

# BASIC CREATION OF NAME AND TITLE AUTHORITIES

## **Instructor Manual**

**Editors:**

**Gary L. Strawn, Northwestern University  
Rachel Lynn Wadham, Brigham Young University**

**Revised by:**

**Robert L. Maxwell, Brigham Young University  
Iris L. Wolley, Columbia University  
Ana Lupe Cristán, Library of Congress**

## **ALCTS/CCS-PCC Task Force to Develop Name and Title Authority Training**

**Robert L. Maxwell, Brigham Young University, Chair  
Daniel G. CannCasciato, Central Washington University  
Ana Lupe Cristán, Library of Congress  
Kevin Furniss, Denison University  
Mary Charles Lasater, Vanderbilt University  
Gary L. Strawn, Northwestern University  
Rachel Lynn Wadham, Brigham Young University  
Iris L. Wolley, Cornell University  
Martha M. Yee, University of California, Los Angeles**

**Developed as a joint effort of the**

**Cataloging and Classification Section (CCS) of the Association for Library Collections &  
Technical Services (ALCTS)  
and the  
Program for Cooperative Cataloging (PCC)**

**Washington, DC  
Revised October 2008**

*(1) Instructor Manual -- (2) Trainee Manual*

**ISBN 0-8444-1126-4 (Instructor Manual)**

**ISBN 0-8444-1127-2 (Trainee Manual)**

Version 3, October 2008

## Table of Contents

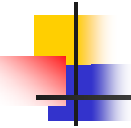
### **General Introduction**

Module 1	<b>Introduction</b> <b>Exercises</b>
Module 2	<b>Basics of the MARC authority record</b>
Module 3	<b>Resources</b> <b>Exercises</b>
Module 4	<b>Personal names</b> <b>Exercises</b>
Module 5	<b>Uniform Titles</b> <b>Exercises</b>
Module 6	<b>Corporate bodies</b> <b>Exercises</b>
Module 7	<b>Meeting names</b> <b>Exercises</b>
Module 8	<b>Geographic/Jurisdiction Names</b> <b>Exercises</b>
Module 9	<b>NACO Program</b>
Module 10	<b>Module for Reference Librarians</b>
	<b>Handout for Modules 10 and 11</b>
Module 11	<b>Module for System Designers</b> <b>Handout for Module 11</b>

### Appendices:

- A: **MARC 21 Codes and Tags**
- B: **Sample Authority Records**
- C: **Bibliography**
- D: **Answers to Exercises**
- E: **Workshop Evaluation Form**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



---

**BASIC CREATION OF NAME  
AND TITLE AUTHORITIES**

**Module 1: Introduction**

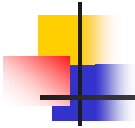
1



## Scope

---

- Why do authority work?
- Principles of cataloging underlying authority control
- Benefits of authority control
- What is authority work?
- In-house administration and outsourcing



## Assumptions

For this workshop we assume that:

- Catalogers use national standards: AACR2, LCRIs, and MARC 21
- Catalogers are working in an online environment
- Library is not a NACO institution

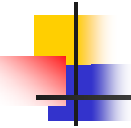
3

Because they are the standards are the most widely used in the world this workshop assumes that catalogers use of AACR2R and the associated LCRIs as a content standard and MARC 21 authority records. This workshop also assumes you are creating authority records for use in an automated library system. It is important to note that, authority records can be created using other rules, and authority records can be created in non-MARC catalogs, and in both card files and on-line catalogs

This workshop assumes that you are **not** going to be participating in NACO (the Name Authority Cooperative, through which libraries actually contribute authority records to the LC/NACO Authority File or NAF)

We will give you fuller information about the NACO program towards the end of this series of workshops, in case your institution is interested in progressing to the next level of authority control and cooperative cataloging!

The NACO program offers excellent training programs for those who want to participate in NACO.



---

Why do authority work?

4





## Need for authority work

---

We need to do authority work because:

- There is no consistency present in materials cataloged
  - Names and titles vary
  - Names and titles change
- Headings that are not controlled present challenges to catalog users



## Need for authority work: names vary

- Different names in different publications:  
**James R. Smith**  
**J.R. Smith**  
**Jim Smith**
- Different names in same publication  
**Title page: World Soybean Research Conference**  
**Cover: Soybean Research Conference**  
**Preface: Conference on World Soybean Research**

6

As noted we do authority work because there is no consistency in materials we catalog. Name often vary, for example:

There may be different names in different publications. For example James R. Smith sometimes publishes under the name J.R. Smith and sometimes under the name Jim Smith

There may also be different names in the same publication. For example a conference has one name on the title page, another on the cover and yet another in the preface or body of the text of its proceedings

## Need for authority work: titles vary



- One title on the title page and another on the cover  
**Title page: Daisy Rabbit's tree house**  
**Cover: Story from the village of Sandy Edge**
- One title on the cover and a different title in the running title  
**Cover: Magna bibliotheca anglo-judaica**  
**Running title: Bibliotheca anglo-judaica**
- Motion picture reissued under a different title  
**Italian title: Ilaria Alpi, il piu crudele dei giorni**  
**English title: Cruellest day**

7

Titles can vary as well.

For example an item may have one title on the title page and another on the cover

**Title page: Daisy Rabbit's tree house**

**Cover: Story from the village of Sandy Edge**

Another may have one title on the cover and a different title in the running title

**Cover: Magna bibliotheca anglo-judaica**

**Running title: Bibliotheca anglo-judaica**

A motion picture can be reissued under a different title

**Italian title: Ilaria Alpi, il piu crudele dei giorni**

**English title: Cruellest day**



## Need for authority work: names change

- Women get married and take their husband's name  
**Jacqueline Kennedy Onassis**
- Actors take on stage names  
**Real name: Allen Stewart Konigsberg**  
**Stage name: Woody Allen**
- Corporate bodies merge and split  
**Northside Neighborhood Association merges with Westside Neighborhood Association to create North-Missoula Community Development Corporation**

8

Not only can names vary, they can also change. For example

Women get married and take their husband's name

**Jacqueline Kennedy Onassis**

Actors take on stage names

**Real name: Allen Stewart Konigsberg**

**Stage name: Woody Allen**

Corporate bodies merge and split

**Northside Neighborhood Association merges with Westside Neighborhood Association to create North-Missoula Community Development Corporation**



## Need for authority work: titles change

- Serial changes its title  
**SAMPE quarterly** becomes the **Journal of advanced materials**
- Editions are revised and published under a different title  
**1965 ed.: Marine decapod crustaceans of the Carolinas**  
**1984 ed.: Shrimps, lobsters, and crabs of the Atlantic Coast of the Eastern United States, Maine to Florida**

