

Update Information
2020 Update Number 2

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	Title Page. Updated to reflect new Policy, Training, and Cooperative Programs Division name. Replace.
Z1	Name and Series Authority Records	008/32 – Undifferentiated Personal Name. Updated to reflect new Policy, Training, and Cooperative Programs Division name. Replace.
Z1	Name and Series Authority Records	053 – LC Classification Number. Updated to reflect new Policy, Training, and Cooperative Programs Division name. Replace.
Z1	Name and Series Authority Records	1XX – Headings. Removed note on pending status regarding use of subfield \$h. Updated CONSER email address. Replace.
Z1	Name and Series Authority Records	368 – Other Attributes of Person or Corporate Body. Added instruction to prefer singular form of uncontrolled terms in subfields \$a and \$b. Added new examples. Replace.
Z1	Name and Series Authority Records	373 – Associated Group. Revised example. Replace.
Z1	Name and Series Authority Records	382 – Medium of Performance. Added instruction to follow Music Library Association’s best practices. Removed individual subfield sections. Replace.
Z1	Name and Series Authority Records	4XX – See From Tracings – General Information. Removed note on pending status regarding use of subfield \$h. Replace.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	5XX – See Also From Tracings – General Information. Corrected subfield value. Replace.
Z1	Name and Series Authority Records	781 – Subdivision Heading Linking Entry – Geographic Subdivision. Updated to reflect new Policy, Training, and Cooperative Programs Division name. Replace.
Z1	Name and Series Authority Records	Appendix 1– Ambiguous Entities. Updated to reflect new Policy, Training, and Cooperative Programs Division name. Replace.
Supplement to the MARC 21 Format for Authority Data	100 Heading – Personal Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	110 Heading – Corporate Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	111 Heading – Meeting Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	130 Heading – Uniform Title	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	382 Medium of Performance	Removed requirement to consult before using subfields \$e, \$r, and \$t (NACO and LC Names/Series sections). Updated to reflect new Policy, Training, and Cooperative Programs Division name. Replace.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	400 See From Tracing – Personal Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Added instruction not to use subfield \$4 (SACO section). Replace.
Supplement to the MARC 21 Format for Authority Data	410 See From Tracing – Corporate Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	411 See From Tracing – Meeting Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	430 See From Tracing – Uniform Title	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	480 See From Tracing – General Subdivision	Added instruction not to use subfield \$4 (SACO and LC Subjects sections). Clarified “Tracings and References” reference. Replace.
Supplement to the MARC 21 Format for Authority Data	481 See From Tracing – Geographic Subdivision	Added instruction not to use subfield \$4 (SACO and LC Subjects sections). Clarified “Tracings and References” reference. Replace.
Supplement to the MARC 21 Format for Authority Data	482 See From Tracing – Chronological Subdivision	Added instruction not to use subfield \$4 (SACO and LC Subjects sections). Clarified “Tracings and References” reference. Replace.
Supplement to the MARC 21 Format for Authority Data	485 See From Tracing – Form Subdivision	Added instruction not to use subfield \$4 (SACO and LC Subjects sections). Clarified “Tracings and References” reference. Replace.
Supplement to the MARC 21 Format for Authority Data	500 See Also From Tracing – Personal Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	510 See Also From Tracing – Corporate Name	Added instruction not to use subfield \$4 (SACO and LC Subjects sections). Replace.
Supplement to the MARC 21 Format for Authority Data	511 See Also From Tracing – Meeting Name	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	530 See Also From Tracing – Uniform Title	Removed requirement to consult before using subfield \$h (NACO and LC Names/Series sections). Replace.
Supplement to the MARC 21 Format for Authority Data	670 Source Data Found	Removed requirement to consult before using subfield \$w (SACO and LC Subjects sections). Updated to reflect new Policy, Training, and Cooperative Programs Division name. Replace.

DESCRIPTIVE CATALOGING MANUAL

Z1: NAME AND SERIES AUTHORITY RECORDS

Prepared by the

Policy, Training, and Cooperative Programs Division

Library of Congress

008/32 Undifferentiated Personal Name*General*

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

As of November 2013, LC and the PCC have agreed to the following guidelines for persons whose preferred names are identical:

- Do not use code “b” in an RDA name authority record; all personal name authority records coded RDA should be differentiated.
- Do not add a new identity to an existing personal name authority record coded 008/32 “b.”

Instead, apply RDA 9.19.1 to create a unique authorized access point for the person, using suitable additional elements.

Maintenance of existing undifferentiated records:

An existing undifferentiated NAR contains pairs of 670 fields used to group information about each individual covered by the NAR. The first 670 in the pair is an “identifying” 670 field containing a term descriptive of the person’s relationship to the title cited in the second 670 of the pair. The data in the identifying 670 field is contained in subfield \$a and enclosed in square brackets. The second 670 in the pair is a “citation” 670 that contains the normal data elements in a resource being cataloged citation.

Example:

```
100 1# $a Lloyd, Richard
670 ## $a [Author of Bound and minor words in Baruya]
670 ## $a Bound and minor words in Baruya, 1989: $b t.p. (Richard
    Lloyd)
670 ## $a [Added entry for Alex, the amazing juggler]
670 ## $a Alex, the amazing juggler, 1981: $b t.p. (Richard Lloyd)
670 ## $a [Editor of Allen Jones]
670 ## $a Allen Jones, 1995: $b t.p. (Richard Lloyd)
```

When information is found to distinguish a person in an existing undifferentiated name record:

- Always create a new name authority record for that person, with distinguishing information, and add an indication that the person was formerly on an undifferentiated record (see *667 notes on records for identities previously on undifferentiated records* below).
- Transfer the citation 670 pertaining to that person from the undifferentiated name record to the new name authority record and edit as necessary.
- If the undifferentiated NAR is not being deleted because multiple identities remain, delete the pair of 670 fields pertaining to the newly created NAR.
- If more than one identity remains in the undifferentiated NAR, and there is not sufficient information in the NAR to create new NARs for each name, leave the NAR coded AACR2.

