DCM	*Title*	*Action/Change*
Z1	Introduction	Section on Additions and Changes to authority records revised to remind catalogers to refrain from making unnecessary changes to 1XX fields, while cautioning that "necessary" changes may not always be evident to all observers.
Z1	1XX	Revised to correct typo in 1st paragraph under Candadian Headings from LCRI 23.1 to LCRI 23.2
Z1	670	Revised to include information on MARC characters now valid for inclusion in authority records and to note that LC will not generally supply the copyright or phono copyright symbols in 670 information.

INTRODUCTION

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

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

In constructing 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. For LC catalogers working in the LC Database, the file is the set of records comprising the "LC database" (see 670 section). In this document, "database" refers to whatever file is being used for searching and cataloging. At times, LC staff may need to consult the manual Official Name Catalog (ONC).

Use this document (DCM Z1) in connection with AACR 2, *Library of Congress Rule Interpretations* (LCRI), and other sections of the *Descriptive Cataloging Manual* (DCM). It supplements the MARC 21 Format for Authority Data and generally does not repeat information found in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol "#" represents a blank in an indicator position; the symbol "$" is used for the delimiter.

This Introduction section covers the following topics:

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

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name chosen for use in headings (1XX), 2) the sources for this form and for variant forms (670), and 3) the cross references leading to the heading from variant forms or from related headings (4XX/5XX). Additional information may be recorded in fixed fields (008) and in note areas of the authority record (667/675). Control data and content designation are also included for proper identification and manipulation of the data.

NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, or for entities that may be used only as subjects, e.g., topical subject headings, fictional characters, animals, geographic features.

Generally, make a name authority record for any personal or corporate (including geographic) name heading that <u>may</u> be used as an access point, whether it is actually first used as a primary or a secondary entry (including as a subject). Under certain LC workflow procedures, e.g., Minimal Level Cataloging, authority records may not be created for all access points assigned. NACO libraries are not obligated to contribute all authorities generated by their cataloging. However, any NAR contributed to the LC/NAF must have all necessary elements of the heading established in the following cases:

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

All bodies referred through in cross references; e.g., if a heading is entered independently and a reference is given through a higher body or bodies, the higher body/bodies need to be represented in the authority file as well. Thus, catalogers may need to create other NARs in addition to the one needed for use in the catalog.

All names and corporate bodies used in see also references (5XXs); e.g., when establishing a name for an author who uses a pseudonym, or a corporate heading representing an earlier and later change of name, the library will need to connect the headings by means of see-also references. In order to avoid blind references, the cataloger will need to make sure that the corresponding heading is established.

Name headings used in some qualifiers, such as geographic names used in locations on conference headings, must also be established before they can be used. Specific guidance is provided within the LCRIs as required.

Certain elements under which uniform titles are entered; e.g., when an NAR for the collective uniform title "Works" is created under an author who is not established in the LC/NAF, an NAR for the author must be contributed as well.

Additional guidelines for the creation of uniform titles are listed below:

LC practice: For titles or name/titles, an authority record is required <u>only</u> when one or more of the conditions listed below applies. Apply these criteria to each element of the full heading (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria. Note: Currently, authority records are <u>not</u> automatically created for each element of a uniform title heading (e.g., when creating a name/title NAR for Queneau, Raymond, 1903-1978. $t Fleurs bleues. $l English it is not necessary to create an NAR for: Queneau, Raymond, 1903-1978. $t Blue flowers)

(1)   a reference must be traced on **that** authority record; or,

(2)   special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,

(3)   the heading is needed for a <u>related</u> work added entry or subject entry and the work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC or RLIN. See specific guidelines in LCRI 21.30G for a related work added entry; apply the same guidelines when a heading is needed for a subject entry; or,

(4)   special information needs to be recorded, e.g., citation title for a law.

LC music cataloging practice: As of August 16, 1999, authority records are created for ALL title and name/title headings. When a name/title see also reference needs to be made in accordance with LCRI 26.4B4, Conflicts, make an authority record for the name/title referred from if such a record had not been made in accordance with the above guidelines.

PCC practice: NACO participants may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging. Also consult LCRI 21.30G for specific guidelines when a heading is needed for a related work added entry; apply the same guidelines when a heading is needed for a subject entry.

