not need the Dept or Division for identification.

Slide 70

**Government Bodies:
Direct or Indirect Subheading**

Hierarchy: Great Britain
 Department of Employment
 Solicitors Office

110 1 _ Great Britain. \$b Dept. of Employment. \$b Solicitors Office

Solicitors Office is a very common name in large government agencies in Britain.

70

What other depts. might be considered extremely common? Human Resources, IT sections, Printing units.

Slide 71

**Government Bodies:
Indirect Subheading**

Profile of Substance Use and Need for Treatment Services
Washington State

LCRI 24.19

110 1 _ Washington (State). \$b Division of Alcohol and Substance Abuse. \$b Research and Data Analysis

OR

110 1 _ Washington (State). \$b Dept. of Social and Health Services. \$b Research and Data Analysis

Washington State Department of Social and Health Services
Division of Alcohol and Substance Abuse
Research and Data Analysis
December 1999

CONTENTS
 * The purpose of the report
 * Washington State Assessment Household Survey
 * Measures of substance use disorder
 * Population groups for analysis
 * Estimates of substance use disorder
 * Estimates of current need for AS services
 * Treatment, Assessment, Support Coordination Team
 * Service needs from TARGET database
 * Service use by gender and severity
 * Service use by demographics

Washington (State). Research and Data Analysis can't be the heading because "Research and Data Analysis" is likely to have been used by more than one department in Washington State. Rule says to interpose the name of the lowest element in the hierarchy *that will distinguish* between the agencies. You have to know in this case if Research and Data Analysis is really a subordinate unit to the Division or to the Dept.

Sometimes you will have all the information, but you may decide

the lowest level of the hierarchy does NOT identify the subordinate body adequately. Does the Dept. or the Division better identify the Research & Data Analysis section? Cataloger's judgment is what you must use to decide. Remember that you must respect your colleague's judgment, even if you would have made an entirely different choice.

The NAR that has been set up for this is: Washington (State). \$b Dept. of Social and Health Services. \$b Research and Data Analysis (because the Divisional level didn't appear on the first item by which it was established).

Actual hierarchy: Washington (State).

Dept. of
Social and Health Services
Division
of Alcohol and Substance Abuse

Research and Data Analysis

Consequences: cross-references are needed to establish the variant levels of hierarchy.

Slide 72

Corporate Name Exercises

Apply Direct and Indirect Entry

72

6 exercises
20-30 minutes

Slide 73

Exercise 1

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lv: n Source: c
 Roman: ■ Ref status: n Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: n Rules: c

040 __ MARC \$b eng \$c MARC LCRI 24.13 Type 6

110 2 _ University of Michigan. \$b Environmental Law Society

670 __ Environmental law in Michigan, c1982: \$b t.p.
 (Environmental Law Society of the University of Michigan)

Heading already established: University of Michigan

This could possibly meet Type 5 criteria as well.

Slide 74

Exercise 2

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lv: n Source: c
 Roman: ■ Ref status: n Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: n Rules: c

040 __ MARC \$b eng \$c MARC AACR2 24.12

110 2 _ Stanford Environmental Law Society

670 __ San Jose, sprawling city, 1971: \$b t.p. (Stanford Environmental Law Society)

Heading already established: Stanford University

Complete name of higher body not included. Therefore, 24.13, Type 6 does not apply.

Slide 75

Exercise 3

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvi: n Source: c
 Roman: ■ Ref status: n Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: n Rules: c

040 __ MARC \$b eng \$c MARC AACR2 24.18, Type 2

110 1 _ San Diego (Calif.). \$b Mayor's Committee on Transportation and Parking

670 __ Parking crisis in in San Diego, 1981: \$b t.p. (Mayor's Committee on Transportation and Parking; San Diego, CA)

The semicolon implies that San Diego, CA appeared with the name but on a separate line, which does affect the heading.

Slide 76

Exercise 4

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvi: n Source: c
 Roman: ■ Ref status: n Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: n Subj use: b
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: n Rules: c

040 __ MARC \$b eng \$c MARC AACR2 24.18, Type 9

110 1 _ Pennsylvania. \$b Governor (1979-1987 : Thornburgh)

667 -- Subject usage: This person is not valid for use as a subject. Works about this person are entered under Thornburgh, Dick.

NOTE: See Z1 for 008 coding and 667 Subject Usage note; Subj = "n"; Subj use = "b"

670 __ Congressional districts of Pennsylvania, 1980: \$b t.p. (an address to the Legislature by Gov. Dick Thornburgh)

670 __ WW Amer. pol. 1987/88: \$b p. 1295 (Thornburgh, Richard L., 1932- : gov. of PA, 1979-1987)

Note re: 008 coding: This was a change from previous practice, so older records of this type will not have this Subj. and Subj. use coding.

Slide 77

Exercise 5

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvi: n Source: c
 Roman: ■ Ref status: n Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: n Rules: c

040 __ MARC \$b eng \$c MARC AACR2 24.18, Type 1

110 1 _ Washington (State). \$b Dept. of Labor and Industries

Hierarchy in related example; must also be established separately.

670 __ Fatal occupational injuries in Washington State, 1992: \$b t.p. (Washington State Department of Labor and Industries)

Slide 78

Exercise 6

```

ARN: NEW
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvl: n Source: c
Roman: ■ Ref status: n Mod rec: n Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: n Rules: c
040 __ MARC $b eng $c MARC
110 1 _ Washington (State). $b Dept. of Labor and Industries.
      $b Division of Research and Information Services
AACR2 24.18, Type 1; LCRI 24.19
670 __ Fatal occupational injuries in Washington State, 1992:
      $b t.p. (Washington State Department of Labor and
      Industries , Division of Research and Information
      Services)
    
```

LCRI 24.19: indirect entry because the name “Division of Research and Information Services” is a type of body “performing functions common to many higher bodies”

Slide 79

Qualifiers

**Additions :
Placed at End of
Name in Parentheses**

AACR & LCRI 24.4B-24.4C, 24.6-24.11

79

Now that we've looked at how to choose the heading form and language and whether or not it is indirect entry, we now need to look at when and how to qualify the heading.

Slide 80

Qualifiers : How to Qualify

- Place
(Washington, D.C.) – authorized form
- Name of institution
(Library of Congress) – not necessarily catalog-entry form
- Year
(1800)
- General designation
(Organization)
- Multiple qualifiers
(Cordoba, Spain : Cathedral)

80

These are in the general order in which they are used, but not a prescribed order. They always appear in parentheses at the end of the heading; the qualifier is not separately subfielded. On occasion, you need more than one qualifier; in that case you separate them with a space colon space.

Corporate Body (Washington (State))
 Corporate Body (Portland, Or.)
 Corporate Body (Washington (State) : 1850)

Slide 81

Qualifiers

- Government vs. Non-government Bodies
- Does Not Convey Corporateness
 - Surnames, Consultants, Initials and Acronyms, etc.
- Conflict Situation
- Chapters, Branches, etc.
- Local Churches
- Radio and Television Stations
- Omissions
- Conferences, Exhibitions, etc.

81

We will look at most of these cases separately in the following slides.

Slide 82

Qualifiers : When LCRI 24.4C

- Is it a non-government body?
- Is it a government institution?
- Is it a government body whose immediate parent body is entered directly?

If yes to any of the above, qualify only

- if there is conflict or,
- if in the cataloger's judgment, "the addition assists in the understanding of the nature or purpose of the body."

82

These are the questions to work through before qualifying a government body vs. a nongovernment body. The yes answer to ANY of these questions gets the same result for qualification.

NOTE: the definition of a government body whose immediate parent body is entered directly will be defined shortly. Do not fret over that definition yet.

Slide 83

Qualifiers : When

Is there a conflict?	If yes, then qualify
If no, is it a non- government body?	If yes, qualify per cataloger's judgment
If no, is it a government institution?	If yes, qualify per cataloger's judgment
If no, is it a govt. body whose immediate parent body is entered directly?	If yes (treated as non- govt. body), qualify per cataloger's judgment
If no, is it a govt. body whose immediate parent body is jurisdiction or entered subordinately to jurisdiction?	If yes, always qualify

83

This is a flowchart that repeats the information from the previous slide in a different format. Spend time on it as you need to.

To 2nd set of reviewers: evaluate this for clarity and how it might be visually improved. We think it is beneficial to repeat this because qualification is a very confusing issue for corporate bodies.

Slide 84

**Qualifiers :
What are Govt. Institutions?**

Schools, museums, laboratories, hospitals, archives, libraries, prisons, etc.: LCRI 24.4C

- Library of Congress
- National Institutes of Health
- National Air and Space Museum
- Garfield High School
- Seattle Municipal Archives
- Washington State Library

84

The RI does not give a definition of government institutions, but instead gives examples. The list of examples is repeated, with some actual examples of institutions. They all seem to be government bodies that are not part of the basic bureaucracy of government. We have no better definition, but hope that you will gain experience through dealing with them. If you have a question, please ask the Policy office.

These are all government institutions that do not get automatically qualified.

LOOK FOR A DEFINITION.

Slide 85

**Qualifiers :
Qualified as Non-govt. Bodies**

For: LCRI 24.4C

- non-government bodies,
- government institutions, or
- government bodies whose immediate parent bodies are entered directly,

qualify with:

- the name of the place or jurisdiction that reflects the scope of the body's activities
- the name of the local place in which the body is located (or the name of the local place that is commonly associated with the body)
- the name of the higher or related body (for subordinate or related bodies)

85

Treat these ALL as non-government bodies for purposes of qualification

In the three previous slides, we looked at the questions to ask yourself to decide if it gets a qualifier. If the answer to any of the questions was “yes, it is one of these three types of bodies,” then it gets these specific types of qualifiers.

Trainers, please emphasize this: LCRI 24.4C

In case of doubt about whether or not the qualifier would assist in understanding the nature or purpose of the body, DO NOT QUALIFY.

Slide 86

Qualifiers : Treated as Gov. Body or Non-govt. Body?

A body whose immediate parent body is entered under a heading that is not the name of a government, treat as a non-government body.

Non-government body for purpose of qualification: LCRI 24.4C

110 2 _ Cultural Resources Development Project (National Endowment for the Arts)

410 2 _ National Endowment for the Arts (U.S.). \$b Cultural Resources Development Project

86

This is where we define the government body that gets treated as a non-government body for purposes of qualification.

It is the *immediate* parent heading that makes the difference in how we regard it. This example is actually still government-owned and operated, but because its immediate parent body is the NEA, which IS entered directly in its own NAR, the Project is treated as if it were a non-government body when we are considering how to qualify it.

LCRI 24.4C

Non-conflicts

- 1) Government bodies that are not institutions
 - a) Definition. According to

24.17, a body whose immediate parent body is the heading for a government, or whose immediate parent body is entered subordinately to the heading for a government, is treated as a government body. A body is treated as a nongovernment body, however, if its immediate parent body is entered under a heading that is not the name of a government.

NOTE: Qualifier U.S. is dropped when the NEA is used as a qualifier because 24.4C5, which states that a higher or related body used as a qualifier does not need to be used in authorized form.

Slide 87

Qualifiers : Treated as Govt. Body or Non-govt. Body?

A body whose immediate parent body is the heading for a government, or is entered subordinately to the heading for a government, treat as a government body.

Government body for purpose of LCRI 24.4C qualification:

110 2 _ National Endowment for the Arts (U.S.)

410 1 _ United States. \$b National Endowment for the Arts

87

This is where we define the government body that gets treated as a non-government body for purposes of qualification.

It is the *immediate* parent heading that makes the difference in how we regard it. This example shows a parent body that IS a jurisdiction, therefore it is always considered a government for purposes of qualification.

Remember that a body may be organizationally subordinate but not be a subordinate entry.

LCRI 24.4C

Non-conflicts

- 1) Government bodies that are not institutions
 - a) Definition. According to 24.17, a body whose immediate parent body is the heading for a

government, or whose immediate parent body is entered subordinately to the heading for a government, is treated as a government body. A body is treated as a nongovernment body, however, if its immediate parent body is entered under a heading that is not the name of a government.

Slide 88

Qualifiers :
Qualified as Govt. Body

Treat as a government body for purposes of qualification:
110 2 _ Centre d'analyse et de prévision (France)

If a body's immediate parent body LCRI 24.4C

- is the heading for a government OR
410 1 _ France. \$b Centre d'analyse et de prévision
- is entered subordinately to the heading for a government
410 1 _ France. \$b Ministère des affaires étrangères et européennes. \$b Centre d'analyse et de prévision

Qualify with the name of the government unless name of government is included in name 88

We have over the last few slides looked at non-government bodies, government institutions, and government bodies treated as non-government bodies for purposes of qualification. We now have the government bodies that will continue to be treated as government bodies for purposes of qualification. In essence, all the government bodies that are left over.

For these, we add the name of the government as qualifier unless the government's name (or an understandable surrogate of the government's name) is already present in the name. That is the only acceptable qualifier for these headings.

Slide 89

Qualifiers : LCRI 24.4C	
Cataloger's Judgment	
<ul style="list-style-type: none"> • Council on International Economic Policy <ul style="list-style-type: none"> – Exercises jurisdiction in the U.S.; immediate parent body is U.S. • New Haven Redevelopment Agency <ul style="list-style-type: none"> – Exercises jurisdiction in New Haven, Conn. • Center for Disease Control <ul style="list-style-type: none"> – Exercises jurisdiction in the U.S. • American Cancer Society <ul style="list-style-type: none"> – Voluntary health organization 	<ul style="list-style-type: none"> ✓ Government body; not an institution, qualifier required (U.S.) ✓ Government body; not an institution; government name included in the name; qualifier not required ✓ Government institution; not qualified unless conflict or cataloger's judgment ✓ Non-gov. body; not qualified unless conflict or cataloger's judgment

Non-conflicts – LCRI 24.4C p. 1-3

Council example: Its immediate parent body (United States Executive Office of the President) is entered subordinately to the United States, so it is a government body for qualifying purposes. This means that the only appropriate qualifier, if needed, is (U.S.)

New Haven example: This is a government body, whose immediate parent body is New Haven, Conn. However, the name of the government is included in the institution name, so it does not need a qualifier unless there is conflict.

CDC example: Since CDC is a government institution (controlled by the US Public Health Service), the qualifiers allowed are (U.S.), (Atlanta, Ga.), or (United States Public Health Service). All three of these are appropriate forms of a qualifier. Whether or not they are used is cataloger's judgment.

American Cancer Society example: ACS is a voluntary health organization, therefore it can receive two of the three types of qualifiers (U.S.) or (Atlanta, Ga.). It does not have a higher parent body.

Slide 90

Qualifiers : LCRI 24.4C	
Cataloger's Judgment	
<ul style="list-style-type: none"> • Council on Environmental Quality <ul style="list-style-type: none"> - Exercises jurisdiction in the U.S.; immediate parent body is U.S. • Merritt Academy <ul style="list-style-type: none"> - Private school in Fairfax Cty., Virginia • Dunbar High School <ul style="list-style-type: none"> - Exercises jurisdiction in Washington, DC and Mobile, AL • Harvard Law School <ul style="list-style-type: none"> - Located in Cambridge, MA 	<ul style="list-style-type: none"> ✓ Government body; not an institution, gov. name not included, qualifier required (U.S.) ✓ Non-gov. body, qualifier not needed unless conflict or cataloger's judgment ✓ Government institution but conflict; qualify both ✓ Non-gov. body; not qualified unless conflict or cataloger's judgment

When to qualify for non-government bodies, gov. bodies treated as non-gov. bodies, or gov. institutions: qualify if "the addition assists in the understanding of the nature or purpose of the body. Use judgment in making this decision, noting that the use of the undefinable phrase "nature or purpose" is deliberate, with the intention of letting the cataloger judge the situation--does the addition of a qualifier really improve the heading? In case of doubt, do not add the qualifier." (LCRI 24.4C) For the government body, it gets qualified by jurisdiction.

Council example: government body whose immediate parent body is entered subordinately (United States. ‡b Executive Office of the President), nor is the name of the government included in the name, therefore it is qualified by the jurisdiction.

This example is a prime example of a body for which you need to do a little research or have a little knowledge of who controls it in order to decide if a qualifier is needed.

Merritt example: basic non-gov body, therefore only needs qualification for conflict or judgment

Dunbar example: government institution yes, but conflict automatically requires qualification, regardless of government or non-government status

Harvard example: non-government body, so only needs qualification for conflict or judgment

Slide 91

Qualifiers : Name Alone Does Not Convey Corporateness

Generally, do not add a general designation as a qualifier to a corporate name containing two or more surnames (without forenames or without forename initials).

110 2 _ Johnson & Johnson

AACR2 &
LCRI 24.4B

110 2 _ B. Johnson and J. Johnson (Firm)

110 2 _ Winthrop B. Jones (Organization)

91

Do add the qualifier when forenames and/or forename initials are present.

Do *not* add a qualifier to a corporate name containing only two or more surnames (i.e. without forenames or forename initials). i.e. Johnson & Johnson

Firm is the most common qualifier, but it is not prescriptive. Organization is a common qualifier for non-profit organizations or corporate bodies that use the word organization to describe themselves.

Another good example: Joseph A. Banks (qualifier) – men's clothing store vs. Christopher & Banks – women's clothing store

LCRI 24.4B

Surnames

Generally, do not add a general designation as a qualifier to a corporate name containing two or more surnames (without forenames or without forename initials).

LCRI 24.4B. NAMES NOT CONVEYING THE IDEA OF A CORPORATE BODY.

In addition to surnames, LCRI 24.4B has a number of other categories of types of headings where a qualifier may be needed. The RI is a bit more specific than the rule. Behind all of them is the idea of identification in the midst of confusion.

In order of examples:

Surnames

Ships – add qualifier if name alone does not convey corporateness

Be specific about the type of ship

Musical groups

Art Galleries – use (Gallery) rather than (Art gallery) if a designation is needed

Sports Teams – if name doesn't explicitly convey the information that the entity is a sports team, add a qualifier. Include the term "team" following the name of the sport. Name not conveying corporateness, general

Consultant Firms – slide coming up

Initialisms and Acronyms – slide coming up

Slide 92

Qualifiers : Name Alone Does Not Convey Corporateness	
010	in 99270787
040	DLG: W eng W DLG: MIDL
110	Indian Creek (Ship)
070	DLG:DLG: Lake Erie Steamboat Historical Association for 111 Logansport, 1962-1988 W Indian Creek' also: out of town London, Colo.; whaling; modeled by James F. Skinner, steam-agent Fink, Crew & Co.)
010	in 00081188
040	IRACCIS W eng W IRACCIS W DLG
003	IRACCIS W Biography
110	IndianHouse (Musical group)
070	L. American composer vocal, p1907 W IndianHouse
010	in 000191220
040	IRACCIS W eng W IRACCIS
110	IRACCIS W Education (Organization)
070	Moving images in the classroom, 2000 W Lp. (IRACCIS) p. 80 (registered charity funded by the film industry in the UK and the US)

LCRI 24.4B. NAMES NOT CONVEYING THE IDEA OF A CORPORATE BODY.

In addition to surnames, LCRI 24.4B has a number of other categories of types of headings where a qualifier may be needed. The RI is a bit more specific than the rule. Behind all of them is the idea of identification in the midst of confusion. In order of examples:

Surnames

Ships – add qualifier if name alone does not convey corporateness

Be specific about the type of ship; details in the RI (There was once a fishing vessel with the heading Ave Maria (Hooker), which has now been changed to Ave Maria (Fishing vessel).

Musical groups

Performing Duets – for performing duets, do not add a general designation as a qualifier if the name contains two surnames (with or without forenames or forename initials) or if the name contains two forenames. (E.g., Sonny & Cher does not get qualified and neither does Simon and Garfunkel, but Sugar (Vocal duet) does get qualified).

Performing Groups – do not add a designation if the name contains a word that specifically designates a performing group or a corporate body in general (e.g., band, consort, society) or contains a collective or plural noun (e.g., Ramblers, Boys, Hot Seven). Add designation if a) **name is extremely vague, consisting of single, common words (e.g., Circle, Who, Jets) or if the name as the appearance of a personal name (e.g. Jethro Tull); b) if name falls between first case and the second (e.g., Led Zeppelin, Jefferson Airplane, Road Apple, L.A. Contempo); c) if in doubt.** Use the designation (Musical group) unless special circumstances (such as a conflict) require a more specific name.

Ask for examples of groups/duets that they know.

NOTE: no prescriptive list of qualifier

Name not conveying corporateness, general
An organization that contains no word to identify it as such is a prime candidate for the use of a qualifier. Firm is a much more common qualifier than Organization or other types. You need a reason to use Organization or other qualifiers than Firm.

Art Galleries – use (Gallery) rather than (Art gallery) if a designation is needed (next slide)

Sports Teams – if name doesn't explicitly convey the information that the entity is a sports team, add a qualifier. Include the term "team" following the name of the sport. (next slide)

Consultant Firms – slide coming up

Initialisms and Acronyms – slide coming up

Add another example using the qualifier Firm?

closed up form when the heading chosen does have periods following the initials.

Slide 96

Qualifiers : Conflicts

AACR2 &
LCRI 24.4C

Two or more bodies with same or similar names: add a qualifier to both names.

96

Reminder:
What to use as a qualifier?
 Place
 Institution
 Year
 General designation
 Multiple qualifiers, if necessary

Slide 97

Qualifiers : Conflicts

LCRI 24.4C

010	1	92100844
040		DLC Ib eng k: DLC
110	2	Arlington Arts Council (Arlington, Mass.)
670		Stories of early 20th century Ill. 1992: Ib 1p. (Arlington Arts Council) p. i (Arlington, Mass.)

010	1	96042098
040		Tu4J Ib eng k: Tu4J
110	2	Arlington Arts Council (Arlington, Tex.)
410	2	AAC
670		AFACIS, fall 1992: Ib p. 4 of cover (Arlington Arts Council: AAC, Arlington, Texas)

97

Conflicts
 When two or more bodies have the same name, 24.4C1 requires the addition of a qualifier to each name. Determine that a conflict exists when the AACR2 name or heading for one body is the same as the AACR2 name or heading for another body. "Conflict" is restricted to headings already established or being established in the catalog. *It includes headings for earlier names that are covered by see references to later names but excludes names treated as variants; if a variant name used*

in a reference conflicts with a form used in the heading for another body, apply the provisions for resolving conflicts only to the variant name. Ignore the conflict that is only between names used as variants.

Arlington Development Center (Arlington, Tex.)

(Independent nongovernment body)

Arlington Development Center (Arlington, S.D.)

(Government body belonging to the city of Arlington)

Arlington Development Center (Infodata, Inc.)

(Subordinate nongovernment body)

Arlington Development Center (S.D.)

(Government body belonging to the state of South Dakota)

Note that the existing heading that previously was unique but that now conflicts must be reviewed in the light of 24.4C and changed if necessary.

Slide 98

Qualifiers : Churches

LCRI 24.10B

- Qualify by local place always
 - 110 2 _ Vienna Presbyterian Church
(Vienna, Va.)
- Add general designation in English followed by local place if church name does not convey idea of "church"
 - 110 2 _ Santo Domingo (Monastery : Pamplona, Spain)

98

Local place could be a city/town or a county.

Slide 99

Omissions

- Initial articles
- Terms indicating incorporation

99

We'll look at both of these cases. There are others listed in 24.5B1 (citations of honours) and 24.7A1 (conferences) and 24.8A1 (exhibitions). The terms of incorporation have already been touched on.

Slide 100

Omissions : Initial Articles

Omit article at beginning of name unless article is part of name:

Le Moyne College AACR2 24.5; App. E

Los Angeles Philharmonic Orchestra

~~The~~ Library of Congress

~~Le~~ Musee d'art contemporain de Montreal

010	h	91017885	
043	DLC	W ang R: DLC R4 DLC	
110	2	Lobos (Musical group)	
410	2	Los Lobos (Musical group)	
670		By the light of the moon [SR] p1587: W label (2 us 1 robe)	
670		LC data base: 3:15:01 W (adj: 1 us 1 robe (Musical group))	

This goes along with basic geographic name rules that you will encounter tomorrow. If a place name has a definite article as part of the name, it does not get omitted, although an cross-ref. might do so.

The direct article is not lost; it is included in the cross-reference as an access point.

Slide 101

Omissions : Terms Indicating Incorporation

- Omit term at end of name unless needed to convey corporateness
 - e.g.: LLP, Ltd., Inc., Incorporated, E.V., S.a.
 - NOTE: "Company" is not a term of incorporation
- Transpose it to the end if term is needed to convey corporateness and it occurs at the beginning of the name AACR2 & LCRI 24.5¹⁰¹

The rule applies equally to adjectival terms and abbreviations indicating incorporation.

24.5C1. Omit an adjectival term or abbreviation indicating incorporation (e.g., *Incorporated*, *E.V.*, *Ltd.*) or state ownership of a corporate body, and a word or phrase, abbreviated or in full, designating the type of incorporated entity (e.g., *Aktiebolaget*, *Gesellschaft mit beschränkter Haftung*, *Kabushiki Kaisha*, *Società per azione*), unless it is an integral part of the

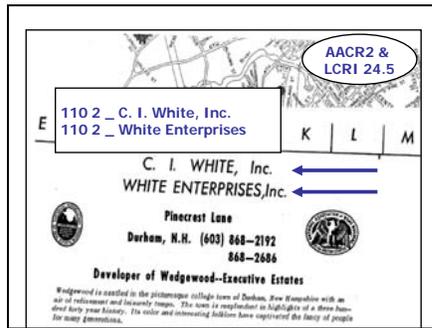
name or is needed to make it clear that the name is that of a corporate body.

24.5C2.

If such a term is needed to make it clear that the name is that of a corporate body and it occurs at the beginning of the name, transpose it to the end.

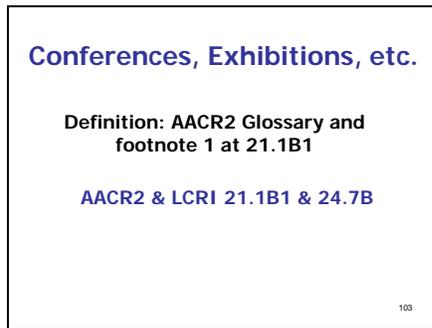
Elektrometall, Aktiebolaget
not Aktiebolaget Elektrometall
Hochbauprojektierung Karl-Marx-Stadt, VEB
not VEB Hochbauprojektierung Karl-Marx-Stadt

Slide 102



Ask class what form of heading each of these bodies would have. Animation with AACR2 headings for each of these two bodies will appear on second click. Notice no spacing between initials in first heading per RI 24.1.

Slide 103



AACR2 21.1B1 footnote 1: Conferences are meetings of individuals or representatives of various bodies for the purpose of discussing and/or acting on topics of common interest, or meetings of representatives of a corporate body that constitutes its legislative or governing body.

Slide 104

Conferences : Special Type of Corporate Bodies

- Select name of conference according to principles for selecting a corporate body
- Can be "named" or "unnamed"
- Can be one-time or ongoing
- Direct entry for most conferences; some are entered subordinately

104

Principles of presentation for picking a conference name are on next slide

(To a certain extent, conferences got placed here because of the qualifiers issues, but since they have not been discussed yet, we are also going over the foundational principles of conferences, etc.)

Slide 105

Conferences : Named

- Capitalization is often a clue LCRI 21.1B1; 24.7
- Use of **the** definite article
- Presence of a **generic** word (conference, institute, congress, workshop, etc.)
- Presence of a **topic**, rather than just place
- But beware of **ambiguous** entities listed in **LCRI 24.7**:
 - races, contests, sporting events, tournaments, parades, expeditions, etc. are treated as if they were conferences as well

105

These are clues to whether or not a conference is named, not requirements. Note that they can change between languages. For example, French does not capitalize corporate bodies in the same way as English, where German capitalizes everything.

All 111's:

Olympic Games

World Cup

Boston Marathon

Tournament of Roses

Slide 106

Conferences : Unnamed

- Name authority record not made LCRI 21.1B1
- No access point in bibliographic record
- Possible 500 note

106

Chicago conference – example of an unnamed conference due to lack of capitalization and no subject matter.

LCRI 21.1B1

When determining whether a conference has a name, cases arise that exhibit conflicting evidence insofar as two of the criteria in the definition of a corporate body are concerned: capitalization and the definite article. When the phrase is in a language that normally capitalizes each word of a name, even in running text, consider a capitalized phrase a name even if it is preceded by an indefinite article. (This statement cannot apply to other languages.)

named: In July of 1977 a Conference on Management Techniques in Libraries was held ...

unnamed: Late last year the Retail Manufacturers Association of the Greater Houston area sponsored the national conference on losses by theft at the ...

Another important point to bear in mind when deciding whether a phrase is a name is that the phrase must include a word that connotes a meeting:

"symposium," "conference," "workshop," "colloquium," etc. Note: Some notable sequential conferences that lack such a term are exceptionally considered to be named, e.g., Darmstädter Gespräch. In addition, phrases that combine acronyms or initialisms with the abbreviated or full form of the year are also considered to be named.

unnamed: A symposium titled "Coal Geology and the Future," sponsored by ...

named: GAGETECH '92
TOOLS Europe '92
AFPAC 2000

Remember that even though you would not make an access point in a bibliographic record for an unnamed conference, other elements in the bibliographic record will convey this information (i.e., subject headings/subdivisions, 008 coding, 500 note, etc.)

Slide 107



Clues: conference word not capitalized; indefinite article

Slide 108

Conferences : One Time

AACR2 & LCRI 24.7B

- Add date and place qualifiers
- Place: use institution or local place
 1. If institution, use form as presented
 2. If local place, use **authorized** form

108

Two types of conferences: ongoing and onetime
 NOTE: institution is preferred as a place qualifier. The institution should be a recognizable venue, not a generic one like a Holiday Inn.
 Note: if local place name is used as a qualifier, if there is no authority record for it yet, a NAR for it must also be established.

Slide 109

Conferences : One Time

Proceedings
IEEE International Conference on Network Protocols
 November 12 - 15, 2002
 Paris, France

Sponsored by
 IEEE Computer Society Technical Committee on Distributed Processing

IEEE COMPUTER SOCIETY

AACR2 & LCRI 24.7B

11 2 _ IEEE International Conference on Network Protocols \$d (2002 : \$c Paris, France)

Local place qualifier – use catalog entry form (as modified by 23.4A1 and 24.4C1, 2nd paragraph)
 Year is always included.
 This is what you see on both NAR and bib record access point.

Slide 110

Conferences : One Time

ARJN 3918443

LCRI 24.7B

Rec stat	n	Entered	19950908	Replaced	19950912053009.8
Type	z	Upd status	a	Errc hl	n
Roman	■	Ref status	n	Mod rec	a
Govt agn	■	Auth status	a	Subj	a
Series	n	Auth hl	a	Geo subd	n
Ser num	n	Name	n	Subdiv tp	n
				Rules	c

010	1	95052898
040	1	39P \$b eng \$c NP
111	2	Conference on Adaptive Designs \$d (1992 : \$c Mt. Holyoke College).
670	1	Adaptive designs, c1995: \$b foreword (Conference on Adaptive Designs held at Mt. Holyoke College in the summer of 1992)

110

The catalog entry form for this institution is: Mount Holyoke College, but here we simply use it in the nominative case as presented on the source.

LCRI 24.7B

Location

In deciding between using local place or institution, etc. (24.7B4), when establishing the heading for a named conference, add as the qualifier the local place or institution, etc., that appears with the conference name in the source for the conference name

as opposed to other locations within the item where the conference name is repeated. If an institution's name appears in the source, transcribe the institution's name as the qualifier, or if a local place name appears, transcribe that. When transcribing an institution, give it in the nominative case in the language in which it is found in the item. (Even if the institution represents a subordinate unit, record its name rather than the name of the higher body alone.) When transcribing a local place, give its catalog-entry form (as modified by 23.4A1 and 24.4C1, second paragraph). If both an institution and a local place appear, prefer to use the name of the institution, etc., generally without the name of the local place unless the name of the institution is a very "weak" one (use judgment in this respect and do not be concerned about a high degree of consistency). *Note:* Do not use as location the name of a hotel, convention center, or office building unless the conference was held outside a local place.

Slide 111

Conferences : Two or More Locations	
000	See 000/001
040	DLC. 46 eng. 4c DLC
111	2 International Conference on Legal Aid 41 (1984-4c Hague, Netherlands, and Amsterdam, Netherlands)
411	2 Conference on Legal Aid, International
670	1c Legal aid in the postwar era society, 1984. 4c 1c International Conference on Legal Aid, April 12th-16th, 1984. The Hague/Netherlands
111	2 AdolescentMedicine Symposium 41 (1984-1985. 4c Yale University School of Medicine, etc.)
411	2 AdolescentMedicine Travelling Symposium 41 (1984-1985. 4c Yale University School of Medicine, etc.)
670	See, also, 004 Y-41, 1185. 4c contents 2. (AdolescentMedicine Symposium presented at Yale University School of Medicine, New Haven, Connecticut. Joseph L. Powell, Proceedings, Rhode Island Central Medical School, Warren, Rhode Island, Maine, National Camp, Corporate Name, University of Massachusetts Lowell, Lowell, Massachusetts, 1984. 4c 1c, 1984, 1984-1985, 1985. AdolescentMedicine Travelling Symposium)

Two locations: list both

Three or more: list first one, followed by etc.

Slide 112

Exhibition as Named Conference					
Type	Upd status	Enc. 41	n	Source	
Forman	Ref. status	Mod. rec.		Name use	
Over. sig.	Auth. status	Subj.	a	Subj. use	
Series	Auth. ref.	Geo. subd.	n	Ser. use	b
Ser. num.	Name	Subdiv. sp.	n	Rules	c
010	1c 2002017498				
040	DLC. 46 eng. 4c DLC				
111	2 Big Pig Gig (Exhibition) 41 (2000. 4c Cincinnati, Ohio, etc.)				
670	Big Pig Gig (Exhibition) (2000. Cincinnati, Ohio, etc.). The Big Pig Gig, 2000. 4c 1c. (Big Pig Gig: celebrating pigs in the city, Cincinnati, Covington, Newport)				
670	Big Pig Gig WWW site, 02-06-2002. 4c (The Big Pig Gig was a public art event occurring from May 14-Oct. 31, 2000, in Greater Cincinnati and Northern Kentucky to celebrate Cincinnati's Porkopolis heritage by showcasing local artists, supporting tourism, and promoting regional partnerships)				

The same principles apply to exhibitions, fairs, festivals, etc. (24.8B1) for applying qualifiers.

Slide 113

Expedition as Named Conference	
111	2 Himalayan Scientific and Mountaineering Expedition 41 (1960-1961)
670	See Catalogue of Himalayan Scientific and Mountaineering Expedition, 1960-1961
670	NLCNC data from Univ. of Ill. at Urbana-Champaign Archives for Perkins, M. Papers, 1873-1991. 4c (Sir Edmund Hillary expedition to the Himalayas in search of the yeti or abominable snowman)
670	LC data base, 01-25-92. 4c Subj. Himalayan Scientific and Mountaineering Expedition, 1960-1961
111	2 American Museum of Natural History. 4c Congo Expedition 41 (1909-1915)
411	2 American Museum of Natural History Congo Expedition 41 (1909-1915)
411	2 Congo Expedition 41 (1909-1915)
670	The American Museum Congo Expedition collection of insects, 1922. 4c 1c. (The American Museum of Natural History Congo Expedition)
670	Scientific, Anatomical, and Botanical collected by the American Museum Congo Expedition, 1922. 4c 1c. (American Museum of Natural History Congo Expedition, 1909-1915, Congo Expedition)

Expeditions are treated similarly to conferences. They are on the list of ambiguous entities RI 24.7.

The first heading shows an expedition entered directly and second one subordinately, as dictated by the 24.13 Type 6 criteria.

(If anyone asks, Congo Expedition includes the entire name of the higher body, which makes it a subordinate entry. However, it is actually a judgment call, since the RI says that the term "Congo Expedition

means it could be entered directly.)

Slide 114

Conferences : Ongoing

Name authority record:

- Do not add any qualifier in NAR
- If a conflict exists, add appropriate qualifier in 111 \$a subfield: *place* or *date*
- Omit number and frequency words from name of conference (e.g. second, annual, etc.)

Bibliographic record:

- Always add number (*\$n*), date (*\$d*), and place (*\$c*) in bibliographic access point, if available

AACR2 & LCRI 24.7B

114

Remember that the goal is to have it file correctly in the index without having to create NARs for every single year of a conference.

Slide 115

Conferences : Ongoing

Proceedings

Eighth International Conference on Database Systems for Advanced Applications
(DASFAA 2003)

Kyoto, Japan
26 - 28 March 2003

Sponsored by
Communications Research Laboratory
Hitachi, Ltd.
Kyoto University

111 2_ International Conference on Database Systems for Advanced Applications

AACR2 24.7B

115

What makes this ongoing? The number eighth is the only clue needed to indicate that this is ongoing. But the qualifiers are *not* added to the heading for the NAR.