In order to facilitate machine processing of authority records (e.g., matching, linking), when only one identity is left on an undifferentiated personal name authority record (i.e., other identities are being disambiguated and removed), take the following steps:

NACO catalogers:

- Assure that the undifferentiated NAR only contains information relevant to the single identity remaining (e.g., 670s).
- If a differentiated NAR has not been created for the last identity:
 - Add a 667 field to the undifferentiated NAR:

667 ## \$a Last identity on undifferentiated record;
reported for deletion.

- Report the undifferentiated NAR for deletion to naco@loc.gov. LC will create a new replacement NAR and delete the old NAR. In the new NAR, LC will add a 667 note and add the LCCN of the deleted NAR in field 010 subfield \$z.
- If a differentiated NAR has been created for the last identity:
 - Add that information in the 667 note on the undifferentiated record to assure that a duplicate NAR will not be created:

667 ## \$a Last identity on undifferentiated record;
reported for deletion in favor of [LCCN of
NAR].

- Report the undifferentiated NAR for deletion to naco@loc.gov; LC will delete the NAR and add the LCCN of the deleted NAR in field 010 subfield \$z of the newly created NAR.

LC catalogers:

- Create a new NAR for the remaining single identity. The authorized access point itself may be differentiated or it may be identical to the authorized access point in the undifferentiated NAR.
- Add the LCCN (010) of the NAR that will be deleted in 010 subfield \$z of the newly created NAR(s), then delete the old undifferentiated NAR.
- Add a 667 note to the new NAR as indicated below.

Example:

```
010 ## $a [LCCN] $z [LCCN of deleted NAR]
100 1# $a Lloyd, Richard $c (Linguist)
667 ## $a Formerly on undifferentiated name record: [LCCN of
deletd NAR].
670 ## $a Bound and minor words in Baruya, 1989: $b t.p. (Richard
Lloyd)
```

667 notes on records for identities previously on undifferentiated records

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

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

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

Records not coded as “undifferentiated” that contain multiple persons

These instructions apply to an NAR with 008/32 value “a” that contains 670s for different people with the same name. For instructions on an NAR that contains information about a single person with multiple identities, see the 500 and 663 sections of DCM Z1.

An NAR for a person might contain 670s that actually relate to different people with the same name because a cataloger erroneously concluded they were citations for the same person. This effectively creates an “undifferentiated” record although the record is not identified as such in the 008/32. Do NOT change the 008/32 value to “b.” Take the following steps:

NACO catalogers:

- Create a new NAR representing only one person, applying the instructions for conflict in new authority records.
- Add a 667 field to the new NAR as is done for persons formerly on undifferentiated name records.
- Transfer the 670 pertaining to that person from the “undifferentiated” name record to the new NAR and edit as necessary.
- In the “undifferentiated” NAR, do not change the 008/10 value, and do not add or remove subfield \$e “rda” in the 040 field.
- If the “undifferentiated” still NAR contains multiple identities:
 - Add a 667 field to the “undifferentiated” NAR:

```
667 ## $a Record contains multiple identities;
reported to LC for resolution, [date].
```

- Report the “undifferentiated” NAR for deletion to naco@loc.gov. LC will create new NARs for each remaining identity, delete the “undifferentiated” NAR

and add the LCCN of the deleted NAR in field 010 subfield \$z of the last newly created NAR.

- If the “undifferentiated” NAR now contains one identity :
 - Add that information in the 667 note on the “undifferentiated” record to assure that a duplicate NAR will not be created:


```
667 ## $a Last identity on undifferentiated record;
          reported for deletion.
```
 - Report the “undifferentiated” NAR for deletion to naco@loc.gov. LC will create new replacement NAR and delete the old NAR. In the new NAR, LC will add a 667 note and add the LCCN of the deleted NAR in field 010 subfield \$z.

LC catalogers:

- Create a new NAR representing only one person, applying the instructions for conflict in new authority records.
- Add a 667 field to the new NAR as is done for persons formerly on undifferentiated name records.
- Transfer the 670 pertaining to that person from the “undifferentiated” name record to the new NAR and edit as necessary.
- In the “undifferentiated” NAR, do not change the 008/10 value, and do not add or remove subfield \$e “rda” in the 040 field.
- If the “undifferentiated” NAR contains multiple identities:
 - Add a 667 field to the “undifferentiated” NAR:


```
667 ## $a Record contains multiple identities;
          reported to LC for resolution, [date].
```
 - Report the “undifferentiated” NAR for deletion to policy@loc.gov. **PTCP** will create new NARs for each remaining identity, delete the “undifferentiated” NAR and add the LCCN of the deleted NAR in field 010 subfield \$z of the last newly created NAR.
- If the “undifferentiated” NAR now contains one identity :
 - Create a new NAR for the remaining single identity. The authorized access point itself may be differentiated or it may be identical to the authorized access point in the undifferentiated NAR.
 - Add the LCCN (010) of the NAR that will be deleted in 010 subfield \$z of the newly created NAR(s), then delete the old “undifferentiated” NAR.
 - Add a 667 note to the new NAR as indicated below.