<u>*Series authority records (SARs)*</u>

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

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

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

A series authority record has the following basic contents: 1) type of series code (i.e.,

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

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

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

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 1XXs. 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.

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, 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.

Code uncoded headings for AACR2 at the first instance of use. Refer authority records for headings that are totally invalid under AACR2 to the Cataloging Policy and Support Office (cpso@loc.gov).

NACO normalization

When a new authority record (or field) is added to the authority file, each heading is compared against the headings already in the file to determine whether the new headings are unique, i.e., adequately differentiated from existing headings. Prior to comparison, the headings undergo a computer edit designed to eliminate all but the essential characters of a heading-- this process is called *normalization.* All parties involved in the exchange of LC/NAF authority data have agreed to a specific set of rules for normalization, and these rules are posted at:

http://www.loc.gov/catdir/pcc/naco/normrule.html

The process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters (but not subfield codes) are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

Catalog form:	Ile-de-Montréal (Québec)
Normalized form:	ILE DE MONTREAL QUEBEC

Only normalized forms of headings and references are compared in the check for uniqueness. Normalized forms that match are considered duplicate headings or a see reference in conflict with an authorized heading.

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

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

Headings. Because headings that differ only in diacritics, marks of punctuation (except the first comma, as stated above), capitalization, or special characters normalize to the same form, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

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

Form of entry on bibliographic records for the first author: Ku, Chün.

Form of entry on bibliographic records for the second author: Ku, Chun.

See References. 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. This policy also applies to the *optional* linking references. If a linking reference and the heading in the same record normalize to the same form, do not trace a 4XX linking reference. Instead, give the old catalog heading in a 667 field preceded by the phrase: Old catalog heading:.

```
        100 0# $a Napoleon $b I, $c Emperor of the French, $d 1769-
                 1821
        667    $a Old catalog heading: Napoléon I, Emperor of the
                 French, 1769-1821
not     400 0# $w nnaa $a Napoléon $b I, $c Emperor of the French,
                 $d 1769-1821




        130 #0 $a Archives of toxicology. $p Supplement
        667    $a Old catalog heading: Archives of toxicology :
                 Supplement
not     430 #0 $w nnaa $a Archives of toxicology : $p Supplement



but     151 ## $a Birmingham (Ala.)
        451 ## $w nnaa $a Birmingham, Ala.
```

(This linking reference is permitted because the comma in the $a subfield makes the heading unique.)

```
        110 2# $a United States Information Agency
        410 1# $a United States. $b Information Agency
```

(This reference is permitted because the delimiter is retained in the normalized form and makes the heading unique.)

Apply these guidelines to references on new authority records and to existing authority records when making some other change to the record.

Should an SAR be made?

Series authority records should <u>not</u> be made for the following categories:

(1)   a republication that does not include the original series statement (see "Republications" section in 64X yellow pages);

(2)   generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually

has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;

(3)   a hardcover (sometimes even softcover) edition of a selected issue of a periodical.

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

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

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title "has also been published as [title of journal], v. _____, no. ____." Others make ambig-uous or misleading statements, e.g., saying that the edition is "Published as a special issue of the journal _____, v. _____, no. _____ and supplied to subscribers as part of their normal subscription." The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

How many SARs should be made?

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

exist.

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

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

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

(2)   How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.

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

(4)   How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 25.5B.

(5)   How many authority records are made for main series and subseries? Consult LCRI 1.6H and LCRI 1.6.

(6)   Has there been a change in responsibility (i.e., different person/body, body's name changes, uniform title changes)? Consult 21.3B.

(7)   When reestablishing a series, is the apparent difference between the "earlier" form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the "earlier" form

as a 4XX/667 old catalog heading (see 4XX yellow pages).

Possibilities include the following:

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

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

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

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

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

```
130 #0 $a Occasional papers of the California
           Academy of Sciences
410 2# $w nnaa $a California Academy of
           Sciences, San Francisco. $t Occasional
           papers
```

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

```
130 #0 $a Centre de recherches d'histoire
           ancienne (Series)
410 2# $w nnaa $a Centre de recherches
           d'histoire ancienne. $t Publication
```

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

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

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

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

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

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

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

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

    (1) Series is new to the Library.