Slide 116

Events : Ongoing	
111	Asian Games #s (12th - 4th 1994 - 4th Hiroshima-etc, Japan)
245	1 4 The 12th Asian Games official report / A. (edited by The ChugokuShimbun)
246	3 Twelfth Asian Games official report
260	Hiroshima - 4th Hiroshima Asian Games Organizing Committee, 4d 1996
300	2 v. - 4b ill. (some col.) : 4c 31 cm. Bib
546	Includes some Japanese.
505	0 volume 1. Organization and planning -- volume 2. Competition summary and results

040	DLC #b ang #c DLC #d DLC #d DLC #d DLC #d DLC #m
111	Asian Games
411	2 Asia Kyōgō Taikō
411	2 Ya yin hui
411	2 Ya-chou yin fung hui
411	2 Asia Kyōgō Taikō
411	2 Eastlan Kōm NAR
670	m Omical program, 1954.
670	Ti 8 chieh Ya-chou yin fung hui (Yu kuo, 1980. 4b 1p. (Ya-chou yin fung hui) p. 1 (the 8th Ya-chou yin fung hui held at Bangkok, 129-2078)

Note that the NAR has no qualifiers, but the bib record does.

Slide 117

**Conferences :
Subordinate Entry**

A name that includes the entire name of the higher or related body

Annual Conference of the American Library Association

110 2 _ American Library Association. \$b Conference **AACR2 & LCRI 24.13, Type 6**

Remember you drop the frequency word “annual” from the heading.
NOTE: the Congo Expedition several slides back is an example of a subordinate entry for conferences, etc.

LCRI 24.13 Type 6
Named Meetings
If a named meeting (cf. LCRI 21.1B1) contains the entire name of a corporate body (as defined above), enter the meeting subordinately to the heading for the body if the name contains, in addition to the name of the body, no more than a generic term for the meeting or not more than a generic term plus one or more of the following elements: the venue of the meeting; number, date, or other sequencing element.
name: Annual Conference of the American Academy of Advertising
heading: American Academy of Advertising. Conference (22nd : 1980 : University of Missouri-Columbia)

In all other cases, enter the named meeting directly under its own name.

name: Miami University
Conference on Sentence
Combining and the Teaching of
Writing

heading: Miami University
Conference on Sentence
Combining and the Teaching of
Writing (1978)

not Miami University.
Conference on Sentence
Combining and the Teaching of
Writing (1978)

Slide 118

Conferences : Subordinate Entry				
Type	Upld status	Enc Id	Source	
Person	Ref status	Mat res		
Govt agn	Auth status	Subj		
Series	Authref	Geo subd		
Ser num	Name	Subdiv tp	Rules	c

010	1	98093458		
040		FU Wb eng W FU		
110	2	Africa Leadership Forum. Wb Conference		
410	2	Africa Leadership Forum. Wb International Conference		
411	2	Annual Conference of the Africa Leadership Forum		
411	2	Conference of the Africa Leadership Forum		
670		Wb (Wb : 1997 - Accra, Ghana). Empowering women for the 21st century, 1997: Wb tp. (Wb Annual Conference of the Africa Leadership Forum, Accra, Ghana, 27-29 January 1997) p. 1 (annual international conference)		

Type 6

A name that includes the entire name of the higher or related body.

NOTE: that the word annual gets dropped from the heading
Africa Leadership Forum is the full name of the higher body.

Slide 119

Exclusions From Type 6				
010	1	14002019807		
040		TsCh Wb eng W TsCh		
110	2	Special Asia-Pacific Conference of the American Academy of Advertising W 2001 W Special Asia-Pacific		
410	2	American Academy of Advertising. Wb Special Asia-Pacific Conference		
411	2	Conference of the American Academy of Advertising. Special Asia-Pacific		
670		The proceedings of the 2001 Special Asia-Pacific Conference of the American Academy of Advertising, 2001 of the American Academy of Advertising, Chicago, Illinois		

010	1	81122001		
040		MLC Wb eng W MLC		
110	2	Miami University Conference on Sentence Combining and the Teaching of Writing W (1978)		
411	2	Conference on Sentence Combining and the Teaching of Writing, Miami University		
670		Sentence combining and the teaching of writing, (1978) (a) 463. Miami University conference, Oxford, Ohio, Oct. 27-28, 1978: a Wb Miami University Conference on Sentence Combining and the Teaching of Writing		

not: 110 2 _ Miami University (Oxford, Ohio).
\$b Conference on Sentence Combining and the Teaching of Writing \$d (1978)

This example has more than just a generic noun such as conference, meeting, etc., namely "Special Asia-Pacific", that denotes a subject area, so it gets direct entry for its authorized form.

The Miami University example has plenty of subject words, so it automatically gets direct entry, even though the complete name of Miami University is included.

LCRI 24.13, Type 6 *Named Meetings*

If a named meeting (cf. LCRI

21.1B1) contains the entire name of a corporate body (as defined above), enter the meeting subordinately to the heading for the body **if the name contains, in addition to the name of the body, no more than a generic term for the meeting or not more than a generic term plus one or more of the following elements: the venue of the meeting; number, date, or other sequencing element.**

In all other cases, enter the named meeting directly under its own name.

The Conference name on "Miami University ..." includes subject words, so it is automatically excluded from Type 6 for conferences.

Routine conference name with sponsoring body at beginning:
Exclusion from TYPE 6 per LCRI

Slide 120

Conferences : Acronyms

- Include year as part of heading **ONLY** when the heading combines an acronym or initialism with the year; repeat year in qualifier (*\$d*)

111 2 _ GAGETECH '94 \$d (1994 : \$c
Dearborn, Mich.)

but not Prague '99

LCRI 24.7A

- Omit year and add (Conference) if it is
 - Ongoing
 - Access point on serial record
 - Same acronym/initialism used repeatedly

120

First bullet deals with onetime conferences, not ongoing.

The year can be abbreviated or it can be full form in the \$a: 111 2_ AFPAC 2000 \$d (2000 ...

Second bullet is a rare situation: do not spend much time on this, but mention it as something to check for these types of conference names.

LCRI 24.7A

If the name of a conference consists of a phrase that combines an acronym or an initialism with the abbreviated or full form of the year, retain the year as part of the name.

111 2# \$a GAGETECH '92 ...

111 2# \$a TOOLS Europe '94 ...

111 2# \$a AFPAC 2000

Exception: Omit the abbreviated or full form of the year from the name of a conference if the conference is ongoing *and* the name of the conference remains the same for each conference except for the abbreviated or full form of the year *and* the name is needed for main or added entry on the bibliographic record for the conference proceedings cataloged as a serial. If the year is omitted from the name, add the term "Conference" (or similar appropriate English term) as a qualifier after the name. (Once the heading is established for a serial, that form of

the heading is used on all other publications related to the conference.)
 111 2# \$a CAV (Conference)
 (Names: CAV '90, CAV '91, CAV '92, CAV '93 ...;
 needed for main entry for the conference
 proceedings cataloged as a serial: Computer
 aided verification: proceedings ...)

LCRI 24.7B

Year in conference name. If the form of name of a conference selected as the heading contains an abbreviated or full form of a year, regularize the spacing by insuring that one space precedes the year regardless of the configuration of the year (e.g., use of an apostrophe or other character as a substitute for a portion of the year; the full form of a year combined with another element without spacing).

source: CDS2000

heading: 111 2# \$aCDS 2000 ...

source: CP 2000

heading: 111 2# \$aCP 2000 ...

source: CP98

heading: 111 2# \$aCP 98 ...

source: ECOOP'99 SCM-9 Symposium

heading: 111 2# \$aECOOP '99 SCM-9 Symposium ...

Slide 121

Conferences : Conflict	
010	100 990124736
040	FLY Wb ang W FU HX0047
111	2 Governor's Conference on Aging (Fla.)
111	2 Conference on Aging, Governor's
070	Governor's Conference on Aging, 1952. W 1p. (Governor's Conference on Aging, 25 October, 1952) proim. (Brent Governor's Conference on Aging)
010	100 79110587
040	DLC Wb ang W DLC W DLC
111	2 Governor's Conference on Aging (La.)
111	2 Conference on Aging, Governor's
070	Governor's Conference on Aging. W Baton Rouge, La. 4e 1954
070	76 1st, 1975. First Governor's . . . 1975. W 1p. (First Governor's Conference on Aging, Baton Rouge, Louisiana, 47-6075)

Break the conflict on both headings.

Note that the conflict is broken by adding a qualifier in the \$a subfield, and that this does not change the fact that the bib record will have a location qualifier in a \$c subfield.

Qualifier here is the appropriate abbreviation for the state, as given in App. B.

Undoubtedly means BFM, but probably not much, because you will have to change the heading of the already established conference and its related bib records.

Other examples of conflict:

authority record: 111 2# \$a Governor's Conference on Education (Kan.)

bibliographic record: 111 2# \$a Governor's Conference on Education (Kan.) \$n (1st : \$d 1954 : \$c Topeka, Kan.)

authority record: 111 2# \$a International Symposium on Quality Control (1974-)

bibliographic record: 111 2# \$a International Symposium on Quality Control (1974-) \$n (1st : \$d 1974 : \$c Geneva, Switzerland)

In case anyone asks about the spacing, LCRI 1.0C says "Leave one space between an open date and any data that follow it within the same subfield."

Slide 122

Exercises Corporate Name

Additions and Omissions at the End of the Name

122

Five exercises:
15-20 minutes

Slide 123

Exercise 1

ARJ NEW				
<u>Rec stat</u> n	Entered [system supplied]			
Type	z	Upd status	a	Enc lvl n Source c
Roman	■	Ref status	n	Mod rec Name use a
Govt agn	■	Auth status	a	Subj a Subj use a
Series	n	Auth ref	a	Geo subd n Ser use b
Ser num	n	Name	n	Subd type n Rules c

040 __ MARC \$b eng \$c MARC AACR2 24.5C1;
LCRI 24.1; 24.4B

110 2_ Fenton, Conger & Ballaine

670 __ Report on market acceptance, economic feasibility ...
1962: \$b t.p. (Fenton, Conger & Ballaine, Inc., Seattle, Washington)

24.5C1: Inc. omitted
LCRI 24.1: No comma before ampersand
LCRI 24.4B: Don't add (Firm) to two or more surnames only

Slide 124

Exercise 2

ARN	NEW								
Rec_stat	n	Entered [system supplied]							
Type	z	Upd status	a	Enc lvl	n	Source	c		
Roman	■	Ref status	n	Mod rec		Name use	a		
Govt agn	■	Auth status	a	Subj	a	Subj use	a		
Series	n	Auth/ref	a	Geo subd	n	Ser use	b		
Ser num	n	Name	n	Subd type	n	Rules	c		

040 __ MARC \$b eng \$c MARC LCRI 24.4B

110 2 _ Rhino Bucket (Musical group)

670 __ Rhino Bucket [SR] p1990: \$b label (Rhino Bucket)

Note: Rhino Bucket is a musical group

Performing groups LCRI 24.4B

Slide 125

Exercise 3

ARN	NEW								
Rec_stat	n	Entered [system supplied]							
Type	z	Upd status	a	Enc lvl	n	Source	c		
Roman	■	Ref status	n	Mod rec		Name use	a		
Govt agn	■	Auth status	a	Subj	a	Subj use	a		
Series	n	Auth/ref	a	Geo subd	n	Ser use	b		
Ser num	n	Name	n	Subd type	n	Rules	c		

040 __ MARC \$b eng \$c MARC AACR2 24.26; 24.4B1

110 2 _ Cleveland Health Quality Choice (Program)

670 __ Summary report, c1994: \$b t.p. (Cleveland Health Quality Choice) p. 2 of cover (Cleveland Health Quality Choice Program)

Note: non-government body; item issued by the body

AACR2 24.26; 24.4B1 add qualifier

Slide 126

Exercise 4

ARN	NEW								
Rec_stat	n	Entered [system supplied]							
Type	z	Upd status	a	Enc lvl	n	Source	c		
Roman	■	Ref status	n	Mod rec		Name use	a		
Govt agn	■	Auth status	a	Subj	a	Subj use	a		
Series	n	Auth/ref	a	Geo subd	n	Ser use	b		
Ser num	n	Name	n	Subd type	n	Rules	c		

040 __ MARC \$b eng \$c MARC AACR2 24.7B

111 2 _ Workshop on Statistics and Computing in Disease Clustering \$d (1992 : \$c Port Jefferson, N.Y.)

670 __ Statistics in medicine, Oct. 1993: \$b cover (Workshop on Statistics and Computing in Disease Clustering, Port Jefferson, N.Y., USA, 23-24, July 1992)

AACR2 24.26; 24.4B1 add qualifier

Slide 127

Exercise 5

ARN NEW	Entered [system supplied]						
Rec stat	n						
Type	z	Upd status	a	Enc lvl	n	Source	c
Roman	■	Ref status	n	Mod rec		Name use	a
Govt agn	■	Auth status	a	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser num	n	Name	n	Subd type	n	Rules	c

040 __ MARC \$b eng \$c MARC AACR2 24.10

110 2 _ Grace Evangelical Lutheran Church (Winchester, Va.)

670 __ This heritage, the story of Lutheran beginnings in the lower Shenandoah Valley, and of Grace Church, Winchester, 1954: \$b introd. (Grace Evangelical Lutheran Church; Winchester, Va.)

NOTE: item not issued by body

2) Corporate names

a) Qualifiers. Include qualifiers in the reference if appropriate to the form in the reference even if the qualifier has not been used in the heading because of earlier policies or because it is not appropriate there. Exception: Do not add a qualifier to a reference consisting solely of an initialism unless a qualifier is required to break a conflict with the 1XX heading on another record. If such a conflict exists, a qualifier is required-- use judgement to select an appropriate term to use in the qualifier, e.g., a general term per 24.4B or the spelled-out form of the initialism found in the reference. An initialism reference on one record may be the same as an initialism reference on another record.

Slide 128

Exercise 6

ARN NEW	Entered [system supplied]						
Rec stat	n						
Type	z	Upd status	a	Enc lvl	n	Source	c
Roman	■	Ref status	n	Mod rec		Name use	a
Govt agn	■	Auth status	c	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser num	n	Name	n	Subd type	n	Rules	c

040 __ MARC \$b eng \$c MARC AACR2 24.13 Type 6

110 2 _ Italian Society of Pharmacology. \$b Congress

670 __ Proceedings of the VI Congress of the Italian Society of Pharmacology, c1993.

Establish the Congress; fill in the fixed field Auth status

Authority status is c because the parent body is established as provisional due to lack of vernacular form.

Slide 129

Corporate References

AACR2 & LCRI Chapter 26

129

Basic rule is to give entry to variant forms, especially if you have reason to think they might be searched.

26.1 Make a see reference from a form of the name of a person or a corporate body or title of a work that might reasonably be sought to the form that has been chosen as a name or uniform title heading, or as a title entry.

26.3 Refer from a name used by a body, or found in reference sources, that is significantly different from that used in the heading for that body.

Slide 130

When to Add Cross-references

- Variant form references
 - Variant form of name in source (different spelling, acronyms, romanizations, etc.)
- Rule-generated references
 - Inverted, jurisdictional, parent body, surname, official language(s), subordinate hierarchy references
- Change of name (5XX)
 - Earlier/later, related headings

130

Variant form references are the types that require a 670 to justify adding the reference.

Rule-generated references, including both AACR2 and the LCRI's, are ones for which no 670 is necessary because the rule tells you you have to.

Change of name references require either 670 or 675.

Slide 131

Cross-references : Variant Form

Electing the Mayor and the London Assembly AACR2 26.3A3

An ERS House of Lords Briefing 410 2 _ ERS

 Published by Electoral Reform Society

110 2 _ Electoral Reform Society

Variant forms found in the same source require a cross-reference, i.e., everything you rejected when deciding on the heading.

Slide 132

Cross-references : Variant Form

110 2	Metropolitan Museum of Art (New York, N.Y.)
410 1	Museo Metropolitano de Arte de Nueva York
410 1	New York (N.Y.) - M. Metropolitan Museum of Art
410 2	Музей Шведского искусства Метрополитен (New York, N.Y.)
410 2	Metropolitan Museum of Art of New York
410 2	Metropolitan Museum of Art (New York, N.Y.)
410 2	MMA
670	in Bulletin, 1904.
670	Paras, K. I. Khudozhestvennyĭ muzej Metropolitēn, 1992.
670	Чужой мир/Who, c1984. 40 p. 2. Metropolitan Museum of Art of New York
670	T'zai no Sheng, 1998. 40 tp. (in subtitle: Metropolitan Museum of Art, Metropolitan Museum of Art)
670	We wish you a merry Christmas, c1999. 40 tp. (The Metropolitan Museum of Art tp. verso & recto)
670	Arte islámico, 1994. 40 tp. (Museo Metropolitano de Arte de Nueva York)

AACR2 26.3

Variant forms that are found in different sources require 670's and 410's.

If you look at the 670's, you can clearly see that several of these cross-references were only made because the variant forms were justified by usage.

Slide 133

Cross-references : Variant Form

110 2	Fujian xie he da xue
410 2	Fu-chien hsieh ho ta hsueh ke nne
410 2	Christian university
410 2	Si li Fujian xie he da xue
410 2	Fujian Christian University
410 2	福建神農大學
410 2	福建華英大學
410 2	福建華英大學
667	Machine-derived non-Latin script reference project.
667	Non-Latin script references not evaluated.
670	1 hsieh ta sheng wu hsieh pao, Dec. 1909. 40 tp. (Fu-chien hsieh ho ta hsueh, Fujian Christian university), 1944. cover p. 4 (Si li Fujian xie he da xue)
670	Fujian Christian University, 1954. 40 p. 1 (Fujian Christian University, located at Fouchow, Fujian Province) p. 17 (opened its doors February 16, 1916)

AACR2 26.3A3

Here we see a variant Romanization; no justification is necessary. The Fu-chien 410 is an obsolete Romanization now; the current one is in the heading. However, we keep it because it was a valid heading and is a useful access point because it may still be searched.

No justification was added in the 670 field for non-Latin script references added for records undergone OCLC pre-population.

involved).

Slide 136

**Cross-references :
Variant Language**

DEPARTMENT OF YOUTH AFFAIRS
DIPATTAMENTON ASUNTON
MANHOBEN
GOVERNMENT OF GUAM

110 1 _ Guam. \$b Dept. of Youth Affairs
410 1 _ Guam. \$b Youth Affairs, Dept. of
410 1 _ Guam. \$b Dipattamenton Asunton Manhoben

136

The official language of Guam is ENGLISH. Cf. The world fact book (online). A reference is made from the Chamorro language name of the department.

Note that department in English is abbreviated, due to the rules of the Appendix B of AACR2, but there is no such abbreviation allowed for department in Chamorro.

There is also an inverted ref from the first key word in the name because the hdg. is entered under a jurisdiction (LCRI 26.3 “*References from Inverted Names of Government Subheadings*”).

Slide 137

Cross-references :
Cataloger's Judgment

AACR2 26.3A7

Occasional Research Papers No. 6

**THE CONSOCIATIONAL DIMENSION
OF EUROPEAN INTEGRATION:**

110 2 _ Centre for European Affairs (Institute of International Relations)
410 2 _ Institute of International Relations. \$b Centre for European Affairs

Centre for Law and Criminology
University of London

It is advisable to make a reference through the parent body when parent body is used as a qualifier. If the higher body isn't yet established, an authority record must also be created for it. It is not, however, required, but subject to cataloger's judgment.

Slide 138

Cross-references : Jurisdiction

<small>OMBUDSMAN COMMISSION OF PAPUA NEW GUINEA</small>
<small>INVESTIGATION INTO THE PURCHASE OF</small>
110 2 _ Ombudsman Commission of Papua New Guinea
410 1 _ Papua New Guinea. \$b Ombudsman Commission

NOVEMBER 1999

When you make this cross-reference, you drop any connecting words, such as prepositions. First indicator becomes one to reflect jurisdiction.

LCRI 26.3A7

References from Jurisdiction

If a government body is entered independently, make a reference from its name as a subheading of the government that created or controls it (cf. 24.17). Make the reference from the name used in the heading and from the English name if a non-English name has been chosen for the heading. If the body's name includes the name or the abbreviation of the name of the government in noun form, make the reference from jurisdiction followed by the name of the body, omitting the name of the jurisdiction unless such an omission would result in objectionable distortion.

Slide 139

Cross-references : Jurisdiction

110 2 _ Centers for Disease Control (U.S.) LCRI 26.3A7

410 1 _ **United States. \$b Centers for Disease Control**

110 2 _ Oklahoma City Community Foundation

410 1 _ **Oklahoma City (Okla.). \$b Community Foundation**

139

Here are a few more examples of jurisdictional cross-references. Make a reference through the name of the government whenever a government body is entered directly for the heading.. Remember that a government body is any body controlled by a jurisdiction, regardless of whether or not it is entered directly or subordinately.

LCRI 26.3A7

...If a government body is entered independently, make a reference from its name as a subheading of the government that created or controls it (cf. 24.17). ...

Clarification: When a government body is controlled by an intermediate body (the Cultural Resources Development Project is controlled by the National Endowment for the Arts, which is controlled by the United States), you will give a cross-reference only to the immediate parent body, not the highest jurisdiction. This is because the principle of the rule is that we are giving cross-references under which a body "might reasonably be sought."

Slide 140

Cross-references : Direct Entry

LCRI 24.13;
24.18 Type 2

- For some subordinate headings, a direct entry cross-reference is required...
- This applies to non-gov bodies Types 2-5; gov bodies Type 2
- **IF** the name appears *without* the name of the parent body on the chief source of one of its own publications
- Generally qualify with the name of the parent body (not necessarily authorized form) for non-gov body; with jurisdiction for gov body

140

Examples: nr 89009480, n 85025286

Slide 141

Cross-references : Direct Entry

LCRI 24.13;
24.18 Type 2

010		no 95022005 #; nr 95016019
040		TN-J-L; #; eng #; TN-J-L; #; DLC
110	2	American Bar Association. #; Advisory Committee on the Prosecution and Defense Functions
410	2	Advisory Committee on the Prosecution and Defense Functions (American Bar Association)
670		Standards relating to the prosecution function and the defense function, 1970. #; 1p. (Advisory Committee on the Prosecution and Defense Functions)
670		L.C. in OCLC. 421195 #; (hdg) - American Bar Association. Advisory Committee on the Prosecution and Defense Functions

141

Example of direct entry cross-reference for non-gov body subordinate entry Type 2 that meets the requirements of the RI. If you look at the first 670, you should be able to see that it is probably one of the publications of the American Bar Association, but the ABA does not appear on the t.p. with the name of the Advisory Committee, therefore it needs the direct entry cross-reference.

This one gets missed a lot, since there are several conditions to meet before the cross-reference is justified.

Slide 142

Cross-references : Indirect Entry

Middle Schools

410 1 _ Wisconsin. \$b Bureau of Chronic Disease Prevention and Health Promotion

Bureau of Chronic Disease Prevention and Health Promotion
Division of Public Health
Department of Health and Family Services
PHE 43962 (11/02)

410 1 _ Wisconsin. \$b Division of Public Health. \$b Bureau of Chronic Disease Prevention and Health Promotion

410 1 _ Wisconsin. \$b Chronic Disease Prevention and Health Promotion, Bureau of

AACR2 24.19 & LCRI 26.3

142

NOTE that you will ONLY give a cross-reference through the immediate parent body of the established heading. In this case, that means a cross-reference for the Division, the immediate parent body of the Bureau. Do NOT give a cross-reference for every level of hierarchy.

410 1 Wisconsin. \$b Chronic Disease Prevention and Health Promotion, Bureau of
410 1 Wisconsin. \$b Division of Public Health. \$b Bureau of Chronic Disease Prevention and Health Promotion

Actual hierarchy: Wisconsin.

Dept. of ...

Division

of ...

Bureau

of

Other examples: no 96004433

Note that this also has an example of an inverted cross-reference.

Slide 143

Cross-references : Indirect Entry

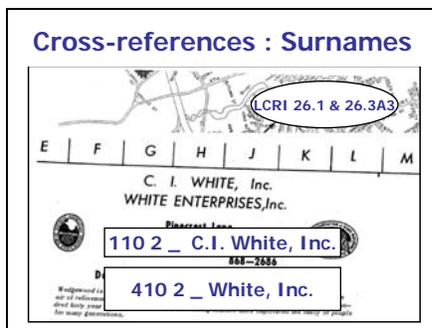
010		n 88094410
040		DLC \$b eng \$c DLC \$d OCLC
110	2	American Cancer Society. \$b California Division. \$b Subcommittee on Futureing
110	2	American Cancer Society. \$b California Division. \$b Strategic Planning Committee. \$b Subcommittee on Futureing
670		\$b 1990 forecast of the future with implications for the present. c1990: \$b t.p. (American Cancer Society, California Division, Inc., Strategic Planning Committee, Subcommittee on Futureing)

AACR2 24.14 & LCRI 24.19

143

Non-government body example
Note that a requirement of the rule is that the heading not contain the name of the superior body.

Slide 144



Rule-generated xrefs for surnames

Another example: no 97059906

LCRI 26.1

b) Terms of incorporation. Construct the reference to "match" the heading with regard to the presence, absence, or form of a term of incorporation.

110 2# \$a William Claiborne, inc.

410 2# \$a Claiborne, inc.

LCRI 26.3A3 *References from*

Personal Names in the Names of Corporate Bodies

When the name of a corporate body begins with a person's forename(s) and surname or initial(s) and surname, make a reference from the surname and the remainder of the corporate name, omitting the forename(s) or initial(s).

110 Art Tatum Trio

410 Tatum Trio

110 M.C. Brackenbury & Co.

410 Brackenbury & Co.

When the corporate name begins with a person's title plus forename(s) or initial(s), make two references:

1) from the surname and the remainder of the corporate name, omitting the title and forename(s) or initial(s);

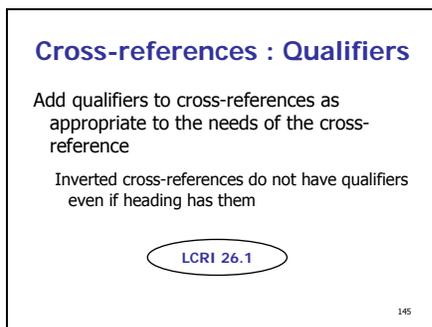
2) from the forename(s) or initial(s) and surname and the remainder of the corporate name, omitting the title.

110 Doktor Wilmar Schwabe G.m.b.H.

410 Wilmar Schwabe G.m.b.H.

410 Schwabe G.m.b.H.

Slide 145



LCRI 26.1: Do not add a qualifier to a reference consisting solely of an initialism *unless a qualifier is required to break a conflict with the 1XX heading on another record*. If such a conflict exists, a qualifier is required-- use judgement to select an appropriate term to use in the qualifier, e.g., a general term per 24.4B or the spelled-out form of the initialism found in the reference. An initialism reference on one record may be the same as an initialism reference on

another record.

110 2# \$a Evangelisk lutherske frikirke (Norway)
410 2# \$a Evangelical Lutheran Free Church of Norway

Slide 146

Cross-references : Qualifier

010	a	90004852
040	M4	Mo eng N: M4 k4 UA
110	2	Service Universitario Mundial
410	2	Asociación Servicio Universitario Mundial
410	2	SUM (Servicio Universitario Mundial)
670		Universidad y sociedad abierta, agosto 1988. No 13. (Servicio Universitario Mundial)
670		Polgion civil e religion de estado, 2004. No 19. (Servicio Universitario Mundial SUM) p. 9
		(Asociación Servicio Universitario Mundial (SUM))

SUM and Süm normalize to the same thing, therefore cross-reference requires qualifier that heading does not

010	a	90721605
040	DLC	DLC Mo eng N: DLC
100	0	Süm
870		Author's Måla vat, 1974. No 1 p. (Süm)

LCRI 26.1

146

The cross-reference does not receive this qualifier unless it has conflict. Here the qualifier is necessary because of the personal name Sum.

LCRI 26.1: Do not add a qualifier to a reference consisting solely of an initialism *unless a qualifier is required to break a conflict with the 1XX heading on another record*. If such a conflict exists, a qualifier is required-- use judgement to select an appropriate term to use in the qualifier, e.g., a general term per 24.4B or the spelled-out form of the initialism found in the reference. An initialism reference on one record may be the same as an initialism reference on another record.

Slide 147

Cross-references : Qualifier

010		no2002039205		
040		DLC-S kb eng # DLC-S		
110	2	AJAM (Organization : Madagascar)		
410	2	Association des jeunes avocats de Madagascar		
670		Les échos de l'AJAM, août-sept.-oct. 1992. No 1p. (AJAM) p. 1 (Association des jeunes avocats de Madagascar) p. 2 (née en Juillet 1990)		

LCRI 26.1

Heading requires qualifier that cross-reference does not

147

Slide 148

Conference 4XX References

Conferences are a type of corporate body

- Most cross-reference rules that apply to corporate bodies apply to conferences as well
- Variant forms including variant languages, direct entry cross-reference of subordinate heading, inverted forms, etc.

148

Slide 149

Conference References : Variant Form

010		n. 86823827		
040		DLC kb eng # DLC # DLC		
111	2	Canadian Ross Conference on Paediatrics		
411	2	Conference on Paediatrics, Canadian Ross		
411	2	Canadian Ross Conference on Paediatrics		
411	2	Ross Conference on Paediatrics, Canadian		
687		NLC not consulted.		
670		nuc96-09600. Paediatric resident training in Canada, c1984 kb dtdg. on CaOTU rept. Canadian Ross Conference on Paediatrics (8th. 1983. Val-David, Quebec)		
670		nuc90-40166. Canadian Ross Conference on Paediatrics (7th. 1987. Val David, Quebec). Neonatal follow-up programs in Canada, c1988 kb dtdg. on CaOTU rept. Canadian Ross Conference in Paediatrics (7th. 1987. Val David, Quebec), usage.		

149

Something as simple as *on* vs. *in* can trigger the need for an xref. Example of variant form cross reference for a conference. NOTE: This is not sufficient for an earlier/later change.

Slide 150

**Conference References :
Inverted** LCRI 26.3A3

- Inverted references are required when
 - the heading begins with the name of the sponsor and/or
 - the word for "conference" is not the first element of the heading
- Do not make inverted cross-references from subject words in conference names

150

Second bullet: Unlike subordinate gov. body headings. We used to do this, so you will see some in the database.

Trainers: please note the difference for inverted headings between conference names – don't make them for subject words – and government bodies entered under jurisdiction – do make them for subject words.

Slide 151

Proceedings Eighth International Conference on Database Systems for Advanced Applications (DASFAA 2003) LCRI 26.3A3
111 2 _ International Conference on Database Systems for Advanced Applications
Communications Research Laboratory
411 2 _ Conference on Database Systems for Advanced Applications, International
COMPUTER
411 2 _ DASFAA

Ongoing conference
This example shows both the inverted cross-reference and the variant form cross-reference.

Slide 152

**Conference References :
Qualifiers** LCRI 26.3A3

References may include qualifiers if appropriate

111 2 _ TOOLS '94 \$d (1994 : \$c Melbourne, Vic.)

411 2 _ Workshop on Technology of Object-Oriented Language and Systems \$d (1994 : \$c Melbourne, Vic.)

152

However...
This heading is for a one-time conference, that is therefore qualified in the NAR itself, both in the heading and in the cross-reference.
Remember that conference names, if ongoing, only put qualifiers in the heading if there is a conflict; otherwise, the qualifiers are only in the bib record.

Slide 153

<p><i>Proceedings</i> IEEE International Conference on Network Protocols</p>	<p>Verso t.p.: The Institute of Electrical and Electronic Engineers International</p>
<p>111 2 _ IEEE International Conference on Network Protocols \$d (2002 : \$c Paris, France)</p>	
	<p>LCRI 26.3A3</p>
<p>411 2 _ Institute of Electrical and Electronic Engineers International Conference on Network Protocols \$d (2002 : \$c Paris, France)</p>	

A variant form cross-reference here.
 The qualifier is kept on this kind of reference.

Slide 154

<p><i>Proceedings</i> IEEE International Conference on Network Protocols</p> <p style="font-size: small;">November 12 - 14, 2002 Paris, France</p> <p style="font-size: x-small;">Sponsored by IEEE Computer Society Technical Committee on Distributed Processing</p>	<p>LCRI 26.3A3</p> <p>Qualifiers are not included in inverted headings</p>
<p>111 2 _ IEEE International Conference on Network Protocols \$d (2002 : \$c Paris, France)</p>	
<p>411 2 _ International Conference on Network Protocols, IEEE</p> <p>411 2 _ Conference on Network Protocols, IEEE International</p>	
<p>154</p>	

An LCRI 24.13 type 6

NOTE: because of the inversions, you drop the qualifiers for these cross-references

Another example: n 88641948

Slide 155

<p>Conference References : General to Specific</p> <p>Refer from the general form of the conference name when using the specific name as the established heading</p> <p style="text-align: right;">AACR2 24.3F2</p> <p>111 2 _ Conference on Corn \$d (1990 : \$c El Paso, Tex.)</p> <p>411 2 _ Conference on Agriculture \$n (2nd : \$d 1990 : \$c El Paso, Tex.)</p> <p style="text-align: right;">155</p>
--

Assuming there is a general form of name.

NOTE that the general conference is an ongoing conference, but the specific is a onetime conference.
 This is a rare occurrence, so don't obsess over it.

Any questions?

To second set of reviewers: we have a two to one dispute to delete this slide because of the situation's extreme rarity. Please comment!

Slide 156

**Corporate Body *See Also*
References (5XX)**

LCRI 26.3B-C

156

The most common use of 5XX is earlier/later situations.

Slide 157

**See Also References :
Name Change**

- Clear indication from item that body changed its name
- Make 5XX references and include control subfield \$w
- Add 670 or 675 to justify 5XX references

LCRI 26.3B-C

157

A clear indication is subject to cataloger's judgment, but a statement by the company, a consistent shift in name on published works or advertisements, even a press release, would be more than sufficient to show a body has changed its name.

Slide 158

**See Also References :
Earlier/Later refs**

Earlier/later references are made only to adjacent headings

NAR 110 1 _ Body A 510 1 _ Body B \$w b <i>5XX is later heading</i>	NAR 110 1 _ Body B 510 1 _ Body A \$w a <i>5XX is earlier heading</i>
--	--

LCRI 26.3B-C

158

This shows what you need in the MARC coding for an earlier/later situation.

Slide 159

**See Also References :
Name Change**

AACR2 24.1C

**The Society For the Relief of
Women and Children 1797-1997**

*An Exploration of the
Minutes and Records from 1797-1997 of
The Society For the Relief of Women and Children*

➔ *Formerly known as*
**The Society For the Relief of
Poor Widows With Small Children**

c2000

Nice, explicit statement about a name change.

Slide 160

**See Also References :
Latest Name**

AACR2 24.1C

Field	Type	Entered	Replaced
010	1	20020709	20041216155738
040	1	DLC #6 eng #4 DLC #4 DLC	
110	2	Society for the Relief of Women and Children	
670	2	Society for the Relief of Poor Widows with Small Children	
670	2	The Society for the Relief of Women and Children, 1797-1997. c2000. #6 t.p. (Society for the Relief of Women and Children, formerly known as The Society for the Relief of Poor Widows with Small Children) 1 text. in 1799 in New York City by Mrs. Isabella Graham as the Society for the Relief of Poor Widows with Small Children) p. 3 (in 1951 - changed its name to the Society for the Relief of Women and Children and became a foundation. ... Since 1922 ... the Society has concentrated on assisting individuals rather than institutions?)	

Example of heading change with 510s and supporting 670s. This record is the new one. Note that this one didn't need a 675, because all the info is included in the 670 of the item in hand.

Slide 161

**See Also References :
Earlier Name, Revised**

AACR2 24.1C

Field	Type	Entered	Replaced
010	1	07040904	
040	1	MAN #6 eng #4 DLC #4 DLC #4 PPPH #4 DLC	
110	2	Society for the Relief of Poor Widows with Small Children	
410	2	Ladies Society Established in New-York, for the Relief of Poor Widows with Small Children	
410	2	Society of Ladies, Instituted for the Relief of Poor Widows with Small Children	
670	2	Its Constitution of the Ladies society, established in New-York, for the relief of poor widows with small children, 1800. #6 p. 3 (Society for the Relief of Poor Widows with Small Children)	
670	2	MAN/NAP #6x #6 (hdg. : Society for the Relief of Poor Widows with Small Children; note: organized in New York City about 1799; incorporated 1802)	
670	2	A sermon, delivered on the 4th of February, 1816. #6 t.p. (Society of Ladies Instituted for the Relief of Poor Widows with Small Children)	
670	2	The Society for the Relief of Women and Children, 1797-1997. c2000. #6 t.p. (Society for the Relief of Poor Widows with Small Children) p. 1 text. in 1799 in New York City by Mrs. Isabella Graham) p. 2 (in 1951 - changed its name to the Society for the Relief of Women and Children and became a foundation. ... Since 1922 ... the Society has concentrated on assisting individuals rather than institutions?)	

Here is the old record updated with new information.