Examples:

New NAR for first person removed “undifferentiated” record:
 010 ## \$a [LCCN]

100 1# \$a Hernandez, Olaf, \$d 1970-
 667 ## \$a Formerly on undifferentiated name record: [LCCN
 of deleted NAR].
 670 ## \$a Living in hell, 2000: \$b t.p. (Olaf Hernandez)
 670 ## \$a Email from author, April 2, 2015 (born May 1,
 1970; author of Living in hell but not the author
 of Hell hath no fury)

New NAR for second person removed from “undifferentiated” record:

010 ## \$a [LCCN] \$z [LCCN of deleted NAR]
 100 1# \$a Hernandez, Olaf, \$d 1960-
 667 ## \$a Formerly on undifferentiated name record: [LCCN
 of deleted NAR].
 670 ## \$a Hell hath no fury, 2000: \$b t.p. (Olaf Hernandez)
 670 ## \$a Email from author, April 2, 2015 \$b (born March
 20, 1960; author of Hell hath no fury but not the
 author of Living in hell)

SARs

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

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

Prior to March 21, 1991, only value “n” was used in this field. Use value “a” if a new SAR is entered under a personal name authorized access point. Catalogers may change this field if the value is incorrect when updating the SAR for another reason.

053 LC Classification Number*General*

This field is used in NARs for persons to record classification numbers for individual literary authors. This field is also used in NARs for persons and corporate bodies to record biography numbers in span ML410-429.

Full information on the assignment of literary author numbers and their inclusion in NARs can be found in the Classification and Shelving Manual (CSM), instruction sheet F 632 (<http://www.loc.gov/aba/publications/FreeCSM/F632.pdf>).

Class PS8000 numbers should not be added in field 053. For the use of these numbers in NARs, see DCM Z1, 065 section. An NAR for a Canadian literary author may contain both field 053 and field 065.

PCC practice: NACO participants may use this field **only** in the following situation: to record LC classification numbers associated with personal name headings for authors who have written literary works, other than juvenile literature. They may input classification numbers found in completed bibliographic records in the LC OPAC or they may add unverified classification numbers (see Verification of LC classification numbers for literary authors).

LC practice: LC catalogers are strongly encouraged to add 053 fields to NARs for authors who have written literary works, other than juvenile literature. LC music catalogers and **PTCP** may add 053 fields to NARs in the span ML410-429, individual biography covering individuals and performance groups.

Examples:

```
053 #0 $a PQ8098.1.L54
100 1# $a Allende, Isabel

053 #0 $a PG5039.21.U6 $c Czech
053 #0 $a PQ2671.U47 $c French
100 1# $a Kundera, Milan

053 #0 $a ML421.A17 $c Biography
110 2# $a 10,000 Maniacs (Musical group)
```

Verification of LC classification numbers for literary authors

Only “LC-verified” class numbers may have second indicator “0.” An LC class number for a literary author is considered “LC-verified” if it has been assigned in a completed LC bibliographic record before being added to the NAR. Completed bibliographic records may be identified by this MARC coding:

```
906 $a 7 $b cbc
```

053 fields with LC-verified class numbers should precede 053 fields with unverified 053 LC class numbers.

Example:

```
053 #0 $a PS3556.05372
053 #4 $a PS3556.0554 $5 [MARC institution code]
100 1# $a Fontenot, Scott Michael, $d 1968-
```

NACO catalogers:

- Search the LC-OPAC to determine whether the number has been assigned in a completed LC bibliographic record.
- If the literary author number is verified, use second indicator “0”:

```
053 #0 $a PS3568.0243
```

- If the number is not LC-verified, an unverified 053 may be added using second indicator “4” with the MARC institution code in subfield \$5:

```
053 #4 $a [number] $5 [MARC institution code]
```

LC catalogers:

- If a NAR contains an 053 field with unverified LC call number is appropriate to use for the resource being cataloged, change the 053 field second indicator to “0” and remove \$5 to make the number “LC-verified.”
- If a NAR contains an 053 field with an unverified LC call number and it is not appropriate to use that number for the resource being cataloged, retain the existing 053 field and add a new 053 field with the LC-verified number.

1XX Headings

General

LC/PCC catalogers should consult the *PCC Post RDA Test Guidelines* at: <http://www.loc.gov/aba/pcc/rda/PCC%20Post%20RDA%20Test%20Guidelines.html> for instructions on using RDA and/or AACR2 in new and existing authority records.

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

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

NARs

Canadian Headings: RDA

As of August 2012 LC and PCC catalogers creating RDA name authority records are not required to search Library and Archives Canada (LAC) to determine the form of the authorized access point for either personal or corporate names. In cases of conflict, etc. a search for the LAC form of name may be conducted in the VIAF (viaf.org) or other databases. Note that as of April 2015, all Canadian First Nation entity names should be coded as 151 to align with the instructions for U.S. Tribal entities in LC-PCC PS 16.4.1.

SARs

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

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

For the title proper of a multipart monograph, consult RDA 2.1.2.3.

Choosing a monographic series title proper:

- (1) If the resource has more than one form of series title, consult RDA 2.12.2.2 and 2.12.2.5.
- (2) If the resource has the series title in more than one language or script on the same source, consult RDA 2.12.2.4.
- (3) If the resource has series title pages in more than one language and or script, consult RDA 2.2.3.1.

(4) Consider spacing and changes in typography when determining where the series title begins and ends. Also consult RDA 2.12.2.3.