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

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

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

(2) Series is already represented by an SAR.

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

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

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

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

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

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

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

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

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

Searching series

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

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

Choice of entry:

AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.

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

Title truncated:

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

Space-hyphen-space:

Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change

from one issue to the next). "Report - Department of Health" might be "Report - Virginia Department of Health" on the next issue and "Report - Commonwealth of Virginia Department of Health" on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:

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

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

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

1XX   Headings

General

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).
Note: 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 1XXs.

NARs

Canadian Headings

Through a cooperative agreement between the Library of Congress (LC) and Library and Archives Canada (LAC), efforts will be made to keep the LAC and LC/NACO Authority File in synch as much as possible. When creating an authority record for the LC/NAF for a name found on Canadian imprints, both personal and corporate names may be accepted from information found in Canadian CIP data or access points on current LAC bibliographic records without further searching. LC and LAC strive to harmonize usage of personal name headings, but all headings for Canadian corporate bodies used in current cataloging must be in the LAC authorized form except in the cases noted below. Uniform titles and series are not covered by the agreement. LCRI 23.2 contains more information for formulating Canadian geographic names. |

When the LAC heading is found in Canadian CIP data or access points on current LAC bibliographic records, use the LAC heading to create an NAR unless modifications are called for by NACO procedures as stated below. When the name to be established is not found in these sources, search the LAC name authority file in AMICUS according to the guidelines below.

Personal Names:

Search the LAC name authority file in AMICUS to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form to create an NAR unless modifications are called for by NACO procedures as stated below.

LC catalogers will import an LAC authority record from the LAC name authority file on AMICUS when a Canadian personal name heading is found, according to the guidelines in the DCM Z1 *Appendix for LC Staff.*

PCC catalogers will either import the LAC authority record to their local file or create a new NAR using copy and paste methods assuring that all elements in the NAR meet LC/NACO parameters for the creation of personal names.

Keep the LAC 670 or cite the LAC search per normal procedures. 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.

When an authorized form of the name is not found in AMICUS, establish the name based on the information found in the resource being cataloged according to normal NACO procedures. Cite the AMICUS search in a 675 field.

Corporate Names:

Search the LAC name authority file in AMICUS to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form of name (including punctuation) except in the following cases:

- LAC practice is to establish separate English and French headings for corporate entities whenever possible. LC/PCC policy is to use the English form, except for Québec corporate names, which should be established in French, following the guidelines in LCRI 24.1. *Canadian Headings.*

- LAC establishes individual meeting name headings for named ongoing conferences. LC/PCC catalogers should use the heading without the parenthetical qualifier following the guidelines in LCRI 24.7B. *Additions.*

Note:

- LAC treats the Religious Society of Friends as a corporate body and establishes "meetings," etc. subordinate to "Society of Friends." LC/PCC practice is to establish "Society of Friends" as a subject heading and establishes "meetings," etc., directly under their own name. It is not necessary to contact LAC for verification of these entities; establish these meeting names according to NACO procedures.

- 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.

- 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

When an authorized form for a Canadian corporate heading is not found in AMICUS, both LC and PCC catalogers should create and contribute an NAR based on the information found in the resource being cataloged and then contact LAC for verification of the Canadian corporate name by using the Web form found at: http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html

LAC will respond directly to the cataloger requesting the verification and either confirm, or suggest modifications to meet LAC specifications.

SARs

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

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

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

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

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

Choosing a monographic series title proper:

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

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

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

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

Establishing an SAR heading:

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

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

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

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

(4)   If you found a CONSER record,

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

        • 010 prefix is "cf"
        • 010 prefix is "cn" and 040 $b is "fre"

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

670   Source Data Found

This 670 section covers the following topics:
- General
- Transcription of names and titles
- Internet resources
- Recording dates
- Justifying references
- Transcription of other data
- Special types of citations

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

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

<u>General</u>

The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the heading, that justify the choice of the name used as the 1XX heading and references to it, and that clarify relationships between it and other headings in the file.