Slide 162

**See Also References :
675 Justification**

010		no 98078593
040		ICRL \$b eng \$c ICRL \$d DLC
110	2	Acharya N.G. Ranga Agricultural University
410	2	Acharya NG Ranga Agricultural University
410	2	ANGRAU
675	2	Andhra Pradesh Agricultural University \$w a
670		The Journal of research ANGRAU, Jan.June 1996: \$b 1 p. (Acharya N.G. Ranga Agricultural University)
670		Small ruminant production and post-production systems, 1997: \$b (Acharya NG Ranga Agricultural University)
675		The Journal of research APAU, Oct. 1976-July 1980, issued in Dec. 1980: 1 p. (Andhra Pradesh Agricultural University)

162

Note that here the justification for the name change shows up *only* in the 675, and that the 675's are mirrored in the 670's. (In other words, the 675 is the exact same structure as the 670 on the other record, but without the \$b subfield.)

Slide 163

**See Also References :
675 Justification**

010		n 82028850
040		DLC \$b eng \$c DLC \$d ICRL
110	2	Andhra Pradesh Agricultural University
410	2	APAU
410	1	Hyderabad (India): \$b Andhra Pradesh Agricultural University
410	1	Andhra Pradesh (India): \$b Andhra Pradesh Agricultural University
410	1	Andhra Pradesh (India): \$b Agricultural University
675	2	Acharya N.G. Ranga Agricultural University \$w b
670		The Journal of research APAU, Oct. 1976-July 1980, issued in Dec. 1980: \$b 1 p. (Andhra Pradesh Agricultural University)
670		All India Seminar on Agr. Libr. & Info. Services (1980-1981: Hyderabad, India): All India Seminar... 1981 (a.s.) \$b 1 p. (Andhra Pradesh Agricultural University, Hyderabad)
675		The Journal of research ANGRAU, Jan.June 1996: 1 p. (Acharya N.G. Ranga Agricultural University)

163

Note that here the justification for the name change shows up *only* in the 675, and that the 675's are mirrored in the 670's. (In other words, the 675 is the exact same structure as the 670 on the other record, but without the \$b subfield.)

Slide 164

See Also Refs : Merging Names

Available info: Body A, B, & C merge to become Body D

110 2 _ Body A	LCRI 26.3B-C	110 2 _ Body D
510 2 _ Body D \$w b		510 2 _ Body A \$w a
110 2 _ Body B		510 2 _ Body B \$w a
510 2 _ Body D \$w b		510 2 _ Body C \$w a
110 2 _ Body C		
510 2 _ Body D \$w b		

164

Research is often necessary to set up the appropriate reference structure for these types of name changes. NOTE that the separate A, B, and C names only point one way to D; they do not point to each other.

Slide 165

**See Also Refs :
Multiple Name Changes**

110 2 _ Body A 510 2 _ Body B \$w b	<div style="border: 1px solid black; border-radius: 50%; padding: 2px; display: inline-block;">LCRI 26.3B-C</div>
110 2 _ Body B 510 2 _ Body A \$w a 510 2 _ Body C \$w b	
110 2 _ Body C 510 2 _ Body B \$w a 510 2 _ Body D \$w b	
110 2 _ Body D 510 2 _ Body C \$w a	

Available info: Body A changes name to Body B in 1961; Body B changes to Body C in 1970; Body C changes to Body D in 1981

165

Emphasize that the 510's are only going to point to the immediately adjacent bodies. You do not skip from Body B to Body D in one NAR.

Slide 166

See Also Refs : Name Resumed

110 2 _ Body A 510 2 _ Body B \$w b 510 2 _ Body C	<div style="border: 1px solid black; border-radius: 50%; padding: 2px; display: inline-block;">LCRI 26.3B-C</div>
110 2 _ Body B 510 2 _ Body A \$w a 510 2 _ Body C \$w b	
110 2 _ Body C 510 2 _ Body B \$w a 510 2 _ \$a Body A	

Available info: Body A changes name to Body B in 1940; Body B changes to Body C in 1949; Body C changes back to Body A in 1969

166

Simple "see also" references needed between body A & C because A precedes C but also follows C. The result is NOT \$w subfield, because the time relationship is circular.

Slide 167

**See Also Refs :
Relationship Unclear**

If earlier/later situation is *not clear* :

- 2 NARs in database
- Make 5XX linking references
- **DO NOT** include subfield \$w in these 5XX references

167

When relationship is unclear, link the two headings by simple see also references. See also does not automatically mean earlier/later, though that is the most common use.

Slide 168

**See Also Refs :
Relationship Unclear**

Bodies which are related, but
type of relationship is unclear

LCRI 26.3B-C

NAR 110 2 _ Body A 510 2 _ Body B <i>No \$w subfield</i>	NAR 110 2 _ Body B 510 2 _ Body A <i>No \$w subfield</i>
---	---

168

Here is the reference structure in MARC coding.

Slide 169

**See Also Refs :
Unused Subdivisions**

LCRI 26.3

```

Tag Ind 1 Ind 2 Field Data
000      0001fcz...J00229h...4100
001      422249
003      1884032000000.0
008      00229h...acpmaab...   ia_ams_
010
011      1a = 0015182
013      1a COLCIN 0015182
040
110      1  1a United States. 1b Foreign Broadcast Information Service.
410      1  1a United States. 1b Foreign Broadcast Monitoring Service
410      1  1a United States. 1b Foreign Broadcast Intelligence Service
410      2  1a FBIS
410      3  1a United States. 1b Foreign Broadcast Information Branch
410      2  1a Foreign Broadcast Information Service (U.S.)
410      2  1a FBIS
467      1a The following headings for earlier names are valid AACR2 headings:
United States. Foreign Broadcast Monitoring Service; United States. Foreign
Broadcast Intelligence Service; United States. Central Intelligence Group.
Foreign Broadcast Information Branch.
1a U.S. National Archives. Preliminary inventory of the records of the ...
070
072      1a 01780
075      1a **00 1b 0410
    
```

169

This should be moved to Day 5 Reference Evaluation.

LCRI 26.3 *Unused Subdivisions*

Slide 170

Policy Changes

- AACR2-compatible headings (August 2007)
- Government parks, forests, etc. (September 2004)

170

These are the most recent changes to the rules that need to be emphasized. That does not make them extra important, just something that you need to remember as a change.

NOTE: phase out policy changes in this presentation after five years have passed
 Government parks and forests should be taken out in September 2009
 Compatible headings should be taken out in August 2012

Slide 171

AACR2-Compatible Headings

Headings used in records (bib. and/or auth.) prior to AACR2

- May continue to be used, but no new ones created as of August 2007
- May be revised to AACR2 form, if desired

LCRI 24.1

171

Possible candidate for Day 5. This information is comparatively recent. Basically we are trying to eventually get rid of these compatible headings, where previously we lived with them to avoid extra bibliographic file maintenance.

Change to AACR2 required only minor revising of NAR, therefore not worth the expense.

When it comes to optional changes, catalogers should consider the amount of BFM generated by the change.

"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. [on the next

slide]

Slide 172

AACR2-Compatible Headings

- Must be revised to full AACR2 form:
 - if changing the heading or a reference
 - if adding a new reference
 - if creating a new heading that would use an AACR2-compatible heading (e.g. as a parent body in the heading or in a cross-reference)
- Revise any additional headings that also use the compatible heading

LCRI 24.1

172

These are the situations which require revision.
 NOTE: when you must revise the heading, related headings (if any exist) must also be revised, as well as any necessary BFM.

Slide 173

AACR2-Compatible Headings

Field	Code	Entered	Entered	Replaced	Replaced
Plac stat	c	19790502	19790502	19991106	19991106
Type	z	19790502	19790502	19991106	19991106
Acqman		19790502	19790502	19991106	19991106
Govt agn		19790502	19790502	19991106	19991106
Series		19790502	19790502	19991106	19991106
Ser num		19790502	19790502	19991106	19991106

Catalogers should never create new AACR2-compatible headings (e.g.: 008/10, value "d")

173

Showing the 008/10 value that signifies AACR2-compatible. This is the fixed field that will change whenever you upgrade one of these headings.

Slide 174

AACR2-Compatible Headings

Entered: 19790302 Replaced: 20090226071902.0

Type	z	Used status	Enc. ht	n	Source
Forman	■	Ref status	Mod. res		Name. use
Govt. an	■	Auth. status	Subj		Subj. use
Series	■	Auth. stat	Geo. subd		Series use
Series num	■	Name	Subdiv. te		Publ. s

LCRI 24.1

010	n	79018018			
040		DLC #b enq #i DLC #d DLC #d OCLC			
110	2	AMACOM			
410	2	AMMA C OMA			
410	2	American Management Association. #b Communications Division			
410	2	American Management Association. #b AMACOM			
410	2	American Management Association. #b AMACOM			
607		AACR1 form: AMACOM			
670		#b Conference leadership, 1972.			

The AACR2 form would actually be AMACOM (Organization). This heading may continue to be used as is unless you need to add or change a reference on it, in which case it must be revised to full AACR2 form.

An existing AACR2 compatible hdg. under the new rules does not require upgrading to AACR2. It's optional. So if all you have to do is use this as an access point in a current record, you can leave it be.

Slide 175

AACR2 Heading : Revised Parent Body

Type	z	Used status	Enc. ht	n	Source
Forman	■	Ref status	Mod. res		Name. use
Govt. an	■	Auth. status	Subj		Subj. use
Series	■	Auth. stat	Geo. subd		Series use
Series num	■	Name	Subdiv. te		Publ. s

LCRI 24.1

010	n	79018018			
110	2	AMACOM (Organization)			
410	2	American Management Association. \$b Communications Division			
670		Its Conference leadership, 1972.			
670		AMACOM Library annual report, 2006.			

Here is the new heading after revision. Note that you need to evaluate the cross-references as well as the heading when making this change. The heading for main body that was coded as AACR2-compatible must now be updated to AACR2 because the subordinate body needed to be established.

Slide 176

AACR2 Heading : New Subordinate Body

Type	z	Used status	Enc. ht	n	Source
Forman	■	Ref status	Mod. res		Name. use
Govt. an	■	Auth. status	Subj		Subj. use
Series	■	Auth. stat	Geo. subd		Series use
Series num	■	Name	Subdiv. te		Publ. s

LCRI 24.1

010	n	2003770090			
110	2	AMACOM (Organization). \$b Library			
410	2	Amacom Library			
670		Evidence to the creation of a new library ... 1976: \$b t.p. (Amacom Library)			

But as soon as new work has to be done that involves one of the compatible headings, we do NOT choose to accept them any more.

NEW headings for subordinate bodies must be AACR2. This is NOT an option. The main body must be upgraded to full AACR2 status because the subordinate body can not be AACR2-compatible. We will NOT create any more AACR2 compatible hdgs. (The previous rule lead to an increase in the number of AACR2-compatible headings,

which was not acceptable, because we really wanted to get rid of all of them.)

Slide 177

Government-designated Parks, Forests, Etc. LCRI 24.1; DCM Z1, App. 1

- LC has implemented a two-heading policy
- Establish headings needed for the geographic entity as subjects tagged 151 through SACO, usually with a geographic qualifier
- Establish headings needed for main or added entries for the corporate, administrative entity as name headings tagged 110, with the qualifier **(Agency : [Govt Name])**
- Not limited to U.S. parks, forests, etc.
- <http://www.loc.gov/catdir/cps/parks2.html> 177

NOTE: Agency is the required qualifier, do not use anything else.

The new practice will apply not only to national parks and forests, but also to analogous entities such as battlefields, historic sites, lakeshores, memorials, monuments, parkways, recreation areas, rivers, scenic trails, seashores, wild and scenic rivers, as well as entities of any of these types established at the state, provincial, departmental, etc., level.

All other foreign parks, forests, etc. are established according to these rules.

LC has begun a project to convert existing name authorities to conform to this policy, and will create the counterpart subject heading of the name authority if they have used that heading in LC bibliographic records or if they had cancelled an LCSH heading when creating the name authority (as evidenced by the presence of a cancelled subject

Slide 180

Corporate Bodies Exercises

Adding 4XX and 5XX references



180

Slide 181

Exercise 1

ARN: NEW	Rec stat: n	Entered: [system supplied]	Enc. lvl: n	Source: c
Type: z	Upd status: a	Ref status: a	Mod rec: n	Name use: a
Roman: ■	Auth status: a	Subj: a	Subj use: a	
Govt agn: ■	Auth/ref: a	Geo subd: n	Ser use: b	
Series: n	Name: n	Subd type: n	Rules: c	

040 __ MARC \$b eng \$c MARC AACR2 24.1A; LCRI 26.3, 26.3A3

110 2 _ Pat Finucane Centre

410 2 _ Finucane Centre

410 2 _ Patrick Finucane Centre for Human Rights and Social Change

670 __ Human rights directory, Ireland, 1993: \$b cover (Pat Finucane Centre) leaf 16 (Patrick Finucane Centre for Human Rights and Social Change; est. in 1989)

NOTE: Item issued by the body

This is the priority order of sources rule in action.

The notes are included in order to help the student make their decisions. The note will not always be necessary. Note: NOT also Finucane Centre for Human Rights and Social Change; don't make a variant of a variant.

Slide 182

Exercise 2

ARN: NEW	Rec stat: n	Entered: [system supplied]	Enc. lvl: n	Source: c
Type: z	Upd status: a	Ref status: a	Mod rec: n	Name use: a
Roman: ■	Auth status: a	Subj: a	Subj use: a	
Govt agn: ■	Auth/ref: a	Geo subd: n	Ser use: b	
Series: n	Name: n	Subd type: n	Rules: c	

040 __ MARC \$b eng \$c MARC AACR2 24.5C1; LCRI 24.1; 24.4B; 26.3A6; LCRI 24.1

110 2 _ Fenton, Conger & Ballaine

410 2 _ Fenton, Conger, and Ballaine

670 __ Report on market acceptance, economic feasibility ... 1962: \$b t.p. (Fenton, Conger & Ballaine, Inc., Seattle, Washington)

24.5C1: Inc. omitted
 LCRI 24.1: No comma before ampersand
 LCRI 24.4B: Don't add (Firm) to two or more surnames only

LCRI 26.3A6: Make 410
 LCRI 24.1: Add comma to series of words

Slide 183

Exercise 3

ARN: NEW	Rec stat: n	Entered: [system supplied]	Enc I/1:	n	Source:	c	
Type:	z	Upd status:	a	Mod rec:	Name use:	a	
Roman:	■	Ref status:	a	Subj:	Subj use:	a	
Govt agn:	■	Auth status:	a	Geo subd:	n	Ser use:	b
Series:	n	Auth/ref:	a	Subd type:	Rules:	c	
Ser num:	n	Name:	n				

040 __ MARC \$b eng \$c MARC AACR2 24.2B;
LCRI 24.4B

110 2 _ Mt. Hood Forest Study Group

410 2 _ Mount Hood Forest Study Group

410 2 _ MHFSG

670 __ Proposal for wilderness study areas ... 1972: \$b t.p. (Mt. Hood Forest Study Group) frwd. (Mount Hood Forest Study Group; MHFSG)

NOTE: Item issued by the body

Abbreviated form (Mt.) chosen over full form (Mount) due to priority order of sources. Note: NOT also M.H.F.S.G. (no usage for that form; LCRI 26.3A4). LCRI 24.4B: Do not add qualifiers to initialisms used as refs. unless there is a conflict.

Initialisms and Acronyms
If the name chosen for the heading for a corporate body is an initialism or acronym written in all capital letters (with or without periods between them), add a qualifier to the name (unless 24.5C is applicable). Generally do not add such a qualifier when the capitalized form is used in a see reference, unless it is required to break a conflict with the 1XX heading on another record, cf. LCRI 26.1.

Slide 184

Exercise 4

ARN: NEW	Rec stat: n	Entered: [system supplied]	Enc I/1:	n	Source:	c	
Type:	z	Upd status:	a	Mod rec:	Name use:	a	
Roman:	■	Ref status:	a	Subj:	Subj use:	a	
Govt agn:	■	Auth status:	a	Geo subd:	n	Ser use:	b
Series:	n	Auth/ref:	a	Subd type:	Rules:	c	
Ser num:	n	Name:	n				

040 __ MARC \$b eng \$c MARC AACR2 24.7B

111 2 _ Workshop on Statistics and Computing in Disease Clustering \$d (1992 : \$c Port Jefferson, N.Y.)

No x-refs

670 __ Statistics in medicine, Oct. 1993: \$b cover (Workshop on Statistics and Computing in Disease Clustering, Port Jefferson, N.Y., USA, 23-24, July 1992)

AACR2 24.26; 24.4B1 add qualifier

Note: References are NOT made from subject words in the conference name

Slide 185

Exercise 5

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc ltr: n Source: c
 Roman: ■ Ref status: a Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

AACR2 24.10;
LCRI 26.3, 26.1

040 __ MARC \$b eng \$c MARC
 110 2 _ Grace Evangelical Lutheran Church (Winchester, Va.)
 410 2 _ Grace Church (Winchester, Va.)
 670 __ This heritage, the story of Lutheran beginnings in the lower Shenandoah Valley, and of Grace Church, Winchester, 1954: \$b introd. (Grace Evangelical Lutheran Church; Winchester, Va.)

NOTE: item not issued by body

LCRI 26.3: Make reference from variant forms; qualify to match heading (LCRI 26.1)

24.3G1 doesn't apply since this work was not issued by the body. Apply LCRI 24.2D and use fullest form found in reference sources (remember that the work being cataloged is considered a reference source).

2) Corporate names

a) Qualifiers. Include qualifiers in the reference if appropriate to the form in the reference even if the qualifier has not been used in the heading because of earlier policies or because it is not appropriate there. Exception: Do not add a qualifier to a reference consisting solely of an initialism unless a qualifier is required to break a conflict with the 1XX heading on another record. If such a conflict exists, a qualifier is required-- use judgement to select an appropriate term to use in the qualifier, e.g., a general term per 24.4B or the spelled-out form of the initialism found in the reference. An initialism reference on one record may be the same as an initialism reference on another record.

Slide 186

Exercise 6

```

ARN: NEW
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvi: n Source: c
Roman: ■ Ref status: a Mod rec: Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: Rules: c
    
```

040 __ MARC \$b eng \$c MARC LCRI 24.13 Type 6

110 2 _ University of Michigan. \$b Environmental Law Society

410 2 _ Environmental Law Society of the University of Michigan

670 __ Environmental Law in Michigan, c1982: \$b t.p. (Environmental Law Society of the University of Michigan)

Heading already established: University of Michigan

This could possibly meet Type 5 criteria as well.
 Same RI: Routinely make references through entire name of body entered in direct form.

Slide 187

Exercise 7

```

ARN: NEW
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvi: n Source: c
Roman: ■ Ref status: a Mod rec: Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: Rules: c
    
```

040 __ MARC \$b eng \$c MARC AACR2 24.12 ; LCRI 24.13 AACR2 & LCRI 26.3A7

110 2 _ Stanford Environmental Law Society

410 2 _ Stanford University. \$b Environmental Law Society

670 __ San Jose, sprawling city, 1971: \$b t.p. (Stanford Environmental Law Society)

Heading already established: Stanford University

Complete name of higher body not included. Therefore, 24.13, Type 6 does not apply.
 LCRI 24.13: Omit parent's name from body entered subordinately; reference made per 26.3A7 & LCRI

Slide 188

Exercise 8

```

ARN: NEW
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvi: n Source: c
Roman: ■ Ref status: a Mod rec: Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: Rules: c
    
```

040 __ MARC \$b eng \$c MARC AACR2 24.18, Type 2; LCRI 26.3A3

110 1 _ San Diego (Calif.). \$b Mayor's Committee on Transportation and Parking

410 1 _ San Diego (Calif.). \$b Committee on Transportation and Parking, Mayor's

410 1 _ San Diego (Calif.). \$b Transportation and Parking, Mayor's Committee on

670 __ Parking crisis in in San Diego, 1981: \$b t.p. (Mayor's Committee on Transportation and Parking) San Diego, CA

These are rule-generated cross-references only.
 No need for direct entry cross-reference because the name of the government is not in the name of the body.

Note: If "San Diego" did not appear with name, you would also make a reference from: Mayor's Committee on Transportation and Parking (San Diego, Calif.) (cf. LCRI 24.13 and LCRI 24.18 Type 2)

The semicolon implies that San Diego, CA appeared with the

name but on a separate line,
which does affect the heading.

Slide 189

Exercise 9

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvi: n Source: c
 Roman: ■ Ref status: n Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: a Subd type: Rules: c

040 __ MARC \$b eng \$c MARC AACR2 24.20B1;
 100 1__ Thornburgh, Dick LCRI 26.3B-C
 400 1__ Thornburgh, Richard L.
 510 1__ Pennsylvania. \$b Governor (1979-1987 : Thornburgh)
 670 __ Murder under the capitol dome, 1967: \$b t.p. (Dick
 Thornburgh: novel)
 670 __ Congressional districts of Pennsylvania, 1980: \$b t.p.
 (an address to the Legislature by Gov. Dick
 Thornburgh) [NEW]
 670 __ WW Amer. pol. 1987/88: \$b p. 1295 (Thornburgh,
 Richard L., 1932- ; gov. of PA, 1979-1987) [NEW]

Change Ref status from "n" to "a"

Slide 190

Exercise 10

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvi: n Source: c
 Roman: ■ Ref status: a Mod rec: Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

040 __ MARC \$b eng \$c MARC LCRI 24.1; 26.3B-C
 110 2__ Dallas/Fort Worth International Airport
 510 2__ Dallas/Fort Worth Regional Airport \$w a
 670 __ Southwest Map Drafting and Advertising Inc. The new
 airport map, c1986 \$b (name not given) map verso
 (Dallas/Fort Worth Regional Airport is getting a
 makeover and a new name)
 670 __ Phone call to the airport, May 20, 1987 \$b (Dallas/Fort
 Worth Regional Airport changed to Dallas/Fort Worth
 International Airport in 1986)

Make heading for the new name.

Z1 670 & LCRI 26.3B-C, p. 2,
no. 3, "Procedures"; under
section b:

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 heading (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.

Slide 191



The section on Corporate Canadian Bodies can be found in the appendix.

Trainer Note: If you do not have any catalogers who handle Canadian headings, you do not need to cover this material in class. This is for Canadian corporate bodies only.

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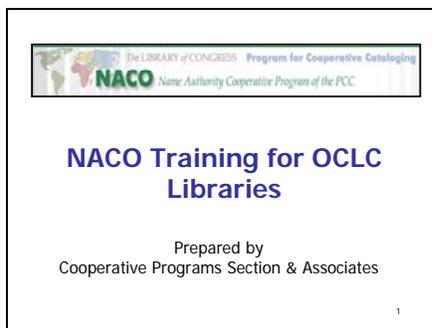
INSERT

TAB

HERE

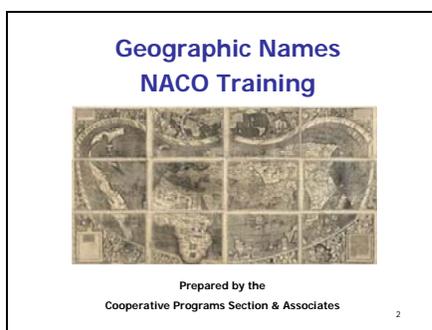
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Slide 1

**NACO Training for OCLC Libraries:****Trainers notes:**

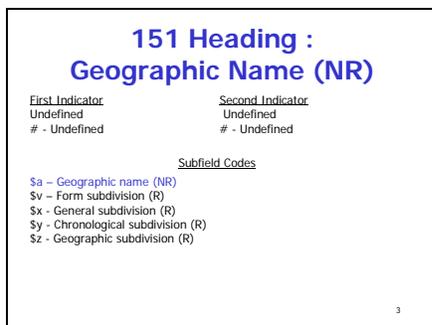
1) Trainers may customize this slide.

Slide 2



Waldseemüller map, where America was used for the first time.

Slide 3



Geographic names are established as 151s.

There are no indicators.

Only subfields \$a are used with 151s in name authority records.

The \$w subfield may also appear in the 451/551 fields.

A geographic name heading (151) may be established in either the subject or the name authority file; however, it is only the geographic heading established in the name authority file that is also eligible for use as a jurisdiction or government heading (110). That is what we are establishing here.

Emphasize that we are NOT discussing geographic subject headings.

Slide 4

043 Geographic Area Code

- NACO participants may optionally supply the 043 field
- Consult *MARC Code List for Geographic Areas*

043				rus-ak
151				Aleutians East Borough (Alaska)
470				Timing of migration, spawning, and juvenile emergence by sockeye salmon in Bear Lake, Alaska, 2003 \$b (name not given)
470				Merriam-Webster's geog. dictionary, c1997 \$b (under Alaska: Aleutians East)
470				Alaska atlas & gaz. : c2001. \$b p. 138-139 (Aleutians East Borough)
470				GNIS, Oct. 28, 2003 \$b (Aleutians East Borough, civil, Alaska)
781				\$z Alaska \$z Aleutians East Borough

043 is optional. But you are encouraged to include it in the record.

Slide 5

667 Nonpublic General Note

Optionally: Add a 667 note to NARs for geographic headings not appropriate as geographic subdivisions in subject cataloging

Name represents an entity within a city and is qualified by the city name (e.g., city sections, districts, neighborhoods, etc.)

SCM H836 ;
DCM Z1 667

PCC optional practice:
Add a 667 note to name authority records for geographic headings that are not appropriate for use as geographic subdivisions in subject cataloging usage (per SCM H 836) 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 heading is not valid for use as a geographic subdivision.

Example:

151 \$a Hollywood (Los Angeles, Calif.)

667 \$a SUBJECT USAGE:

This heading 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.

Slide 6

667 Nonpublic General Note	
151	Girdwood (Anchorage, Alaska)
410	Anchorage (Alaska) \$b Girdwood
667	SUBJECT USAGE: This heading is not valid for use as a geographic subdivision.
670	Synthesis Meeting (1983 : Girdwood, Anchorage, Alaska). Proceedings of ... 1984 \$b t.p. (Girdwood, Alaska)
670	Rand-McNally comm. atlas & marketing guide, 1982 \$b (Under Alaska: Girdwood, part of Anchorage)

This is optional but encouraged.

Slide 7

781 Geographic Subdivision Linking Field	
NACO participants may optionally provide a 781 field in NARs for geographic headings	
	

For a geographic name heading that may also be used as a geographic subdivision, determine the form in which the heading is to be used as a geographic subdivision following the guidelines in instruction sheet H 830 of the Subject Cataloging Manual: Subject Headings. Enter the text of the geographic subdivision form in a 781 field with second indicator 0. For a geographic heading that is used directly, such as a country, enter the data in a single \$z subfield. For a geographic heading that is used indirectly through a larger geographic entity, such as a city,

enter the data in **two successive \$z** subfields. **Use no other subfields.** Make no changes to values in bytes of the 008.

Slide 8

781 Geographic Subdivision Linking Field

043			P-us-ak
151			Aleutians East Borough (Alaska)
670			Timing of migration, spawning, and juvenile emergence by sockeye salmon in Bear Lake, Alaska, 2003 \$b (name not given)
670			Merriam-Webster's geog. dictionary, c1997 \$b (under Alaska: Aleutians East)
670			Alaska atlas & gaz. , c2001. \$b p. 138-139 (Aleutians East Borough)
670			GNIS, Oct. 28, 2003 \$b (Aleutians East Borough, civil, Alaska)
781	0		\$z Alaska \$z Aleutians East Borough

Point out second indicator 0 and use of \$z subfields (never more than 2). NOTE no \$a subfield!

Slide 9

How a Geographic Name is Different : Use as Jurisdiction

A geographic NAR (151) may also be used as an X10 access point without creating a separate NAR

151 __ United States

Also used on:

- Bibliographic records as X10
- Name authority records as X10

This is to explain the unique property of geographic names, that allows them to change their MARC coding in order to be used as a **jurisdictional** entry point on bib records and in name authority records. It will always be an X10 1 _ entry point.

The next slide shows the examples of United States used as X10 on bib record and NAR.

Slide 10

How a Geographic Name is Different : Use as Jurisdiction

245	0	0	2507 farm bill. #6 theme papers.	110	1	United States. #6 Dept. of Agriculture
260			(Washington, DC) : #6 USDA, #6 [2005]	410	1	United States. #6 Agriculture, Dept. of
300			ix, 139 p. #6 ill., maps. #c 29 cm.	410	2	USDA
505	0		Risk management -- Conservation and for future prosperity in U.S. Agriculture.	510	2	United States. #6 War Food Administration
650	0		Agriculture and state #c United States.	670		INICAC, data from Univ. of W. of Urbana-Champaign
650	0		Agricultural industries #c Risk manager	670		Verga, urbane a roudos--La Planta de Investigacion de Los Estados Unidos de America
650	0		Rural development #c United States.	670		Contribuciones a la arqueologia tropical, 2 (1985) #6
650	0		Agricultural conservation #c United States			
710	1		United States. #6 Dept. of Agriculture.			

Bibliographic record
Name Authority record

Note that it is an 710 on the bib record and it is a 110/410 on the NAR.

One using the name as a 710 and one as a 110 on another NAR

Example: United States. Dept. of Agriculture

Slide 11

How a Geographic Name is Different

Conflict is anticipated
therefore
Research is required

AACR2 23.4F1

Research is required for geographic names, unlike most other types of NARs. The sources for research are in LCRI 23.2, but they *change from time to time as online sources develop*. In dealing with geographic names, conflict is absolute, not specific to a local name authority database. Reference sources *must* be checked to determine if there is any other place with the same name in the same country, state, province, or territory. Conflicts must be resolved even if the other place is not yet established.

Anticipated conflict is rare in name authority work.

Slide 12

Required Reference Sources

American names

- Consult GNIS <http://geonames.usgs.gov> and/or
- Rand McNally Commercial Atlas & Marketing Guide

Canadian names

- Use LAC form of heading if found, follow agreement by LC and LAC <http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html>

Other English-speaking countries

- Consult the RI for specific links

LCRI 23.2;
DCM Z1 1XX

12

Consider Geographic Name Differences as the overarching title for this section...

The Web Resources for SACO Proposals page has a large number of links to electronic geographic names sources, including official gazetteers for Australia, N.Z., and Canada, that may be used for establishing geographic names for NACO.

When you cite from GNIS, you need to include the latitude and longitude with appropriate degree/minutes/seconds symbols and points of the compass, type of jurisdiction (PPL, ADM1, etc.), and variant forms of the name, if applicable.

LCRI 23.2

Sources

Apply the following for current place names:

- 1) For names in the United States, base the heading on the form found in the Geographic Names Information System (GNIS), U.S. Geological Survey (United States Board on Geographic Names (BGN) domestic names system). GNIS may be accessed through the World Wide Web (<http://geonames.usgs.gov/>). A recent edition of the Rand McNally Commercial Atlas & Marketing Guide may also be used when access to the World Wide Web is not available.
- 2) For names in Australia, base the heading on the form found in the Geoscience Australia Gazetteer of Australia database (<http://www.ga.gov.au/map/names/>).
- 3) For names in Canada, use the heading provided by the National Library of Canada (NLC). Accept the NLC form, even if it differs from LC policy in such matters as abbreviations, diacritics, fullness, qualifiers, etc. Additional information on Canadian place names may also be found in Natural Resources Canada's Canadian Geographical Names Data Base (http://geonames.nrcan.gc.ca/search/search_e.php).
- 4) For names in Great Britain, base the name on a recent edition of The Ordnance Survey gazetteer of Great Britain. Online access may be found at <http://www.ordsvy.gov.uk/>. The site for searching a place name is <http://www.ordnancesurvey.co.uk/oswebsite/site/help/index.html>
- 5) For names in New Zealand, base the heading on the form found in Land Information New Zealand's New Zealand Geographic Placenames Database (<http://www.linz.govt.nz/placenames/find-names/index.aspx> and <http://www.linz.govt.nz/placenames/find-names/macrons/index.aspx> (New Zealand names with macrons)).

For names in Canada, accept LAC form, even it differs from LC policy in terms of abbreviations, diacritics, fullness, qualifiers. If LAC hasn't set up yet, ask LC liaison to ask LAC to establish the geographic name. After consultations with the Library and Archives Canada, LC-CPSO have revised documentation for creating Canadian corporate name authority records in the LC/NACO Name Authority File. Essentially, the revised procedure allows a NACO member to contribute a corporate name authority record to the authority file and then notify the LAC through a web form available on the PCC web site at: <http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html>

Slide 13

Required Reference Sources

LCRI 23.2

Foreign geographic names:

- Consult GEOnet
<http://geonames.nga.mil/ggmagaz/geonames4.asp>
- Or other sources as prescribed
- Recommended resource list:
<http://www.loc.gov/catdir/pcc/saco/resources.html>

13

GEOnet= GEOnet Name Server (GNS); database of foreign geographic feature names
Catalogers need to add a 670 or 675 to NAR in order to indicate a reference source has been searched.

When you cite from Geonet, you need to include the latitude and longitude with appropriate degree/minutes/seconds symbols and points of the compass, type of jurisdiction (PPL, ADM1, etc.), and variant forms of the name, if applicable.

It is good to provide the state/province level jurisdiction, since that is easily available, but not necessary.

Slide 14

Required Reference Sources

- If no source is found, the item in hand becomes your default reference source
- There will be multiple 67X's

14

Usually, you will be citing the item in hand and a reference source for geographic names. If the reference sources fail you, you will be citing a 670 for the item in hand and a 675 for info not found. Either way, you will have more than one citation, which is characteristic of geographic names.

Remember that if you search any of the required reference sources and find nothing, cite them in a 675. 675 __ GNIS, June 22, 2008.

Slide 15

This is the database search interface for US names.

Slide 16

GNIS : Group Results

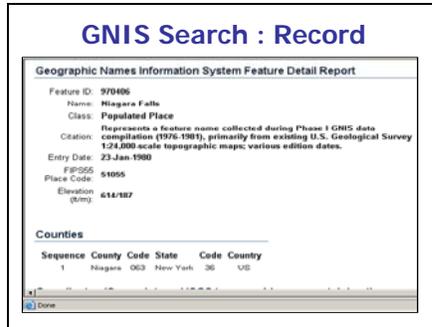
Geographic Names Information System Feature Query Results

Click any column name to sort the list ascending **A** or descending **V**. Click the feature name for details. Note: If data is returned and the column headings display but no data appear, click on any column heading.

Feature Name	Feature ID	Feature Class	Feature Type	Feature Code	Feature Name	Feature ID	Feature Class	Feature Type	Feature Code	Feature Name	Feature ID	Feature Class	Feature Type	Feature Code	Feature Name	Feature ID	Feature Class	Feature Type	Feature Code	Feature Name	Feature ID	Feature Class	Feature Type	Feature Code
Nagars Falls	050544	Falls	Nagars	107	4200000	07004100	Nagars Falls	002	-	22-JUN-1900														
Nagars Falls	076408	Populated Place	Nagars	107	4200400	07001100	Nagars Falls	014	-	23-JAN-1900														
Nagars Falls County Club	074704	Locale	Nagars	107	4200420	07001100	Lewiston	004	-	23-JAN-1900														
Nagars Falls International Airport	070101	Airport	Nagars	107	4200200	07004200	Townsend	004	-	01-AUG-1984														
Nagars Falls Memorial Park	050545	Park	Nagars	107	4200000	07001100	Lewiston	010	-	23-JAN-1900														
Nagars Falls Memorial Park (Open Space)	070102	Airport	Nagars	107	4200200	07002000	Nagars Falls	010	-	01-AUG-1984														
Nagars Falls C&D	070270	C&D	Nagars	107	4200200	07002000	Nagars Falls	010	-	01-SEP-1995														
US-A-000-000000-0000	010000	Other	GNIS	107	4200100	07001000	Townsend	004	-	01-AUG-1984														
US-A-000-000000-0000	070407	Tower	Nagars	107	4200420	07002000	Nagars Falls	010	-	01-AUG-1984														
US-A-000-000000-0000	070408	Tower	GNIS	107	4200420	07002000	Townsend	004	-	01-AUG-1984														

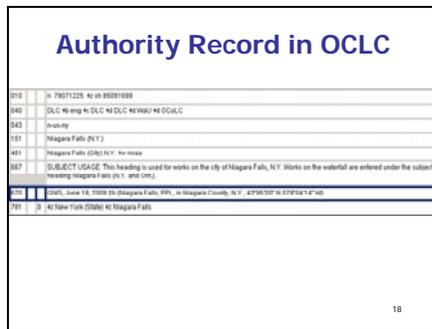
Here is the search results page.

Slide 17



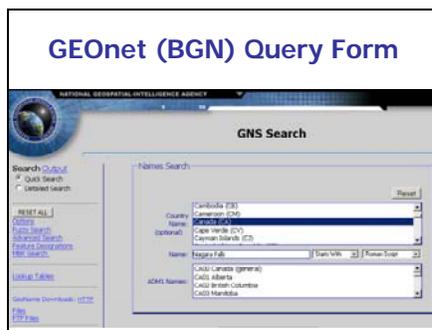
Here you have the specific place that matches your query.

Slide 18



LC database citation for a RETRO record, created by the system, not with item in hand.
 010 has \$z for deleted subject authority
 670 for GNIS added for example.
 NOTE: that it is necessary to use the correct symbols for degree, minute, and second when recording latitude and longitude or your record will not upload correctly.
 More about the Subject usage later.