9

Titles can change. For example

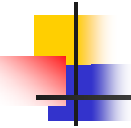
Serial changes its title

**SAMPE quarterly** becomes the **Journal of advanced materials**

Editions are revised and published under a different title

**1965 ed.: Marine decapod crustaceans of the Carolinas**

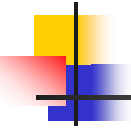
**1984 ed.: Shrimps, lobsters, and crabs of the Atlantic Coast of the Eastern United States, Maine to Florida**



---

# Principles of Cataloging Underlying Authority Control

10



## Paris principles, 1961

*Functions of the Catalogue*

The catalogue should be an efficient instrument for ascertaining

- 2.1 whether the library contains a particular book specified by
  - (a) its author and title *or*
  - (b) if the author is not named in the book, its title alone, *or*
  - (c) if author and title are inappropriate or insufficient for identification, a suitable substitute for the title; and
- 2.2
  - (a) which works by a particular author and
  - (b) which editions of a particular work are in the library.

11

The user of a catalog should be able to:

Identify items by author

Identify items by title or substitute

Identify works by an author

Identify editions of works held

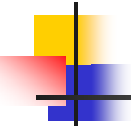


## Principles of cataloging

---

- Principle of uniform headings
- Principle of unique headings
- Principle of the name commonly known
- Principle that a change of name is a change of identity
- Principle of hierarchical force





## Principle of uniform headings

Two different names representing the same entity (name variation) should be resolved into one heading with see references from variants

13

There should only be one name used to represent an entity:

If variant names are found, choose one to represent the entity,

See references should be made to refer from forms that were not chosen.



## Principle of uniform headings: examples

---

**Jones, Jim, 1948-**  
*Search under:*  
**Jones, James T., 1948-**

**Bouvier, Jacqueline, 1929-**  
*Search under:*  
**Onassis, Jacqueline Kennedy, 1929-**

**Kennedy, Jacqueline Bouvier, 1929-**  
*Search under:*  
**Onassis, Jacqueline Kennedy, 1929-**

14

For example if Jim Jones born in 1948 is also known as James T. Jones you would select one form, in this case Jones, James T., 1948- and have a see reference from the other. This would display in the catalog as shown to direct patrons to the right form.

Another example is Jacqueline Bouvier; later married President John F. Kennedy, and then Aristotle Onassis. We select one form Onassis, Jacqueline Kennedy, 1929- and make references from the others. Note that Onassis is the only authorized heading



## Principle of uniform headings: examples

---

**FBI**

*Search under:*

**United States. Federal Bureau of  
Investigation**

**Chance meeting (Motion picture)**

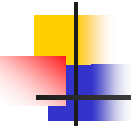
*Search under:*

**Blind date (Motion picture)**

15

The same thing happen with corporations, for example we select “Federal Bureau of Investigation” to represent the entity and then make a reference to the other forms.

Titles can also vary. For example a motion picture issued in the United Kingdom as ‘Blind date’ was later issued in the United States as ‘Chance meeting’



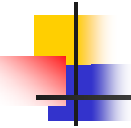
## Principle of unique headings

---

Two different entities with the same name should be given different headings

16

The second principle is the principle of unique heading. Two different entities with the same name should be given different headings. To do this we use additions to names so that each separate entity has a distinct heading.



## Principle of unique headings: examples

---

### Two people named George Bush

**Bush, George, 1924-**  
**Bush, George W. (George Walker), 1946-**


17

For example two people named George Bush. We use birth dates and middle names to make them different.

Trainers:

You may want to note that sometimes we are unable to find any information on a person, and we have to establish them on the same record as the other people with the same name who also have no distinguishing information (an initial, a birth date, etc.) to allow us to “break the conflict.” You will need to be on the lookout for these special “undifferentiated name” records—more later in the section on establishing personal names.

You may also note: when breaking a conflict between two different persons with the same name, you need only add something to one of the names to break the conflict; the name that is already in the file can remain unchanged.



## Principle of unique headings: examples

---

Two museums called Museum of Modern Art

**Museum of Modern Art (New York, N.Y.)**  
**Museum of Modern Art (Rijeka, Croatia)**

18

Another example is two museums called Museum of Modern Art. Here we use the place they are located to make them different.

Trainers:

You may want to note: When breaking a conflict between two corporate bodies with the same name, you need to add something to both names to break the conflict. This means that you will have to change records retrospectively to break the conflict, which, as we have noted, is not the case with personal names.



## Principle of unique heading: examples

---

Different films released under the same  
title

**Star is born (Motion picture : 1937)**

**Star is born (Motion picture : 1954)**

19

Another example. Two movies called 'Star is born'. Here we use dates of production to make them different.



## Principle of the name commonly known

---

Use for the uniform heading the name by which an entity is most commonly known

20

When a person, corporate body or work is known by more than one name, we want to choose as our preferred form (our uniform heading) the name by which they are identified most frequently in works published in their own language in their country of origin



## Principle of the name commonly known

- Personal names (AACR2 22.1A, 22.1B): form found on items issued in the person's language or in reference sources
- Corporate names (AACR2 24.1A): form found on items issued by the body, in the language of the body, or in reference sources
- Works (AACR2 25.3A): Commonly-appearing title in original language

21

Rules for determining which name is the most common are found in AACR2:

### *Personal names*

AACR2, 22.1A. In general, choose, as the basis of the heading for a person, the name by which he or she is commonly known. This may be the person's real name, pseudonym, title of nobility, nickname, initials, or other appellation. ...

AACR2, 22.1B. Determine the name by which a person is commonly known from the chief sources of information (see 1.0A) of works by that person issued in his or her language. If the person works in a nonverbal context (e.g., a painter, a sculptor) or is not known primarily as an author, determine the name by which he or she is commonly known from reference sources issued in his or her language or country of residence or activity.

### *Corporate names*

AACR2, 24.1A. Enter a corporate body directly under the name by which it is commonly identified, except when the rules that follow provide for entering it under the name of a higher or related body (see 24.13) or under the name of a government (see 24.18).

Determine the name by which a corporate body is commonly identified from items issued by the body in its language (see also 24.3A), or, when this condition does not apply, from reference sources.

### *Works*

AACR2R 25.3., Works created after 1500

25.3A. Use the title or form of title in the original language by which a work created after 1500 has become known through use in manifestations of the work or in reference sources.

EXAMPLE:

Tchaikovsky, Peter Ilich, 1840-1893. Nutcracker suite.