Functions of 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 different 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

Note that the examples given throughout the following text have different conventions in regard to punctuation and style. These conventions are not prescriptive and should be considered as best practices to facilitate the exchange of information in a shared database environment. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

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

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

By exception, a 670 field (rather than a 675 field) may be provided with the phrase (name not given) or (title not given) in the subfield $b if/when the name or title in the 1XX is not available in the work being cataloged. This information will help reduce ambiguity and provide other catalogers with clues to the identity of the author by citing the work that generated the need for the 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.

A 670 field should include the following:

(1) The title of the work being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with an indication of the main entry of the work, which may also be abbreviated, or in a NAR be replaced by a pronoun; if the main entry is the same as the title proper plus a qualifier, give the uniform title main entry instead of the title proper.

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

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

• Multipart items. If the part is the first part, give the date of publication as an open date.

• Serials other than monographic series. Generally, use a chronological designation instead of a publication date; if there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a "surrogate" was used.

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

        670 $a Studies in Confederate history, No. 1 (1966),
            surrogate $b cover ([data])
not     670 $a Studies in Confederate history, 1966,
            surrogate $b cover ([data])
```

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

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

• MARC characters. With the exception of the eszett, the Euro, and the spacing circumflex (cf. LCRI 1.0E) any basic and extended Latin characters found in the MARC code table at: http://www.loc.gov/marc/specifications/specchartables.html, are valid for use in authority records contributed to the LC/NACO Authority File. Note that LC catalogers will generally continue to substitute the letters 'p' and 'c' rather than use the phono copyright or copyright symbols when transcribing publication, distribution, etc., dates in 670 $a.

(3)   The specific location(s) of the information found (e.g., t.p., jkt., label, map recto) when the work cited is other than a standard reference source, (e.g., an encyclopedia or a bibliographic file). For numbered multipart items, include the volume number of the item with the specific location. If the heading is being established from a CIP or ECIP at the galley stage, precede the first location with the "CIP" or "ECIP" as appropriate (e.g., CIP t.p., ECIP pref.).

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

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

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

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

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

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

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

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

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

Transcription of names and titles

Transcribe names or series titles used in the heading or references in full, as they appear in the source, without abbreviation by the cataloger.

For titles that are not series (cf. Introduction Page 2 on when an NAR for these titles is needed), generally transcribe only titles that are considered important to document.

When preparing an authority record for the text of a law (AACR2 rule 25.15A2) or a subject compilation of laws (AACR2 25.15A1), if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.

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

For corporate headings, 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, e.g., subordinate body's name. Automated authority generation programs may supply additional information beyond the specific corporate body's name; use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being created and should be deleted.

For all of the above categories, if the only 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 the name in subfield $b may be omitted, provided no important information is lost.

If information about an earlier/later name or title is found in the same source as the name or title in the heading, give all the information in the 670 field; do not separate the information about the earlier/later name or title and give it in a 675 field.

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

Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add after it the bracketed phrase **[in rom.]**.

In such languages 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.

Internet resources

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

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

Catalogers may *optionally* provide a uniform resource identifier (URI) in the 670 citation to link to the cited resource if it contains significant information related to the established heading that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 $u does not take the place of the requirement to cite relevant data in subfields $a and $b of the 670 field needed to support the heading or references (this information will continue to be available if the site changes or disappears).   Do not provide URIs for general reference sources and/or web-based reference sources that are included in the LCRIs (e.g., Contemporary Authors online, GNIS, GEOnet).   If a URI is included, it must be given in subfield $u.

```
670 $a British Oceanographic Data Centre WWW Home page, Sept. 6,
    1995 $b (BODC, est. Apr. 1989, developed British Oceanographic
    Data Service (BODS))

670 $a AltaVista, viewed Dec. 4, 1997: $b WWW page title screen
    (AltaVista, search network) HTML title (Alta Vista) additional
    screens (World Wide Web search engine developed by Digital
    Equipment Corp.)

670 $a Harvard Business School Publishing Corporation gopher, Nov.
    23, 1994 $b main menu (Harvard Business School Publishing
    Corporation) readme (Harvard Business School Publishing)

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

Recording dates

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.

Justifying references

Justify names or titles given as references by information cited from sources. However,

justification is not required in the following cases:

> (1)   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.

> (2)   References made on the basis of the cataloger's awareness of different romanizations or orthographies.

> (3)   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.