Slide 19



When searching for foreign names, here is the GeoNet Names Server Search page

<http://geonames.usgs.gov>, at the bottom of the page, click GEONet Names Server (GNS)

Slide 20

GEOnet Search Results

Geonames Search Results

Total Number of Names in query: 4
Records 1 through 4

Name	Country	ADM1	Latitude/Longitude	Feature Type
Niagara Falls (BGN Standard)	Canada	Ontario	43°19'30" N 79°50'00" W	populated place
Niagara, Chutes (BGN Standard) Chutes (Generic)	Canada	Canada (general)	43°19'30" N 79°50'00" W	waterfall(s)
Niagara Falls (BGN Standard)				
Niagara Falls (BGN Standard)				

20

ADM1 is used for Canadian provinces, states, etc.
ADM2 is used for smaller levels within provinces, such as counties or metropolitan areas formed by two counties.

Slide 21

Authority Record in OCLC

810	LN 85081701
840	DLC 4b eng NLC NLC NLC 4b NLC 4b NLC
843	Province
844	Niagara Falls (Ont)
847	Old catalog heading: Niagara Falls, Ont
857	SUBJECT USAGE: This heading is used for works on the city of Niagara Falls, Ont. Works on the waterfall are entered under the subject heading: Niagara Falls (N.Y. and Ont)
870	NLC 121482 4b (NAC) Niagara Falls (Ont)
871	LCinet, June 18, 2009 25 (Niagara Falls, PPL, in Ontario, Canada, 43°19'30" N 79°50'00" W)
781	1 (N Ontario N Niagara Falls)
810	LN 85081701
840	DLC 4b eng NLC NLC NLC 4b NLC
843	Niagara Falls (N.Y. and Ont)
844	Waterfalls in New York (Ontario Prov)
847	Waterfalls: N Ontario Prov
871	LCinet, June 18, 2009 25 (Niagara Falls, waterfalls, in Niagara County, N.Y. and Ontario, 43°19'30" N 79°50'00" W)
781	1 (N Niagara Falls (N.Y. and Ont))

21

1st record: Here is the LC NAR for the sister city in Ontario. You can see the 670 NLC citation showing that the cataloger checked the form in the National Library of Canada database, to fulfill our agreement. The dates are given in an older style, but may be left as they are. New records would spell out the month.

Next is a **subject record**. Notice how the falls are qualified by New York and Ontario, the two adjacent places. The 781 has been applied in subject headings at LC for some time to show how the name could be used in a bib record access point. LC catalogers don't add 781 fields to names, but other PCC catalogers may do so. They are not to be deleted if they appear in a name authority record.

Slide 22

**Geographic Names :
Choice of Name**

- Use **English** form if there is one in general use
- Determine this from gazetteers and other reference sources published in English-speaking countries
- In case of doubt, or if there is no English-language form, use the **vernacular**

AACR2 & LCRI 23.2

22

Use the form in the official language of the country if there is no English form in general use. If more than one official language, use the form most commonly found in English-language sources

On *rare* occasions, Geonet may not have the most current form of name. Feel free to consult them; they will respond.

Slide 23

**Geographic Names :
Choice of Name**

Form of name

- English forms

151 __ Copenhagen (Denmark)

AACR2 & LCRI 23.2
- Vernacular forms

151 __ Livorno (Italy)

GEOnet search:
conventional form:
Copenhagen

GEOnet search: native
name: Livorno; English
form, Leghorn, no longer
in general use

23

LCRI 23.2 If BGN approves both a vernacular and an English form (so called conventional name), use the English form.

LCRI 23.2 specifies a list of names that should be established in English, not in vernacular forms. These trump the BGN-approved form because they are the most well-known conventional forms All of these are already established.

23.2A Use the English form of the name of a place if there is one in general use.

23.2B Use the form in the official language of the country if there is no English form in general use. If the country has more than one official language, use the form most commonly found in English-language sources.

Slide 24

Geographic Names : More than One Official Language

151 __ Helsinki (Finland)
 451 __ Khelsinki (Finland)
 451 __ Helsingfors (Finland)
 451 __ Gel'singfors (Finland)
 451 __ Helsingforso (Finland)
 451 __ Helset (Finland)
 667 __ Old catalog heading: Helsinki

Use commonly found form when country has more than one official language

AACR2 23.2B

24

Finland has two official languages, Finnish and Swedish, which is the minority language. The Finnish name is chosen as the heading. Which one is the Swedish form? Helsingfors.

Slide 25

Geographic Names : Special Modifications

- Special decisions
- Initial articles
- Abbreviations

LCRI 23.2

25

Some names are not established exactly as transcribed due to some special modifications.

Slide 26

Geographic Names : Special Decisions

Special decisions: China, Germany, Great Britain, Korea, London, Soviet Union, Washington, DC

Use as place name:	Use as jurisdiction:
151 __ Washington (D.C.)	151 __ District of Columbia
151 __ Adams Morgan (Washington, D.C.)	110 1 _ District of Columbia. \$b Office on Aging
410 1 _ Washington (D.C.). \$b Adams Morgan	

LCRI 23.2

26

Some countries merit special decisions. If you work with these countries/areas, you need to be aware of these. If you do not work with these areas, then these are rules you really don't need to pay attention to.

For Washington, D.C., use "District of Columbia" as the heading for the government of this name. Use "Washington (D.C.)" only as a location qualifier or as the entry element for x-ref. from place, and as a geographic subdivision used directly. 410 Cross references—as a cross reference, Washington

(D.C.) is a location, but District of Columbia is a parent body for a corporate entity.

The instructions for Washington, D.C. are also sometimes applied to other capital cities, like Mexico City (Mexico) vs. Distrito Federal (Mexico).

For China, Germany, and Korea, the special decisions have to do with the proper qualifier related to the time period of the geographic name.

For London, the special decisions relate to the appropriate qualifier for the different sections of London, whether it is the 677-acre original location vs. the outer boroughs.

For Great Britain and the former Soviet Union republics, it simply specifies what name is appropriate to use.

Slide 27

**Geographic Names :
Initial Articles**

- Drop initial articles from geographic names except when required by the language
- Check local gazetteer for usage

151 __ Dalles (Or.) *not* The Dalles (Or.)
151 __ Los Angeles (Calif.)

LCRI 23.2

27

English language: drop the articles unless you are dealing with a foreign language name such as Los Angeles or El Paso inside an English-speaking country.

For Arabic, Urdu, Hebrew, and Yiddish, always drop initial articles. For all other languages, check a local gazetteer.

When in doubt, drop the article.

1) Initial articles. Drop initial articles from the beginning of the entry element of geographic names in Arabic, Urdu, Hebrew, and Yiddish. Retain initial articles in other non-English geographic names when retention is supported by current gazetteers in the country's language. ("Non-English" is meant to include names in French, Spanish, etc., when these are used in the United States (e.g., Los

Angeles) or other English-speaking countries.) Drop all other initial articles (e.g., drop "The" from "The Dalles").

Slide 28

**Geographic Names :
Abbreviations**

- United States and elsewhere: *always spell out* "Saint" and "Mount" for English-language place names
- UK and Republic of Ireland: *always abbreviate* "St." and "Mt."
- Canada: follow LAC decision

LCRI 23.2

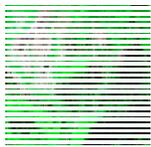
28

Make a reference from the form not used in the heading. – mentioned in xref section

Slide 29

Additions to Geographic Names

Non-conflicts
Conflict



29

Having established the basic heading, we are now going to look at what is added to the geographic name to establish uniqueness.

Slide 30

**Additions to Geo. Names :
Basic Rule**

- Always assume conflict — in spite of LCRI 24.4C “in case of doubt, do not add the qualifier”
- Usually add the larger jurisdiction (first choice is the country)
- Exceptions: Australia, Canada, Malaysia, U.S.

LCRI 23.4F2;
LCRI 23.4F1

30

Geographic names ALWAYS assume conflict unlike corporate body names. The LCRI 24.4C tells us not to anticipate conflict for corporate body names, but geographic names justify extra research based on LCRI 23.4F1.

LCRI 23.4F1 – justification for always assuming conflict in geographic names.

Conflicts

Apply either 23.4F1 or 24.6B (depending on the situation) to resolve conflicts in headings for places (geographic names and names of governments) not already resolved by the additions called for by 23.4C-23.4E. Conflict in place names is not restricted to those already established or being established in the catalog (the file against which the searching and cataloging is being done). Instead, if there is no existing conflict in the catalog, search gazetteers, etc., to determine if two or more places within the same jurisdiction have the same name or if two or more places with the same name would bear the same qualifier for the larger place.

A nation does not get a qualifier, because there is no larger jurisdiction, unless there is conflict. Example: Congo (Democratic Republic) vs. Congo (Brazzaville)

RI23.4C Places in Australia, Canada, Malaysia, United States, U.S.S.R., or Yugoslavia
Australia: qualify by state or territory
Canada: qualify by province or territory

Malaysia: qualify by state

U.S.: qualify by state

Countries that used to be impacted by this rule:

U.S.S.R.: qualify by constituent republic

Yugoslavia.: qualify by constituent republic

Serbia and Montenegro: qualify by constituent republic (existed 2003-2006)

FYI: China is a country that has provinces, and would like to have its provinces used as the larger jurisdictions even as states are in the United States. It would help resolve conflicts as more Chinese headings arrive in our database. The decision to do so rests with the Joint Steering Committee for AACR2, not with LC or the PCC.

Slide 31

Additions to Geo. Names : Examples		
151 __ Poland (Ohio)		<i>(populated place)</i>
151 __ Poland		<i>(country)</i>
151 __ London (England)		<i>(a city)</i>
151 __ Dorset (England)		<i>(a county)</i>
151 __ Santo Domingo (Antioquia, Colombia)		
151 __ Santo Domingo (Arauca, Colombia)		

Additions to the headings make them unique.

NOTE: nations don't need additions because they have nothing larger, unless there is conflict between nations. This is rare.

We do not make a distinction in adding qualifiers between levels of jurisdiction, unless there is a need for conflict resolution. That is why a city and a county make have the same qualifier, even though they are different levels of jurisdiction.

For populated places of the same name within a country, the usual qualifier to add is the next administrative level down. In this case, it is the province name. When

two headings are of the **same administrative level**, you need to add qualifiers to **both** to break the conflict.

Slide 32

**Additions to Geo. Names :
Ambiguous Entities**

AACR2 & LCRI 23.4F2; LCRI 23.1;
SCM H405; DCM Z1 App. 1

- City sections: Qualify by city name
151 __ University District (Seattle, Wash.)
- Military bases: Qualify by location of base ; establish in the language of administration
151 __ Ramstein Air Force Base (Germany)

32

The ambiguous entities are corporate body entities that are to be established as geographic name authorities, according to the list in SCM H405. A partial list is found in LCRI 23.1 & DCM Z1 App. 1. Here we give two examples of ambiguous entities that get special qualifier treatment.

LCRI 23.1

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

Types of ambiguous entities that get special qualifier treatment

City sections and street names and other geographic entities in cities get city qualifiers.

Military installations aren't always located on their home country's soil. It's important to consider which country the forces serve, what languages are used on the base, and where the base is located.

RI 23.1: Treat military installations as local places, adding as a qualifier the country, state, province that would have been added to a city or town in the same place. Qualify by where it is located (**RI23.1**)

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.

Slide 33

**Additions to Geo. Names :
Conflict**

Add jurisdiction type to break conflict

151 __Cork (Ireland) *(city)* AACR2 23.5
& 24.6; LCRI
23.2

151 __Cork (Ireland : County)

151 __Westfield (N.Y.) *(populated place)*

151 __Westfield (N.Y. : Town)

151 __Lublin (Poland) *(city)*

151 __Lublin (Poland : Voivodeship)

33

24.6: When the larger place name alone doesn't break the conflict, add a jurisdiction type after the larger name in the qualifier following a space, colon, space. Add type of jurisdiction in English if other than a city or town. If there is no English equivalent for the vernacular term, or in case of doubt, use the vernacular term.

24.6B. This rule justifies adding the jurisdictional qualifier to the larger administrative level, and not the city level.

Add the type of jurisdiction in English if other than a city or a town. If there is no English equivalent for the vernacular term, or in case of doubt, use the vernacular term.

NOTE: Voivodeship is a administrative division specific to Poland and a few neighboring countries; roughly similar a province nowadays. This demonstrates that you do need to know the general geographic and administrative divisions of a country to be able to know if there is or is not an English equivalent.

Slide 34

**Additions to Geo. Names :
Townships**

LCRI 23.2 &
23.4F1

Without county:
151 __ Benzinger (Pa. : Township)
151 __ Milo (Me. : Town)

With county:
151 __ Spring (Berks County, Pa. : Township)
151 __ Spring (Centre County, Pa. : Township)

34

These are qualifiers that are specific to certain states, mostly within the New England and midwest U.S. More than 20 states use this geographic qualifier. Note that you use the county level to break conflict within a state.

Don't dwell on this too long!

Township/Town

2 a: town 6 b: a unit of local government in some northeastern and north central states usually having a chief administrative officer or board c: an unorganized subdivision of the county in Maine, New Hampshire, and Vermont d: an electoral and administrative district of the county in the southern United States

3: a division of territory in surveys of United States public land containing 36 sections or 36 square miles

LCRI 23.2

These non-local jurisdictions are called "townships" in Arkansas, California, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, New Jersey,

North Carolina, North Dakota, Ohio, Pennsylvania, and South Dakota; they are called "towns" in Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont, and Wisconsin. If there is more than one township with the same name in the same state, apply LCRI 23.4F1.

Slide 35

Exercises

- Give the preferred heading and other appropriate fields such as: 043, 667, 781 in the following exercises
- References will be applied once that segment is discussed

35

Slide 36

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 1

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: ■ Ref status: n Mod rec: a Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

040 __ MARC 21 \$b eng \$c MARC 21
 043 __ n-us-tx LCRI 23.2
 151 __ Shiner (Tex.)
 670 __ History of the Shiner museum, c1991: \$b p. 2
 (Shiner, Texas)
 670 __ GNIS, Oct. 29, 2006 \$b (Shiner TX: Lavaca Co.;
 29°25'44"N, 097°10'13"W)
 781 _ 0 \$z Texas Sz Shiner

Abbreviate state according
Appendix B.

Standard heading example
State qualifier for U.S. PPL
670s from work in hand and GNIS
search.
043 & 781 optional

Slide 37

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 2			
ARN: NEW			
Rec stat:	n	Entered: [system supplied]	
Type:	z	Upd status:	a Enc lvl: n Source: c
Roman:	■	Ref status:	n Mod rec: n Name use: a
Govt agn:	■	Auth status:	a Subj: a Subj use: a
Series:	n	Auth/ref:	a Geo subd: n Ser use: b
Ser num:	n	Name:	n Subd type: n Rules: c
040	__	MARC 21 \$b eng \$c MARC 21	LCRI 23.4F2;
043	__	n-us-tx	DCM Z1 667
151	__	Oak Lawn (Dallas, Tex.)	
667	__	SUBJECT USAGE: This heading is not valid for use as a geographic subdivision.	
670	__	The history of St. Mary's, Oak Lawn, 1992.	
670	__	Dallas and its neighborhoods, 1992: \$b t.p. (Oak Lawn)	
670	__	Rand McNally comm. atlas., 1991 \$b (Texas: Oak Lawn, part of Dallas)	
675	__	GNIS, Oct. 30, 2006	

City section

Subject usage note required in the 667; this is an optional practice for PCC participants. LC

Other relevant rules:

AACR2 & LCRI 23.4F2; LCRI 23.1; SCM H405; DCM Z1 667

Slide 38

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 3			
ARN: NEW			
Rec stat:	n	Entered: [system supplied]	
Type:	z	Upd status:	a Enc lvl: n Source: c
Roman:	■	Ref status:	n Mod rec: n Name use: a
Govt agn:	■	Auth status:	a Subj: a Subj use: a
Series:	n	Auth/ref:	a Geo subd: n Ser use: b
Ser num:	n	Name:	n Subd type: n Rules: c
040	__	MARC 21 \$b eng \$c MARC 21	LCRI 23.2
043	__	n-us-pa	& 23.4F1
151	__	Lower Turkeyfoot (Pa. : Township)	
670	__	Lower Turkeyfoot Township road map, 1979.	
670	__	GNIS, Oct. 29, 2007 \$b (Lower Turkeyfoot, Township of; PA; Somerset Co.; 39°51'00"N, 079°20'59"W)	
781	_ 0	\$z Pennsylvania \$z Lower Turkeyfoot (Township)	

Townships (aka Towns in some states) are peculiar to approximately half the states of the US.

Slide 39

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 4			
ARN: NEW			
Rec stat:	n	Entered: [system supplied]	
Type:	z	Upd status:	a Enc lvl: n Source: c
Roman:	■	Ref status:	n Mod rec: n Name use: a
Govt agn:	■	Auth status:	a Subj: a Subj use: a
Series:	n	Auth/ref:	a Geo subd: n Ser use: b
Ser num:	n	Name:	n Subd type: n Rules: c
040	__	MARC 21 \$b eng \$c MARC 21	LCRI 23.2
043	__	n-us-pa	& 23.4F1
151	__	Springfield (Bucks County, Pa. : Township)	
670	__	Altitude and configuration of the potentiometric surface in Springfield Township, Bucks County, PA, 1993.	
670	__	GNIS, Oct. 29, 2007 \$b (Springfield, Township of; PA; Bucks Co.; 40°32'00"N, 075°17'28"W; 8 other Springfield Townships cited in PA)	
781	0	\$z Pennsylvania \$z Springfield (Bucks County : Township)	

Same township rules cover the addition of the extra qualifier. LCRI 23.4F1 Note: County must be spelled out in geographic names just like Mount and Saint (cf. LCRI 23.2 p. 4)

Convention: there is no comma in between the coordinants.

Slide 40

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 5

```

ARN: n 85188911
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvl: n Source: c
Roman:  Ref status: n Mod rec:  Name use: a
Govt agn: Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: Rules: c
    
```

AACR2 23.4D2,
23.5 & 24.6

```

040 __ MARC 21 $b eng $c MARC 21
151 __ Armagh (Northern Ireland : County)
670 __ Webster's new geog. dict., c1972 1b (Armagh, county,
        Northern Ireland)
670 __ GONet, 16 June 2003 1b (Armagh, County; 54°15'00"N,
        006°30'00"W)
    
```

NOTE: Armagh City and District also exist.

AACR2 23.5 & 24.6 is the rule that allows you to add a jurisdiction to break conflict between different jurisdictions with the same name. 23.4D2 is the one that dictates Northern Ireland as the qualifier rather than United Kingdom.

Accent mark

Slide 41

Geographic References

From other forms of name (451):

- Recorded variants
- Modifications of name
- Alternate romanization schemes
- Previously verified, full-level AACR2 form of heading "\$w nne"

41

Add other cross references, depending on which would improve access.

Slide 42

**Geographic References :
Variant Forms**

Variant forms of name

LCRI 23.2 &
AACR2 26.3

151 __ Livorno (Italy)

451 __ Leghorn (Italy)

English form,
Leghorn, no longer
in general use

42

The English form is the required name for the heading. In this case, the English form is not in common use, thus the vernacular form is to be used as a heading form. However, the English form needs to be a cross-reference, since it was once in common use.

Another example of a geographic name with variant forms as cross-references is Mexico City (Mexico). It has the Spanish form, the German form, and the Aztec names of the city as cross-references.

Slide 43

**Geographic References :
Modifications**

Modifications of the name due to abbreviations and initial articles

LCRI 23.2

151 __ Mount Airy (Ga.)
451 __ Mt. Airy (Ga.)

151 __ Los Angeles (Calif.)
451 __ Angeles (Calif.)

43

The RI tells you to automatically make a cross-reference for the form not used in the heading. You do not need to justify this type of cross-reference as a variant form in the 670. They are **rule-driven**.

Slide 44

**Geographic References :
From Jurisdiction**

City sections:

LCRI 23.4F2

151 __ Chinatown (Vancouver, B.C.)
410 1 _ Vancouver (B.C.). \$b
Chinatown

44

The RI instructs you to automatically make a cross-reference through the jurisdiction that controls the neighborhood.

Slide 45

**Geographic References :
From Jurisdiction**

Military installations

LCRI 23.1

151 __ Elmendorf Air Force Base
(Alaska)
410 1 _ United States. \$b Elmendorf
Air Force Base
410 1 _ United States. \$b Air Force. \$b
Elmendorf Air Force Base

45

Military installations also require rule-driven cross-references through the controlling country and the controlling armed forces branch.

Slide 46

**Geographic References :
From Jurisdiction**

Government corporate bodies entered directly

110 2 _ Anchorage Museum of History and Art

410 1 _ Anchorage (Alaska). \$b Museum of History and Art

AACR2 24.17;
LCRI 26.3A7

46

This is a reminder from the Corporate Bodies presentation about required cross-references for government bodies entered directly. They need rule-driven cross-references through the jurisdiction.

Slide 47

Heading vs. Name Changes

Two types, two treatments:

LCRI 23.4B &
26.3B-C

- Change in qualifier – change of authorized form on existing NAR
- Change in official name – new NAR and modification of old NAR

47

Geographic names have two types of changes.

Actual name change: The Library of Congress does not change a country's name unless the new name is recognized by the United States Board on Geographic Names (BGN) (cf. LCRI 23.2).

Slide 48

Heading Change

City name changed in 1940; church name remained the same

- Changing qualifier of authorized heading

LCRI
23.4B

110 2 _ St. Paul Lutheran Church (Niles Center, Ill.)

changes to

110 2 _ St. Paul Lutheran Church (Skokie, Ill.)

- Old heading becomes cross-reference

Add

410 2 _ St. Paul Lutheran Church (Niles Center, Ill.) \$w nne

48

St. Paul Lutheran Church existed during both periods of the earlier and later names. When the place name changed, the church heading's qualifier changed. (Church founded in 1881. City name changed in 1940; church continued to exist after the city's name change) Niles Center, Ill changed its name to Skokie, Ill.

The new 451 was a valid AACR2 hdg. and requires the subfield \$w nne

Slide 49

Heading Change

LCRI 23.4B

Earlier name of the larger place

151		Minsk (Belarus)
451		Minsk (Byelorussian S.S.R.) \$w nne
451		Myensk (Belarus)
451		Myerneyesk (Belarus)
451		Mensk (Belarus)
451		Mansk (Belarus)
667		Old catalog heading: Minsk

Use hdg. for the current name of the larger place when adding the name of a large place as a qualifier. 49

Here we have an example of a change of country name, which impacts every city and town in that country. (Slavic catalogers suffered when the Soviet Union broke up.)

Slide 50

Heading Change Consequences

Change subordinate body record, as well!

110	1	Moscow (Russia). \$b Duma
410	2	Moskovskai" a" Gorodskai" a" Duma
410	2	Moskovskaya Gorodskaya Duma
410	2	Moscow City Duma
410	1	Moscow (Russia). \$b Gorodskaya Duma
410	1	Moscow (Russia). \$b City Legislative Assembly
410	1	Moscow (Russia). \$b City Council
410	1	Moscow. \$b Gorodskai" a" duma \$w nnaa

The name change affected the subordinate bodies as well.

Slide 51

Geographic References : See-also situations

LCRI 26.3B-C

- Name change
 - Earlier/later relationships: \$w a or \$w b
 - Other relationships: 551 without any \$w value
- Change in nature of entity

51

See-also 5xx links may be needed.

Earlier/later is pretty standard and the most common type of 551 relationship you will have for geographic names.

Other relationship is the mystery relationship. You know there is a relationship but you do not know its nature. **This is extremely rare in geographic names.**

Change in nature of entity: means that its type of jurisdiction has changed. Hong Kong would indeed be such a

change- from a crown colony to a provincial equivalent of a different sovereign entity. Such a change does not automatically result in a separate heading connected with see also references. For example we do not have separate headings for most of the U.S. states as colonies of Great Britain and states of the U.S., although these were certainly changes in the nature of entity. The reason here is that, for example, when the colony of Connecticut became the state of Connecticut, there was no change in name and by rule, states of the U.S. are not qualified by the higher jurisdiction, so the heading Connecticut can be used regardless of the nature of states.

Slide 52

Name Change

AACR2 23.3A & LCRI
26.3B-C

- As many NARs as names
- Connect with 551 "\$w a" or "\$w b"
- Notify PSD to add 667 re: subject usage
<http://www.loc.gov/catdir/pcc/naco/nar667form.html>

151 __ Name A	151 __ Name B
551 __ Name B \$w b	551 __ Name A \$w a

52

This is similar to corporate names, so the rules dip back into Chapter 24 for similar concepts of earlier/later. Required subject usage 667 found in DCM Z1 667 section; notify PSD when you make the NAR change to add the 667.

NACO home page: 667 notification form

Coop has created a form to facilitate this notification at:

<http://www.loc.gov/catdir/pcc/naco/nar667form.html> for "Jurisdiction name has changed but geographic area remains the same (an earlier/later reference has been added to the NAR) and now requires a subject usage note, cf.: LCRI 26.3B-C and SCM H708."

Note that for jurisdictional mergers or splits a 667 subject usage note is not required, see SCM H710

For subject cataloging of geographic

places, you will almost always use the most recent form of name. The only times when you will use an older form of name is when the subject of the book is confined to the time period when that name was correct OR when there is a difference in the geographic area that is covered by that jurisdiction. For example, the Soviet Union covered a larger area than Russia, therefore a book that discusses the Soviet Union will still use Soviet Union and not Russia.

Slide 53

Name Change : Earlier/Later

151	Middle Congo
451	Middle Congo Colony
451	Congo, Middle
667	Congo (Brazzaville) etc. ← Later heading
<small>SUBJECT USAGE: This heading is not valid for use as a subject. Works about this place are entered under Congo (Brazzaville).</small>	
870	<small>LC manual cat. #6 (help): Middle Congo, only: a colony, later territory, of French Equatorial Africa from 1910 until independence Aug. 1960 as Republic of the Congo, with capital at Brazzaville.</small>
151	Congo (Brazzaville)
451	Republic of Congo (Brazzaville)
451	Congo (People's Republic)
451	People's Republic of the Congo
451	Middle Congo etc. ← Earlier heading
870	<small>Annuaire arithmétique de la République populaire du Congo, année 1990 #6 (p. (Brazzaville, R.P.C.)</small>
870	<small>He Treaty with the Peoples Republic of the Congo -- 1991: #6 (p. (Peoples Republic of the Congo)</small>
870	<small>Web: cong. #6 (Congo, officially Peoples Republic of the Congo, or formerly Middle Congo)</small>
870	<small>LC manual cat. #6 (help): Congo (Brazzaville), only: The Republic of the Congo became independent on Aug. 15, 1960, after having to use the four names of French Equatorial Africa under the name of Middle Congo, commonly identified as Congo (Brazzaville) of U.N. and by others to distinguish it from its neighbor Congo (Kinshasa), the former Belgian Congo, now Zaire.</small>
791	<small>#6 Congo (Brazzaville)</small>

Middle Congo is an earlier form, with a 551 link to the current form. Notice that it has a 667 for Subject Usage and that the fixed field Subj use (008/15) value is "b" (Not appropriate as a subject added entry).

NOTE: this only shows the earlier name authority record that was modified at the time of name change. We do not have the later heading that was newly created.

Add later NAR

Slide 54

Name Change : Name & Qualifier

Use the appropriate qualifier for the time period of the smaller place name when the smaller place changes its name or has ceased to exist.

151	Leningrad (R.S.F.S.R.) ← Name used 1924-1991
451	Leningrad (R.S.F.S.R.)
551	Petrograd (R.S.F.S.R.) \$w a
551	Saint Petersburg (Russia) ← Name used before 1914 and after 1991
647	<small>SUBJECT USAGE: This heading is not valid for use as a subject. Works about this place are entered under Saint Petersburg (Russia)</small>
647	<small>DESCRIPTIVE USAGE: For items and imprints pertaining to the 1924-1991 period only; Old catalog heading: Leningrad</small>

This example demonstrates that the 551 for Petrograd keeps its old qualifier because it only existed during the time of the Russian state under the USSR, as did Leningrad. St. Petersburg, used the Russia qualifier because it existed before, during, and after the Soviet Union. Saint Petersburg, Russia changed in 1914 to Petrograd (R.S.F.S.R.) at the time of the revolutions in Russia.

Petrograd changed to Leningrad (R.S.F.S.R.) in 1924, after Lenin died.

Leningrad changed to Saint

Slide 59

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 6a

ARN: n80089998

Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: a
 Roman: Ref status: a Mod rec: Name use: a
 Govt agn: Auth status: a Subj: a Subj use: b
 Series: n Auth/ref: a Geo subd: n Ser use: c
 Ser num: n Name: n Subd type: Rules: c

040 __ DLC \$b eng \$c DLC AACR2 23.3A & 26.3B;
 151 __ Southern Rhodesia LCRI 26.3B-C; DCM Z1 667
 551 __ Zimbabwe \$w b
 667 __ SUBJECT USAGE: This heading is not valid for use as a
 subject. Works about this place are entered under
 Zimbabwe.
 670 __ The prehistory of Southern Rhodesia, 1949.
 670 __ BGN, June 10, 1975 \$b (Southern Rhodesia; ppl., 19°0'00"S,
 29°00'00"E)
 670 __ Africa south of the Sahara, 1990: \$b p. 5 (Zimbabwe;
 Zimbabwe came into existence Apr. 14, 1980 as the successor
 to the colony of Southern Rhodesia) [NEW]

This is an existing NAR. Changes may be necessary based on the new 670.
 A blank template for a possible new NAR is on Exercise 6b.

<http://www.loc.gov/catdir/pcc/naco/nar667form.html>

You must notify PSD to add the 667 note and adjust the appropriate 008 fields. Unlike the other 667 note for city sections, this one is NOT optional. However, you cannot add it yourself.

Slide 60

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 6b

ARN: NEW

Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: Ref status: a Mod rec: Name use: a
 Govt agn: Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

040 __ MARC \$b eng \$c MARC AACR2 23.3A
 043 __ f-rh & 26.3B; LCRI
 151 __ Zimbabwe 26.3B-C
 551 __ Southern Rhodesia \$w a
 670 __ Africa south of the Sahara, 1990: \$b p. 5 (Zimbabwe;
 Zimbabwe came into existence Apr. 14, 1980 as the
 successor to the colony of Southern Rhodesia)
 670 __ GEOnet, Nov. 2, 2006 \$b (Zimbabwe, Republic of; short form:
 Zimbabwe; 19°0'S, 29°0'E)
 781 _ 0 \$z Zimbabwe

The new record does NOT need the 667 note that the old record does. 781 is optional

Slide 61

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 6c

ARN: n80093245

Rec stat: n Entered: [system supplied]
 Type: z Upd status: ~ Enc lvl: n Source: a
 Roman: Ref status: a Mod rec: Name use: a
 Govt agn: Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

040 __ DLC \$b eng \$c DLC LCRI 23.4B
 043 __ f-rh
 151 __ Salisbury (Zimbabwe)
 451 __ Salisbury (Southern Rhodesia) \$w nne
 670 __ Africa south of the Sahara, 1990: \$b p. 5 (Zimbabwe;
 Zimbabwe came into existence Apr. 14, 1980 as the
 successor to the colony of Southern Rhodesia)
 670 __ Map of Salisbury, Rhodesia central area, 1969.
 781 _ 0 \$z Zimbabwe \$z Salisbury

This is an existing NAR. Changes may be necessary.

As a consequence of the changes in the previous two NAR's, all related PPL headings have to be updated as well. To what? To the current form of the larger place. Because the former heading was a perfectly valid heading, then you need the \$w nne to indicate that.

Change qualifier per LCRI23.4B "Choice of Larger Place; "use the heading for the current name of the larger place..."

Slide 62

```

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 6d
ARN: n80093245
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvt: n Source: c
Roman: ■ Ref status: a Mod rec: Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: Rules: c

040 __ DLC $b eng $c DLC $d MARC 21 AACR2 23.3A;
043 __ f-rh LCRI 23.4B &
151 __ Salisbury (Zimbabwe) 26.3B-C; DCM Z1
451 __ Salisbury (Southern Rhodesia) $w nne
551 __ Harare (Zimbabwe) $w b 667
667 __ SUBJECT USAGE: This heading is not valid for use as a subject.
Works about this place are entered under Harare (Zimbabwe).

670 __ Africa south of the Sahara, 1990: $b p. 5 (Zimbabwe:
Zimbabwe came into existence Apr. 14, 1980 as the
successor to the colony of Southern Rhodesia)
670 __ Map of Salisbury, Rhodesia central area, 1969
670 __ Encyclopedia of Africa and its countries, 2004 $b
(Zimbabwe: capital, Harare (formerly Salisbury)) NEW
781 _ 0 $z Zimbabwe $z Salisbury
    
```

Note the time progression. The country changed its name first (1990 pub date for that 670), then the capitol city changed its name (2004 pub date for that 670). That is why the previous NAR only showed the change of heading, but NOW we have a change of name. Remember the 667 and 008 changes are done by PSD after you notify them via the web form.

Salisbury, Zimbabwe is no longer valid for subject usage because subject cataloging policy is to use the latest form of name for subject access. So the latest form of name is now Harare, Zimbabwe. Therefore, the 667 SUBJECT USAGE note needs to be added, and the 781 and the 043 fields removed.

Slide 63

```

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 6e
ARN: n80093245
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvt: n Source: c
Roman: ■ Ref status: a Mod rec: Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: Rules: c

040 __ MARC 21 $b eng $c MARC 21 AACR2 23.3A,
043 __ f-rh LCRI 26.3B-C;
151 __ Harare (Zimbabwe) DCM Z1 667
551 __ Salisbury (Zimbabwe) $w a

670 __ Proceedings of the 8th Regional Conference on Nutrition
in Africa, 2005: $b 1.p. verso (held in Harare, Zimbabwe,
Jan. 12-17, 2005)
670 __ Encyclopedia of Africa and its countries, 2004 $b
(Zimbabwe: capital, Harare (formerly Salisbury))
670 __ BGN, Oct. 30, 2006 $b (Harare, Zimbabwe: ppl.;
17°50'00"S, 031°03'00"E)
781 _ 0 $z Zimbabwe $z Harare
    
```

This is the NEW record that is created by the change of name. 781 and 043 are optional

Slide 64

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 7
 ARN: n80093245
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: ■ Ref status: a Mod rec: n Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

040 __ DLC \$b eng \$c DLC \$d MARC 21
 043 __ e-ru--
 151 __ Saransk (Russia) LCRI 23.4B
 451 __ Saransk (R.S.F.S.R) Sw nne
 670 __ Stranichki stariny, 1980: \$b t.p. verso (Saransk)
 670 __ Phone call to BGN, Aug. 12, 1981 \$b (approved form: Saransk, R.S.F.S.R.; ppl., 54°11'N,45°11'E; no variants)
 670 __ BGN, Jan. 8, 1993 \$b (Saransk; no change in name after break-up of Soviet Union) NEW
 781 _ 0 Sz Russia (Federation) Sz Saransk

Change qualifier per LCRI 23.4B
 “Choice of Larger Place;” use the heading for the current name of the larger place.
 Part of the breakup of the Soviet Union and consequent change of governments. As a result, this is simply a heading change. The town didn’t change its name, but the country did.

Slide 65

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 8
 ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: ■ Ref status: a Mod rec: n Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

040 __ MARC 21 \$b eng \$c MARC 21
 043 __ n-us-pa LCRI 23.2
 151 __ Lower Turkeyfoot (Pa.: Township)
 451 __ Lower Turkeyfoot Township (Pa.)
 670 __ Lower Turkeyfoot Township road map, 1979.
 670 __ GNIS, Oct. 29, 2007 \$b (Lower Turkeyfoot, Township of: PA: Somerset Co.: 39°51'00"N, 079°20'59"W)
 781 _ 0 Sz Pennsylvania Sz Lower Turkeyfoot (Township)

Slide 66

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 9
 ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: ■ Ref status: a Mod rec: n Name use: a
 Govt agn: ■ Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: n Subd type: Rules: c

040 __ MARC 21 \$b eng \$c MARC 21
 043 __ n-us-tx LCRI 23.4F2
 151 __ Oak Lawn (Dallas, Tex.)
 410 1 _ Dallas (Tex.). \$b Oak Lawn
 667 __ SUBJECT USAGE: This heading is not valid for use as a geographic subdivision.
 670 __ The history of St. Mary's, Oak Lawn, 1992.
 670 __ Dallas and its neighborhoods, 1992: \$b t.p. (Oak Lawn)
 670 __ Rand McNally comm. atlas., 1991 \$b (Texas: Oak Lawn, part of Dallas)
 675 __ GNIS, Oct. 30, 2006

Required cross-reference.
 Other relevant rules:
 AACR2 & LCRI 23.4F2; LCRI 23.1; SCM H405; DCM Z1 App. 1

Slide 67

```

OCLC GEOGRAPHIC NAME AUTHORITY: EXERCISE 10
ARN: NEW
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc vl: n Source: c
Roman: Ref status: a Mod rec: Name use: a
Govt agn: Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: n Subd type: Rules: c

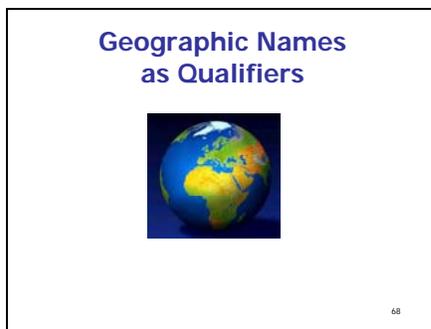
040 __ MARC 21 $b eng $c MARC 21
043 __ n-us-pa LCRI 23.2
151 __ Springfield (Bucks County, Pa. : Township) & 23.4F1
451 __ Springfield Township (Bucks County, Pa.)
670 __ Altitude and configuration of the potentiometric surface
in Springfield Township, Bucks County, PA, 1993.

670 __ GNIS, Oct. 29, 2007 $b (Springfield, Township of, PA; Bucks
Co.: 40°32'00"N, 075°17'28"W; 8 other Springfield
Townships cited in PA)

781 0 $z Pennsylvania $z Springfield (Bucks County : Township)
    
```

The County is included in the cross-reference, same as the heading. LCRI 23.4F1 Note: County must be spelled out in geographic names just like Mount and Saint (cf. LCRI 23.2 p. 4)

Slide 68



Slide 69

- Geographic Names as Qualifiers**
- How to use geographic names as qualifiers
 - Punctuation!
 - Appropriate to life time of body!
 - Use in geographic names
 - Qualifying smaller place names
 - Identifying places
 - Breaking conflict
- 69

NACO practices spell out the times to use geographic names as qualifiers.