*Search under:*

Tchaikovsky, Peter Ilich, 1840-1893. Shchelkunchik. Suite.



## Principle of the name commonly known: examples

---

**Konigsberg, Allen Stewart**

*Search under:*

**Allen, Woody**

**Blair, Eric Arthur, 1903-1950**

*Search under:*

**Orwell, George, 1903-1950**

22

For example Allen Stewart Konigsberg is commonly known as Woody Allen. Since he does not write or direct under this name we use Woody Allen as the basis for the heading (which is inverted to Allen, Woody).

Another example is Eric Arthur Blair who is commonly known as George Orwell. Since he never published works under his real name we use George Orwell as the basis for the heading.



## Principle of the name commonly known: examples

---

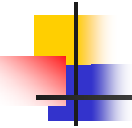
**Eliot, Thomas Stearns, 1888-1965**

*Search under:*

**Eliot, T. S. (Thomas Stearns),  
1888-1965**

23

Another example is Thomas Stearns Eliot who always published using his initials. So that is the name he is commonly known by, so for the heading we use the initials T. S. Eliot.



## Principle of the name commonly known: examples

---

### **PLO**

*Search under:*

**Munazzamat al-Tahrir al-Filastiniyah**

**Tchaikovsky, Peter Ilich, 1840-1893.**

**Nutcracker suite**


*Search under:*

**Tchaikovsky, Peter Ilich, 1840-1893.**

**Shchelkunchik. Suite**

24

Sometimes commonly known does not mean commonly known in the language of the cataloger. It is important to follow the rules and use the language of the entity.



## Principle that a change of name is a change of identity

In some cases a change of name implies a change of identity.


In cataloging theory this includes:

- Pseudonyms
- Corporate bodies
- Works

In these cases, both names are valid and should be represented in a library catalog

25

When a corporate body or work changes its name, two separate but related headings are created. Both names then, the older and the newer, can be represented in a library catalog. A similar situation happens for people in the case of pseudonyms. Different headings are created for the different forms of the name; all forms can then appear as headings in the catalog.



## Principle that a change of name is a change of identity: pseudonyms

If an author uses different pseudonyms  
(AACR2 22.2B):

- Each different name has its own heading
- Refer from one to the other
- In some cases an author must have works of different types to have separate headings


26

Rules for determining how to deal with changes of name are found in AACR2. For pseudonyms:

AACR2R 22.2B: use by an author of two different names is considered to establish two separate identities for all contemporary authors (those still living and those who died after 1900) and for earlier authors who have “established two or more bibliographic identities, as indicated by the fact that works of one type appear under one pseudonym and works of other types appear under other pseudonyms or the person's real name.”

“Choose, as the basis for the heading for each group of works, the name by which works in that group are identified. Make references to connect the name (see 26.2C and 26.2D). In case of doubt, do not consider a person to have separate bibliographic identities. ...”

We will be going into this in more detail in the section on personal names.



Principle that a change of name is a  
change of identity: pseudonyms  
examples

---

**Dodgson, Charles Lutwidge, 1832-1898**

*Search also under:*

**Carroll, Lewis, 1832-1898**

**Carroll, Lewis, 1832-1898**

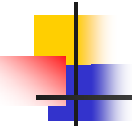
*Search also under:*

**Dodgson, Charles Lutwidge,  
1832- 1898**

27

Charles L. Dodgson (*Real name used in works on mathematics and logic*)

Lewis Carroll (*Pseudonym used in literary works*)



## Principle that a change of name is a change of identity: corporate bodies

When a corporate body changes its name (AACR2 24.1C1):

- Establish separate headings for each new name
- Refer from one to the other

28

AACR2R, 24.1C1. If the name of a corporate body has changed (including change from one language to another), establish a new heading under the new name for items appearing under that name. Refer from the old heading to the new and from the new heading to the old (see 26.3C).

We will be going into this in more detail in the section on corporate bodies





Principle that a change of name is a  
change of identity:  
corporate bodies examples

---

**National Association for the Study and  
Prevention of Tuberculosis**  
*Search also under the later heading:*  
**National Tuberculosis Association**

**National Tuberculosis Association**  
*Search also under the earlier  
heading:*  
**National Association for the Study  
and Prevention of Tuberculosis**



Principle that a change of name is a  
change of identity:  
corporate bodies examples

---

**British Honduras**


*Search also under the later heading:*

**Belize**

**Belize**

*Search also under the earlier heading:*

**British Honduras**



## Principle that a change of name is a change of identity: works


---

- In many cases when a work changes its name it retains its identity.
- For example when a work is translated and receives a new title it remains the same work

**Twain, Mark, 1835-1910. Aventuras de Huckleberry Finn**

*Search under*

**Twain, Mark, 1835-1910. Adventures of Huckleberry Finn. Spanish**



## Principle that a change of name is a change of identity: works

- However, in some cases when a work changes its name it does not retain its identity
- Under AACR2 25.2B a manifestation of a work in the same language that is a revision or updating of the original work is not connected by a uniform title but by giving the title of the earlier edition in a note in the entry for the later edition and by making an added entry as appropriate


32

When a corporate body or work changes their name we consider them to have two different identities. In most cases, both are valid and should be represented by distinct headings in a library catalog

*Works* (rev. versions; series and serials, to be covered in another unit)

AACR2R, 25.2B.: Do not use a uniform title for a manifestation of a work in the same language that is a revision or updating of the original work. Relate editions not connected by uniform titles by giving the title of the earlier edition in a note in the entry for the later edition (see 1.7B7, 2.7B7, etc.) and by making an added entry as appropriate (see 21.30G).

We will be going into this in more detail in the section on uniform titles.