> (4)   References made on the basis of information from the Library and Archives, Canada (cf. DCM Z1 Appendix 2: Canadian headings).

> (5)   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.

> (6)   References made on the basis of information from the British Library as part of the English Short Title Catalogue project.

> (7)   Optional references from pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

NARs. Use judgment to determine how much data to record in the permanent authority record. Do not abbreviate or translate distinguishing terms (e.g., titles of address or office) that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the heading. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

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

Special types of citations

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

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

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

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

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

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

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

670 $a LC database, Mar. 11, 1996 $b (hdg.:  Swedish
```

---

[1] "Usage" on bibliographic records refers to literal transcriptions of the forms of name usually found in records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name <u>as it appeared on the publication</u> and not as it was formulated because of cataloging rules. Be especially careful when taking information from the publication, distribution, etc., area and from series statements. Headings may never be provided as usage.

[2] "Variant" on bibliographic records refers to a form of the name other than a literal transcription, e.g., a form found in the publication, distribution, etc. area or in an unquoted note; normally, there is not a need to cite such a variant in a 670 field. This understanding of "variant" within the context of a database does not refer to the varying forms of name found on an item not selected as the form used for the heading.

```
         American Corporation; variant: Swedish American Corp.)
```

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

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

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

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

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

```
670 $a LC in OCLC, date:  $b ([data])
670 $a RLIN, date $b ([data])
670 $a M/B/RS Collections Authority file $b ([data])
670 $a New Delhi MARC file $b ([data])
670 $a MWA/NAIP files $b (hdg.: ____; usage: ___; variants:
    _____)
670 $a NUC pre-56: $b ([data])
670 $a NRMM $b ([data])
```

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

```
670 $a nuc85-70017: Lower and middle Pennsylvania
    stratigraphy ... 1982 $b (hdg. on AAP rept.:
```

```
                    Sutherland, Patrick Kennedy, 1925- ; usage: Patrick
                    K. Sutherland)
```

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

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

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

BGN. For geographic names established on the basis of information from the United States Board on Geographic Names,[3] convey a designated short form of name by adding within brackets immediately after the appropriate element the statement [short form]. Repeat the short form if needed for clarity. Do this even if the long form is chosen for the heading. Retain the phrases "[conventional]," "[(language)]," etc., when used by BGN. Give the date of the search in the online file and include the feature designation (e.g., ADM1, PPL), coordinates, and variants. If searching the latest available published gazetteer because online access is not available, do not include the date but do include the feature designation and coordinates. Note: In the published gazetteers the short form is shown with the use of boldface type.

```
          670 $a GEOnet, June 13, 1989 $b (Coast [short form]
                    Province; ADM1, 3⁰00'S 39⁰30'E)
or        670 $a BGN $b (Coast [short form] Province; ADMD, 3⁰00'S
                    39⁰30'E)

          670 $a GEOnet, July 7, 1992 $b (Varese [short form]
                    Provincia di; ADM2, 45⁰48'N 8⁰48'E)
or        670 $a BGN $b (Varese [short form], Provincia di; PROV,
                    45⁰48'N 8⁰48'E)

          670 $a GEOnet, Apr. 31, 1996 $b (Geneva [conventional];
                    Genève [native], PPL, 46⁰12'N 6⁰10'E; variants:
                    Ginevra, Genf)
or        670 $a BGN $b (Genève [French], Geneva [conventional];
                    POPL, 46⁰12'N 6⁰10'E)
```

---

[3] Published gazetteers or World Wide Web sites (GNIS (domestic information: URL: http://geonames.usgs.gov; GEOnet (foreign information: URL: http://164.214.2.59/gns/html/)

```
670 $a GEOnet, Sept. 28, 2001 $b (Cambridgeshire [short form
       = Cambridge]; ADM1, 52⁰12'N 0⁰07'E)
```

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

```
670 $a Phone call to H. Jones, Jan. 31, 1992 $b (Harry Jones
       is real name of Lionel Jones)

670 $a Letter from author, May 29, 1994 $b (correct
       birthdate for _____ is Oct. 14, 1950)

670 $a Information from publisher, Feb. 6, 1991 $b (James
       Allan's middle name is Stephen, not Steven)

670 $a Information from OCLC, Mar. 8, 1996 $b (_____)
```