Most of these were already covered yesterday with corporate bodies. Therefore, we are simply going to touch on these here.

Do not include terms prescribed in **24.6 (24.4C1)**

Slide 70

Geographic Names as Qualifiers

- Use in corporate body names
 - Government bodies or jurisdictions (**AACR2 23.4 & 24.6**)
 - Resolve conflict (**24.4C3, LCRI 24.4C**)
 - Conferences
 - Provide better identification
 - Express character of body (**AACR2 24.4C2**)
 - Gov. Institutions and non-gov. bodies (**LCRI 24.4C**)
 - Churches and broadcasting stations (**AACR2 24.10 & 24.11**)

70

NACO practices spell out the times to use geographic names as qualifiers.

Most of these were already covered yesterday with corporate bodies. Therefore, we are simply going to touch on these here.

????Do not include terms prescribed in **24.6 (24.4C1)**

Slide 71

Geographic Names as Qualifiers :
How to: **AACR2 23.4A1**

- Must be established form of the name
- Punctuation and order of elements specified
 - Contain within parentheses
 - Separate name elements with commas

151 _ _ Seattle (Wash.)
110 2 _ Pike Place Market (Seattle, Wash.)

- Abbreviate per AACR2, Appendix B

71

There are some conventions on using Geographic names in qualifiers.

In other words, a geographic name must have its own authority record in order to be used as a qualifier in another record.

Punctuation from the geographic NAR changes when it is used as a qualifier; it all must be contained within one set of parentheses. Abbreviations follow the Rules.

Slide 72

Geographic Names as Qualifiers :
How to: **AACR2 24.4C4**

- Use the latest form of name in use in the lifetime of the body
Church founded in 1881. Place name changed from Niles Center, Ill. to Skokie, Ill. in 1940.
110 2 _ St. Paul Lutheran Church (Skokie, Ill.)
- Sometimes the qualifier will *not* be the most recent form of name
Ceased to exist before Christiania became Oslo
110 2 _ Historisk samfund (Christiania, Norway)

72

A heading with several elements may need updating when one part changes, but the others remain the same. You need to see if the pieces match.

First example shows a church that was founded in 1881 and continues to exist today. The place name changed in 1940. Thus, the heading for the church had to be changed to reflect the new name of the town. Second example demonstrates that the qualifier does not need to be updated because the corporate body died before the name change of the town.

Slide 73

**Geographic Names as Qualifiers :
Geographic Names**

Jurisdictions use geographic names as
qualifiers (with certain exceptions)

151 _ _ Charleston (S.C.)

AACR2 23.4,
24.6, 24.17

73

Jurisdictions are created as geographic names and use geographic names as qualifiers. Countries usually do not get qualifiers. The only reason they would need a qualifier is conflict. **23.4** lists all the states that do not get qualifiers (U.S., U.S.S.R., Australia, Canada, Malaysia and Yugoslavia). Charleston is qualified with SC, which is a geographic in its own right.
Salem

23.4C1. States, etc.

Do not make any addition to the name of a state, province, territory, etc., of Australia, Canada, Malaysia, the United States, the U.S.S.R., or Yugoslavia.

23.4D1.

Do not make any addition to the names of the following parts of the British Isles: England, the Republic of Ireland, Northern Ireland, Scotland, Wales, the Isle of Man, the Channel Islands.

Slide 74

Geographic Names as Qualifiers : Resolving Conflict

410	2	Salem College (Salem, W. Va.)	
410	2	Salem College, Salem, W. Va. #w nnaa	AACR2 24.4C3; LCRI 24.4C
410	1	Salem (W. Va.) #b Salem College	

110	2	Salem College (Minston-Salem, N.C.)	
510	2	Salem Academy and College (Minston-Salem, N.C.) #w a	
667		The Salem Female Academy was originally founded in 1772 and its name was changed to Salem Academy and College, and in 1912, to Academy	
670		E-mail from Susan Smith Taylor, Salem College Library: #b 17 Apr. Jan. 15, 1907, the NC General Assembly changed the name from Salem Academy and College were essentially one institution until 1912 with place in 1930 when the Academy building opened. 19 Apr. 2002 by as early as 1901-1902 catalog: Salem Academy and College for Girl Salem Female Asylum in index to 1885 Sanborn Insurance maps	

Geographic names are one of the most common ways to break conflict for corporate body names. Remember that you have to **add a qualifier to both names** when breaking conflict of this sort. AACR2 24.4C3. Local place names In the case of any other body, add the name of the local place, whether it is a jurisdiction or not, that is commonly associated with the name of the body, unless the name of an institution, the date(s) of the body, or other designation (see 24.4C5-24.4C7) provides better identification.

Add larger version of these two NAR's

Slide 75

Geographic Names as Qualifiers : Conferences

- Add in parenthetical qualifier with date and numbering as appropriate

AACR2 24.7B1, 24.7B4

110 2 _ Animal Science Association of Nigeria.
\$b Conference \$n (2nd : \$d 1997 : \$c Lagos, Nigeria)

- If location is in name, do not add to qualifier

111 2 _ Paris Symposium on Radio Astronomy
\$d (1958)

75

Conference qualifiers use geographic names similarly, but in combination with other data.

Remember that for ongoing conferences, this would only be appearing in the bibliographic heading.

If the location is part of the name of the conference, etc., do not repeat it. **Verbal reminder:** if you have two locations, mention both; if you have three or more locations, name first, etc.

Slide 76

Geographic Names as Qualifiers

AACR2 24.4C2

010	1	in 78109342 #c n 80099781	Character of body
040	1	DLC #c eng #r DLC #s DLC	
100	1	Conservative Party (Scotland)	
410	2	Conservative and Unionist Party in Scotland	
410	2	Scottish Conservative and Unionist Party	
410	2	Conservative Party in Scotland	
410	2	Scottish Conservative Party	
410	2	Scottish Conservative & Unionist Party	
687	1	Conservative Party (Great Britain)	
670	1	An important matter of principle, 1999 #b CP1a. (Scottish Conservative and Unionist Party) gallery (Conservative Party, Conservative Party in Scotland)	
670	1	LC manual auth. c1. #b (Conservative and Unionist Party in Scotland [variant name], Conservative Party in Scotland, Scottish Conservative Party)	
870	1	Brit Lib. name auth. Int. Aug. 1999 #b (Scottish Conservative & Unionist Party)	

Add the name of the country, state, province, etc., in which it is located. The difference between the Conservative Party of Great Britain as a whole, and the party in Scotland only is specified by the qualifier, since both use the name Conservative Party.

Slide 77

Geographic Names as Qualifiers : Corporate Bodies

- Used for government institutions and non-government bodies
- To express scope of the body's activities or local place with which it is commonly associated

77

This is a situation where cataloger's judgment comes into play. Geographic names are used as qualifiers for corporate bodies to improve the heading by making it clear if a body's work is national or local in scope. The qualifiers also recognize a relationship with the local place with which a body is associated and well-known.

Slide 78

Geographic Names as Qualifiers : Corporate Bodies

010	1	Observatoire des politiques culturelles (Grenoble, France)
410	2	Observatoire national des politiques culturelles (Grenoble, France)
670	1	Coopération des collectivités publiques et action culturelle, 1999 #b 1p. (Observatoire des politiques culturelles with support of various national, regional and local organisms) n. 109 (Observatoire des politiques culturelles; 1 2000 Grenoble)
670	1	Action culturelle et autre patrimoine, C2000 #b 1p. verso (Observatoire national des politiques culturelles)
670	1	Its website, 11 Jan. 2008 #b (Observatoire des politiques culturelles)

(The Observatory is located in Grenoble)

78

This is a situation where cataloger's judgment comes into play. Geographic names are used as qualifiers for corporate bodies to improve the heading by making it clear if a body's work is national or local in scope. The qualifiers also recognize a relationship with the local place with which a body is associated and well-known.

Slide 79

Geographic Names as Qualifiers

Churches qualified by local place name AACR2 24.10

110	2	St. James' Church (Anne Arundel County, Md.)
-----	---	--

Radio & TV stations AACR2 24.11

110	2	KLUAC-TV (Television station : Fairbanks, Alaska)
410	1	Fairbanks (Alaska), St. KLUAC-TV (Television station)

24.10B.

Add to the name of a local church, etc., the name of the place or local ecclesiastical jurisdiction (e.g., parish, Pfarrei) in which it is located (see 24.4C3-24.4C4), unless the location is clear from the name itself.

24.11. Radio and Television Stations

24.11A. If the name of a radio or television station consists solely or principally of its call letters or if its name does not convey the idea of a radio or television station, add *Radio station or Television station* and the name of the place in which the station is located.

24.11B. Add to the name of any other radio or television station the place in which it is located unless the name of the place is an integral part of the name of the station.

Radio Maroc (Rabat, Morocco)
but Radio London

Slide 80

**Policy Change :
Indian tribes in the US**

- Indian tribes recognized by the U.S. government will be coded as jurisdictional geographic names (151) rather than as corporate bodies (110) as they were previously
<http://www.loc.gov/catdir/cps0/tribes.html>
- These headings may also be used as geographic subdivisions, subdivided directly
- Consult BIA list of recognized tribes:
<http://www.loc.gov/catdir/cps0/biaind.pdf>

80

LC is doing a special project to change existing headings but NACO libraries that need to use headings are also free to convert them to conform to the new practice. As of 2009, this is 75% done.

Slide 81

Heading After Policy Change	
010	n 04131917 \$z n 04074325
040	DI \$b eng \$c DLC \$d DLC \$d MoSU-L \$d Wau
151	Crow Tribe of Montana
451	Crow Tribe
451	Absarokee (Tribe)
451	Children of the Large-beaked Bird (Tribe)
451	Crow Indian Tribe
670	Crow Impact Study Office. A social, economic, and cultural. ... 1977. 4b t.p. (Crow Tribe)
670	Federal and state Indian reservations, 1974 4b (Crow Reservation; located in Montana; site of Crow Tribe, known also as Absarokee or Children of the Large-beaked Bird)
670	Law and order code of the Crow Indian Tribe, 190-?
670	Ref. ency. of the Am. Indian, c1886. 4b v. 1, p. 89 (Crow Tribe of Montana)
670	BIA Indian Entities, Det. 5, 2003 4b (Crow Tribe of Montana)
781	0 \$z Crow Tribe of Montana

The earlier AACR2 established heading has been changed to a 4XX reference. The previous reference from Crow Tribe of Montana has now been made the heading. The tagging of all headings and references has been changed from X10 to X51 to conform with the new policy. References are not evaluated except for their spelling. No need to provide \$w nne for earlier form of AACR2 heading as this constitutes a conversion from a corporate body to a geographic name

Automation: click to remove “\$w nne”

Slide 82

Canadian First Nation Names

- Canadian First Nation names are coded on **AMICUS** as corporate names and not as jurisdictions because of current system limitations
- LC/PCC will accept the LAC coding

DCM Z1 1XX

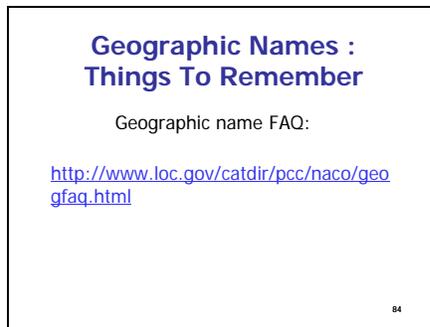
82

DCM Z1 1xx Canadian headings- Corporate Names - Forests, parks (subject headings); Indians tribes (corporate names); religious Society of Friends (corporate bodies and established as meetings)

Slide 83



Slide 84



URL for Geographic FAQ on
NACO home page

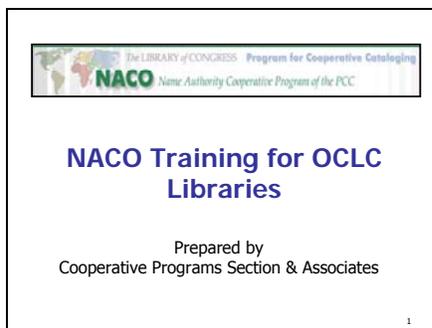
INSERT

TAB

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FOR DOUBLE SIDED COPY*

Slide 1

**NACO Training for OCLC Libraries:****Trainers notes:**

- 1) Trainers may customize this slide.
- 2) Introduce yourself! and then have participants also introduce themselves. Extend a welcome to NACO libraries. Mention that NACO libraries are valued participants in building the **NAF = LC/NACO Authority File**
Icebreaker suggestion: New developments at LC; Something humorous about yourself [trainer], another NACO or cataloging experience, etc.
- 3) Be sure to talk about: where are the bathrooms; what is the schedule for breaks and lunch; where is the food to come from; is there a close source of drinks and/or coffee; inform people of any emergency info, such as where to go in the event of a fire alarm.
- 4) Breaks are 30 minutes with one in morning and one in afternoon. Lunch is generally an hour or no longer than one hour and fifteen minutes.

[Next slide]

The learning objectives of the course are--

Slide 2

Uniform Titles

AACR2 & LCRI 25

Prepared by the
Cooperative Programs Section
& Associates

2

One thing to note is that uniform title NARs are not required for NACO independence.

Slide 3

Uniform Titles : Basic Concepts

- AACR2 Chapter 25 is optional for NACO membership!
- Uniform titles are used as a means of catalog management; therefore, uniform title policies are *institution specific*
- Contributed UT NARs must be in accord with LC/PCC's policies and practices

3

The need for a uniform title may vary between library catalogs; each library may make its own policies regarding when a UT title should be established. If a NACO library decides to contribute a name authority record for a uniform title, the NAR must be in accord with LC/PCC's policies on uniform titles. Doing uniform titles is not necessary for NACO independence. If you are just creating them locally, we will still be glad to consult on any uniform title questions. Also, NACO libraries must report any BFM to LC when contributing a uniform title for a work that has records showing a different uniform title or no uniform title.

Slide 4

Uniform Titles : Basic Concepts

**AACR2
25.1A**

- A means of bringing together all catalog entries for the same work
- Separate different works with the same title

4

NOTE PLEASE: these purposes are what the uniform title (240/130 fields) are used for in a bib record. The authority record supports that work.

In this presentation, we spend more time on the “bringing works together” aspect of the rule. Differentiating between different works with identical titles is used more when dealing with series titles, which are a type of uniform title. We are not dealing with those here. The larger the library collection, the more likely it is you will need uniform titles because you will have repetition of titles and works.

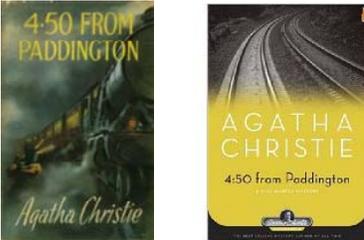
AACR2 25.1A.

Uniform titles can be used for different purposes. They provide the means:

- for bringing together all catalogue entries for a work when various manifestations (e.g., editions, translations) of it have appeared under various titles;
- for identifying a work when the title by which it is known differs from the title proper of the item being catalogued;
- for differentiating between two or more works published under identical titles proper;
- for organizing the file.

Slide 5

UT Basic Concepts
Consistent title, no uniform title needed



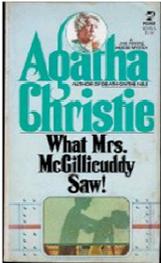
5

Same Titles proper (245) in the bib record = uniform title, so no UT (240) needed.

UTs are found in the bibliographic record first. No authority record is necessary for a work that has multiple bib records and a consistent title. The consistent title is, in effect, the uniform title, with no need for a 240 or authority record. The consistent 245 \$a alone establishes that as the uniform title.

Slide 6

UT Basic Concepts



Once a variant title appears:

- Uniform title in the bibliographic record
- Authority record to offer access through the cross-reference

6

New title found for the same work, so you now need a way for the variant title form to point to the consistent title so that all works are found under the same access point.

Once this has occurred for this work, a uniform title is established based upon the previous editions and is then recorded in the 240 on the bibliographic record. An authority record is created to support access to the variant title through the author's name.

Slide 7

**UT Basic Concepts :
NAR Required** DCM Z1,
Introd.

- 1) A reference must be traced on the authority record
- 2) **Special research** done to establish the heading must be recorded
- 3) The heading is needed for related work added entry or subject entry, and no bibliographic record for the work exists in the LC database (or, for serials, by a CONSER record in OCLC)

7

So when do you need an NAR?

LC only creates a name authority record for a uniform title in the first four situations listed in the DCM. The first three are listed here on this slide.

The most common situation that requires an NAR is the need for a cross-reference.

For #2, any research beyond what is found in the item itself or a database search probably needs to be recorded in a 670. This would justify an NAR even without the need for a cross-reference. For example, medieval works often need

uniform titles and often need extensive research to establish that UT.

For #3, the reason for creating an NAR for a work that you do not have in the database is to create, in essence, a placeholder authority record for that work.

"In constructing headings/references and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records on the file against which the searching and cataloging is being done: OCLC, British Library, etc. NACO participants may choose to use only LC records found on the file being searched ..." (DCM Z1 Intro para. 3)

There are two more special reasons to create an NAR for a UT in the Z1 intro. Both #4 and #5 are both used more frequently with special types of authority work, such as the music and law authority records.

4) Special information needs to be recorded (e.g., citation title for a law)

5) The authority record is needed as part of a project or program (e.g., NACO participants)

NOTE: Both the law and music training are available through the NACO program, and require specialized materials. They should be mentioned, but not over-emphasized here.

NOTE: If you need an occasional authority record for music or law, you can request help from Coop and they can help you set it up. If you want the special training because you create them regularly, that also can be arranged.

Slide 8

UT Basic Concepts : Bibliographic Record	
100	Christie, Agatha, 1890-1976.
245	1.0 2-50 from Paddington / \$c Agatha Christie.
260	London : \$b Published for the Crime Club by Collins, \$c 1957.
100	256 p. ; \$c 19 cm.
500	American ed. has title: What Mrs. McGillicuddy saw!
650	Margie, Jane (Fictitious character) \$v Fiction.

This is the bib record for the work with its first British title in the 245. No NAR is needed at first, because the 245 establishes the uniform title for this work. When you search a Name.Title Index, what comes up is this title with all the bib records under it, *as long as the title has not changed*.

However, right away in this bib record, we have information that the title has a variant form, therefore we have to bring them together – remember the purpose of collocation for uniform titles? – and a uniform title is necessary for that. In this case, because the titles are so different and it is author main entry, an authority record is necessary to have the bib records file together.

Slide 9

UT Basic Concepts : Name Authority Record	
400 1	Christie, Agatha, 1890-1976. \$t 4:50 from Paddington
400 1	Christie, Agatha, 1890-1976. \$t What Mrs. McGillicuddy saw!
400 1	Christie, Agatha, 1890-1976. \$t Murder she said
400 1	Christie, Agatha, 1890-1976. \$t Eye witness to murder
670	What Mrs. McGillicuddy saw, 1957. \$t.p. verso parallelled under the title Eye witness to murder!
670	The bookish, bibliob. & lamchar comparison to Agatha Christie, c1979. \$p. 227 (What Mrs. McGillicuddy saw alternate title: 4:50 from Paddington, Murder she said)
670	An A to Z of the novels and short stories of Agatha Christie #6 (4:50 from Paddington, alternative title What Mrs. McGillicuddy saw)

So here we have the authority record, demonstrating that this same basic story has appeared in print under several different titles over time. Every variant title is justified in the 670. Note that it is based only on the \$a subfield of the 245, in other words, only the title proper. Every time this same story is published again, the 4:50 from Paddington title is used to unify all of them, so that...

Slide 10

UT Basic Concepts : Indexing	
Auth.	Christie, Agatha, 1890-1976. \$t 4:50 from Paddington
Bibs: 6	
Bibs: 8	Christie, Agatha, 1890-1976. \$t Evil under the sun
Ref	Christie, Agatha, 1890-1976. \$t Eye witness to murder
Bibs: 0	
Ref	Christie, Agatha, 1890-1976. \$t Murder she said
Bibs: 0	
Ref.	Christie, Agatha, 1890-1976. \$t What Mrs. McGillicuddy saw!
Bibs: 0	

NOTE: this index is a simulation. You will not find it in OCLC, as far as we can tell (and only in modified form in Voyager). This type of index is derived from the card catalog in *paper format*. Many of the database structures that we use today are based on manual card catalog organization. Just because it is now in digital format does not mean it has lost its value. Please understand that this format is attempting to help you as the cataloger to understand the underlying concepts of uniform titles. This is not something a patron is likely to see.

When I look at the name.title index listing for Agatha Christie (please note that this list is very incomplete), I see all those variant titles with the notation of x-ref (however it appears in your catalog) and only the authorized heading has the actual bibliographic records listed under it. If a bibliographic record appeared under the cross-references, you would need to go in and fix them by adding the uniform title *4:50 from Paddington* in a 240. In the LC catalog, apparently there

are six different books with this individual title.

Note that *Evil under the sun*, another story by Agatha Christie, only shows the bib record number under its listing, because it has only had one title throughout its existence, so no NAR is needed to establish its uniform title – *Evil under the sun* is what has always appeared in the 245 \$a of its bibliographic records (in English). For the other titles, the authority record is needed so that all of the variant titles would point to the one title, through the use of the 240/245 combination in the bib record with the authority record behind it.

Auth. = Authorized

Bibs = Bibliographic records

Ref = Cross-reference

Slide 11

UT Basic Concepts : Number of NARs

- Not all units of a uniform title need to be represented by a NAR:
 - e.g., when creating a NAR with sub elements, an additional NAR for the basic element (subfield \$t) is not always needed

100 1 _ Christie, Agatha, \$d 1890-1976.
\$t Evil under the sun. \$l Russian

- Requires two NAR's and one bib record

11

So when we consider the question of how UT NAR's are different from other NAR's, one of the prime points is that there is no need to provide an NAR for all elements of a UT, as in corporate bodies.

Unlike a corporate body, where every level of the parent body and subordinate bodies have to have their own NAR to establish an authorized form, a UT does not need to have the title established in its own NAR unless there are variant titles to take into account. If there are no variant titles, it is the bib record that represents that title. The point is to have

the works file correctly in the Name.Title or Uniform Title index so they can all be found together.

Slide 12

UT Basic Concepts : No NAR

Example of a bibliographic record with UT for which a NAR would NOT be made:

245 0 0 Medical care and society **AACR2 25.2E1**

130 0 _ Medical care and society.
\$! Portuguese.

245 1 0 Assistência médica e sociedade.

Title main entry uses the 245 of the original to establish the uniform title (130) of the variant 245

Let's take it one step further. With the Agatha Christie example, you have the Author main entry situation, which is extremely common. However, you do have times when you are dealing with variant version of a title main entry. Is an NAR needed? No, because they will file together correctly through the use of the 130/245 combination in the bibliographic record alone.

25.2E1. Works entered under title
If a work is entered under a uniform title, make an added entry under the title proper of the item being catalogued (see 21.30J1). Refer from any other variants of the title, including variant romanizations found in the item (see 26.4).

FROM FAQ on UTs on PCC homepage

(<http://lcweb.loc.gov/catdir/pcc/naco/utfaq.html>)

When is a uniform title needed on the bibliographic record without requiring a NAR?

A. Generally, when the main entry for an item is the uniform title itself (130), a NAR for that uniform title is not made. This is because the

bibliographic record provides all the access necessary via the 130 and the 245.

Example 1:

130 0# \$a Chicken soup for the teenage soul. \$l Spanish
 245 10 \$a Sopa de pollo para el alma adolescente / \$c

In this example the creation of a NAR would be redundant.

Slide 13

**UT Basic Concepts :
Indexing without NAR**

Bibs: 1	Medical care and society
Bibs: 1	Medical care and society. \$l Portuguese

No NAR!

13

So no NAR necessary to establish the authorized heading, only the use of the 130 & 245 fields in the second bibliographic record, to make it file correctly in the Uniform Title index.

Check to make sure they followed the concept.

Slide 14

UT Basic Concepts : No NAR

DCM Z1
introd.

1100	1	Utrecht, Luuk.
245	1	Rudi van Dantzig \$l English
245	1	Rudi van Dantzig : \$b a controversial idealist in ballet / \$c Luuk Utrecht.
260		Zutphen : \$b Walburg Pers. \$c c1992.
300		216 p. : \$b ill. ; \$c 27 cm.
500		Translation of: Rudi van Dantzig
504		Includes bibliographical references (p. 202-205) and index.
600	1	Dantzig, Rudi van.
650	0	Choreographers \$z Netherlands \$v Biography.

14

Same concept holds here for a Name.Title index for this translation. In this example the theoretical cross reference would normalize to the same string as the name/title, thus, an NAR is not needed.

It's an important point to note that the uniform title is based upon the 245 \$a subfield, in other words, the title proper, not the 240 \$a subfield and \$l subfield together. That is why the normalization is the same for this uniform title and no NAR is needed. The \$l subfield added by the cataloger is needed to separate the works.

NOTE: 500 note is obsolete practice.

FROM FAQ on UTs

(<http://lcweb.loc.gov/catdir/pcc/naco/utfaq.html>)

When is a uniform title needed on the bibliographic record without requiring a NAR?

B. In a name/title situation, if the title proper of the item is the same as the subfield \$a of the uniform title, a name/title NAR would also not be made.

Example 2:

100 1# \$a Utrecht, Luuk

240 10 \$a Rudi van Dantzig. \$l English

245 10 \$a Rudi van Dantzig : \$b a controversial idealist in ballet / \$c Luuk Utrecht.

In this example the cross reference would normalize to the same string as the name/title, thus, a NAR is not needed.

Note, that in either case if research had been performed and needed to be recorded to help sort out a complex situation, a NAR may be created and added to the NAF (in example 2 without a cross reference).

Slide 15

UT Basic Concepts : Indexing

Bibs: 1	Utrecht, Luuk. \$t Rudi von Dantzig.
Bibs: 1	Utrecht, Luuk. \$t Rudi von Dantzig. \$l English

15

Here we see the indexing of the Name.Title entry for Utrecht's work on Rudi von Dantzig, in the original German and translated English. NOTE: NO NAR needed! They file together without any help from the authority file.

Slide 16

**UT Basic Concepts :
670 Citation**

There is often less need for subfield \$b in the 670 field of uniform title NARs
e.g. Variant title justifying cross-reference would be in subfield \$a of the 670 citation

670 __ Smith, Nigel J. H. A pesca no Rio Amazonas, 1979.

DCM Z1,
670 sect.

16

The 670 is used for citing the title proper of the resource, so there usually is no need for a \$b subfield. This is one more way in which uniform title NARs are different from regular names.

Slide 17

**UT Basic Concepts :
Choosing the Form**

25.3A. Use the [title](#) or form of title in the original language by which a work created after 1500 has become known through use in [manifestations of the work](#) or in [reference sources](#).

17

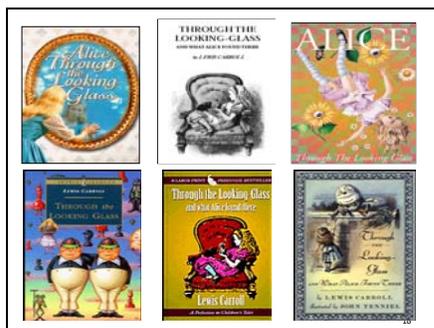
Exact text from AACR2
So, having established the concept of uniform titles and the related NAR's, let's look at how you establish the form of the title portion of the heading.
1500, basically when printing began.
This goes back to the *commonly known form* that is the basis of name authority work in AACR2. This does not mean you are restricted to the first published title, but rather the most consistently used title.

25.3B points out that if there is no "best known" form, then you use the

title proper of the original edition. So for modern day works, that means turning to the first publication in general, because you rarely have many printings to examine. But for older works, you will quite often need to do a bit of research, because old works can have *long* titles, and scholars will often shorten that title for convenience.

For works before 1500, you are going to use the best-known form from: 1) modern sources, 2) early editions, and finally 3) manuscript copies. Classical Greek and Byzantine works will use a well-established title in 1) English, 2) Latin, then 3) Greek. (Rule 25.4)

Slide 18



3 variations of the title out of six different printings; you need a uniform title to collocate these titles under a single title. We pick the commonly known title or form of title found in reference works. As a last resort we pick the original title in the first language in which it appears.

Slide 19

Uniform Title : Bib Records		
100	1	Carroll, Lewis, rd 1832-1898.
240	1	Through the looking-glass
245	1	Through the looking glass and what Alice found there / #c by Lewis Carroll.
260		New York : #b Children's Press, #c 1990.
100	1	Carroll, Lewis, rd 1832-1898.
240	1	Through the looking-glass
245	1	Lewis Carroll's Through the looking-glass and what Alice found there / #c illustrated with 95 wood engravings by Barry Moser, with a preface and notes by James P. Kincaid, text edited by Selyen Goodacre.
260		West Hatfield, Mass. : #b Pennyroyal Press, #c 1982.
100	1	Carroll, Lewis, rd 1832-1898.
240	1	Through the looking-glass
245	1	Alice through the looking-glass : #b and what Alice found there / #c; Lewis Carroll, abridged & illustrated by Tony Ross.
260		London : #b Andersen Press, #c 1992.

Here we have the 3 different titles proper, but only 1 uniform title. Well-known work that you probably want to keep together in the catalogue. Commonly used title is the basis for the Uniform title.

NOTE: if a bib record used the uniform title in the 245 \$a, there would be no need for a 240.

Slide 20

Uniform Title : NAR		
010		n 83196986 \$z n 83196527
040		DLC \$b eng \$c DLC \$d DLC
100	1	Carroll, Lewis, \$d 1832-1898. \$t Through the looking-glass
400	1	Carroll, Lewis, \$d 1832-1898. \$t Lewis Carroll's Through the looking-glass and what Alice found there
400	1	Carroll, Lewis, \$d 1832-1898. \$t Through the looking-glass and what Alice found there
400	1	Carroll, Lewis, \$d 1832-1898. \$t Alice through the looking glass
670		#r Lewis Carroll's Through the looking-glass and what Alice found there, 1982.
670		New encyc. Brit. \$b (Through the looking-glass; Through the looking-glass and what Alice found there)
670		#r Alice through the looking glass, c1988.

Setting up the NAR. All 400s are supported by 670s. Uniform title is based on LCRI 25.3—English language reference sources.

NOTE: The database will show a mixed bag of practices. Remember that today we DO want a citation for every 4XX.

Extra note: The DCM Z1 implies that this is not necessary. However, the Policy office wants the citations given as standard practice.

Slide 21

Uniform Title : Heading Modifications	
•	Initial articles are always omitted on uniform titles
•	In some cases, omit statements of responsibility or introductory phrases that are part of the title proper
•	Omit alternative titles from UTs—i.e. all words following 'or'

AACR2 25.2C1;
AACR2 & RI
25.3B

When creating the title heading, certain changes are made to what appears in the 245. These are in line with title proper modifications that are normal to bib records. Uniform titles are actually titles proper (245 \$a), so they are subject to all rules for titles proper.

LCRI 25.3B

Alternative Titles

Omit alternative titles from uniform titles when basing the uniform title on a title proper that includes an alternative title.

Statements of Responsibility

If the title proper begins with a statement of responsibility, use

judgment in deciding whether or not the statement may be separated. For example, to take two rather obvious cases:

- 1) For the title proper "Shakespeare's King Lear," "Shakespeare's" can be separated and so the uniform title "King Lear" is used. In general, make a name-title reference from the title proper for a work entered under a personal or corporate heading (cf. 25.2E2).
- 2) For the title proper "The John Franklin Bardin omnibus," "John Franklin Bardin" is not separable and no uniform title is used.

Between these two obvious extremes, handle more ambiguous cases according to one's best judgment (i.e., use "feeling" and examination of typography and layout of the chief source and other expressions of the title (cover title, running title, etc.)).

Constitutions

Unless 25.3A applies, routinely accept the word "constitution" (or its equivalent) as the complete uniform title by virtue of 25.3B.

25.3B.

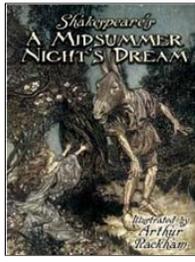
If no title in the original language is established as being the one by which the work is best known, or in case of doubt, use the title proper of the original edition. Omit from such titles:

- 1) introductory phrases (e.g., *Here beginneth the tale of*)
- 2) statements of responsibility that are part of the title proper (see 1.1B2), if such an omission is permissible grammatically and if the statement is not essential to the meaning of the title.

3) Example of alternative title: Dr. Strangelove, or, How I learned to stop worrying and love the bomb

Slide 22

LCRI 25.3B



Statement of responsibility and beginning article included in the title.

USE AS UT:

Midsummer night's dream

Resultant UT from the following title omits the statement of responsibility and the beginning article in the title proper.

Slide 23

**Uniform Title :
Heading Modifications**

1100	1	1	Shakespeare, William, \$d 1564-1616.
240	1	0	<u>Midsummer night's dream</u>
245	1	0	<u>Shakespeare's A midsummer night's dream / \$c [William Shakespeare];</u> illustrated by Arthur Rackham.
260			Mineola, N.Y. : \$b Dover, \$c 2003.
300			170 p. : \$b ill. (some col.) ; \$c 28 cm.
650		0	Theseus (Greek mythology) \$v Drama.
650		0	Hippolyta (Greek mythology) \$v Drama.

Note: 240 & 245 in bibliographic record

Representation of bib record with the statement of responsibility and initial article stripped away in the 240.

Slide 24

**Uniform Title :
Heading Modifications**

400	1	Shakespeare, William, Hd 1564-1616. #Midsummer night's dream
400	1	Shakespeare, William, Hd 1564-1616. # Shakespeare's A midsummer night's dreame
400	1	Shakespeare, William, Hd 1564-1616. #Midsummer night's dreame
400	1	Shakespeare, William, Hd 1564-1616. #Midsummer night's dream for young people
400	1	Shakespeare, William, Hd 1564-1616. # Comedy of A midsummer night's dream
400	1	Shakespeare, William, Hd 1564-1616. # Shakespeare's A midsummer night's dream
400	1	Shakespeare, William, Hd 1564-1616. #William Shakespeare's A midsummer night's dream
670		Davidson, D. A midsummer night's dream, c1979.
670		Shakespeare, W. Shakespeare's A midsummer night's dream, 2003.
670		William Shakespeare's A midsummer night's dream, 2005.

Uniform title NAR

24

Here's an example of NAR for Midsummer night's dream.

Slide 25

Uniform Title : Required

- Translations
- Same work published under variant titles (unrevised editions)
 - Revised editions
- Simultaneous publication
 - "Home country" rule
- Parts of works
- Collective uniform titles
- 6XX or 7XX related work added entry on bib., for which there is no bib. record for that work

25

We'll look at each of these cases individually.
 NOTE: these situations do require the uniform title, but not necessarily the NAR.
 TOC slide, however, not necessarily presented in this order in the presentation

Slide 26

Uniform Title : Translations

AACR2 21.14; 25.2B;
25.5C; LCRI 25.11

Construct a uniform title based upon:

1. main entry heading appropriate to the original
2. original title (search if necessary)
3. language of translation
4. add Selections if extracts of original work

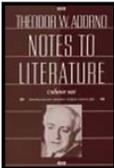
1XX Name. \$t Title. \$l Language. \$k Selections

26

NOTE: you may not have the original work in your catalog. Do search, within reason, for that title. Exercise your judgment.
 The heading construction is based upon the bib record, which may appear in multiple fields: 1XX and 240 or 130.
 We left 1XX on purpose, since 110 & 111's are possible, though rare, as main entry.
 If it is a title main entry in the original work (245), then #1 & #2 are the same step. It would lead to a structure of:
 130 Title. \$l Language. \$k Selections.

Slide 27

UT : Translations



AACR2 21.14;
25.2B; 25.5C

NOTES TO
LITERATURE

by Theodor W. Adorno

Edited by Rolf Tiedemann
Translated from the German by
Shierry Weber Nicholson

Originally published as
Noten zur Literatur

Columbia University Press
c1991

27

Example of a translation from German to English in a later edition of the original work

What information do you look for?