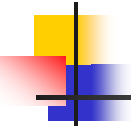


## Principle that a change of name is a change of identity: works examples

- 2<sup>nd</sup> ed, 1977: Basic human psychology
- 3<sup>rd</sup> ed., 1982: Human physiology and mechanisms of disease
- Both by Arthur C. Guyton
- No uniform title used to connect the two

33

The text Basic human physiology (2d ed., 1977) changed its title to Human physiology and mechanisms of disease (3<sup>rd</sup> ed., 1982). Both are entered under the author Guyton, Arthur C., but no attempt is made to assign a work identifier using a uniform title to pull these two records together; they are treated as if they were two different works by the same author



## Principle of hierarchical force

---

When a heading has a hierarchical relationship to any other headings that begin with that heading, cross references made on the main heading are not repeated on the subordinate headings

34

A heading has a hierarchical relationship to any other headings that begin with that heading and include subsequent titles or subdivisions, such that a cross reference that is made on the main heading is not repeated on the subordinate headings



## Principle of hierarchical force: examples

---

- A cross reference from 'FBI' is on the record for 'United States. Federal Bureau of Investigation'
- The FBI reference is not repeated on records for corporate subdivisions of the FBI

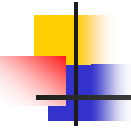


## Principle of hierarchical force: examples

---

- Cross references to Tchaikovsky are only on the authority record for Tchaikovsky
- Cross references to Nutcracker are only on the authority record for Nutcracker
- Cross references to Nutcracker suite are only on the authority record for the suite





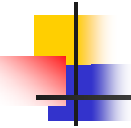
---

# EXERCISES 1-10

Identify the cataloging principle being applied in each of these cases

37

Do not move on to next slide until exercises are completed and you are ready to show the answers



---

# Benefits of Authority Control

38



## Benefits for catalog users and public services librarians

---

- Guarantee that users find *all* the works of the author they are looking for
- Guarantee that users find the particular work they are looking for
- Increases precision and recall
- Reduces large result sets
- Federated searching can be done with more confidence

39

Authority control is value that librarians can add to our catalogs. Without authority control we create finding lists not catalogs.

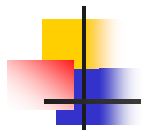
Even more important for “federated searching.” When many institutions use the same forms of name for authors, works and subjects, researchers can more easily do cross-collection searching with confidence that they are getting accurate information about what is held in many different collections



## Benefits for vendors

---

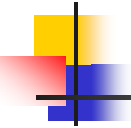
- Provides for more efficient searching
- Provides for adherence to standards so data can be more easily manipulated by computers
- Less computer power



## Benefits for technical services

---

- Catalogers
  - catalog is more accurate
  - provides for adherence to standards
  - allows for exchange of records
- Acquisitions
  - less likely to acquire duplicates
- ILL
  - fewer mistakes

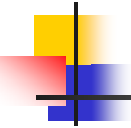


## Benefits for administrators

- Shows a standard of professional service
- Provides for more efficient searching
- Potential cost savings

42

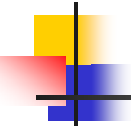
The hallmark of professional service as opposed to the cheap and inefficient searching provided by Google and the like; a justification for spending tax dollars on libraries as institutions



---

# What is Authority Work?

43



## What is an authority file?

- Collection of individual authority records
- Includes all types of headings (names, titles, subjects, etc.)
- Different and often separate from the bibliographic file

44

Authority files contain authority records that represent the following entities:

Persons

Corporate bodies and jurisdictions (the latter overlapping with geographic names)

Conferences and other recurring events

Works

Authority files also contain records for topical subjects, geographic areas, genres and forms, but we are not covering those entities in this set of workshops.

In contrast, bibliographic files contain bibliographic records that represent expressions and manifestations of works



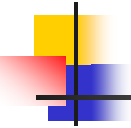


## The authority record

---

Most authority records are created using nationally accepted standards and rules including:

- Anglo American Cataloging Rules 2<sup>nd</sup> Edition (AACR2)
- Interpretations of the AACR2 rules by the Library of Congress (Library of Congress Rule Interpretations; LCRIs)
- MARC21 format for authority data



## The authority record

Authority records include:

- Preferred form (1XX): used
- See reference tracings (4XX): not used
- See also reference tracings (5XX): related headings
- Sources for the heading and references (6XX)
- Scope and history notes (6XX)

46

The authority records contain see reference tracings that direct users from variant forms of name to the preferred form of name for the entity

The preferred form of name for the entity is the only form found in the bibliographic record headings fields

The authority records also contain see also references that direct users from related entities to this entity (such as from an earlier name of a corporate body to the current name)

The authority record may also contain scope and history notes that explain the use of the heading or help the librarian identify the entity that is represented by the heading



## The authority record: see reference example

---

As found in authority record:

110 2\_ \$a Royal Canadian Mounted Police

410 2\_ \$a Mounties

As displayed in OPAC:

**Mounties**

*search under:*

**Royal Canadian Mounted Police**

47

Example of a see reference in MARC:

110 2\_ \$a Royal Canadian Mounted Police

410 2\_ \$a Mounties

OPAC display:

Mounties

Search under:

Royal Canadian Mounted Police



## The authority record: see also reference example

---

As found in authority record:

**110 1\_ \$a United States. \$b Dept. of  
Homeland Security**

**510 1\_ \$w a \$a United States. \$b Office of  
Homeland Security**

As displayed in OPAC:

**United States. Dept. of Homeland Security**

*Search also under the earlier name:*

**United States. Office of Homeland Security**

48

The '\$w a' in the reference tracing labels the name in the 510 field as the earlier name. When this becomes a reference tracing, it ends up referring *from* the earlier name to the later name.

Note that the \$w subfield is displayed at the start of the field by some systems and at the end by others.

There would also be an authority record for the Office of Homeland Security, with a see also reference tracing for the Department of Homeland Security, labeled as the later name.



## The authority record: source of information example

**100 1\_ \$a Stuart, Gloria**  
**670 \_\_ \$a The crime of Dr. Forbes**  
**[MP], 1936: \$b credits (cast, Gloria**  
**Stuart)**  
**670 \_\_ \$a Halliwell's Filmgoer's**  
**comp., 1988 \$b (Stuart, Gloria; b.**  
**1909; AKA Gloria Stuart Finch)**  
**670 \_\_ \$a Letter from Gloria Stuart,**  
**1- 30-89 \$b (operator of private press**  
**is same as actress)**

49

These notes list the information consulted when the authority record was being constructed.

These notes are tagged 670, a field that is not designed for display in the OPAC. Reference librarians should be alerted to the value of viewing the full authority record because of the existence of valuable identification in 670 fields that do not generally display in OPACs, even those OPACs that do display information from authority records.



## The authority record: information/usage note example


**151 \_\_ \$a Germany (East)**  
**667 \_\_ \$a Headings for Germany until the end of World War II are found under: Germany. Headings for the government of the Territory under Allied occupation which existed 1945-1955 are found under: Germany (Territory under Allied occupation, 1945-1955); Germany (Territory under Allied occupation, 1945-1955 : British Zone); Germany (Territory under Allied occupation, 1945- 1955 : French Zone); Germany (Territory under Allied occupation, 1945-1955 ...**

50

The note in this record is actually too long to fit on this screen.

This note is tagged 667, a field not designed for display in the OPAC. This note lists many other headings that might be of use for the cataloger to know about when cataloging something about East Germany.

Reference librarians should be alerted to the value of viewing the full authority record because of the existence of valuable identification in 667 fields that do not generally display in OPACs, even those OPACs that do display information from authority records.