Establishing an SAR access point:

(1) Determine choice of authorized access point based on RDA 6.27 and its associated LC-PCC PS.

(2) Exclude from the authorized access point the following information included in the series statement in the bibliographic record for the component part:

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

(3) Add a parenthetical qualifier(s) if appropriate according to the guidelines in LC-PCC PS 6.27.1.9.

(4) If you find a CONSER record,

(a) do not use an access point from a record in the following categories:

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

unless you have determined that the access point on such a record is the correct RDA authorized access point

(b) accept the choice and form of access point on records with 042 code of **lc**, **lcd**, or **pcc** as the authorized access point unless there is a clear-cut error. If you are a CONSER participant, correct an error in form of qualifier; choice of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator (conser@loc.gov) if an error is discovered; use the correct authorized access point on the SAR.

For instructions on converting an existing NAR to an SAR, see *Should an SAR be made?* in the Introduction of Z1.

368 Other Attributes of Person or Corporate Body*General*

Prefer controlled vocabulary for terms in subfields \$a, \$b, and \$c, recording the source in subfield \$2. For consistency, capitalize the first term in each subfield \$a, \$b and \$c. **When terms in subfields \$a and \$b do not come from a controlled vocabulary, use a singular form.**

Examples:

110 2# \$a Freer Gallery of Art
368 ## \$a Art museums (institutions) \$2 aat

151 ## \$a France
368 ## \$b Countries (sovereign states) \$2 aat

151 ## \$a Brzesko (Poland : Powiat)
368 ## \$b Powiat

100 0# \$a Joan, \$c of Arc, Saint, \$d 1412-1431
368 ## \$c Saints \$2 lcsh

100 0# \$a Palamedes \$c (Arthurian legendary character)
368 ## \$c Arthurian legendary character

110 2# \$a Church of Christ (Rigdonites)
368 ## \$c Rigdonites

110 2# \$a Indiana (Battleship : BB-50)
368 ## \$a Battleships \$2 lcsh
368 ## \$c BB-50

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

Record titles of royalty, nobility or religious rank (RDA 9.4.1.4–9.4.1.8) in subfield \$d in the form used in the authorized or variant access points.

Examples:

100 0# \$a Alexander \$b VI, \$c Pope, \$d 1431-1503
368 ## \$d Pope \$s 1492 \$t 1503

100 0# \$a Jane Seymour, \$c Queen, consort of Henry VIII, King of
England, \$d 1509?-1537
368 ## \$d Queen, consort of Henry VIII, King of England

100 0# \$a Jeanne Marie, \$c sœur, \$d 1926-2013
368 ## \$d sœur

100 1# \$a Walsh, Joseph-Alexis, \$c vicomte, \$d 1782-1860

368 ## \$d vicomte

Repeatability:

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

Example:

368 ## \$c Saints \$2 lcsh

368 ## \$d Metropolitan of Rostov

(One 368 uses a controlled vocabulary term and the other does not)

Subfield \$s – Start period and Subfield \$t – End period

Follow the LC/PCC practice for subfield \$s and subfield \$t provided in the 373 field.

Subfield \$u – Uniform Resource Identifier and Subfield \$v – Source of information

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

373 Associated Group*General*

Prefer a controlled vocabulary, such as the LC/NACO Authority File, recording the source in subfield \$2. Subfield coding for subordinate bodies is not used in the 373 field.

Examples:

Corporate name in LC/NAF:

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

Authorized access point in 373:

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

Corporate name in LC/NAF:

110 1# \$a United States. \$b Congress. \$b Senate

Authorized access point in 373:

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

Repeatability:

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

Examples:

NAR with 373s with subfield \$2 and dates:

373 ## \$a Chicago Bulls (Basketball team) \$2 naf \$s 1984 \$t 1993
 373 ## \$a Chicago Bulls (Basketball team) \$2 naf \$s 1995 \$t 1998
 373 ## \$a Washington Wizards (Basketball team) \$2 naf \$s 2001 \$t
 2003

NAR with 373s with different vocabulary sources:

373 ## \$a **Royal Institute of the Architects of Ireland** \$2 naf
 373 ## \$a **FKL Architects** \$2 ulan

Subfield \$s – Start period and Subfield \$t – End period

Best practice: Although the MARC format does not specify a form of date in these subfields, the following practice is recommended for consistency. Input dates using the Gregorian calendar in the form yyyy. If more specific dates are necessary, consider recording them in another field (e.g., 670, 678). It is not necessary to reformulate dates in existing NARs to conform to this practice.

Subfield \$u – Uniform Resource Identifier and Subfield \$v – Source of information

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

382 Medium of Performance*General*

Record the medium of performance using terms from the *Library of Congress Medium of Performance Thesaurus for Music* (LCMPT), accessible via Classification Web or LC Linked Data Service, when possible. Record the medium of performance by applying the instructions at RDA 6.15.1.3–6.15.1.6, the associated LC-PCC PSs, and the Music Library Association’s “*Best Practices for Using LCMPT*” available at: <http://cmc.blog.musiclibraryassoc.org/documents/best-practices-for-using-lcmpt/>. Note that the examples in this last document are formatted as bibliographic record fields, with a second indicator value of “1”; in authority records, the second indicator should be left blank.

Note: the 382 field may also be used in authority records for expressions.

Repeatability:

If the vocabulary source differs, repeat the field. If considered important for identification and access, provide an additional 382 that does not apply these guidelines.