Main entry, original title, language of translation, completeness of translation (is it extracts or the whole work)

Slide 28

**UT Translations :
Bibliographic record**

100	1	1	Adorno, Theodor W., \$d 1903-1969.
240	1	0	Noten zur Literatur. \$1 English
245	1	0	Notes to literature / \$c Theodor W. Adorno ; edited by Rolf Tiedemann ; translated from the German by Shierry Weber Nicholson.
260			New York : \$b Columbia University Press, \$c c1991-1992.
300			2 v. ; \$c 24 cm.
440		0	European perspectives
500			Translation of: Noten zur Literatur.
504			Includes bibliographical references and indexes.

Obsolete note:
covered by
LCRI 1.7B.2

Is an NAR necessary for this one?

Yes, because the original title and the translated are different enough that a cross-reference is necessary for access.

Slide 29

UT Translations : NAR		
010		n 90725980
040		DLC.\$b eng \$c DLC
100	1	Adorno, Theodor W., \$d 1903-1969. \$t Noten zur Literatur. \$l English
400	1	Adorno, Theodor W., \$d 1903-1969. \$t Notes to literature
670		His Notes to literature, c1991.
29		

Example of full NAR for UT; note the 670 with 'His' indicating that it will be name/title. This is an old structure in 670's that is fine to leave as is.

Good example of the characteristically short 670 for translation UT's.

Reminders:

Make sure that the author already has his own NAR. No NAR is necessary for the title *Noten zur Literatur*, since it is established via the bib record of the original work. The language addition is a cataloger construct and needs no justification in an NAR.

Slide 30

UT Translations : Selections	
LCRI 25.11	
•	Is it a translation? <ul style="list-style-type: none"> • Uniform title necessary
•	Is it the complete work or just extracts? <ul style="list-style-type: none"> • If extracts, \$k Selections
•	Is it selections of a single published work or selections of multiple works? <ul style="list-style-type: none"> • If a single published work, the 240 \$a must be based on the original 245 • If selections of multiple works, the 240 is \$a Selections
30	

The word Selections can appear in different subfields depending on its function; in one situation it is in the \$k subfield, and in the other it is in the \$a subfield.

Slide 31

		UT Translations :	
		Selections : Bib Records	
100	1	Cicero, Marcus Tullius.	
240	1	<i>Laelius de amicitia</i> . # English & Latin. # Selections	
245	1	<i>De amicitia</i> : # selections / # Cicero ; [edited by] Patsy Rodden Ricks & Sheila K. Dickison.	
260		Wauconda, Ill. : # Bolchazy-Carducci, # c2006.	
300		iv, 73 p. : # ill. ; # 23 cm.	
500		Latin text and English translation; commentary in English.	
604		Includes bibliographical references (p. 63-64).	
600	1	Cicero, Marcus Tullius. # <i>Laelius de amicitia</i>	LCRI 25.11
100	1	Cicero, Marcus Tullius.	
240	1	Selections. # English & Latin. # 2002	
245	1	Letters to Quintus and Brutus ; Letter fragments ; Letter to Octavian ; Invektives ; Handbook of electioneering / # Cicero ; edited and translated by D.R. Charalston Bailey	
260		Cambridge, Mass. : # Harvard University Press, # 2002	

This shows the difference between the extracts of one previously published work in translation vs. a mix of previously published works in translation. The first one has a uniform title based on the original work and the second one has the collective uniform title *Selections* without any previously published title.

Laelius de amicitia is an established uniform title for a single published work. This particular record is *Selections* of a bilingual edition of that previously published work. Its uniform title is based on the established uniform title *Laelius de amicitia*.

The many different letters written by Cicero have probably been published separately and together many times. But they have never been published together in this particular grouping in a bilingual edition. Therefore *Selections* is the uniform title because there is no single previously published work upon which to base the title.

NOTE: two languages are in the 240 because these are bilingual editions, the original language being Latin and the translation into English. The rule states that when you have this situation, the translation language is first and the original language is second.

Slide 32

**Uniform Title :
Unrevised Editions**

AACR2 25.3;
LCRI 2.7B7

Work published under different titles but with no change in text

- Uniform title needed in bibliographic record for new title
 - Justify with a (5XX) bibliographic history note
- Uniform title NAR needed

32

NAR needed definitely for author main entry; possibly for title main entry.

Slide 33

**UT : Unrevised Edition
Bib Record**

100	1	Ammer, Christine.
245	1 0	It's raining cats and dogs--and other beastly expressions / \$c Christine Ammer.
250		1st ed. AACR2 25.3; LCRI 2.7B7
260		New York : \$b Paragon House, \$c 1988
300		vii, 247 p. : \$b ill. ; \$c 21 cm.
500		Includes index.
650	0	English language \$x Etymology.
650	0	English language \$v Terms and phrases.

33

Example of first edition of first title received.

Slide 34

**UT : Unrevised Edition
Bib Record**

100	1	Ammer, Christine.
240	1 0	It's raining cats and dogs--and other beastly expressions
245	1 0	Cool cats, top dogs, and other beastly expressions / \$c Christine Ammer.
260		Boston : \$b Houghton Mifflin, \$c c1988 AACR2 25.3; LCRI 2.7B7
300		v, 286 p. : \$b ill. ; \$c 21 cm.
500		Originally published: It's raining cats and dogs--and other beastly expressions. 1st ed. New York : Paragon House, 1988.
500		Includes index.
650	0	English language \$x Etymology.

34

Example of 2nd title received; original title recorded in 500 note. The original title is what appears in the 240.

Slide 35

UT : Unrevised Edition Name Authority Record		
010		n 99019883
040		DLC \$b eng \$c DLC
100	1	Ammer, Christine. \$t It's raining cats and dogs--and other beastly expressions
400	1	Ammer, Christine. \$t Cool cats, top dogs, and other beastly expressions
670		Her Cool cats, top dogs, and other beastly expressions, c1999.

35

Resultant NAR with 400 and supporting 670 beginning with 'Her'

The NAR is needed because there is a cross-reference.

Slide 36

UT : Revised Edition

AACR2 25.2B;
LCRI 1.7A4

An edition which is a **revision** of an earlier edition

- In case of a title or author change, the two editions are linked by a note and related work added entry for the earlier edition on the bibliographic record for the later edition
- No NAR!

36

Revised editions with differing author or title is covered by 500 note and related-work added entry; examples follow

This is NOT a uniform title situation.

The title may or may not change; these actions are only needed if the title has changed.

Revision indicates that the text has changed in some significant way, such as updating, enlarging, etc.

Slide 37

UT : Revised Edition Bib Record		
100	1	Immroth, John Phillip.
245	1 2	A guide to Library of Congress classification.
260		Rochester, N.Y., \$b Libraries Unlimited, \$c 1968.
300		356 p. \$b illus. \$c 24 cm.
440	0	Library science text series
504		Includes bibliographies.
650	0	Classification, Library of Congress.

1st edition

37

Example of first edition

Slide 38

UT : Revised Edition Bib Record		
100	1	Imroth, John Phillip.
245	1	A guide to the Library of Congress classification.
250		2d ed.
260		Littleton, Colo. : \$b Libraries Unlimited, \$c 1971.
300		335 p. \$c 24 cm.
440	0	Library science text series
500		First ed. published in 1968 under title: <u>A guide to Library of Congress classification</u>
504		Includes bibliographies.
650	0	Classification, Library of Congress.
700	1	Imroth, John Phillip. \$t Guide to Library of Congress classification.

of Revision 1st ed.

Minor change in title—article is included in 2nd title; covered by a 500 note and name/title added entry to earlier title

Even an extremely minor change like this can make it file separately, and we want it to file together.

Slide 39

**Uniform Title :
Revised Translations**

AACR2 21.14; 25.2B;
25.5C; LCRI 25.11

For works that are revised when translated, treat as a translation

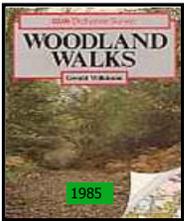
100 1 _ Hassenstein, Bernhard. \$t Biologische Kybernetik. \$! English

Make the UT for the original title even though the title has changed with differing editions; in this case, a translation into English of the 3rd ed.

Reasonable amount of search is encouraged for original title; do NOT spend excessive time on this research.

Slide 40

UT : Simultaneous Editions



1985

WOODLAND WALKS IN BRITAIN

By Gerald Wilkinson

1st American edition

1985

Unrevised editions

Should we even teach this rule, since the cooperative world of authority work pretty much negates it? These four slides are “hidden” until we make a decision. See *Harry Potter and the*

philosopher's stone as a current example.

Simultaneous published editions

NOTE that this rule is somewhat contradicted in practice because we now live in a cooperative world. In a situation like the one in practice here, we are actually constrained by the fact that we share an authority file to follow the uniform title that gets established first, regardless of home country of cataloging agency.

Slide 41

UT : American Edition		
100	1	Wilkinson, Gerald.
245	1	Woodland walks in Britain : \$b the complete guide to more than 400 walks in England, Scotland and Wales, illustrated and including the full-colour series of British Ordnance Survey maps / \$c Gerald Wilkinson.
250		1st American ed. ←
260		New York, N.Y. : \$b Holt, Rinehart, and Winston, \$c c1985.
300		320 p. : \$b ill. (some col.) ; \$c 24 cm.
500		includes index.
650	0	Walking \$z Great Britain \$v Guidebooks.

Example of US home country
cataloging of bib record

25.3C1 .

If a work is published
simultaneously in the same
language under different titles, use
the title of the edition published in
the home country of the cataloguing
agency.

Slide 42

UT : British Edition

100	1	Wilkinson, Gerald.
240	1	Woodland walks in Britain
245	1	Woodland walks / \$c: Gerald Wilkinson
240	1	Maybush, Southampton. \$b Ordnance Survey ; \$a Exeter, Devon : \$b Webb & Bower, \$c 1965
300	1	320 p. : \$b ill. (some col.), maps ; \$c 24 cm.
500	1	Published simultaneously in the U.S. under the title: <u>Woodland walks in Britain</u>
500	1	Includes index.
650	0	Walking \$z Great Britain \$v Guidebooks.

42

Example of British title with UT for American title; note the 500 note

Slide 43

UT : Simultaneous Editions NAR

AACR2
25.3C1

010	1	n 86150922
040	1	DLC \$b eng \$c DLC \$d DLC
100	1	Wilkinson, Gerald. \$t Woodland walks in Britain
400	1	Wilkinson, Gerald. \$t Woodland walks
670	1	His Woodland walks, 1965.

43

Result of home country rule is that the established uniform title is the US edition title, regardless of which came first or what the subject is. Repeat that this rule gets limited play due to the cooperative situation of PCC.

Recent example of an extremely popular work that had this same situation: J.K. Rowling's Harry Potter and the sorceror's stone – in England, the philosopher's stone. Since someone else got to it before LC did (Ironically, an American library who should have known better), the philosopher's stone UT was chosen as the heading, and the American title became the cross-reference. Note that we accepted that, now that we live in a cooperative world.

Slide 44

EXERCISE 1 t.p.

Der Wohlstand der Nationen
eine Untersuchung seiner Natur und seiner Ursachen

Adam Smith
aus dem Englischen übertragen
und mit einer Würdigung von Horst Claus Recktenwald

München
C.H. Beck
Copyright 1974

t.p. verso

Translation of: An inquiry into the
nature and causes of the wealth
of nations.

Slide 45

Uniform Title Authority Exercise 1
ARN: NEW

Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvl: n Source: c
Roman: ■ Ref status: a Mod rec: Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: a Subd type: Rules: c

040 __ MARC 21 \$b eng \$c MARC 21

100 1 _ Smith, Adam, \$d 1723-1790. \$t Inquiry into the
nature and causes of the wealth of nations. \$l German

400 1 _ Smith, Adam, \$d 1723-1790. \$t Wohlstand der
Nationen

670 __ Der Wohlstand der Nationen, c1974.

Authorized form of name: Smith, Adam, \$d 1723-1790.

Basic translation NAR
Xref title is from the item in hand.
Notice that this UT for the English
title is not the most commonly
known form *Wealth of nations*. The
reason for this is probably that the
UT was established before AACR2
went into effect. It was AACR2 that
established the “commonly known
form” as the underlying principle
for choosing the UT.

Slide 46

EXERCISE 2 t.p.

Evolution
U.S. Edition
Milwaukee, WI
Gareth Stevens Publishers
2002

t.p. verso

Originally PUBLISHED UNDER THE TITLE:
Change
Bethesda, MD, Discovery Enterprises
2000

Unrevised work with a change of title

Slide 47

245	0	Change : #0 the evolution files / #c Discovery Channel School
260		Bethesda, MD : #b Discovery Channel School, #c 2000.
300		32 p. : #b col. ill. ; #c 26 cm.
490	1	Discovery Channel School
521		*For science teachers and students in grades 5-9--P. [4] of cover.
650	0	Evolution #x Study and teaching.
710	2	Discovery Channel School.
710	2	Discovery Channel (firm)
710	2	Discovery Communications, Inc.
820	0	Discovery Channel school science.
130	0	Change
245	1	Evolution.
259		U.S. ed.
260		Milwaukee, WI : #b Gareth Stevens Pub., #c 2002.
300		32 p. : #b ill. (some col.) ; #c 26 cm.
440	0	Discovery Channel school science. #p Plant and animal kingdoms
520		Originally published under title: Change. Bethesda, Md. : Discovery Enterprises, 2000.
555	0	Evolution -- Graphic work -- A mammoth lumbering through the ages -- Extinction basic Science "Monkey" trial -- Variation on a theme -- The missing link -- Begin all the best! faulty fossil -- Something about Mary -- Absolutely evolution -- Save the icefish!

Slide 48

Uniform Title Authority Exercise 2
 ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: Enc lvi: n Source: c
 Roman: ■ Ref status: Mod rec: Name use: a
 Govt agn: ■ Auth status: Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: Subd type: Rules: c

040 MARC 21 \$b eng \$c MARC 21

No NAR needed!

670__ Evolution, 2002.

Note that this needs no NAR because it will file correctly in the title index just via the 130/245 access points in the bib record.

Slide 49

Uniform Titles : Parts of a Work

- One part
- More than one part
 - Two+ parts, numbered, consecutive
 - Two parts, unnumbered OR non-consecutively numbered
 - Three or more, unnumbered OR non-consecutively numbered

AACR2
25.6

49

Part titles treated differently based on number of parts and numbering Base assumption is that these works were published as complete works before they were published as part(s) of a work.

Slide 50

UT : One Part

AACR2
25.6A1, 26.4B2

- If a separately cataloged part of a work has its own title, use it as the uniform title
- Make a see reference from the heading for the whole work and the title of the part as a subheading
 - Include numbering if applicable

50

Use as UT the title of the part with a reference from the title of the whole work, part number, and title of part.

What you are trying to do is establish a linkage between the part and the whole when they have a separate published existence. If the part is never published separately, then these cross-references are never needed.

NOTE: if a part is separately published but does NOT have a stand-alone part title of its own, then you are not going to need an authority record, as the connection will be established by using the main title. part title structure in the 245 (AACR2 Chp. 13).

Slide 51

**UT : One Part :
Bib Record & NAR**

100	1	Joyce, James, #1 1882-1941.
245	1	4 The boarding house / #c James Joyce ; illustrated by Sandra Higashi.
260		Mankato, Minn. : #b Creative Education, #c 1982.
300		32 p. : #b ill. ; #c 23 cm.
490	0	Creative classic series
520		Mrs. Mooney the boarding-house keeper observes the relationship between her daughter Polly and the lodger Mr. Doran, in this story first published in 1914 in the short-story collection "Dubliners".
010		#n 82043728
040		DLC #b eng #c DLC
100	1	Joyce, James, #1 1882-1941. #f Boarding house.
400	1	Joyce, James, #1 1882-1941. #f Dubliners. #b Boarding house
670		#b The boarding house, c1982.

Example of the whole work title: *The Dubliners*, a short story collection, later an individually published story called *The boarding house*.

NAR to provide a reference through the whole work title and part title to Part title.

Another example would be J.R.R. Tolkien's individual volumes from the *Lord of the Rings* trilogy, which each has a separate existence. Or *Casamiento engañoso* from Cervantes' *Novelas ejemplares*, a short story collection.

Note in the NAR we are using the \$p subfield for the first time. This is for a part title that is known by its own name.

NOTE: This is one situation where there is no 240 or 130 in the bib record; but an NAR is still needed because of the cross-reference

through the main work title. The NAR creates the relationship that would otherwise be lost.

Slide 52

UT : More than One Part

- **Numbered consecutive parts:** use the designation of the parts, in the singular, as a subheading of title of the whole work

- **Two unnumbered or non-consecutively numbered parts:** use the UT of first part; make name/title analytical added entry for second part

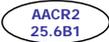

52

For more than one part use either Parts numbering if available or first part title as UT

We'll show an example of the first bullet, but the second bullet is parallel to the two work published together example, which will be seen later.

Slide 53

UT : More than One Part



De bello gallico
by Julius Caesar
Written in the 1st
cent. B.C.

The Gallic Wars have eight books, one per year of Caesar's campaigns in Gaul.

53

Consecutively numbered parts; UT is created with title of the whole followed by the numbered parts

Slide 54

UT : More than One Part : Bib Record			
100	1		Caesar, Julius.
240	1	1	De bello Gallico. #n Liber 1-4
245	1	0	Caesar's Gallic War : #b books I-IV / #c with introduction, notes, and vocabulary, by Charles E. Bennett.
260			Boston : #b Allyn and Bacon, #c c1903.
300			xxxx, 230, 85 p. : #b ill., maps.
440	0		Bennett's Latin series
530			Issued also in an online version.
633			Photocopy #b Austin, [Tex.] : #c BookLab, Inc., #d 1998. #e 20 cm.
651	0		Gaul #e History #y 58 B.C.-511 A.D.
700	1		Bennett, Charles E. #q (Charles Edwin). #d 1859-1921.
776	1		Caesar, Julius. #s De bello Gallico (Online). #t Caesar's Gallic War #w (OCoLC)51297882
856	4		#u http://rays.ehostok.edu/ocw/ocw/2003/UC/CAESAR/GallicWar/BooksI-IV/51297882.pdf #z

UT in bib record for books 1-4 (consecutively numbered parts) of the eight total volumes. The 240 uses the established Latin title, \$n for a numbered part title, Liber as the **singular** form of the word Book in Latin. (Roman numerals need to be changed to Arabic.)

NOTE: you can tell from the uniform title that the text is in Latin, despite the fact that the work's title is English. If it were an English translation, the 240 would have an \$1 subfield and the \$n would be Book. The 041 MARC code would also inform you of that.

NOTE: here we have the \$n subfield for the first time. This is for a part title that is known by a general term or number only, no special particular title.

Slide 55

UT : More than One Part : NAR			
010			no2008046006
040			UPB #b eng #c UPB #d DLC
100	1		Caesar, Julius. #t De bello Gallico. #n Liber 1-4
400	1		Caesar, Julius. #t Caesar's Gallic war. #n Book I-IV
670			Caesar's Gallic war. Books I-IV, 1926.

AACR2
25.6B1

Resultant NAR for the Gallic wars, books 1-4.

NOTE: the cross-reference should be Book, not Books. Resnap for corrected record.

Slide 56

UT : Three or More Parts

Three or more unnumbered or non-consecutively numbered parts – or extracts from a work

AACR2
25.6B3

- Use UT for the whole work followed by **Selections (\$k)**
- If item is a translation, add **Selections** following name of language

56

Use whole title followed by selections for unnumbered parts or non-consecutive parts.

NOTE: Selections appears here in a \$k subfield. Later it will be in the \$a and/or \$t subfield. Both uses are possible, depending on its function.

Slide 57

UT : Three or More Parts : Bib Record

100	0	Dante Alighieri, \$d 1265-1321.
240	1	Divina commedia, \$k Selections.
245	1	Itinerari danteschi / \$c a cura di Vittorio Russo.
260		Napoli : \$b La città del sole, \$c 1996.
300		71 p. ; \$c 21 cm.
440	0	Libera scena ; \$v 2
500		Texts from the Divina commedia by Dante Alighieri arranged for theater.
700	1	Russo, Vittorio.

AACR2
25.6B3

57

See explanatory 500 note that text is not complete.

Slide 58

UT : Three or More Parts : NAR

010		n 92015522
040		DLC Ho enig N: DLC HJ DLC
100	0	Dante Alighieri, #1 1265-1321 #1 Divina commedia. #k Selections
400	0	Dante Alighieri, #1 1265-1321 #1 Dante
400	0	Dante Alighieri, #1 1265-1321. #1 Itinerari danteschi
670		Mis Dante, 1996.
670		Itinerari danteschi, 1996. I

58

The *Divina commedia* has three main parts that are often published separately. What we have here is not ONE PART published separately but extracts from the whole work, thus we use \$k Selections.

Slide 59

UT : Two Works Issued Together

AACR2
25.7

- **With** collective title proper
 - 240 and 700/740 analytical added entry in bib record
 - Need NAR
- **Without** collective title proper
 - 245 and 700/740 analytical added entry in bib record
 - No NAR

59

As we will see in the next few slides, it matters if the resource has a collective title or not
NOTE: by the same author, previously published works

NOTE: Remember that this is handled the same way as **two** unnumbered or non-consecutively numbered parts of a single work. The only difference is that you will always have the UT and 700/740 analytical added entries, regardless of collective title or not.

Slide 60

UT : Two Works, with Collective Title Proper : Bib Record

100	1	Michener, James A. \$q (James Albert), \$d 1907-1997.	
740	1	Alaska	
245	1	Two complete novels / \$c James A. Michener.	
260		New York : \$b Wings Books, \$a Avenel, N.J. : \$b Distributed by Outlet Book Co., \$c 1992.	
300		1520 p. : \$b maps ; \$c 25 cm.	
905	0	Alaska -- Hawaii	AACR2 25.7A
651	0	Alaska \$x Fiction.	
651	0	Hawaii \$x Fiction.	
655	7	Historical fiction. \$2 gsafd	
700	1	Michener, James A. \$q (James Albert), \$d 1907-1997. \$t Hawaii.	
740	0	Hawaii.	I

A book consisting of 2 separate works; make UT for the first one as long as it doesn't match the title proper; see resulting NAR in next slide.

700 Added entry Controlled Personal name.Title
 740 Added entry Uncontrolled analytical title (No NAR supporting it)

FYI: In case this comes up, this is an older record and the \$x in the subject headings would now be coded \$v.

Slide 61

UT : Two Works, with Collective Title Proper : NAR		
100	1	Michener, James A. \$q (James Albert), \$d 1907-\$t Alaska
400	1	Michener, James A. \$q (James Albert), \$d 1907-\$t Two complete novels
670		His Two complete novels, 1993.

Resulting NAR

Title in the 400 is from the 245 of the bib record.

No, you do not have a cross-reference for the second title, only the first one.

Notice the characteristic 670 for uniform titles, because the \$a subfield supplies all we need to make the cross-reference.

Slide 62

UT : Two Works, No Collective Title Proper : Bib Record		
100	1	Albee, Edward, \$d 1928-
245	1 4	The American dream ; \$b and, The zoo story : two plays / \$c by Edward Albee
260		New York : \$b Plume, \$c [1997]
300		127 p. ; \$c 21 cm. LCRI 25.7
650	0	American drama \$y 20th century.
700	1 2	Albee, Edward, \$d 1928-\$t Zoo story.
740	0 2	Zoo story.

240 Not Necessary

Basic information for UT NAR already appear in BIB record **(identical to the title given in \$a of 245 field)**, therefore no need to record this same info in NAR.

An analytical added entry is a related work entry for a work that is contained in the item in hand. This means the text of Zoo story is IN YOUR HAND.

Slide 63

EXERCISE 3

t.p.

Charles Dickens' Hard Times

Penguin
2004

An authority record already exists for this UT heading
Please update the authority record, if necessary

Add bib record snippet

Slide 64

```

Uniform Title Authority Exercise 3
ARN: Updated
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvl: n Source: c
Roman: ■ Ref status: a Mod rec: n Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: a Subd type: Rules: c

040 __ MARC 21 $b eng $c MARC 21
100 1 _ Dickens, Charles, $d 1812-1870. $t Hard times
400 1 _ Dickens, Charles, $d 1812-1870. $t Hard times
for these times
400 1 _ Dickens, Charles, $d 1812-1870. $t Charles
Dickens' Hard times
670 __ Hard times for these times, 1995.

670 __ Charles Dickens' Hard times, 2004.

```

100 & 1st 400 will all come consecutively once you click the mouse once. What you want is for them to produce the 2nd 400. On this record, you are creating a new cross-reference for an already established NAR.

Slide 65

```

EXERCISE 4
t.p.
James Joyce
Anna Livia Plurabelle
A CHAPTER FROM FINNEGAN'S WAKE

Beckenham, Kent
Chimaera Press 1982

t.p.verso
Although written as part of Book I, chapter 8, of
Finnegan's Wake
The section has been repeatedly published separately by
Grosby, Gaige
New York

```

Slide 66

```

Uniform Title Authority Exercise 4
ARN: NEW
Rec stat: n Entered: [system supplied]
Type: z Upd status: a Enc lvl: n Source: c
Roman: ■ Ref status: a Mod rec: n Name use: a
Govt agn: ■ Auth status: a Subj: a Subj use: a
Series: n Auth/ref: a Geo subd: n Ser use: b
Ser num: n Name: a Subd type: Rules: c

040 __ MARC 21 $b eng $c MARC 21
100 1 _ Joyce, James, $d 1882-1941. $t Anna Livia
Plurabelle
400 1 _ Joyce, James, $d 1882-1941. $t Finnegans wake.
$P Anna Livia Plurabelle
400 1 _ Joyce, James, $d 1882-1941. $t Finnegans wake.
$N I, 8. $P Anna Livia Plurabelle
670 __ Anna Livia Plurabelle, 1982: $b t.p. verso (a
chapter from Finnegans wake)

```

Citation from 670 of NAR: Anna Livia Plurabelle first published in New York, 1928, by Crosby Gaige, before publication of the whole Finnegans wake. Later it became Book 1, chapter 8 of the total work.

Note that this bib record, you do not get a 240 because the title of the fragment (245) is the same as the uniform title.

NOTE: use of \$p subfield in part title cross-reference and \$n subfield for numbering associated with the part title. Words book and chapter are dropped because rule 25.6

specifies that one should drop all words, such as volume, tome, etc.

This is an exception to the general requirement that the whole work be published before the part. It is extremely rare.

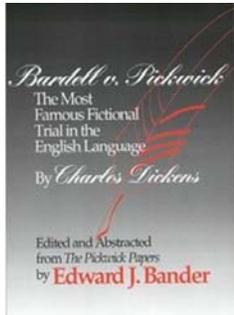
Slide 67

EXERCISE 5

t.p.

t.p. verso

Contains selections from Charles Dickens's Pickwick papers



Extract is section of a work that is not necessarily a complete part or chapter.

Slide 68

Uniform Title Authority Exercise 5

ARN: NEW

Rec stat:	n	Entered:	[system supplied]				
Type:	z	Upd status:	a	Enc lvt:	n	Source:	c
Roman:		Ref status:	a	Mod rec:		Name use:	a
Govt agn:		Auth status:	a	Subj:	a	Subj use:	a
Series:	n	Auth/ref:	a	Geo subd:	n	Ser use:	b
Ser num:	n	Name:	a	Subd type:		Rules:	c

040 __ MARC 21 \$b eng \$c MARC 21

100 1 _ Dickens, Charles, \$d 1812-1870.

\$t Pickwick papers. \$k Selections

400 1 _ Dickens, Charles, \$d 1812-1870. \$t Bardell v. Pickwick

670 __ Dickens, C., Bardell v. Pickwick, 2004.

Slide 69

EXERCISE 6

t.p.

The first six books of Homer's Iliad

with explanatory notes ...

by James Robinson Boise ... with notes revised and largely rewritten

14th edition

Chicago

1882

Extract is section of a work that is not necessarily a complete part or chapter.

Slide 70

Uniform Title Authority Exercise 6

ARN: NEW

Rec stat: n Entered: [system supplied]

Type: z Upd status: a Enc lvt: n Source: c

Roman: Ref status: a Mod rec: Name use: a

Govt agn: Auth status: a Subj: a Subj use: a

Series: n Auth/ref: a Geo subd: n Ser use: b

Ser num: n Name: a Subd type: Rules: c

040 __ MARC 21 \$b eng \$c MARC 21

100 0_ Homer. \$t Iliad. \$n Book 1-6

400 0_ Homer. \$t First six books of Homer's Iliad

670 __ The first six books of Homer's Iliad, 1858.

Note use of \$n subfield only for numbered term as part title.
 Book is singular.
 Numerals are Arabic because that is the appropriate way to transcribe spelled-out numerals (AACR2 App. C).
 Iliad is in English because it is a Classical Greek work from before 1500 (Rule 25.4B).

Slide 71

UT : Collective Titles

- Complete works
- Selections
- Works in a single form
- *In each of these cases a 4XX from the title proper would be needed on the NAR*

AACR2
25.8-25.10

71

UT & NAR needed in each of these cases. 3 different types of collective uniform titles

“Adequacy” of title comes into play for Selections, but not for Complete works or Works in a single form.

NOTE: most previous situations have been collocating or gathering together all the different printings of a book so that they file together. The collective uniform titles are both collocating, so that they file in line, and also separation, so that each Works & Selections has its own unique title.

Slide 72

UT : Complete Works

Assigning the collective title "Works"

- The item contains author's complete works, or purports to contain them
- Add the **date** of publication in subfield \$f

AACR2 25.8A,
25.9-25.10;
LCRI 25.8

72

First type is for a UT that purports to contain an author's entire work. Don't stress out over making sure. Generally accept what the book tells you.

If you have reason to be suspicious of their claim of complete works, you are justified in doing a reasonable amount of research.

Slide 73

**UT :
Complete Works : Bib Record**

AACR2 25.8A;
LCRI 25.8

[100]	[1]	Shakespeare, William, \$d 1564-1616.
[240]	[1]	Works. \$f 1987
[245]	[1]	The complete Oxford Shakespeare / \$c general editors, Stanley Wells and Gary Taylor ; editors, Stanley Wells ... [et al.] ; with introductions by Stanley Wells.
[260]	[1]	Oxford. \$a New York : \$b Oxford University Press, \$c 1987 \$g (1993 printing)
[300]	[1]	\$v : \$b ill. ; \$c 23 cm.
[440]	[4]	The Oxford library
[500]	[1]	Includes index (v. 1).
[505]	[0]	v. 1. Histories -- v. 2. Comedies -- v. 3. Tragedies.
[700]	[1]	Wells, Stanley W. \$d 1930-

The complete works of Shakespeare with date added in subfield 'f' in bib record

Slide 74

UT : Complete Works : NAR		AACR2 & LCRI 25.8
010		n- 86053149
040		DLC \$b eng \$c DLC \$d DLC
100	1	Shakespeare, William, \$d 1564-1616. \$t Works. (\$f 1987)
400	1	Shakespeare, William, \$d 1564-1616. \$t Complete Oxford Shakespeare. (\$f 1987)
670		His The complete Oxford Shakespeare, 1987.

NAR with references; notice dates apply to both the heading and cross-reference.

Don't forget to add the date if your software does not.

Slide 75

UT : Selections		AACR2 & LCRI 25.9
<ul style="list-style-type: none"> • Assume: not all of the author's works • Author writes in one form – item contains three or more works • Author writes in various forms – item contains three or more works in 2 or more forms (default assumption) • Make same addition as "Works" (i.e. date!) 		

Catalogers should assume that an author writes in more than one form, so that the collective uniform title "Selections" is basically applicable to collections of three or more works in two or more forms. When it is known that an author writes in only one form, apply rule 25.9 as written. That is the exception rather than the rule, however, because it is rare to have an author who only writes in one form.

For an item that consists of extracts, etc. from a single work, you do not add the date. It is the **general Selections** title that has the date added. The Selections of a specific work does not need the date.

[Selection. Date] is restricted to collection of three or more works in two or more forms and the collection lacks an adequate.

LCRI 25.9. Selections

Rule 25.9A applies to 1) partial collections of three or more works in two or more forms when the author writes in two or more forms and 2) partial collections of three or more works in one form when the

author writes in only one form. Restrict the application of the second condition to well-established authors whose works are known to exist in only one form. For the purpose of applying 25.9A and 25.10A, assume that the authors have written in two or more forms.

Slide 76

**UT : Selections :
Adequate vs. Inadequate?**

- Is the title inadequate? If so, it needs a uniform title of Selections
- What is inadequate?
 - Indistinctive title proper
 - No collective title proper

LCRI 25.9,
25.10

Indistinctive: New poems of John Smith
Distinctive: The Nightingale by John Smith

76

We want to reduce the incidence of uniform titles for selections of works. Therefore there are limited situations where a uniform title is required for this type of publication. The first title is indistinctive, the second one is distinctive. The presence or absence of the author's name in the title does not make it distinctive.

UT: No collective title : e.g. three short story titles in a row
245 1 _ The witcher ; \$b Blood of elves ; The witching hour / Author's name.

NOTE: A translation title is always considered inadequate. Therefore it always requires a uniform title. (AACR2 & LCRI 25.11)

NOTE to second group of reviewers: Should we have an example of no collective title to justify use of Selections. We do not consider it common enough to be needed.

Slide 77

UT : Selections	
100	1 Emerson, Ralph Waldo, # 1800-1862.
240	1 0 Selections # 2003
245	1 0 Selected writings of Ralph Waldo Emerson / #; edited by William H. Gilman, with a new introduction by Charles Johnson
260	1 0 New York : #; Signet Classics, #; 2003.
300	1 0 ivii, 531 p. ; #; 18 cm.
600	1 0 Emerson, Ralph Waldo, #; 1800-1862 #; Names.
650	1 0 American poetry.
650	1 0 American essays.
700	1 0 Gilman, William H. #; Dobson, Henry , #; 1811-1874.

Bibliographic record

100	1 Emerson, Ralph Waldo, # 1800-1862. # Selections # 2003
400	1 Emerson, Ralph Waldo, # 1800-1862. # Selected writings of Ralph Waldo Emerson # 2003
670	1 Emerson, Ralph Waldo. Selected writings of Ralph Waldo Emerson, 2003.

Uniform NAR

You have plenty of info from the book in hand (see publisher description) to decide that this meets the criteria of Selections, so you set up the 240, and then ... next slide for NAR

Publisher description link: From one of the greatest figures of 19th-century America...

This new edition offers a broad view of the author's finest work, featuring his critical essays, poems, and letters, plus a considerable amount of material from the Journals, including an entry discovered in 1964 in the Library of Congress.

For Uniform NAR: Create the NAR that cross-references the 245 title for the collective title. Remember the dates.

Slide 78

UT : Selections : Bib & NAR	
100	1 Emerson, Ralph Waldo, # 1800-1862.
240	1 0 Selections. \$f 2003. \$s Houghton Mifflin
245	1 0 Selected works : \$b essays, poems, and dispatches with introduction / #; Ralph Waldo Emerson and Margaret Fuller. ; edited by John Carlos Rowe.
260	1 0 Boston : \$b Houghton Mifflin, \$c c2003.
300	1 0 ivii, 504 p. ; #; 21 cm.
440	1 0 New Riverside editions
504	1 0 Includes bibliographical references (p. 497-503).
505	1 0 Selected essays / by Ralph Waldo Emerson -- Selected poems / by Emerson -- Woman in the nineteenth century and selected dispatches from Europe, 1848-1850 / by Margaret Fuller.

LCRI 25.8

100	1 Emerson, Ralph Waldo, # 1800-1862. # Selections. # 2003. # Houghton Mifflin
400	1 Emerson, Ralph Waldo, # 1800-1862. # Selected works. # 2003
670	1 Emerson, Ralph Waldo. Selected works, c2003.

Sometimes you get more than one Works or Selections in the same year. When that happens, use the \$s. NOTE on example: \$s is only used in special situations of more than one Selections published in the same year. It is NOT automatic like the use of the date.

Anybody want to guess why there is also an \$s here with the name of the publisher? There was already an NAR for Selections. 2003, so a further qualifier was necessary to establish a unique heading. That is always included in an \$s (version) subfield.

The words used in the \$s are whatever makes that title distinct, publisher's name is only one possibility. (it's possible to have more than one Selections from the

same publisher in one year)
Whatever words are used, they do not need to be in catalog entry form.

This is limited to series authority records? All examples in the RI show the use of the \$s in series added entry, although there is also some showing in a 240, so I am unclear. (MKP)

Slide 79

UT : Works in a Single Form

Use one of the following collective titles for an item that consists of, or purports to be, the complete works of a person in **one particular form**:

Correspondence	Essays	AACR2 & LCRI 25.10
Novels	Plays	
Poems	Prose works	
Short stories	Speeches	

79

This list is not proscriptive. You can make up a uniform title as needed to describe what you have. Good idea to search the database to see if some pattern has been established that you can follow.

AACR2 25.10A.