## Relation between authority and bibliographic files

---

- Bibliographic headings correspond to authority headings
- Headings in authority records control headings in bibliographic records

51

Each heading in a bibliographic record can potentially have a corresponding authority record.

The headings found in authority records dictate the headings used in bibliographic records.



## Links between authority and bibliographic records

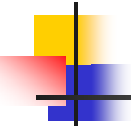
---

- Depends on the library system
- Some systems link between authority and bibliographic headings which enables automatic global modification of headings

52

Some library information systems will link each authority record to all occurrences of the heading in the bibliographic records in order to enable global modification (one change to the preferred heading (1XX) in the authority record will automatically proliferate to the bibliographic records)





## Browsing headings

- Alphabetical list of headings similar to heading being searched
- Should include see references
- Increases precision and recall

53

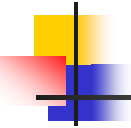
Some library information systems will allow OPAC users to search the authority records before proceeding to the bibliographic records; this allows users to match cross references from variant forms of name to increase precision, and to follow see also references to increase recall

These are sometimes called 'headings' or 'browse' searches.

# Browsing headings

The screenshot shows a Microsoft Internet Explorer browser window displaying the Library of Congress Online Catalog. The address bar shows a search for 'Williams'. The main content area is a table with the following columns: '#', 'Hits', 'Headings (Select to View Titles)', and 'Type of Heading'. The table lists various entries related to the name 'Williams', including individuals like Isaac, Soapy, Sola Agbaje, Solomon, Sonda K., Sonia, Sonny, Sonny Boy, George Washington, Sonoma, Sons & Co., Sophia, Sophia Wells (Royce), Sophronia B., Sorbus, Sorby, Spence, and Spencer. Some entries have 'MORE INFO' links. The Windows taskbar at the bottom shows the Start button and several open applications, including the Library of Congress Online Catalog and Microsoft PowerPoint.

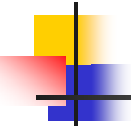
#	Hits	Headings (Select to View Titles)	Type of Heading
[ 1 ]	5	<a href="#">Williams Smith, Isaac.</a>	personal name
[ MORE INFO ] 2	0	<a href="#">Williams, Soapy, 1911-</a>	personal name
[ MORE INFO ] 3	0	<a href="#">Williams, Sola Agbaje-, 1951-</a>	personal name
[ 4 ]	8	<a href="#">Williams, Solomon, 1700-1776.</a>	personal name
[ 5 ]	3	<a href="#">Williams, Solomon, 1700-1776. [from old catalog]</a>	personal name
[ 6 ]	2	<a href="#">Williams, Solomon, 1752-1834. [from old catalog]</a>	personal name
[ 7 ]	2	<a href="#">Williams, Solon Dickerson.</a>	personal name
[ 8 ]	1	<a href="#">Williams, Sonda K.</a>	personal name
[ 9 ]	1	<a href="#">Williams, Sonia, 1953-</a>	personal name
[ 10 ]	1	<a href="#">Williams, Sonny</a>	personal name
[ 11 ]	2	<a href="#">Williams, Sonny, 1967-</a>	personal name
[ 12 ]	1	<a href="#">Williams, Sonny Boy</a>	personal name
[ MORE INFO ] 13	0	<a href="#">Williams, Sonny (George Washington)</a>	personal name
[ 14 ]	16	<a href="#">Williams-Sonoma</a>	corporate name
[ MORE INFO ] 15	0	<a href="#">Williams-Sonoma, Inc.</a>	corporate name
[ 16 ]	1	<a href="#">Williams, Sons &amp; Co.</a>	corporate name
[ 17 ]	1	<a href="#">Williams, Sophia</a>	personal name
[ 18 ]	1	<a href="#">Williams, Sophia Wells (Royce), "Mrs. Talcott Williams."</a>	personal name
[ 19 ]	3	<a href="#">Williams, Sophronia B.</a>	personal name
[ 20 ]	13	<a href="#">Williams, Sorbus,</a>	personal name
[ 21 ]	13	<a href="#">Williams, Sorby</a>	personal name
[ 22 ]	1	<a href="#">Williams, Spence,</a>	personal name
[ 23 ]	8	<a href="#">Williams, Spencer, 1889-1965</a>	personal name
[ 24 ]	2	<a href="#">Williams, Spencer, 1889-. [from old catalog]</a>	personal name



---

# In-house administration and outsourcing

55



## In-house authority control

Authority work performed by library's own staff

Who does the work?

- Paraprofessional vs. professional
- Dedicated authority librarian

Other issues:

- Staff education


56

Role of the paraprofessional copy cataloger vs. professional librarian cataloger will vary from institution to institution

### Authorities librarians

If your institution can afford it, you should have at least one professionally educated authorities librarian on your staff who is familiar with the cataloging principles and the national standards

All technical services and public services staff should be educated about authority control so that they know when to consult with or refer problems to the authorities librarian or librarians



## In-house authority control

Issues to address:

- File maintenance over time
- Workflows
- Pre- vs. post- cataloging
- When to create an authority record
- Use of the LC/NACO authority file

57

### Maintenance of the file over time

You will need to build work flows for maintaining your authority files over time

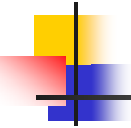
Some larger institutions using bibliographic utilities such as OCLC will do much of their authority control as post-cataloging, with computer programs that look for headings that do not yet have authority records or that conflict with newly loaded authority records

Some institutions will rely on vendors to do pre-cataloging authority control; authority records will be loaded before the books arrive. Library staff handles post-cataloging authority control.

Ways some libraries economize:

download or create authority records only for headings with references;

point to national level authority file as the reference file instead of downloading the records



## Outsourcing authority control

Authority work performed by a vendor, outside of library

- Vendors can provide a variety of services that can do all or just parts of a library's authority work
- Bibliographic records can be shipped to a vendor in batches
- Vendors provide reports to help do clean up and maintenance of authority files

58

Primarily batch processing

Works from pre-existing bibliographic records



## Outsourcing authority control: selected vendors

---

- Marcive
- Backstage
- Autographics
- Follett Software, Inc.
- Gaylord
- Internet Systems, Inc.
- LSSI
- Library Technologies (LTI)
- ITC



## Outsourcing authority control: questions

- What are your goals?
- How does your system deal with automated bibliographic changes? How will vendor loads affect this?
- What is the schedule for ongoing maintenance?
- What is the pricing structure?
- How will you match hierarchical headings?
- Which subfields are included in matching?

60

What are your goals?