4XX See From Tracings – General Information

General

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

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

Not all 4XX references require justification; see “Justifying variant access points” in the 670 section of this document.

Do not make a 4XX that normalizes to the same form as another 4XX on the **same** authority record or a 1XX on any name authority record. See the section “NACO normalization” in the Introduction.

Best practice guidelines for RDA:

- Record variants found in the manifestation being cataloged:
 - Use cataloger's judgment;
 - No limitation on the number or form of references;
 - Instead of or in addition to adding variants, consider providing access by adding 37X fields.

Example showing 378 without a variant for the fuller form of name:

```
100 1# $a Bucknum, David W.
378 ## $q David Walter
```

- Establish additional NARs for the authorized access points needed to support elements used in 4XX variant access points (e.g., parent body associated with subordinate body being established).
- Generally provide a variant form 4XX access point for a former 1XX authorized access point, unless the former authorized access point was egregiously incorrect. See the section “Subfield \$w – Control subfield” for more information.
- Use the established form of components in 4XX variant access points, except for non-Latin script variants, which may represent a mixture of scripts or may be entirely in a non-Latin script.
- Generally, do not remove variants unless egregiously incorrect (e.g., a non-Latin script variant that does not represent the same person).
- If a form found on the manifestation being cataloged includes a variant form of a component of a 4XX variant access point, that form may be used in its entirety as an additional 4XX variant access point, provided that it is not divided into its component parts through the use of subfields.

Examples:

100 1# \$a Faulkner, William, \$d 1897-1962. \$t Short stories. \$k Selections

400 1# \$a Faulkner, William, \$d 1897-1962. \$t Uncollected stories of William Faulkner

430 #0 \$a Uncollected stories of William Faulkner

110 1# \$a United States. \$b Bureau of Labor Statistics

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

not

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

110 2# \$a Zhongguo yi ke da xue. \$b Fu shu di 1 yi yuan

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

not

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

When changing the form of a superordinate body, a geographic name, or a personal name in a 1XX, update all of the existing NARs that use that component in a 4XX, unless the 4XX represents the former authorized access point (e.g., \$w/2=e).

Earlier cataloging practices for 4XXs

a) Corporate body, conference and geographic names

Under earlier cataloging policies, when a corporate body, etc., changed its name, the heading was changed and all records revised used the newer name. The earlier name or names was traced as a 4XX reference to the later form used as the heading. In retrospectively converted records, these situations were identified with a 667 field note: "The following heading for an earlier name is a valid AACR2 heading: [earlier name or names in AACR2 form]."

Example:

110 2# \$a Air League of the British Empire

410 2# \$a Aerial League of the British Empire

667 ## \$a The following heading for an earlier name is a valid AACR2 heading: Aerial League of the British Empire.

If a name represented in a 4XX field is needed for cataloging, convert the 4XX to a 5XX following the appropriate descriptive cataloging instructions, and delete the 667 field note. If a NAR

containing such a 4XX is being updated, and the earlier name in the 4XX is not needed for cataloging, catalogers may retain the 4XX and 667 field in the existing NAR, or convert the 4XX to a 5XX, delete the 667 field and create a new NAR for the earlier name.

If a 667 field contains multiple valid earlier names and not all of them are being established as new NARs, adjust the 667 and 4XX fields as needed to reflect which names have been removed in favor of new NARs.

b) Personal names

Under earlier cataloging policies, pseudonyms used by non-contemporary authors (i.e., authors who died before December 31, 1900) were sometimes traced as 4XX references rather than being established in a separate NAR. When updating NARs for persons that contain pseudonyms in 4XX fields, catalogers should follow current policies on pseudonyms. See the appropriate sections of Z1, including the 663 and 667 field sections. More information is available in the FAQ on personal names (<http://www.loc.gov/catdir/cps/pseud.pdf>).

Subfield \$w – Control subfield When an authorized access point for a person (100) is changed because the person has changed his or her name, record the earlier form of name in a 400 with \$w nne if the variant is valid under RDA instructions.

Examples:

```
100 0# $a Francis, $c Pope, $d 1936-
400 1# $w nne $a Bergoglio, Jorge Mario, $d 1936-
      (Name changed upon election as pope)
```

```
100 1# $a Rancic, Giuliana
400 1# $w nne $a DePandi, Giuliana
      (Name changed upon marriage)
```

When an authorized access point (1XX) based on CIP cataloging is changed because its form on the published resource is different from that on the CIP galley, a 4XX from the previous authorized access point form with subfield \$w nne may be added unless the former 1XX form was egregiously incorrect (e.g., the author's date of birth was given as 1775 instead of 1975 in the CIP galley).

When an authorized access point (1XX) is changed because of a change in cataloging instructions, record the earlier form in a 4XX using \$w. If the variant form is a valid reference under current RDA instructions, use \$w nne. If the variant form is not a valid reference under current RDA instructions, use \$w nnea.

Examples:

```
130 #0 $a Bible. $p Baruch
430 #0 $w nne $a Bible. $p Apocrypha. $p Baruch
      (Coded "nne" because the variant is valid in RDA)
```

100 1# \$a Smith, Jonathan Kennon Thompson, \$d 1939-2014

400 1# \$w nne \$a Smith, Jonathan Kennon

(Coded "nne" because the variant is valid in RDA; 100 form changed based on usage and dates of birth and death added because 100 was being changed)

100 0# \$a Pericles, \$d approximately 495 B.C.-429 B.C.

400 0# \$w nnea \$a Pericles, \$d ca. 495-429 B.C.