Use one of the following collective titles for an item (other than music, see 25.34C) that consists of, or purports to be, the complete works of a person in one particular form. Correspondence, Essays, Novels, Plays, Poems, Prose works, Short stories, Speeches
If none of these is appropriate, use an appropriate specific collective title (e.g., *Posters*, *Fragments*).

If the item consists of three or more but not all of the works of one person in a particular form, or of extracts, etc., from the works of one person in a particular form, add *Selections* to the collective title.

Slide 80

**UT : Works in a Single Form :
Bib Record**

100	1	Milton, John, 1608-1674.
240	1	Poems
245	1	4 The Complete English poems of Milton / ed. with an introduction by John Gawsworth.
260		London : Hb Macdonald, 1953.
300		xxxx, 913 p., [1] p. of plates. 40 ill., 19 cm.
490	0	Macdonald illustrated classic ; v. 25
700	1	Gawsworth, John, 1912-1970.

80

Here is an example for Milton's poems.

Slide 81

**UT : Works in a Single Form :
NAR**

100	1	Milton, John, 1608-1674. # Poems
400	1	Milton, John, 1608-1674. # Complete poems
400	1	Milton, John, 1608-1674. # Complete poetry of John Milton
400	1	Milton, John, 1608-1674. # Poems of John Milton
400	1	Milton, John, 1608-1674. # Poetical works of John Milton
400	1	Milton, John, 1608-1674. # Complete English poems ; Or education ; Areopagitica
670		His The complete poems, 1992
670		His The complete poetry of John Milton, 1971
670		His The poems of John Milton, 1972
670		His The poetical works of John Milton, 1973
670		His Complete English poems ; Or education ; Areopagitica, 1990
670		Complete English poems ; Or education ; Areopagitica, 1992

81

Note that you can have multiple versions of the title to this one UT. We do not separate them by date as we do with complete works and selections.

Policy in the rules implies that you do not have to justify every cross-reference with a 670, but the PSD insists on it, so please do add a 670 for every variant title form that you add. In the database you will see a mixture of practices.

Slide 82

**UT : Works in a Single Form,
Selections**

Three or more works of an author in one form

- Adequate vs. inadequate applies
- Add \$k Selections to the uniform title
- NO date

82

Same ideas as general selections

Slide 83

UT : Works in a Single Form : Bib Record		
AACR2 25.10		
100	1	Shakespeare, William, \$d 1564-1616.
240	1	Poems. \$k. Selections
245	1	4 The narrative poems / \$c William Shakespeare, edited by Jonathan Crewe.
260		New York : \$b Penguin Books, \$c 1999.
300		iv, 152 p. : \$b ill. ; \$c 20 cm.

This is a collection of the “narrative” poems, not all of the poems of Shakespeare, and the title proper is not distinctive enough

Slide 84

UT : Selections : Single Form : NAR		
100	1	Shakespeare, William, \$d 1564-1616. \$t Poems. \$k Selections
400	1	Shakespeare, William, \$d 1564-1616. \$t Shakespeare
400	1	Shakespeare, William, \$d 1564-1616. \$t Narrative poems
400	1	Shakespeare, William, \$d 1564-1616. \$t Shakespeare for lovers
400	1	Shakespeare, William, \$d 1564-1616. \$t William Shakespeare
670		His Shakespeare, 1987, c1985.
670		His The poems, 1988.
670		His The narrative poems, 1992.
670		Shakespeare for lovers, 1995.
670		His William Shakespeare, 2000.

Here’s the NAR

NOTE: whether or not a title is adequate is very much a cataloger’s judgment call. For example, while most of these are clearly inadequate, some would think that *Shakespeare for lovers* might be considered extremely distinct. However, the larger the file, the less likely it is to be considered distinct, because there is a greater need for control over the file. LC has to deal with an extremely large bibliographic file, so some of its decisions may not be needed by a smaller library.

Slide 85

Uniform Titles : Story Cycles	
•	Epic cycles, such as the romances of medieval times
•	Fairy tales, fables, other tales that exist in differing versions
AACR2 25.12	

This rule was meant to serve as a collection point – remember the catalog management purpose of ut’s? bringing together all manifestations of a work? This is an extreme example of that – for all the related stories centered around an object or the various examples of a story with many versions. These kinds of UT’s need research to establish what kind is truly appropriate.

NOTE: these are NOT limited to European literature. (E.g. Russian

folktale of Prince Ivan)

If you are not familiar with these, meaning you don't work with that kind of literature, you may not ever see these uniform titles.

NOTE: these are all too often in an absolute mess in the file, because a lot of people don't remember to use these added entries.

For 25.12B, these ut's are NEVER used as main entry points, only as added entries.

Slide 86

UT : Stories Centered on an Object : Bib record

130	0	Amadis de Gaula (Spanish romance). # English.
245	1	0 Amadis of Gaul. # a novel of chivalry of the 14th century presumably first written in Spanish / # re-nu and reworked by Garcí Rodríguez de Montalvo prior to 1555, translated from the pulative princeps of Saragossa, 1508 by Edwin B. Place and Herbert C. Behm.
240		Lexington. # University Press of Kentucky, # 1974-1975.
300		2 v. # 24 cm.
490	1	Studies in romance languages, # 11
504		Includes bibliographical references.
630		Also issued online.
650	0	Romances, Spanish # Translations into English.
650	0	Knight and knighthood # Fiction.
650	0	Chivalry # Fiction.
700	1	Rodríguez de Montalvo, Garcí.
700	1	Place, Edwin B. # (Edwin Bray), # d. 1891.
700	1	Behm, Herbert C.
830	0	Studies in Romance languages (Lexington, Ky.), # 11.

86

Here is an example of the first type, a collection point for the many stories related to Amadis de Gaul, a medieval version of the soap opera that went ON and ON (four volumes).

This will be used as a 130 collection point.

Note that some of these types of works will have an (possible) author, but they should have the 130 as their main entry regardless.

Slide 87

UT : Stories Centered on an Object : NAR

130	0	Amadis de Gaula (Spanish romance)
430	0	Amadis (Spanish romance)
430	0	Amadis of Gaul (Spanish romance)
430	0	Amadig di Gaula (Spanish romance)
430	0	Amadis de Gaula (Le mirale)
670	1	[Enc. univ. #ut. 50 (Amadis de Gaula)]
670	1	EB, 1972 B# (Amadis de Gaula, famous Spanish romance of chivalry, authorship, date of composition and even orig. lang. are in doubt)
670	1	Le imprese tessute di Amadig di Gaula, c2005

87

Here is the NAR

This will be used as a 130 collection point.

Translated titles would get their own NAR's as usual.

Slide 88

UT : Stories Centered on an Object : Indexing

Record	Description
1	Amadis de Gaula (Spanish romance). [130]
2	Amadis de Gaula (Spanish romance). In Book 1-2. # English [130]
3	Amadis de Gaula (Spanish romance). In Book 1-4 [130]
4	Amadis de Gaula (Spanish romance). # English [130]
5	Amadis de Gaula (Spanish romance). # French (Belleville French). # Selections [130]
6	Amadis de Gaula (Spanish romance). # German [130]
7	Don Silva de la Salva [130]
8	Händel, George Frideric, # 1685-1759. # Amadig [100]
9	Páez de Ribera, Ray. # Fonsando [100]
10	Rodríguez de Montalvo, Garcí. # Sergas de Esplandián [100]
11	Silva, Feliciano de, # 1488-1504. # Florisel de Niquea [100]
12	Silva, Feliciano de, # 1488-1504. # Florisel de Niquea. In Part IV. [100]
13	Silva, Feliciano de, # 1488-1504. # Florisel de Niquea. In Parte II [100]

88

So now all the different parts of Amadis de Gaula and its translations all file together.

NOTE: This is snapshot of Connexion authority file for Amadis de Gaula uniform title search.

Slide 89

UT : Stories Centered on an Object

130	1	山海經 (Chinese classic)
430	0	Shan hai jing (Chinese classic) # # # # #
430	0	Sanshaijing (Chinese classic)
430	0	Sanshaijing (Chinese classic)
430	0	Sengaijō (Chinese classic)
430	0	Shan-hai-king (Chinese classic)
430	0	Shan-hai-king (Chinese classic)
430	0	Shan-hai-king (Chinese classic)
430	0	Hill and river classic (Chinese classic)
670	0	Mather, P. Etude sur la mythologie et l'ethno-

130	1	山海經 (Chinese classic)
130	0	Shan hai jing (Chinese classic)
1245	1	山海經經考 / 李 耀明撰考
1245	1	Shan hai jing jiao zhu / 李 耀明撰考
1250	0	山海經訂考, 鄭 振鐸
1260	0	Zhang hu xiu ting ben, Di 1 ban
1268	0	山海經 增補本, 1982 ju, 1993
1269	0	Chengshi. # Di zhu zhu zhi, # 1982 ju, 1993
300	0	2, 2, 2, 9, 663, 90 g. # 冊. # 21 cm
664	0	Includes bibliographical references (p. 582-583) and index
665	0	China. # Description and travel
1700	1	山海經
1708	3	Yuan, Ke

Authorized	1	Shan hai jing (Chinese classic). 1983.
	1	Shan hai jing (Chinese classic). 1985.
	1	Shan hai jing (Chinese classic). 1989.
Authorized	3	Shan hai jing (Chinese classic). English.
Authorized	1	Shan hai jing (Chinese classic). French.
Authorized	3	Shan hai jing (Chinese classic). Japanese.
Authorized	1	Shan hai jing (Chinese classic). Korean & Chinese.
Authorized	1	Shan hai jing (Chinese classic). Selections.

89

These are snapshots for a Chinese classic “Shan hai jing” (The book of Mountains and Seas)

A uniform title authority record was created under its classic title as 130, and is used as main entry in the bib record of a publication on this Chinese classic. As you see from this indexing snapshot, all versions and translations and parts are filed together.

Slide 90

UT : Story with Many Versions : NAR

130	0	Cinderella.
1467	0	DESCRIPTIVE USAGE: Heading for the basic story; not to be used as main entry; use as an added entry with the addition of a language according to 25.12; each individual work is entered under its own author or title, e.g. Aschenputtel; Aschenputtel. English; Perrault, Charles, 1628-1703. Cendrillon; Walt Disney's Cinderella.
1467	0	SUBJECT USAGE: This heading is not valid for use as a subject. Works about this tale are entered under the subject heading Cinderella (T48).

90

This NAR is meant to serve as a collection point for all the different versions of the Cinderella story. It has an explanation 667 for descriptive usage.

There is also a subject usage note, but that is not in scope for this class.

Slide 93

**Uniform Titles :
Interesting Example**

Tag	1	0	1	0	1	0	1	0	1	0
100										
240	1	0								
245	1	0								
246	0	1								
260										
490	1									
600										
700	1									
730	0	1								
830										

Bilingual translation of a Catalan adaptation of the Charles Perrault version of a story with many versions

93

Currently this slide is hidden, so it is the teacher's choice if they want to include it.

This is simply an interesting example of how strange UT NAR's can get, especially in a 25.12B situation. You do not have to go into detail here unless you like to. So what NAR's are needed?

- NAR for author, of course
- NAR of Author. Title. Language & Language
- NAR of Perrault's version as a related work added entry; probably not really necessary
- NAR for Puss in Boots heading, but NOT for "Puss in Boots. Language" separately. The language only appears in the bib record. It will file correctly without that second NAR.

A Spanish & English translation of a Catalan adaptation of the Perrault version of a story with many versions.

Slide 94

t.p.

EXERCISE 7

The Complete Works of Oscar Wilde
General editors
Russell Jackson and Ian Small

Oxford New York
Oxford University Press 2000

t.p. verso

Contains the complete

**Poetry
Short Stories
Correspondence
Plays
Essays
In five volumes**

Slide 95

Uniform Title Authority Exercise 7
 ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: Ref status: a Mod rec: a Name use: a
 Govt agn: Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: a Subd type: Rules: c

040 MARC 21 \$b eng \$c MARC 21
 100 1 _ Wilde, Oscar, \$d 1854-1900. \$t Works. \$f 2000
 400 1 _ Wilde, Oscar, \$d 1854-1900. \$t Complete works of Oscar Wilde. \$f 2000

670 __ _ The Complete works of Oscar Wilde, 2000.

Authorized form of name: Wilde, Oscar, \$d 1854-1900.

Don't forget the dates.

Slide 96

EXERCISE 8 t.p.

WALLACE STEVENS

Collected Poetry and Prose

New York Library of America
1997

Examining the book and database reveals:

Not his complete works: database also shows evidence of published correspondence

Slide 97

Uniform Title Authority Exercise 8
 ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: Ref status: a Mod rec: a Name use: a
 Govt agn: Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: a Subd type: Rules: c

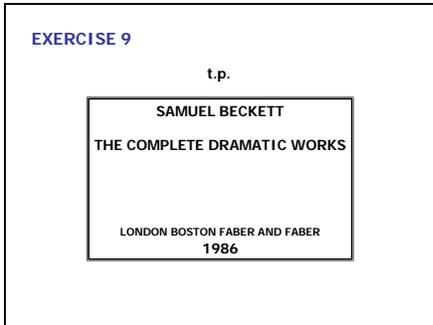
040 __ _ MARC 21 \$b eng \$c MARC 21
 100 1 _ Stevens, Wallace, \$d 1879-1955. \$t Selections. \$f 1997
 400 1 _ Stevens, Wallace, \$d 1879-1955 \$t Collected poetry and prose. \$f 1997

670 __ _ His Collected poetry and prose, 1997. OR
 670 __ _ Stevens, W. Collected poetry and prose, 1997.

Authorized form of name: Stevens, Wallace, \$d 1879-1955.

Don't forget the dates.
 The 670 format depends on the default in your software, and both of these are perfectly acceptable.

Slide 98



Slide 99

Uniform Title Authority Exercise 9

ARN: NEW
 Rec stat: n Entered: [system supplied]
 Type: z Upd status: a Enc lvl: n Source: c
 Roman: Ref status: a Mod rec: Name use: a
 Govt agn: Auth status: a Subj: a Subj use: a
 Series: n Auth/ref: a Geo subd: n Ser use: b
 Ser num: n Name: a Subd type: Rules: c

040 __ MARC 21 \$b eng \$c MARC 21
 100 1 _ Beckett, Samuel, \$d 1906-1989. \$t Plays
 400 1 _ Beckett, Samuel, \$d 1906-1989. \$t Complete dramatic works

670 __ Beckett, S. The Complete dramatic works, 1986.

Authorized form of name: Beckett, Samuel, \$d 1906-1989.

Works in a single form does NOT require dates.

Slide 100



Slide 101

Review questions

- When is NOT necessary to have an UT authority record?
 - When the elements file correctly in the file or there is no need for a cross-reference
- What is the appropriate subfield code for Selections when used after 240 \$a subfield?
 - \$k
- If you have an unrevised edition with a variant title, do you need a UT?
 - Yes

101

When the elements will still file correctly in the UT (title main entry or name.title main entry) file, then you do not need an authority record. When there is no need for a cross-reference.

The subfield code for Selections is \$k.

Yes, you do.

Works. \$f Year of publication

Yes, you do need it. Title. \$k Selections

Slide 102

Review questions

- What is the uniform title of the complete works of an author?
 - Works. \$f Year (of publication)
- If you have extracts from a larger work, do you need a UT? And if so, which one?
 - Yes, you need Uniform Title. \$k Selections

102

When the elements will still file correctly in the UT (title main entry or name.title main entry) file, then you do not need an authority record. When there is no need for a cross-reference.

The subfield code for Selections is \$k.

Yes, you do.

Works. \$f Year of publication

Yes, you do need it. Title. \$k Selections

Slide 103

Uniform Title Web sites

- **UT FAQ**
<http://www.loc.gov/catdir/pcc/naco/utfaq.html>
- **"Chapter 25—Uniform Titles" by Robert Ewald**
<http://www.loc.gov/catdir/pcc/naco/chap25.pdf>

Look under "documentation, tools, rules, etc."

103

More specific information on Uniform Titles can be had on the links from NACO home page

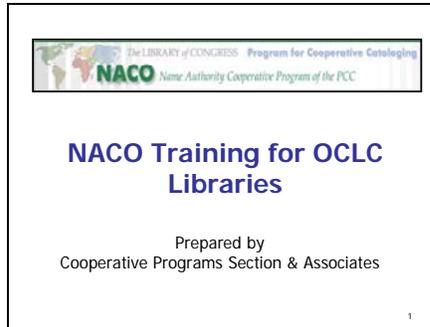
INSERT

TAB

HERE

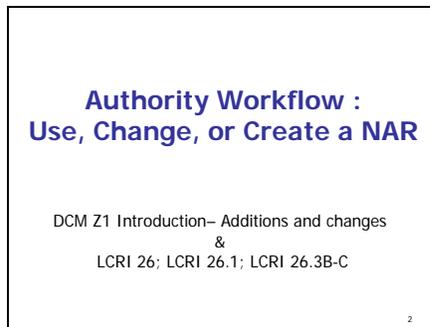
*THIS PAGE INTENTIONALLY LEFT BLANK
FOR DOUBLE SIDED COPY*

Slide 1

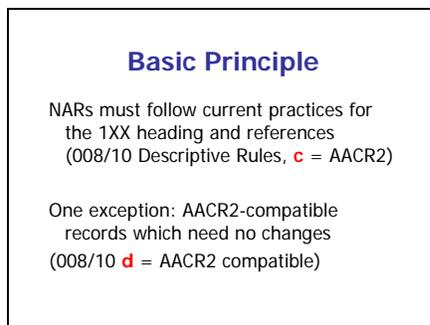


Approximately one hour long, including a bit extra for exercises.

Slide 2



Slide 3



Add 008 illustration

Slide 4

Checklist for Authority Work

- Bibliographic record needs an access point
- SEARCH!!!
 - Search multiple forms of the name
 - Search both bib and authority databases
 - Sometimes research is needed to clarify relationships
 - Remember the 24-hour rule
 - Don't overdo it!

4

Some authority records are made that do not have any direct relationship to a bib record. For example, if you need to create a parent body NAR in order to have the required cross-references for a corporate body, that parent body may not appear on any bib record.

Slide 5

Search Results Govern Workflow

Three situations:

1. Find a NAR and use it
2. Find a NAR that needs updating
3. Create a new NAR
 - OCLC Connexion has an authority macro

5

Slide 6

**Situation 1 :
Find NAR, Use It**

- If the 1XX heading is AACR2 **and** no other changes are needed...
- Use the 1XX on a bibliographic record and make no changes to the NAR

Remember to respect your colleagues' judgment. Don't change something that is correct, but not your preference.

If the heading is unique, with no conflict, no changes are necessary

Slide 7

**Situation 2 :
Find NAR, Update**

Typical changes:

- Change 1XX heading
- Add variant form of name (4XX) or see also ref (5XX), justified in 67X
- Add new information in 670 field
- Change 4XX to resolve conflict
- Consolidate duplicate NARs

Slide 8

**Situation 2 :
Checklist for Updates**

- Search the 1XX and any 4XXs for conflict
- Need to change the 1XX?
 - Reevaluate according to AACR2
- Need to add or change a 4XX/5XX?
 - Reevaluate all references according to AACR2
- Need to add a 670 or 675?

LCRI 26 & LCRI 26.3B-C

This applies to ALL the typical situations, including duplicates.

Optional change: To add 053 for literary authors

NOTE: If you add or change a 4XX, you will usually need a 670 to justify it.

Slide 9

**Situation 2 :
Checklist for Updates cont.**

- Check the 008 fields:
 - 008/10 for Desc. Cat. Rules
 - 008/29 for Reference Evaluation
 - 008/32 for Undifferentiated Personal Name
 - 008/33 for Level of Establishment
- Add 040 \$d if the last field is \$c or \$d of another library, if not system-generated
- Search for BFM if 1XX is changed

This applies to ALL the typical situations, including duplicates.

Adjust 008/10 Descriptive Cataloging Rules

c = AACR2

Adjust 008/29 Reference Evaluation:

a = tracings (i.e., references) are consistent with the heading

n = no references

To adjust 008/32 Undifferentiated name status (AACR2 22.20)

To change from **a** to **b**

To change from **b** to **a**

To change 008/33 Level of Establishment

From **c** = Provisional to **a** = Full
(cataloger now has appropriate language for heading)
From **d** = Preliminary to **a** = Full
(cataloger is working from an item in hand)

Slide 10

**Situation 2 :
Checklist for Updates cont.**

Field	Type	Entered	Replaced
040	\$d	LC	
100	1	Authority, I.M.N.	
670		NACO for everyone, c2004 #b tp. (M.N. Authority)	

Here you see the fields you need to look at: these are the ones to focus on as an authority change happens.

Slide 11

**Situation 2 :
Adding a Variant Name**

Field	Type	Entered	Replaced
040	\$d	LC	
100	1	Authority, I.M.N.	
670		NACO for everyone, c2004 #b tp. (M.N. Authority)	

Changing Ref status fixed field when adding 4XX or 5XX references.
Also adding 040 \$d to show who modified it.
The other fields don't change in this situation, but you still need to check them.

Slide 12

**Situation 2 :
Checklist for Duplicates**

- If NARs have different 1XX, keep the better and properly formulated 1XX
- If NARs have same 1XX, keep the NAR with more complete references and 670s
- If NAR to be deleted has valuable data that is not present on the record to be kept, transfer valuable data
 - Transferred data should add new or important information to the NAR
- Review 008 fields
- Search for BFM

Duplicates have some extra requirements that regular changes do not.

In the first bullet, the word “better” is not a value judgment regarding the correctness of the existing work, but a cataloger’s judgment about the fullness and completeness of the heading. Does it include a date? Does it include a fuller form of name? More information is better.

Third bullet: 670 \$b may have person’s birth date, location of corporate body, etc.

NOTE: If the deleted AACR2 heading is kept (as is, with no modifications) as a cross-reference on the retained heading, then that cross-reference must have the \$w nne code.

Slide 13

**Situation 2 :
BFM for Duplicates**

- When NARs have different 1XX forms for the same entity, search for BFM
- NACO catalogers transfer any valuable data to record to be kept
- Report the duplicate authority record for deletion
- Report the BFM in the LC database to LC liaison while under review, or, when independent, to NACO@loc.gov

Please remember that the local authority file for LC is the same thing as the national authority file that you see in OCLC.

The bibliographic file that you see in OCLC is much more comprehensive than the LC bibliographic file.

The BFM that you are reporting is the LC bibliographic file maintenance only, so you only need to search LC’s bibliographic catalog, which can be searched through OCLC or directly through catalog.loc.gov.

Slide 14

**Situation 2 :
Consequences**

- Any NAR with a 1XX change will affect related NARs
- Change all affected NARs, such as
 - Name/Title uniform titles
 - Parent/Subordinate bodies
 - Name/Title series
- Search for and report LC BFM

Series NAR's that are set up under names can also be affected.

Next slide shows the powerful impact that a heading change can have.

Slide 15

**Situation 2 :
Updates Have Consequences!**

Here you have the situation of Charles Schulz's death. After he died in 2000, and the LCRI's changed to allow us to add death dates, a cataloger decided that it would be a good idea to add the date to his NAR.

But that triggered a need for MUCH authority cleanup and BFM, because of the MANY uniform titles and MANY publications by Schulz. There were lots of authority records – and remember that on an authority record you have to change the heading and the cross-references – and close to 400 bibliographic records in the LC database alone that had to be updated. How many records in other catalogs were affected – well, it was probably beyond counting.

So, consider the consequences carefully, not only for yourself, but for everyone else. Is that change really necessary? Is it beneficial? The answer may be yes, but do think it through first.

Slide 16

Exercises



Make appropriate changes to established NARs

16

Slide 17

OCLC AUTHORITY CHANGE EXERCISE 1

ARN n9301293

Rec.stat	n	Entered [system supplied]					
Type	z	Upd status	a	Enc lvl	n	Source	
Roman	■	Ref status	a	Mod rec		Name use	a
Govt agn	■	Auth status	a	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser num	n	Name	a	Subd type		Rules	c

040 DLC \$b eng \$c DLC \$d MARC

100 1 _ Goldscheider, Frances, \$d 1942- AACR2
22.2C &

400 1 _ Cruger, Frances, \$d 1942-

400 1 Korbins, Frances Cruger, \$d 1942- Sw nne LCRI 26

Report BFM if necessary

670 __ Ethnic factor in family structure, 1979: \$b 1.p. (Frances Cruger Korbins) p. 1 (b. 6-12-42: married Samuel Korbins, 3-12-64: daughter of Henry Cruger)

NEW 670 __ Ethnicity and the new family economy, 1989: \$b 1.p. (Frances Goldscheider) p. 4. (Frances Cruger Korbins married William Goldscheider Nov. 12, 1980)

Slide 18

OCLC AUTHORITY CHANGE EXERCISE 2

ARN n9301234

Rec.stat	n	Entered [system supplied]					
Type	z	Upd status	a	Enc lvl	n	Source	
Roman	■	Ref status	@	Mod rec		Name use	a
Govt agn	■	Auth status	a	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser num	n	Name	n	Subd type		Rules	c

040 DLC \$b eng \$c DLC \$d MARC

110 2 _ Australian Historical Association

410 2 _ A.H.A. LCRI & AACR2 26.3A4

410 2 _ AHA

670 __ Bibliography of the history of women in France, 1990: \$b 1.p. (Australian Historical Association (Melbourne))

NEW 670 __ Bibliography of Australian women's history, c1990: \$b 1.p. verso (Australian Historical Association: A.H.A. bibliographies in women's history)

Slide 19

OCLC AUTHORITY CHANGE EXERCISE 3

ARN n94056789

Rec_stat	n	Entered [system supplied]					
Type	7	Urd status	a	Enc hd	n	Source	a
Roman	■	Ref status	n	Mod rec	n	Name use	a
Govt agn	■	Auth status	a	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser num	n	Name	a	Subd type	n	Rules	c

040 DLC \$b eng \$c DLC \$d MARC

100 1 _ Mitchell, Henry

DCM Z1 Introduction-- Addition & changes to authority records

670 _ _ Essential earthman, c1981: \$b t.p. (Henry Mitchell)

NEW 670 _ _ Essential earthman, c1993: \$b p. vii (Henry Mitchell, b. 1923, d. 1993)

Slide 20

OCLC AUTHORITY CHANGES EXERCISE 4a

ARN n93234569

Rec_stat	n	Entered [system supplied]					
Type	7	Urd status	a	Enc hd	n	Source	c
Roman	■	Ref status	n	Mod rec	n	Name use	a
Govt agn	■	Auth status	a	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser num	n	Name	a	Subd type	n	Rules	c

040 DLC \$b eng \$c DLC

110 2 _ Miller Company

No change to NAR necessary

670 _ _ Miller lighting fixtures, c1981: \$b t.p. (Miller Company; Meriden Conn.)

The name Miller Company conflict with the 410 on the authority record for Eric Miller Company (see NAR on the following page).

NOTE: when there is 110 to 410 conflict, you do not need to add qualifiers to both corporate body headings. Only when it is a 110/110 conflict is that necessary.

Slide 21

OCLC AUTHORITY CHANGE EXERCISE 4b

ARN n93234569

Rec_stat	n	Entered [system supplied]					
Type	7	Urd status	a	Enc hd	n	Source	a
Roman	■	Ref status	n	Mod rec	n	Name use	a
Govt agn	■	Auth status	a	Subj	a	Subj use	a
Series	n	Auth/ref	a	Geo subd	n	Ser use	b
Ser num	n	Name	a	Subd type	n	Rules	c

040 DLC \$b eng \$c DLC \$d MARC

110 2 _ Eric Miller Company LCRI 26.1; LCRI

410 2 _ Miller Company (Narberth, Pa.) 26.3A3

410 is qualified, LCRI 26.3A3 (note: will need to establish Narberth, Pa if not already established)

670 _ _ Body mechanics and lifting, c1984: \$b t.p. (Eric Miller Company) cover (Narberth, Pa.)

Slide 22

OCLC AUTHORITY CHANGE EXERCISE 5

ARN n95078901

Rec_stat	n	Entered [system supplied]							
Type		Unit status	a	Enc. hd	n	Source	c		
Roman		Ref status	g	Mod rec		Name use	a		
Govt agn		Auth status	a	Subj	a	Subj use	a		
Series	n	Authref	a	Geo Subd	n	Set use	b		
Sec num	n	Name	a	Subd type		Rules	c		

010 n 2009245175 \$z no2004517273 LCR1 26 & DCM
Z1 4XX

040 DLC Sb eng \$c DLC \$d MARC

100 1 _ Hoadley, Steve

400 1 _ Hoadley, J. Stephen Sw nne

670 -- Improving New Zealand's national health care policy, 1986: Sb t.p. (Steve Hoadley)

NEW 670 Making New Zealand a healthy democracy, 1979: Sb t.p. (J. Stephen Hoadley)

Reconciling duplicate authority records.

Which record you choose to keep is a combination of many factors: which is more complete? Which has more attached bib records? Which is more commonly used?

Added 010 field to demonstrate adding \$z for cancelled LCCN

Slide 23

OCLC AUTHORITY CHANGE EXERCISE 5b

ARN n9409012

Rec_stat	n	Entered [system supplied]							
Type		Unit status	a	Enc. hd	n	Source	c		
Roman		Ref status	n	Mod rec		Name use	a		
Govt agn		Auth status	a	Subj	a	Subj use	a		
Series	n	Authref	a	Geo Subd	n	Set use	b		
Sec num	n	Name	a	Subd type		Rules	c		

CANCEL THIS AUTH

100 1 _ Hoadley, J. Stephen

670 -- Making New Zealand a healthy democracy, 1979: Sb t.p. (J. Stephen Hoadley)

675 -- WW in NZ, 1978

Slide 24

**Situation 3 :
Nothing Found, Create NAR**

- What fields are absolutely required?
- What information must be included?

What is the bare minimum of information necessary? Here we have a corporate body with the necessary fields and no more. There are more of this type of plain NAR than you might think.

Slide 25

**Situation 3 :
NAR Checklist**

- Personal Names
 - Choice of name
 - Entry element
 - Additions to name
 - Cross-references
- Corporate Bodies
 - Choice of Name
 - Government or Non-government body
 - Direct entry or subordinate entry
 - Direct or indirect subheading
 - Qualifiers
 - Cross-references

25

These are the decisions you need to make as you set up an NAR. For example, for a personal name, it all starts with the choice of name, then you consider the entry element, then you need to look at whether or not you have a date or fuller form, and finally you consider cross-references.

Each type of name has slightly different things to consider, once you have gotten past the choice of name.

Slide 26

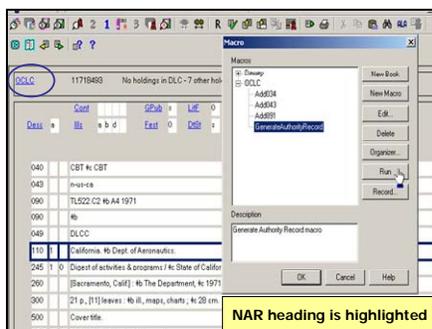
**Situation 3 :
NAR Checklist**

- Geographic Names
 - Choice of name
 - Assume conflict and research
 - Qualifiers
 - Cross-references
- Uniform Titles
 - Choice of title
 - Entry element – name or title
 - NAR needed?
 - Cross-references

26

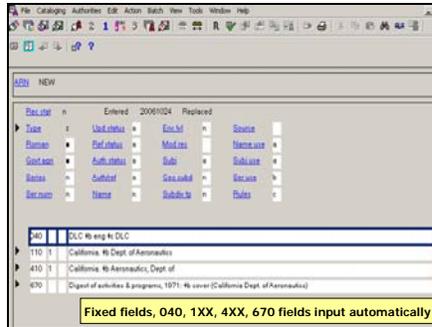
Each type of name has slightly different things to consider, once you have gotten past the choice of name.

Slide 27



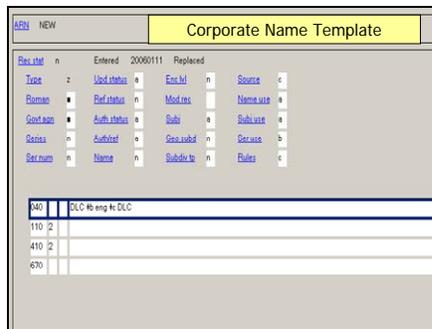
This shows a step in the OCLC Connexion Authority macro process. While viewing a bib record, create a NAR by going to Tools, Macros, Manage, highlight Generating auth. Record, and then Run.

Slide 28



The result is a NAR with proper coding in fixed and some variable fields; even cross references are automatically generated.
NOTE: you still need to check the computer's work. Don't assume the computer always gets it right (GIGO=gabrage in, gabrage out).

Slide 29



Here's a blank template in OCLC Connexion client, for creating a record from scratch. See NAR icon on tool bar

Slide 30

Don't Agonize!

- The file is dynamic; any cataloger with more information may improve the NAR in the future
- Be confident! You're the expert, with the item in hand

Slide 31



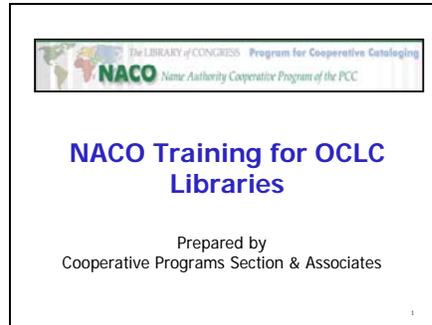
INSERT

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FOR DOUBLE SIDED COPY*

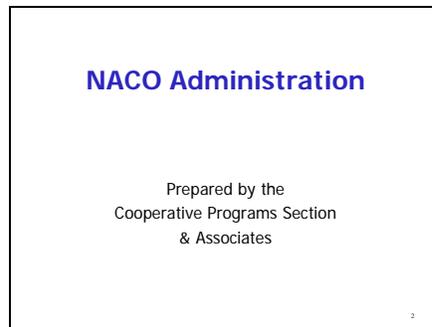
Slide 1

**NACO Training for OCLC Libraries:****Trainers notes:**

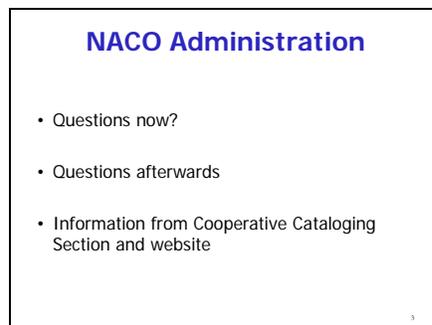
Trainers may customize this slide.

This will take approximately one hour.

Slide 2



Slide 3



Wrapping up our session with discussion of exercises, questions, info from Coop section.

Slide 4

Questions?

- Questions now?
- Questions after today?
 - Check documentation and training materials before asking for help
 - Discuss with other catalogers
 - If about training materials, contact trainer
 - If about NARs, contact naco@loc.gov or reviewer
 - If about PCC, contact coop@loc.gov Coop Cat Section, COIN

4

Questions about issues brought up during the Institute.
 Questions after today: contact appropriate people: trainers, reviewers, liaison, or Coop team.

Who is the right person for NAR contact after independence?
 Preferably to naco@loc.gov but to former reviewer is fine too -- consulted Anthony on 8/20/09.

Slide 5

**Guidelines :
Information Provided**

- NACO Name Institute is administered by PCC, provided by Coop Cat Section at LC
- Program support, documentation, training materials, communications
- Consultation with LC Policy and Support Division
- NACO authorizations provided by OCLC

5

What Coop team provides: training, documentation, advice from PSD.
 PSD is available to everyone, but do try to work with your liaison or the Coop Section first. (PSD is very busy.)
 NACO authorization comes from utilities. Explain this in more detail in the notes.

Slide 6

**Guidelines :
Review Period**

- Independence must be achieved before direct contribution to OCLC
- Reviewer will be assigned locally or regionally; otherwise, LC will review
- Review period is flexible, based on number of records

6

Review is informal arrangement between reviewer and reviewee. Contributor must show progress before independence is established. After independence, the contributor can send records direct to authority file.

A general time period is six months to a year. However, if you produce a limited number of records, it could take much longer.
 Usually, independence is granted in stages: first personal names, then corporate bodies,

etc.

Slide 7

Guidelines :
Connexion Review Procedures

- Create NAR and submit to review file
- Notify reviewer by email (be sure to include OCLC code of library)
- Ask brief questions or cite rules in 952 (OCLC)—otherwise, use email

Create NAR & send to review file; should be group of app. 10 records based on your workflow. Email reviewer; cite rules and brief questions in 952.

Remember that a local authority record does NOT have to be submitted for review; only the records that you are submitting to the national authority file must be reviewed.

Slide 8

Connexion Review Procedures :
Submit for Review

To have a record reviewed by another institution, click on Action, Submit for Review, and then fill in the OCLC symbols for the institution or institutions you wish to see your record. The record remains in your local save file, but the other institutions have permission to see it.