One time retrospective clean-up? e.g. move to new OPAC software?

Periodic updates? Options: changes in 1XX? changes in 4XX, 5XX?

Ongoing maintenance, e.g. daily?

What are the pricing structures? per record? per heading? flat rate based on database size? customization fees?

Will the vendor include all levels of a hierarchical heading and match the parts independently? (Example, composer, work and part of work, each have their own authority record, but are combined to make the work heading for the part.)

Will the vendor exclude selected subfields from matching, e.g. 700 \$4 and \$e subfields?





## Outsourcing authority control: questions

- Which tags and indicators are included in matching?
- How will you deal with ‘blind’ headings used with additions?
- Do you have old national authority records in your local file?
- How will you deal with tag and indicator changes?

61

Will the vendor protect your blind headings, i.e. headings that are unposted by themselves, but are present with subdivisions and other additions to the main heading?

Example: If you have a bib record with the heading United States. Federal Bureau of Investigation. Counterterrorism Section, you need the authority record for the Bureau, even if the heading for the Bureau is unposted by itself, in order to get a see reference from FBI.

Will the vendor match an old record in your file to a subsequently merged record in the national name authority file?

Example:

New York (N.Y.) sh 85091414 [old];  
New York (N.Y.) n79007751 \$z sh 85091414 [new]

Will the vendor match on tags and indicators, not just character strings?

Examples:

X00 Ada should not merge with 410 ADA;  
130 Irlande (a uniform title) should not merge with 451 Irlande, a see reference to Ireland.

Will the vendor handle tag changes?



## Outsourcing authority control: questions

- Do you have authority records in your file that were only created locally? What about any local additions to authority records?
- How are diacritics encoded?
- How is normalization used in matching?
- How are records marked by vendor?
- Is there handling of parallel vernacular fields (880s)?
- Are there local software modifications?

62

Do you have local additions to authorized headings you need to protect from change?

Examples:

local cross references that differ from national level ones

local heading decisions that differ from national level ones

different call number for an author locally

What method of encoding diacritics is used by the vendor?

What normalization rules will the vendor follow in matching headings?

Will the vendor mark authority records and bibliographic records as having been processed in some way?

Is any special processing done of records with parallel vernacular fields?

To what degree will your ILS vendor need to modify software or make other changes to fit the specifications of the outsourcing vendor?



## Outsourcing authority control: reports

Authority control vendors can supply one or more reports showing things done and things that need your attention.

Some reports include:

- Two identical 4XX fields (split heading?)
- Changes in ‘unique personal name’ code

63

Authority control vendors supply one or more reports showing things done and things that need your attention. You may think of additional reports that will be of use. For example:

Will the vendor give you a report if your heading matches on two identical 4XX's in the national authority file? (two 400's? two 410's?)

Will the vendor give you a report of all changes in the 008 code for undifferentiated names so you can check all newly unique names against your file? Example:

“Collins, Kevin” was originally set up as an undifferentiated personal name. In 2004, a birth date for one Kevin Collins was found, and he was established under a heading that included the birth date. If you have his book “The cultural conquest of Ireland,” you need to change your heading.



## Outsourcing authority control: caveats

- False matches may result in heading change
- Exclude irrelevant subfields (e.g., 700 \$e)
- Heading becomes undifferentiated or undifferentiated heading splits
- Exclude series and conference headings
- Vendor's copy of your authority file must be kept in sync

64

The vendor will map any heading that matches on a 1XX or a 4XX in the LC/NACO Authority File (NAF) to the heading in that authority record. If you have a local heading (not yet in NAF) that matches on 1XX or 4XX fields for the wrong person, corporate body or work, you will have problems that cannot be detected by the algorithm.

Only human review can prevent these problems; review periodic change reports from the vendor carefully.

Example:

local heading X00 0\_Madonna could merge with NAF 100 0\_Mary, \$cBlessed Virgin, Saint [with 400 0\_Madonna, The] (n81018544 \$zsh 85081692), if you do not yet have Madonna updated to the current form (Madonna, 1958- n84156128 \$zno98026221)

Example:

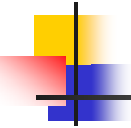
Elizabeth Gregory, who writes on anaplasmosis in beef cattle, could merge with the authority record for Elizabeth Gregory, author of Quotation and modern American poetry, if you have not yet updated the former to add her birth date (1962-)

Some subfields should be excluded from matching, e.g. 700 \$4 and \$e subfields; be sure to do this, if your vendor offers this option

If you have an old form of a heading in your file that used to be undifferentiated in NAF but has subsequently been differentiated, the vendor's matching program will probably not be able to make the match

Some people exclude series and conference names from vendor updating on the grounds that too many problems ensue

If you plan to update your file periodically, some vendors will want to maintain a copy of your authority file themselves; this means that any change you make locally will have to be made twice, once in your local authority file and once in the copy held by the vendor



---

END OF MODULE 1

65

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## EXERCISES FOR MODULE 1: INTRODUCTION

Identify the cataloging principle being applied in each of these cases.

### Exercise 1:

The CIA Counterterrorist Center is entered under 'United States. DCI Counterterrorist Center.' There is no cross reference on its authority record from any heading that includes 'CIA'. Instead, the cross reference from CIA appears only on the authority record for 'United States. Central Intelligence Agency.'

- |   |   |
|---|---|
| <input type="checkbox"/> Uniform headings                     | <input type="checkbox"/> Unique headings    |
| <input type="checkbox"/> Name commonly known                  | <input type="checkbox"/> Hierarchical force |
| <input type="checkbox"/> Change of name is change of identity |   |

### Exercise 2:

The author Donald Westlake has used a number of pseudonyms, including Curt Clark, Tucker Coe, John B. Allan, Richard Stark and Samuel Holt. The Library of Congress has established an authority record for each of these names, with see also references to lead users from one to another.

- |   |   |
|---|---|
| <input type="checkbox"/> Uniform headings                     | <input type="checkbox"/> Unique headings    |
| <input type="checkbox"/> Name commonly known                  | <input type="checkbox"/> Hierarchical force |
| <input type="checkbox"/> Change of name is change of identity |   |

### Exercise 3:

Sara Shatford Layne originally published under her maiden name (Sara Shatford), but after she married, she published under her married name (Sara Shatford Layne). The Library of Congress has established her name as Layne, Sara Shatford with a cross reference from Shatford, Sara

- |   |   |
|---|---|
| <input type="checkbox"/> Uniform headings                     | <input type="checkbox"/> Unique headings    |
| <input type="checkbox"/> Name commonly known                  | <input type="checkbox"/> Hierarchical force |
| <input type="checkbox"/> Change of name is change of identity |   |

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



## Exercise 4:

The Library of Congress has established the following headings:

Natural History Museum (London, England)  
Natural History Museum (Nepal)

- Uniform headings                       Unique headings  
 Name commonly known               Hierarchical force  
 Change of name is change of identity

## Exercise 5:

The actor John Wayne's real name was Marion Michael Morrison, but he never worked under that name. The Library of Congress has established his name as 'Wayne, John, 1907-1979' with a cross reference from 'Morrison, Marion Michael, 1907-1979.'