(Coded "nnea" because the abbreviation "ca." is not valid for period of activity in RDA)

Note: NARs that had the 1XX form changed programmatically in 2013 recorded the earlier form in a 4XX using \$w nnea regardless of whether the variant was valid in RDA. For example, "United States. Dept. of Commerce," is a valid reference in RDA if the abbreviated form has been used in resources associated with the corporate body, but it was recorded with \$w nnea. It is not necessary to change the coding in these \$w references.

SARs

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

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

Variant access points may be recorded in any SAR, including those for series-like phrases.

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

5XX See Also From Tracings – General InformationGeneral

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

LC/PCC catalogers applying RDA instructions may use subfield \$i in conjunction with subfield \$w code “r” for relationship designators. When applying RDA relationship designators in 5XXs, supply terms from Appendix I, J or K; capitalize the initial letter of the term and follow the term with a colon.

For information on the use of relationship designators and/or \$w codes in a specific 5XX field, see the specific DCM Z1 section for that field.

Subfield \$w – Control subfield

Follow the conventions in the authority format for use of subfield \$w. Do not supply subfield \$w unless a value other than “n” would be appropriate in one of the positions. When supplying subfield \$w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

\$w a = to indicate a reference from an earlier authorized access point

\$w b = to indicate a reference from a later authorized access point

\$w r = to indicate that a subfield \$i or subfield \$4 is used to denote relationship information

\$w nnnc = to indicate a see also reference for multiple pseudonyms (record also contains a 663 field)

NARs

A see also reference tracing (5XX) must not normalize to the same as another see also reference in the same authority record, unless both 5XX fields contain a relationship designator in subfield \$i, and the texts of the relationship designators are different.

SARs

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

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

781 Subdivision Heading Linking Entry – Geographic Subdivision

LC/PCC optional practice:

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 Headings Manual*. 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.

Examples:

```
151 ## $a France
781 #0 $z France

151 ## $a Paris (France)
781 #0 $z France $z Paris

151 ## $a Lycia
781 #0 $z Turkey $z Lycia

151 ## $a Sydney (N.S.W.)
781 #0 $z Australia $z Sydney (N.S.W.)

151 ## $a Valencia (Spain : Region)
781 #0 $z Spain $z Valencia (Region)
```

Do not add a 781 field to a record for a geographic name heading that is not appropriate for use as a subject added entry (008/15 value “b”), such as the earlier name of a jurisdiction that has undergone a linear name change, for example, **Ceylon**.

Do not add a 781 field to a NAR for a place name that is not appropriate for use as a geographic subdivision, such as a city section, for example, **North End (Boston, Mass.)**

Follow these guidelines for newly-created authority records. Add a 781 field to an existing record when making any other change to it. If revising an existing record that 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.

LC subject catalogers may optionally send a message to [PTCP \(policy@loc.gov\)](mailto:policy@loc.gov) and ask to have the NAR updated.

APPENDIX 1: AMBIGUOUS ENTITIES

Ambiguous Entities

1 INTRODUCTION

1.1 Background

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

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

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

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

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

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

1.2. General guidelines

a) These guidelines relate primarily to the family of problem cases, not to the ones that are clear-cut. For example, the tagging decisions appended include some entities that are within the concept “corporate body” but are also judged to exemplify the concept “geographic” and, therefore, are tagged 151. (Note that when entities tagged 151 in the authority file are used as access points in bibliographic records (110, 710, 810), the first indicator is set to the value 1.) Care should be taken, however, that a name containing one of the terms noted in one of the lists is indeed a member of that category, e.g., Xavier Ranch Corporation is not a ranch in the sense of the Group 2 list.

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

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

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

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

f) Name authority records that represent concepts, places, etc., clearly belonging in the subject authority file should not have the 667 note technique applied to them. Instead, they should be deleted and reestablished as subjects if needed. For example, if a NAR for an automobile model was found, it should be deleted because there is no valid use for names of automobile models as descriptive access points.

1.3 Specific procedures

Entities have been divided into two groups, and special instructions for both these groups follow. Lists of the two groups of entities are given in *Subject Headings Manual* (SHM), H 405, Establishing Certain Entities in the Name or Subject Authority File. The lists are updated as the need arises; refer potential additions to the **Policy, Training, and Cooperative Programs Division (PTCP)**.

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

2.1 Implementation

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

2.2 Airports

Establish the authorized access points for an airport according to the provisions for any other corporate body (see RDA chapter 11).

110 2# \$a San Francisco International Airport¹
 110 2# \$a Logan International Airport (Boston, Mass.)
 110 2# \$a Jan Smuts Airport (Johannesburg, South Africa)
 110 2# \$a Greater Cincinnati International Airport
 110 2# \$a Davis Airport (Montgomery County, Md.)
 110 2# \$a Davis Airport (Luzerne County, Pa.)

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

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

- 2.4** *Cemeteries, concentration camps, country clubs*
 After July 1996, cemeteries, concentration camps, and country clubs are treated as Group 1 entities. Establish them in accordance with the general principles for corporate name authorized access points (see RDA chapter 11). For cemeteries that are archaeological sites, see Group 2.

110 2# \$a Arlington National Cemetery (Arlington, Va.)
 110 2# \$a Riverside Cemetery (Jackson, Tenn.)
 110 2# \$a Cmentarz Ewangelicko-Augsburski w Warszawie (Warsaw, Poland)

 110 2# \$a Auschwitz (Concentration camp)
 110 2# \$a Campo 62 di Bergamo (Concentration camp)

 110 2# \$a Riomar Country Club
 110 2# \$a Manteno Young Women's Country Club

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

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

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

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

151 ## \$a Erez (Israel)
 151 ## \$a Santa Cruz County Sanitation District (Calif.)
 151 ## \$a Englewood Water District (Fla.)
 151 ## \$a Chicago Park District (Ill.)