Slide 9

**Guidelines :
Connexion Authority Help**

- OCLC documentation:
http://www.oclc.org/support/documentation/connexion/browser/authorities/create_auth_records/
- PCC documentation for review (browser and client use similar concepts):
<http://www.loc.gov/catdir/pcc/naco/connexion-naco.pdf>

Detailed documentation at OCLC in creating authorities and the review process at these web sites

Slide 10

**Guidelines :
Sending Records for Review**

- Send both easy and tough records, no more than 10-15 at a time
- Make corrections before sending more
- Use the 952 or email for questions and comments
- Avoid overloading emails with multiple problems

Send records on a regular basis to keep in practice. Amount depends on your workflow and difficulty of the record. Please make corrections on pending records before submitting new ones. Remember to **resubmit** records the second time around. System strips 952 when sending to national authority file.

You may group:

Several records for review

Several simple duplicates, cancellations

Several routine BFM reports

If involved problem, send separately

Your actual arrangements for how to send records will vary based upon your reviewer's preferences.

Slide 11

**Guidelines :
Non-Roman Records**

- Send both NAR and surrogate pages for items
- Label them for easy matching
- Fax to reviewer or email via pdf

11

For non-Roman material, please fax in surrogate pages to reviewer. Reviewer will then redistribute to specialist in that language.

A new alternative is to scan in the page and convert to pdf. You can then email that attachment to the reviewer.

Slide 12

**Guidelines :
Review Objectives**

- A representative range of records (language, levels of difficulty)
- In sufficient volume
- No more than 10% error rate in areas that affect access

12

Formal review is dependent upon the 2 participants and the level of difficulty of the work.

Slide 13

**Guidelines :
After Independence**

- Independent library handles its own review and quality control
- Send information to naco@loc.gov
 - Update duplicate to be kept, then send information regarding duplicate to be deleted
 - Send BFM if needed (LCCNs)

13

Quality control reverts to institution after independence. Queries can still be sent in. Adjust NARs in case of duplicates or conflicts; only LC liaison can cancel records. Send LCCNs of cataloging records to be changed.

Slide 14

Guidelines : After Independence Reporting Duplicates and BFM

- Reports from OCLC make some duplicate and BFM reports unnecessary
- NACO institutions may continue to report all duplicates and BFM if that simplifies the task
- Reportable vs. non-reportable BFM document with guidelines:
<http://www.loc.gov/catdir/pcc/naco/bfmguide.html>

14

Slide 15

Guidelines : After Independence Non-Reportable Duplicates

- If the heading is identical on duplicate NARs, no BFM is needed
- NACO catalogers transfer data as needed and report deletion to naco@loc.gov
- OCLC periodically sends error reports to LC liaisons to delete the duplicate NAR

15

If NACO libraries do not want to go through sorting-out reportable and non-reportable duplicates, they may send deletion and cancellation (for non-reportable duplicates) to naco@loc.gov. Note OCLC generates error reports periodically but the process for getting the record canceled/deleted takes much longer - consulted Anthony on 8/20/2009.

Slide 16

Guidelines : After Independence Reportable Duplicates

- If the heading is NOT identical on duplicate NARs, BFM may be necessary
- NACO catalogers fix NARs, report the duplicate and the BFM to naco@loc.gov as needed
- PCC specialist deletes duplicates and does BFM

16

Slide 17

Guidelines : After Independence Duplicate/BFM Message

Identify which NAR to keep and which to delete and email that information to naco@loc.gov

- Include both the **LCCNs** and the 1XX of the NARs
- Include the **LCCNs** for the bibliographic records as well

17

Slide 18

Guidelines : After Independence Duplicate/BFM Reports

- Duplicate NAR deletion and BFM of bibliographic records must be done at LC for proper redistribution of the records
- **LC** will handle the file maintenance locally, forwarding within LC as appropriate

18

Slide 19

Guidelines : Duplicate/BFM Reports in Review Process

- If your NACO reviewer is an LC cataloger, duplicates and BFM can be handled directly by the reviewer
- If your NACO reviewer is at another institution, you and your reviewer decide who reports deletion/BFM requests to LC Coop (naco@loc.gov)

19

When your NACO reviewer is at another institution, you and your reviewer can decide who reports deletion and bfm requests to LC Coop. You may send in the requests to your reviewer and your reviewer forwards them to LC, or with the permission from your reviewer, you may send in the reports to LC directly. **But your reviewer must have already looked at the records you are reporting** -- consulted Anthony on 8/20/2009.

Slide 20

**Guidelines :
Keep Work Current**

- 24-hour rule – Any record that's been in a save file for over 24 hours must have 1XX and 4XX searched again before contribution!!
- Avoid backlog in local or utility save files

20

Stay current with workflow

Slide 21

**Guidelines :
One NACO Contact**

- To keep communications straight, one NACO contact at your library works with a reviewer
- Have a back-up NACO contact
- Provide continuity when staff changes

21

There should be 1 NACO contact on site and a backup for that person. Please let Coop know of changes in staff.

Slide 22

**Guidelines :
Keep In Touch**

- Let us know if problems arise
- Follow up if queries are unanswered
- NACO contact in Coop:

Carolyn Sturtevant 202-707-4551 cast@loc.gov	Gracie Gilliam 202-707-2250 ggil@loc.gov
--	--

22

Administrative contact information – consulted Anthony on 8/20/2009.

Slide 23

Guidelines :
Track Your Contributions

- Semi-annual stats on web page:
www.loc.gov/catdir/pcc/stats/stats.html
- Monthly contribution stats are sorted by institution name
- New and changed NARs count toward annual institutional goals

23

Check your stats and other libraries contributions online at listed web page.

100 per year is minimum requirement for ACRL academic large libraries. If you have questions about your ability to contribute enough, then look for a funnel to join.

Slide 24

Guidelines :
Training Resources Online

- Training materials for PCC NACO Institutes:
<http://www.loc.gov/catdir/pcc/naco/trainees.html>
- General NACO information:
<http://www.loc.gov/catdir/pcc/naco/naco.html>

24

Slide 25

Guidelines :
Subscribe to PCClist

- Announcements, policy changes, discussions
- List limited to contributing PCC libraries
- Send message to Coop to inquire subscription to PCClist: coop@loc.gov

25

PCClist—discussion group and cataloging announcements. All are welcome to be on the list.

Inquiry on subscribing PCClist should send to coop@loc.gov - consulted Anthony on 8/20/2009.

Slide 26

**Guidelines :
PCC Web page**

- PCC governance and programs
- Calendar
- Announcements, archives, statistics
- Documentation, FAQs, and links

<http://www.loc.gov/catdir/pcc/>

26

More information on PCC—see web site.

Slide 27

**Guidelines :
PCC Partners at ALA**

- PCC Participants meetings
- BIBCO/CONSER-at-Large meetings
- Workshops available
- Agendas and summaries on PCC web page

27

Check PCCList and calendar on PCC web page for meeting/workshop announcements.

Slide 28

**Guidelines :
Other Training**

- Series workshops
- SACO workshops
- BIBCO training at your institution
- CONSER training at your institution
- Train the NACO/BIBCO/Series Trainer

28

Other workshops and training sessions are available. Look for announcements on PCCList and PCC web sites.

Slide 29

Evaluations

Online evaluation form
<http://www.loc.gov/catdir/pcc/naco/trainers/eval2.html>

Please do this NOW!

29

Please let us know how we did and what we need to do to improve.

Slide 30

May the way be clear ...
and the future bright!



"NARS"

30

The training and post-training review should help to make the road to AR creation smooth.

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FOR DOUBLE SIDED COPY*

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TAB

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FOR DOUBLE SIDED COPY*

Canadian Headings



DCM Z1 1XX
Canadian Headings

Canadian Headings

Personal names (Canadian Imprints)

Establish from (in this preferred order):

1. Canadian CIP data printed in the item.
2. Headings on AACR2 LAC bibliographic records in utility databases.
3. LAC authority and AACR2 bib. record headings in the AMICUS database.

2

In 2003, the National Library of Canada (NLC) and the National Archives of Canada merged to form Library and Archives Canada (LAC).

The LAC form for personal names will be accepted for some personal names used in cataloging materials with Canadian imprints. PCC catalogers must search the AMICUS authority file to find the LAC approved form of the heading when this form is needed in cataloging of Canadian imprints and it is not available elsewhere, e.g., Canadian CIP data or access points on current LAC bibliographic records.

Canadian imprints: the name of a Canadian city appears as the primary (first) place of publication.

If the name is not found in AMICUS it is not necessary to ask LAC to establish a personal name heading; establish the personal name based on the information in the item, etc. as per usual. Record that you searched the AMICUS database but didn't find anything in a 675 field.

Canadian Headings : LAC MARC 21 & OCLC Code

- **CaOONL** is the MARC code for **Library and Archives Canada**
- **NLC** is the OCLC code for **Library and Archives Canada**

3

The OCLC symbol for Library and Archives Canada remains NLC. Its MARC organization code is CaOONL.

Canadian Headings : 670 Field Citations

If found, cite in 670 as:

670 _ _ Title of work, date: \$b t.p.
(usage) Can. CIP (data found)

OR

670 _ _ OCLC, date \$b (LAC hdg.: _____;
usage: _____)

4

First example shows how to cite CIP information found in the item being cataloged.

From DCM Z1: **Note:** CIP data may be found to be incorrect. Catalogers should use judgment in determining if additional searching is needed and/or if the heading should be accepted "as is." In the interest of efficiency a quick decision is encouraged; however, do not query LAC on the form of the heading. If necessary establish the name according to usual LC practice and record the LAC form in a 670 citation.

Second example shows how to cite information about LAC AACR2 bibliographic records found in OCLC if there is no CIP information in the item.

Canadian Headings : 670 Citation

If the LAC bib. record found in OCLC is for the same item that is being cataloged:

670 _ _ Title of work, date: \$b location
(usage) LAC hdg. (data found)

e.g.

670 _ _ When the fat man sings, 2002:
\$b t.p. (Liz McKeen) LAC hdg.
(McKeen, Liz, 1952-)

5

If the LAC bib. record found in OCLC is for the same item that is being cataloged the heading found on the LAC bib. record can be included in the 670 citation for the work being cataloged, as shown in the example in this slide.

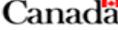
Canadian Headings : Not Found In Can. CIP/OCLC

If NOT found in Can. CIP or on an LAC
bibliographic record in OCLC:

Search the LAC authority file: AMICUS

[http://amicus.collectionscanada.ca/aaweb/aalogin
e.htm](http://amicus.collectionscanada.ca/aaweb/aalogin
e.htm)

6

	Library and Archives Canada	Bibliothèque et Archives Canada		
Français	Contact Us	Help	Search	Canada Site
Home	About Us	What's New	What's On	Publications



About AMICUS

Acceptable Use Policy

News

Registration

Support Services

Training

Z39.50

Specialized AMICUS Sites (more...)

- ◆ **Canada, by Train**
- ◆ **Canadian Children's Literature Database**

Welcome

[Introduction](#) | [Comments](#) | [AMICUS Help](#)

Welcome to AMICUS, the Canadian national catalogue available free of charge.

[Search AMICUS](#)

As a national catalogue, AMICUS not only shows the published materials held at Library and Archives Canada (LAC) but also those located in over 1300 libraries across Canada.

Use AMICUS to find where the item you need is located. If it's not in a library near you, consult your local library for interlibrary loan services available to you. More...

Registered Users

Username

Password

[OK](#) [Change Password](#)

Forgot Your Password?
Register for Additional Free Services!

Available 24 hours a day, 7 days a week.
[Bookmark this page.](#)

Created: 1999-08-01 Updated: 2004-09-16	Top of page	Important Notices
--	-----------------------------	-----------------------------------

If you frequently work with Canadian imprints, use the registered service (you can register for free) of AMICUS because it allows you to view the complete authority records in MARC. URL for registered service: <http://amicus.nlc-bnc.ca/aaweb/aalogine.htm>

Authority - MARC Record

[Account](#) | [New Search](#) | [Français](#) | [Comments](#) | [View List](#) | [Help](#) | [Exit](#)

Authority: 20737

```
000 00455cz 2200157n 4500
001 0104G2568
003 CaOONL
005 19890713 .0
008 770413nxbacnnaabn a aaa
016 °a0104G2568
040 °aCaOONL °beng °cCaOONL °dCaOONL
042 °anlc
100 1 °aGrabb, Edward G
400 1 °wnane°aGrabb, Edward George
670 °aHis Ph.D. thesis.
670 °aCIP info. (Holt, Rinehart and Winston of Canada) Full name.
      Date (1947) Canadian. 8
```

Note the code in the 040 that identifies it as and LAC record.

Canadian Headings : Heading Found In Amicus

Authority record:

670 __ AMICUS, date \$b (hdg. found)

or if no authority record, cite bibliographic record:

670 __ AMICUS database, date \$b (LAC
hdg.: _____; usage: _____)

9

The screenshot shows the AMICUS Canadian National Catalogue search interface. The search term 'happy' is entered in the search box, and the results are displayed as a list of entries. The entry for 'Happy, R. E. (Ruth Elizabeth), 1950-' is highlighted, and a button labeled 'Authorities' is visible next to it. The interface includes navigation buttons such as 'Display Selections', 'Clear Selections', 'Previous', and 'Next'.

AMICUS
Canadian National Catalogue
Registered Service

Browse: Name
Introduction | Comments | AMICUS Help | My List | My Profile
Exit Registered Service

Term:

Select one or more entries from the index

- Happy Polkateers (1 record)
- Happy, R. E (1 record)
- Happy, R. E. (Ruth Elizabeth), 1950- (1 record)
- Authorities**
- Happy, R.E (2 records)
- Happy, Rita (4 records)
- Happy Roamin' Rangers (2 records)
- Happy Roamin' Rangers (Groupe musical) (1 record)
- Happy, Ruth (1 record)
- Authorities**
- Happy Sax (Musician) (1 record)
- Happy, Shelly (7 records)

Here's a name search done on the author R.E. Happy. The authorized form is identified by the presence of the button labeled "Authorities."

Canadian Heading : Citing NAR From AMICUS

		Authority - Full Record Introduction Comments AMICUS Help My List My Profile Exit Registered Service		Basic Search Advanced Search Command Search
<input type="button" value="MARC"/> <input type="button" value="Bibliographic Records"/> <input type="button" value="Save"/>				
Authority: 337251				
NAME: Happy, R. E. (Ruth Elizabeth), 1950-				
SOURCE DATA FOUND: Her Gender and empire. NL 91. Full name. Date. Canadian.				
CANADIANA: 0062B1755 RECORD STATUS: New record				
ENTERED ON FILE: 890717 LAST CHANGED: 19890721 .0				
<input type="button" value="MARC"/> <input type="button" value="Bibliographic Records"/> <input type="button" value="Save"/>				
Created: 2002-07-08 Updated: 2003-11-19		Top of page		Important Notices

670 _ _ AMICUS, July 24, 2005 \$b (Happy, R. E. (Ruth Elizabeth), 1950-)

11

Here's a full display of her authority record and an example of how it would be cited in a 670 field.

Canadian Heading – Citing LAC Bib. Record Heading From AMICUS



Canadian National Catalogue
Registered Service

MARC Record

Introduction | Comments | AMICUS Help | My List | My Profile
Exit Registered Service

Basic Search
Advanced Search
Command Search

Brief
Full
Locations
Save

AMICUS No. 8891422

```

000 00838nam 22002295a 4500
001 00008891422
003 CaOAMICUS
005 19891004 .0
007 he amb024bbca
008 890717s1989 onc bmb 00010 eng
016 ^a 89027987X
020 ^a031544938
040 ^aCaOONL ^beng ^cCaOONL
082 0 ^aC810 ^219
100 10 ^aHappy, R. E.^q(Ruth Elizabeth),^d1950-
245 10 ^aGender and empire ^h[microform] : ^bSara Jeannette Duncan's view
      from the margins / ^cby R.E. Happy.
260 0 ^aOttawa : ^bNational Library of Canada, ^c1989.
265 ^aCanadian Theses Service/Services des thèses canadiennes,
      BNC/NLC, Ottawa, Ont. K1A 0N4
300 ^a2 microfiches (110 fr.)
490 0 ^aCanadian theses = Thèses canadiennes
502 ^aThesis (M.A.)--University of Guelph, 1988.
504 ^aIncludes bibliographical references.
  
```

Be sure record is an LAC record

670 __ AMICUS, July 24, 2005 \$b (LAC hdg.: Happy, R. E. (Ruth Elizabeth), 1950- ; usage: R.E. Happy) 12

If you don't find an authority record but do find bibliographic records that can be cited, be sure that you are viewing bibliographic records from the LAC and not from some other library. LAC records can be identified by the presence of the LAC MARC organization code (CaOONL) in the 040 of the bibliographic record.



AMICUS
Canadian National Catalogue
Registered Service

MARC Record

Introduction | Comments | AMICUS Help | My List | My Profile
Exit Registered Service

Basic Search
Advanced Search
Command Search

Brief | **Full** | **Locations** | **Save**

AMICUS No. 17756678

```

000 01136cam 2200229ua 4500
001 000017756678
003 CaOOAMICUS
005 19990625 .0
008 910826s1989 onc 000 0 eng c
040 °aCa&EU °beng °dCa&EU
041 0 °aengfre
055 3 °aP 40 °bI628 1987
110 2 °aInternational Federation for Modern Languages and
Literatures.°bCongress°n(17th :°d1987 :°cGuelph, Ont.)
245 10 °aHistorical and cultural contexts of linguistic and literary
phenomena = °bContexts historiques et culturels des phenomenes
linguistiques et litteraires: proceedings of the Seventeenth
Triennial Congress of the Fédération Internationale des Langues et
Littératures Modernes held at the University of Guelph, Guelph,
Ontario, Canada / °cedited by G.D. Killam, R.E. Happy.
260 °aGuelph : °bUniversity of Guelph, °c1989.
300 °a305 p. ; °c24 cm.
650 0 °aLanguage and culture °xCongresses.
650 0 °aLiterature and society °xCongresses.
700 1 °aKillam, G. D.
700 1 °aHappy, R. E.
740 0 °aContextes historiques et culturels des phenomenes linguistiques
et litteraires.
852 °91 °aCa&EU °hP 40 I628 1987

```

Not an LAC record

CaAEU is the MARC code for University of Alberta. On this bibliographic record, the access point for this author is not in the same form as it is in both the LAC authority record and the LAC bibliographic record.

Canadian Headings : Heading Not Found In AMICUS

- Cite the LAC source searched in a 675 field

675 _ _ AMICUS, Sept. 11, 2007

- Establish heading based on form(s) found in the item and info found elsewhere.

14



Browse: Name
[Introduction](#) | [Comments](#) | [AMICUS Help](#) | [My List](#) | [My Profile](#)
[Exit Registered Service](#)

[Basic Search](#)
[Advanced Search](#)
[Command Search](#)

Term:

Select one or more entries from the index

- Canadian illustrated news (Montreal, Que.) (2 records)
- Canadian Image Processing and Pattern Recognition Society (36 records)
- Canadian Image Processing and Pattern Recognition Society (1 record)
- Canadian Images (3rd : 1994 : Winnipeg, Man.) (2 records)
- Canadian Images Conference (3rd : 1994 : Winnipeg, Man.) (0 records)
- Canadian immigration and population study (6 records)
- Canadian Immigration and Population Study. Report (1 record)
- Canadian Immigration Historical Society (14 records)
- Canadian Immigration Historical Society (1 record)
- Canadian Immigration Office (London, England) (1 record)

100 1 _ Canadian, Ima

670 _ _ Maple leaf gal, c2003: \$b t.p. (Ima Canadian)

675 _ _ AMICUS, Sept. 11, 2007

15

No records found in AMICUS for the author Ima Canadian. Cite AMICUS in 675 field and then establish the name heading based on the usual procedures.

Canadian Headings : Conflicts

- If the form found in the Canadian CIP or in AMICUS would conflict with another heading, do not use it.
- Instead, make appropriate modifications to insure uniqueness and record the LAC form in a 670 citation.

16

Information in slide comes from DCM Z1 1XX:

In the event that a Canadian personal name conflicts with an established name in the LC/NAF make the appropriate modifications to assure uniqueness and record the LAC form in a 670 citation. Add/keep all references found in the LAC authority record even if the LAC [670](#) does not provide any justification.

Canadian Headings : Personal Names In OCLC Database

If the existing heading matches the LAC heading – *except* that the LAC heading includes a date:

Accept the existing heading as the AACR2 form, i.e., do not change the heading to add the date.

17

Information in slide came from DCM Z1 Appendix 2, section 2.3, but is no longer found in the current DCM Z1 1XX instruction on Canadian personal names:

“If the existing LC heading matches the LAC heading except that the LAC heading includes a date, accept the existing LC heading as the AACR2 form, i.e., do not change the heading to add the date, and vice versa. (Dates added to personal name heading are additions to the heading and are not considered when comparing forms.)”

Note: When establishing a new heading and the LC or PCC cataloger has date information but there is no conflict, do not include the date whenever the LAC form does not show this addition.

Canadian Headings : References

Accept LAC references without justification:

- However, assure that these are formulated according to current conventions and practices (see DCM Z1, RIs for chapters 22 & 26, etc.)

18

DCM Z1 1XX:

Add/keep all references found in the LAC authority record even if the LAC 670 does not provide any justification.

MARC	Bibliographic Records	Save
Authority: 61619		
NAME: Hamilton, Pierce Stevens, 1826-1893		
SEEN FROM: Hamilton, P. S		
SOURCE DATA FOUND: His The feast of Saint Anne and other poems. L.C. Dates. His Union of the colonies of British North America. P.S. Hamilton.		
CANADIANA: 0040L4829		
RECORD STATUS: Corrected/revise		
ENTERED ON FILE: 801105		
LAST CHANGED: 19870602 .0		
MARC	Bibliographic Records	Save
Created: 2002-07-08 Updated: 2003-11-19		
Top of page		Important Notices
100	1 _	Hamilton, Pierce Stevens, \$d 1826-1893
400	1 _	Hamilton, P. S. \$q (Pierce Stevens), \$d 1826-1893
670	_ _	The feast of St. Anne ... 1890: \$b t.p. (Pierce Stevens Hamilton)
670	_ _	AMICUS, Aug. 3, 2005 \$b (Hamilton, Pierce Stevens, 1826- 1893)

Although the reference in AMICUS only includes initials without any other additions (some of his works were published as P.S. Hamilton), the reference in the LC/NACO authority file must be formulated according to current LC conventions and practices, which require the addition of the full forms of the names and the dates. However, there is no need to justify this reference in the 670.



Authority - Full Record

[Introduction](#) | [Comments](#) | [AMICUS Help](#) | [My List](#) | [My Profile](#)
Exit Registered Service

[Basic Search](#)
[Advanced Search](#)
[Command Search](#)

MARC
Bibliographic Records
Save

Authority: 569907

NAME: Hamilton, Phyllis, 1925-

SEEN FROM: Hamilton, Phyllis Buchanan, 1925-

SEEN FROM: Hamilton, Phyllis Edna, 1925-

SOURCE DATA FOUND: Her With heart and hands and voices, c1996.
Date. Full name. Canadian.
Author's form: (Phyllis Edna Hamilton)

CANADIANA: 1004K4648

RECORD STATUS: Corrected/revised

ENTERED ON FILE: 980507

LAST CHANGED: 20030917142223.0

MARC
Bibliographic Records
Save

Created: 2002-07-08
Updated: 2003-11-19
[Top of page](#)
[Important Notices](#)

100 1 _ Hamilton, Phyllis, \$d 1925-

670 _ _ With heart and hands and voices, c1996: \$b t.p. (Phyllis Hamilton)

670 _ _ AMICUS, Aug. 3, 2005 \$b (Hamilton, Phyllis, 1925-)₂₀

No 400 references needed from *Hamilton, Phyllis Buchanan, 1925-* or *Hamilton, Phyllis Edna, 1925-* because generally provide references only for those variants that affect the primary elements of the name (elements left of comma and first element to right)—LCRI 26.2

However, can refer from those that don't affect primary elements when it is judged that access to the database would be improved; for example, when the heading is a common-sounding name.

Questions



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Canadian Corporate Body Headings

DCM Z1 (1XX Headings) Canadian Headings

1

Canadian Corporate Body Headings

For Canadian imprints, use LAC-established form from:

1. Canadian CIP data
2. Headings on AACR2 LAC bibliographic records in utility databases
3. LAC NARs and AACR2 bib. record headings in AMICUS (<http://amicus.nlc-bnc.ca/aaweb/aalogine.htm>)

2

In 2003, the National Library of Canada (NLC) and the National Archives of Canada merged to form Library and Archives Canada (LAC).

When searching in AMICUS, be sure that you are looking at and citing a bib. record from LAC and not from some other library. Check the 040 to see if it says CaOONL.

DCM Z1 French vs. English:

LC/PCC practice is to establish Canadian corporate names in English whenever possible, the exception being headings for Québec corporate names which LC establishes in French. LAC practice is to establish all corporate headings in both English and French whenever possible—meaning that the two forms appear on works they have in hand. This means for many headings, there are separate and complete authority records in the English form and in the French form. There may also be some headings with a combination of the French and English. It is always necessary to search for the English form in the AMICUS database for use in establishing the heading.

Remind them to distinguish between headings on non-LAC records in AMICUS and headings on LAC records (check 040 MARC code).

Canadian Corporate Body Headings

If *still not* found:

1. Create an NAR following NACO guidelines
2. Send Web form request to LAC to verify the heading

<http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html>

3. LAC responds directly to the cataloger who is requesting the verification
4. Adapt NAR heading, if necessary, based on LAC response

3

1. Follow everything you have been taught today.
2. Here's the link; if you lose it, just go to the PCC/NACO homepage and you will find it there.
3. Common report is that they respond quickly, directly to the requesting cataloger.
4. Their modifications supersede the NACO guidelines for their Canadian corporate body names.

The LIBRARY of CONGRESS Program for Cooperative Cataloging
NACO Name Authority Cooperative Program of the PCC

Canadian Corporate Name Heading: Notification to Library and Archives of Canada when creating an NAR for a Canadian corporate name

Guidelines for using the LAC notification form

1. Input information into all applicable boxes; include both the LCCN of the newly created NAR and the 1XX field.
2. Delimiters and diacritics create conversion problems when transmitting data; therefore, as appropriate:
 - ▶ Include subfields in headings but **convert delimiters to dollar signs** (e.g. \$b)
 - ▶ **Remove diacritics** before submitting the form and include a note in the comments box that the heading includes diacritics.
3. Include source information (as used in 670) and other helpful information in the comments box.

1. MARC 21 institution code of cataloger sending notification:

2. LCCN of NAR created for Canadian corporate entity: *required

110, 111, or 151 as formulated by LC/NACO cataloger: *required

3. Comments (source citation, references, helpful notes, etc.)

Name of cataloger:

E-mail: *required

4

View of the Web form for notifying LAC when a new Canadian corporate name heading has been established.

Note that several fields are required.

Canadian Corporate Body Headings

If found, cite in 670 as:

670 __ Title of work, date: \$b t.p. (usage) Can.
CIP (data found)

670 __ OCLC, Sept. 15, 2005 \$b (LAC hdg.: ____;
usage: ____)

670 __ AMICUS, Aug. 29, 2005 \$b (LAC bib. hdg.: ____;
usage: ____)

670 __ LAC database, Aug. 15, 2007 \$b (hdg.: ____;
variant: ____)

5

1st 670 is a Can CIP bib. rec.

The important point for these 670's is to indicate the Canadian source of information for the form of the heading that has already been used for any heading established from a Canadian imprint.

Canadian Corporate Name References

- Trace “see” references found on **LAC** NARs or as provided by **LAC** unless incompatible with other existing entries
- Trace “see also” references given by **LAC** according to normal guidelines (cf. **LCRI 26.3B-C**)
- Justification of these references is not necessary.
- If a subfield \$w is found on a **LAC** NAR analyze the reference to determine if this subfield is needed. Delete or adjust the subfield (or the reference) if it does not follow LC/PCC conventions.

6

Canadian Corporate Name References

- **LAC** formerly used a simple “see also” (no subfield \$w coding used) for earlier/later cross-references
- Code the references earlier/later per LC/PCC practice if using an older **LAC** record and the information is readily available
- Additional references may be given, justified by normal practice

7

Canadian Conference Names

- Use judgment in considering meetings held in Canada as “Canadian”
- LAC establishes ongoing conferences with qualifiers for each individual conference. Delete these qualifiers and establish one authority record for the series of conferences

DCM Z1;
LCRI 24.7B

8

For example, if an international conference happens to meet in Canada, it is not necessary to follow the special **LAC** procedures. The main criterion for deciding a conference is “Canadian” is Canadian sponsorship.

Canadian Corporate Body : Capitalization/Punctuation

If the LAC form differs from the LC/PCC AACR2 practice for capitalization or punctuation, accept the LAC form

9

Canadian Corporate Body : Exceptions

- If LAC indicates that the name is not a corporate body (e.g., a plan, a project) establish the heading according to the usual LC/PCC practice. Record the LAC decision in a 670 field
- LC/NACO libraries do not have to contact LAC for Canadian corporate bodies associated with the Society of Friends (see DCM Z1 for more details)

10

Canadian Corporate Body : Exceptions

- LAC does not follow two-heading practice for Canadian parks, forests, etc.
- LAC establishes headings for Canadian First Nations as corporate bodies (110), not as jurisdictions (151). Accept the LAC coding

010		no2007002695
040		WaU #b eng #c WaU
110	2	Deh Cho First Nations
410	2	Deh Cho First Nation
410	2	Premières nations du Deh Cho
670		Boreal caribou habitat and land use planning in the Deh Cho region, Northwest Territories, 2004: #b t.p. (Deh Cho First Nation, NT) p. iii (Deh Cho First Nations)
670		AMICUS, Jan. 9, 2007 #b (Deh Cho First Nations. Equivalent: Premières nations du Deh Cho)

11

LAC establishes Canadian parks and forests as subject entities, since they are not corporate bodies in the Canadian context. LC/PCC will follow LAC practice for Canadian parks and forests. LAC will follow NACO practice for U.S. parks and forests.

(We'll do their's their way, and they'll do ours our way.)

Canadian Corporate Body : Headings for Québec

LCRI 24.1A

- For corporate bodies in Québec, establish in the French form
- If the French form of name is chosen as the heading and it includes a qualifying term in French, change the qualifying term to **English**

12

We are an English-cataloging agency.

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Rec stat	n		Entered	20061012	Replaced		
Type	z	→	Upd status		Enc lvl	n	→ Source
Roman	■	→	Ref status		Mod rec		Name use a
Govt agn	■	→	Auth status		Subj	a	Subj use a
Series	n		Auth/ref	a	Geo subd	n	Ser use b
Ser num	n	→	Name		Subdiv tp	n	→ Rules

Upd status: 008/31		Record update in process code	Indicates whether a change in any field of the record is underway
	a	Record can be used	
	b	Record is being updated	

Ref status: 008/29		Reference evaluation code	Indicates whether references have been evaluated and whether those references are consistent with the heading. Code <i>b</i> is used when the AACR2 form appears as the established heading (1xx) but the references may not have been re-evaluated in their relationships to the new heading
	a	Tracings are consistent with heading	
	b	Tracings are not necessarily consistent with heading	
	n	Not applicable	

Auth status: 008/33		Level of establishment code	Indicates the status of a heading in an authority record
	a	Fully established heading	
	b	Memorandum (established but not yet used)	
	c	Provisional	

	d	Preliminary	
	n	Not applicable (not an established heading)	

Name: 008/32		Undifferentiated personal name code	Indicates whether, because neither date nor distinguishing terms are available, the same heading is used for more than one person
	a	Differentiated personal name	
	b	Undifferentiated personal name	
	n	Not applicable	

Source: 008/39		Cataloging source code	Indicates the source of the authority data. Code <i>c</i> is used in records contributed through NACO to LC.
	#	National bibliographic agency	
	c	Cooperative cataloging program	
	d	Other	
	u	Unknown	
	■	No attempt to code	

Rules: 008/10		Descriptive cataloging rules code	Represents the cataloging rules used for establishing the name, name/title, or uniform title heading in the 1xx field. LC does not currently use <i>a</i> , <i>b</i> , or <i>z</i> . Records on file with <i>a</i> or <i>b</i> are changed to <i>c</i> or <i>d</i> when modified for any other reason
	a	Earlier rules	
	b	AACR1	
	c	AACR2	
	d	AACR2 compatible	
	n	Not applicable	
	z	Other	

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CORPORATE BODY (AACR2 Chapter 21, Rule 21.1B1)

A [corporate body](#) is an organization or a group of persons that is identified by a particular name and that acts, or may act, as an entity. Consider a corporate body to have a name if the words referring to it are a specific appellation rather than a general description. Consider a body to have a name if, in a script and language using capital letters for proper names, the initial letters of the words referring to it are consistently capitalized, and/or if, in a language using articles, the words are always associated with a definite article. Typical examples of corporate bodies are associations, institutions, business firms, nonprofit enterprises, governments, government agencies, projects and programmes, religious bodies, local church groups identified by the name of the church, and [conferences](#).

TYPES OF CORPORATE BODIES

INSTITUTIONS (LCRI 24.4C)

Institution (school, library, laboratory, hospital, archive, museum, prison, etc.)

GOVERNMENT BODIES (AACR2 24.17A)

A body created or controlled by a government.

However, if a [government] body is subordinate to a higher body that is entered under its own name, formulate the [heading](#) for the [subordinate body](#) according to [24.12-24.14](#). [which means the body is treated as a non-government body]

NON-GOVERNMENT BODIES

A body that is not controlled by a government

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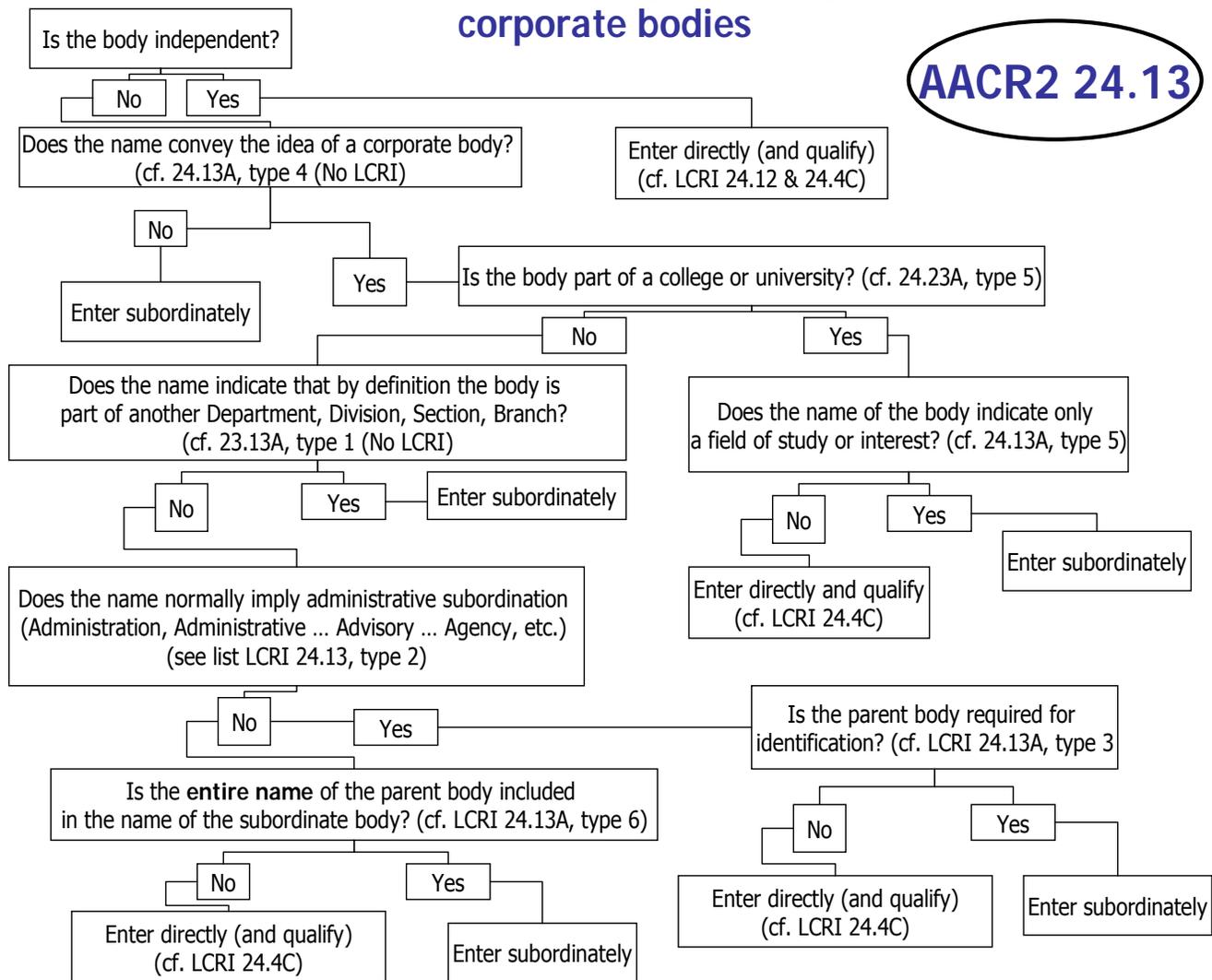
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Subordinate vs. direct entry for non-government corporate bodies

AACR2 24.13



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FORMULATING GOVERNMENT CORPORATE BODIES (AACR2/LCRI 24.18)