- Uniform headings                       Unique headings  
 Name commonly known               Hierarchical force  
 Change of name is change of identity

## Exercise 6:

Alfred Hitchcock's film 'Young and innocent' was released in the United States under the title 'The girl was young.' In the LC/NACO authority file it is established as 'Young and innocent (Motion picture)' with a cross reference from 'Girl was young (Motion picture).'

- Uniform headings                       Unique headings  
 Name commonly known               Hierarchical force  
 Change of name is change of identity

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 7:

There have been several author/creators named Karl Marx, including Karl Marx the writer on capitalism (b. 1818 and d. 1883) and Karl Marx the composer (b. 1897 and d. 1985). The Library of Congress has established these two people as:

Marx, Karl, 1818-1883

Marx, Karl, 1897-

- |   |   |
|---|---|
| <input type="checkbox"/> Uniform headings                     | <input type="checkbox"/> Unique headings    |
| <input type="checkbox"/> Name commonly known                  | <input type="checkbox"/> Hierarchical force |
| <input type="checkbox"/> Change of name is change of identity |   |

## Exercise 8:

The poet Edward Estlin Cummings published all of his poetry under the name e.e. cummings. The Library of Congress has established his name as 'Cummings, E. E. (Edward Estlin), 1894-1962' with a cross reference from 'Cummings, Edward Estlin, 1894-1962.'

- |   |   |
|---|---|
| <input type="checkbox"/> Uniform headings                     | <input type="checkbox"/> Unique headings    |
| <input type="checkbox"/> Name commonly known                  | <input type="checkbox"/> Hierarchical force |
| <input type="checkbox"/> Change of name is change of identity |   |

## Exercise 9:

The Association for Library Collections & Technical Services (ALCTS) used to be called the Resources and Technical Services Division. The Library of Congress has established both of the following headings, with see also references to lead users from one to the other:

Association for Library Collections & Technical Services  
American Library Association. Resources and Technical  
Services Division

- |   |   |
|---|---|
| <input type="checkbox"/> Uniform headings                     | <input type="checkbox"/> Unique headings    |
| <input type="checkbox"/> Name commonly known                  | <input type="checkbox"/> Hierarchical force |
| <input type="checkbox"/> Change of name is change of identity |   |

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 10:

Petrarch's work *Book without a name* is entered under 'Petrarca, Francesco, 1304-1374. Sine nomine. English.' There is no cross reference in that authority record from a form that includes the name 'Petrarch.' The cross reference from 'Petrarch' appears only on the authority record for 'Petrarca, Francesco, 1304-1374.'

- Uniform headings
- Unique headings
- Name commonly known
- Hierarchical force
- Change of name is change of identity

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



# **BASIC CREATION OF NAME AND TITLE AUTHORITIES**

## **Module 2: Basics of the MARC Authority Record**



## Scope

---

- Definition of MARC and its history
- MARC standards in authority control
- Basic components and content designators
- How authority records display
- Relationship of authority and bibliographic records

2

### Trainer's notes:

1. This module provides very basic information on the MARC 21 authority record and MARC 21 standards.
2. Discussion of MARC 21 standards needs to include some authority content, such as headings, reference tracings, and notes so that fields and content designators can be put into context. However, the rules that govern the form of the content will not be addressed in this Module.
3. Trainers should let trainees know that if they have specific "rule-based" questions on how headings are established, they should wait to ask them when the appropriate Module is given in the program.





## Definition of a MARC authority record

---

- MARC = **M**achine **R**eadable **C**ataloging record
- Machine readable means that computers can read, and interpret the data in an authority record

3

Trainer's notes:

This module will explain the basics about the structural components and how they work.



## History of MARC

---

- 1960s: LC MARC bibliographic format
- 1970s: Authority format
- 1990s: MARC formats evolved into MARC 21
- MARC authority standards are maintained by LC and MARBI
- Most libraries use MARC 21 records for their authority work

4

Trainer's notes:

1. After second bullet you may want to add:
  - In addition to MARC 21 formats for bibliographic and authority data there are also: MARC 21 formats for holdings data, classification data and community information. These existed in various national formats many of which were consolidated into MARC 21

MARBI is the Machine-Readable Bibliographic Information Committee of the American Library Association



## Documentation

---

- Documentation published in the *MARC 21 Format for Authority Data*. It is available in print and online as part of the MARC infobases in *Cataloger's Desktop*
- The *MARC21 Concise Format for Authority Data*, can be found online, for free at:  
<http://www.loc.gov/marc/authority/ecadhome.html>

5

### Trainer's notes:

1. The free, online *MARC21 Concise Format for Authority Data* does not include examples found in the more comprehensive documentation.



## MARC and authority control

---

- MARC authority records contain established forms of headings, reference tracings, and notes
- Authority control is the process of establishing headings and using those headings for access points on bibliographic records

6

### Trainer's notes:

1. Integrated library systems can manipulate authority record data to organize headings and related bibliographic records in meaningful displays.
2. The next slide and comments will give an example.



## MARC and authority control

---

Basic labeled display of bibliographic information

Author: **Winter, Douglas E., 1950-**  
Main Title: Stephen King, the art of darkness / by  
Douglas E. Winter.  
Published: New York : New American Library, c1984.  
Description: xix, 252 p. [8] p. of plates : ill. ; 24 cm.  
Subjects: **King, Stephen, 1947- --Criticism and  
interpretation.**  
**Horror tales, American--History and  
criticism.**

7

Trainer's notes:

1. The Author and Subjects (in bold on the slide) are controlled access points from the bibliographic record. Each part of the heading is contained in separate authority records. Two of the headings are also subdivided.
2. This slide represents a typical bibliographic display in a public online catalog.
3. If a user wants to find more books about the author Stephen King, a subject search of his name would display additional records.
4. A search for "Winter, Douglas" would bring up a display for any authors by that name and a listing of any books available by them in the library. If the searcher was interested in only the Douglas Winter writing about Stephen King, the titles associated with Stephen King would display.
5. Without authority control, locating materials by a particular author, or a particular subject would be very difficult.
6. As we go through the rest of this Module, we will go over specific authority record components and data elements.