2.7 *Events*

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

111 2# \$a Blue Ridge Folklife Festival
 111 2# \$a Palio di Siena (Festival) \$d (2003 : \$c Sienna, Italy)
 111 2# \$a Miss America Pageant
 111 2# \$a World Cup (Soccer)
 111 2# \$a Tour de France (Race)
 111 2# \$a Biennale di Venezia
 111 2# \$a Biennale di Venezia \$n (55th : \$d 2013 : \$c Venice, Italy)
 111 2# \$a World Jamboree of Boy Scouts
 111 2# \$a National Folk Media Festival \$d (1988 : \$c Nairobi, Kenya)

2.8 *Forests, parks, preserves, etc.*

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

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

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

2.9 *Indian tribes*

In 2006 the **former** Policy and Standards Division determined that names of Indian tribes recognized by the U.S. government as legal entities should be tagged 151 (Geographic name) in name authority records rather than 110 (Corporate name), as they were previously tagged. This change in status of headings for tribal entities to 151 (Geographic name) enabled these headings to be used as jurisdictions when needed in cataloging. When a heading of this type is used in a bibliographic record to represent a government (110), the MARC 21 indicator is set to “1” to reflect that the entity is acting as a jurisdiction. These headings may also be used as geographic subdivisions, subdivided directly. Access points for populated places (PPLs) on reservations are established as geographic names according to RDA chapter 16 when found in the U.S. Board of Names Geographic Names Information System (GNIS) database on the Web at <http://geonames.usgs.gov/> and should also be established as place names tagged 151 when these are different from the tribal entity.

Example of populated place name (complete name authority record fields not provided):

```
151 ## $a San Carlos (Ariz.)
. . .
670 ## $a GNIS, July 29, 2002 $b (San Carlos, Gila County, Arizona,
    populated place; 33°20'43"N, 110°27'09"W)
```

When the reservation as a geographic area, not the tribal entity, is the subject of an item being cataloged, the guidelines in the SHM will continue to be applied, and these place names will continue to be established as subject headings tagged 151.

Example of subject heading:

```
010 ## $a sh90004101
151 ## $a San Carlos Indian Reservation (Ariz.)
550 ## $w g $a Indian reservations $z Arizona
670 ## $a Work cat.: Brown, J.G. Geology and ground-water resources of
    the San Carlos Indian Reservation ... Arizona, 1990: $b t.p.
    (San Carlos Indian Reservation, Gila, Graham, and Pinal
    counties, Arizona)
670 ## $a Rand McNally
781 #0 $z Arizona $z San Carlos Indian Reservation
```

2.10 *Named buildings/museums*

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

```
110 2# $a Albrecht-Dürer Haus
    (museum—Group 1)
```

```
110 2# $a Simson African Hall (California Academy of Sciences)
    (building—Group 2)
```

2.11 *Plans, programs, and projects*

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

2.12 *Railroads*

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

2.13 *Fictitious characters, Legendary characters, etc. (Individual)*

Establish headings for individual fictitious and legendary characters in accord with the general principles for personal name authorized access points (see RDA chapter 9). Previous to 2013, these headings were established in the subject authority file according to subject cataloging files. Consult the LC-PCC PS 9.0 and SHM 1610 for further information.

100 1# \$a Holmes, Sherlock
(*individual character—Group 1*)

100 0# \$a Alcestis, \$c Queen, consort of Admetus, King of Pherae
(*individual character—Group 1*)

100 1# \$a Mouse, Mickey \$c (Fictitious character)
(*individual character—Group 1*)

Headings for named groups of fictitious characters (e.g., Hardy Boys, Teenage Mutant Ninja Turtles) continue to be established in the subject authority file.

150 ## \$a Addams family (Fictitious characters)
(*group of characters—Group 2*)

150 ## \$a Care Bears (Fictitious characters)
(*group of characters—Group 2*)

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

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

3.1 Characteristics

The entities in this group reside in the subject authority file when they are established and used only for subject cataloging purposes. Entities tagged 110 and some tagged 151 are also candidates for descriptive cataloging use as the need arises. If the entity needed for descriptive cataloging is already established in the subject authority file, the subject record is cancelled and a name authority record is created. Regardless of whether an entity originally existed in the subject authority file, the 1XX in the LC/NAF should be constructed according to RDA instructions, but will also reflect subject cataloging policy as provided in the SHM, the most noteworthy aspects are the following:

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

3.2 Use of these access points in descriptive cataloging

Note the following:

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

100 Heading – Personal Name

NACO:

Use first indicator value 3 in name and series authority records when creating RDA authorized access points for family names.

Do not use subfields:

\$e, \$j, \$v, \$x, \$y, \$z, \$6, \$8

SACO:

Do not use subfields:

\$e, \$g, \$h, \$j, \$6, \$8

LC:

NAMES/SERIES:

Use first indicator value 3 in name authority records when creating RDA authorized access points for family names.

Do not use subfields:

\$e, \$j, \$v, \$x, \$y, \$z, \$6, \$8

SUBJECTS:

Do not use subfields:

\$e, \$g, \$h, \$j, \$6, \$8

110 Heading – Corporate Name

NACO:

Do not use subfields:

\$e, \$v, \$x, \$y, \$z, \$6, \$8

SACO:

Do not use subfields:

\$e, \$h, \$6, \$8

LC:

NAMES/SERIES:

Do not use subfields:

\$e, \$v, \$x, \$y, \$z, \$6, \$8

SUBJECTS:

Do not use subfields:

\$e, \$h, \$6, \$8

111 Heading – Meeting Name

NACO:

Do not use subfields:

\$g, \$j, \$v, \$x, \$y, \$z, \$6, \$8

SACO:

Do not use subfields:

\$g, \$h, \$j, \$k, \$l, \$q, \$s, \$6, \$8

LC:

NAMES/SERIES:

Do not use subfields:

\$g, \$j, \$v, \$x, \$y, \$z, \$6, \$8

SUBJECTS:

Do not use subfields:

\$g, \$h, \$j, \$k, \$l, \$q, \$s, \$6, \$8

130 Heading – Uniform Title

NACO:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the heading.

Do not use subfields:

\$g, \$v, \$x, \$y, \$z, \$6, \$8

SACO:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the heading.

Do not use subfields:

\$g, \$h, \$6, \$8

LC:

NAMES/SERIES:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the heading.

Do not use subfields:

\$g, \$v, \$x, \$y, \$z, \$6, \$8

SUBJECTS:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the heading.

Do not use subfields:

\$g, \$h, \$6, \$8

382 Medium of Performance

NACO:

Field 382 may be supplied in name/series authority records in the LC/NACO Authority File.

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:
\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Field 382 may be supplied in name authority records in the LC/NACO Authority File.

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:
\$6, \$8

SUBJECTS:

Do not use this field.

400 See From Tracing – Personal Name

NACO:

Use first indicator value 3 in RDA name and series authority records when providing variant forms of family names.

Do not use subfields:

\$e, \$i, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SACO:

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Use first indicator value 3 in RDA name authority records when providing variant forms of family names.

Do not use subfields:

\$e, \$i, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SUBJECTS:

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

410 See From Tracing – Corporate Name

NACO

Do not use subfields:

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

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SACO:

Do not use subfields:

\$e, \$h, \$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SUBJECTS:

Do not use subfields:

\$e, \$h, \$i, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

411 See From Tracing – Meeting Name

NACO:

Do not use subfields:

\$g, \$i, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SACO:

Do not use subfields:

\$g, \$h, \$i, \$j, \$k, \$l, \$q, \$s, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Do not use subfields:

\$g, \$i, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SUBJECTS:

Do not use subfields:

\$g, \$h, \$i, \$j, \$k, \$l, \$q, \$s, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

430 See From Tracing – Uniform Title

NACO:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

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

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SACO:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$g, \$h, \$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SUBJECTS:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$g, \$h, \$i, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

480 See From Tracing – General Subdivision

NACO:

Do not use this field.

SACO:

Do not use subfields:

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

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

Local Subfield Code

\$9 - Local field-level nonprint flag [*SUBJECTS only*]

Use local subfield \$9 to control the printing of the field in output products.

481 See From Tracing – Geographic Subdivision

NACO:

Do not use this field.

SACO:

Do not use subfields:

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

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

Local Subfield Code

\$9 - Local field-level nonprint flag [*SUBJECTS only*]

Use local subfield \$9 to control the printing of the field in output products.

482 See From Tracing – Chronological Subdivision

NACO:

Do not use this field.

SACO:

Do not use subfields:

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

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

Local Subfield Code

\$9 - Local field-level nonprint flag [*SUBJECTS only*]

Use local subfield \$9 to control the printing of the field in output products.

485 See From Tracing – Form Subdivision

NACO:

Do not use this field.

SACO:

Do not use subfields:

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

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

Local Subfield Code

\$9 - Local field-level nonprint flag [*SUBJECTS only*]

Use local subfield \$9 to control the printing of the field in output products.

500 See Also From Tracing – Personal Name

NACO:

Use first indicator value 3 in RDA name and series authority records when providing relationship links to and from family names.

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SACO:

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Use first indicator value 3 in RDA name authority records when providing relationship links to and from family names.

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SUBJECTS:

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

510 See Also From Tracing – Corporate Name

NACO:

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SACO:

Do not use subfields:

\$e, \$h, \$i, \$0, \$1, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SUBJECTS:

Do not use subfields:

\$e, \$h, \$i, \$0, \$1, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

511 See Also From Tracing – Meeting Name

NACO:

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SACO:

Do not use subfields:

\$g, \$h, \$i, \$j, \$k, \$l, \$q, \$s, \$0, \$1, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SUBJECTS:

Do not use subfields:

\$g, \$h, \$i, \$j, \$k, \$l, \$q, \$s, \$0, \$1 \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

530 See Also From Tracing – Uniform Title

NACO:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SACO:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$g, \$h, \$i, \$0, \$1, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Consult LC's [Policy, Training, and Cooperative Programs Division](#) before using subfield \$0 or \$1.

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SUBJECTS:

Always use second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$g, \$h, \$i, \$0, \$1, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

670 Source Data Found

NACO:

| Consult LC's **Policy, Training, and Cooperative Programs Division** before using subfield \$w.

Do not use subfields:
\$6, \$8

SACO:

| Do not use subfields:
\$6, \$8

LC:

NAMES/SERIES:

| Consult LC's **Policy, Training, and Cooperative Programs Division** before using subfield \$w.

Do not use subfields:
\$6, \$8

SUBJECTS:

| Do not use subfields:
\$6, \$8