## Role of MARC authority records

---

MARC authority records:

***Do not***

- Set rules for formulating headings


***Do***

- Allow exchange of information via mutually accepted standards

8

Trainer's notes:

1. Rules for creating the content of an authority record—that is the headings, cross references, notes, etc.— are found in AACR2, the Library of Congress Rule Interpretations, and other resources.
2. So, in an automated environment a cataloger uses rules that apply to the content of the headings, etc. and standards that allow the content to be held, carried and used in library systems.



## Role of MARC authority records

---

MARC authority records:

***Do not***

- Represent library materials

***Do***

- Act as *carriers* of authority record content
- Provide a framework that links headings and access points for searching library materials

9

## Looking at the MARC authority record



- Framework
- Fields
- Content designators
  - Tags
  - Indicators
  - Subfield codes/delimiters
- Basic authority record content
- Basic structural component

10

### Trainer's notes:

1. This slide shows the order in which we will look at the MARC authority record.
2. Trainers might emphasize here, again, that rules will not be discussed—that the authority record content of headings, reference tracings and notes are used only to provide a context for MARC structural components and content designators.





## MARC authority record: framework

---

The framework of the MARC authority record provides a mechanism that allows:

- Searching for headings
- Displaying headings, related headings and bibliographic records containing the headings
- Retrieving specific data within an authority record
- Sharing of authority records
- Receiving automated updates from authority vendors

11

Trainer's notes:

1. It is not the intent of this Module to go into the specific mechanisms that allow authority records to be stored or shared.

## Authority record displays in library systems



Bibliographic databases/library systems display authority searches and records in different ways. This indicates:

- The flexibility of the MARC format
- How authority record content remains intact when *shared* between bibliographic databases and library systems

12

Trainer's notes:

The next slides will show:

1. Search displays and authority records in OCLC and LC for author Amanda Cross.
2. These displays show the different search displays in each bibliographic database even though the information is based on the same standards—MARC 21.
3. The records will show fields, tags, and subfields which will be discussed later in this Module.

## OCLC authority search

The screenshot displays the OCLC authority search interface. At the top, there are navigation tabs: Cataloging, Authorities (selected), Express, Pathfinders, and General. Below these are buttons for Search, Browse, Create, and Show. A search bar contains the text '\* Authority File'. Below the search bar, there are options for Search Options, Authority File, Create Options, and Show Options.

The main content area shows the search results for 'Cross, Amanda, 1926-2003'. The results are organized into sections for each author name, with associated field tags and record counts.

Author Name	Field Tag	Record Count
Cross, Amanda, †d 1926-2003	E1. [100]	3 records
	E2. [500]	1 record
	E3. †t Collected stories [400]	1 record
	E4. †t Short stories. †k Selections [100]	1 record
Cross, Amanda B.	E5. [100]	1 record
Cross, Amy, †d 1856-1939	E6. [100]	1 record
Cross, Amy Beth	E7. [400]	1 record
Cross, Amy J.	E8. [100]	1 record
Cross, Amy Willard	E9. [100]	1 record
Cross, Andrew	E10. [100]	1 record
Cross, Andrew B. †q (Andrew Boyd), †d 1809 or 10-1889	E11. [100]	1 record
Cross, Andrew Boyd, 1809 or 10-1889		

### Trainer's notes:

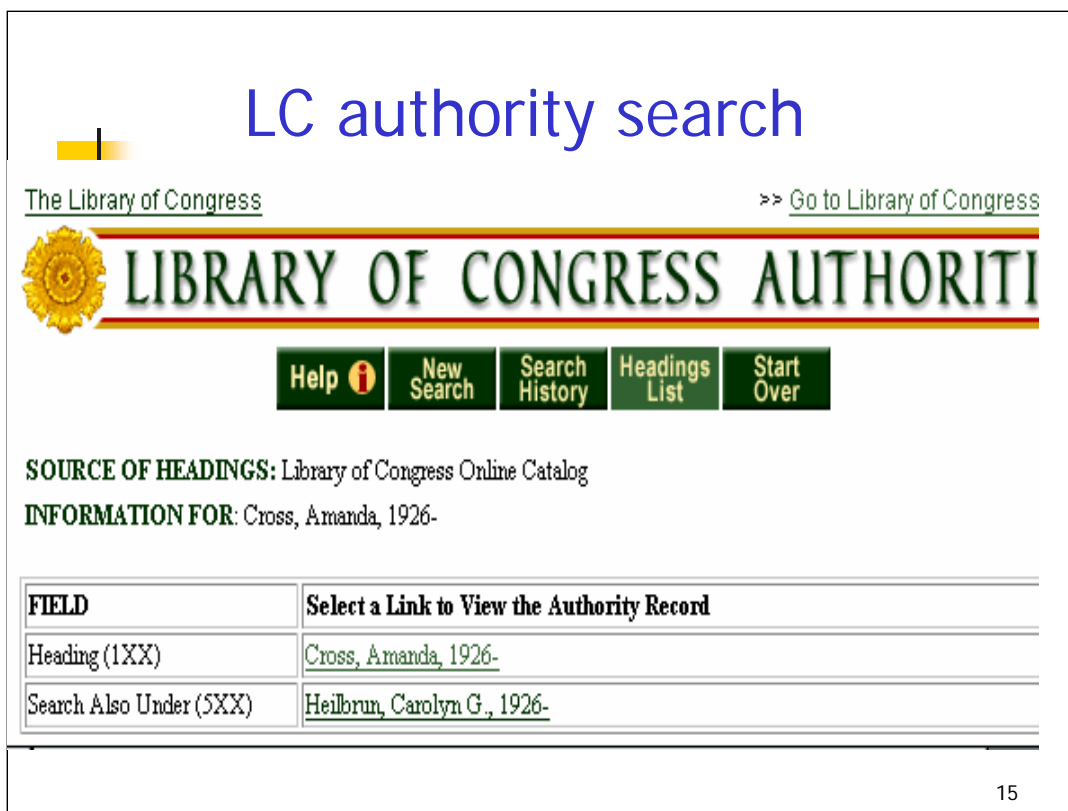
1. This screen shot of shows a display from an OCLC search for: Cross, Amanda, 1926-
2. Note the presence of additional headings beginning with Cross, Amy and Cross, Amy J.
3. The bracketed 100, and 500 field tags below the author's name are in the authority record; the bracketed 400 after collected stories and the bracketed 100 after short stories selections are in another authority record associated with the author's body of work.
4. The next slide shows the authority record for the author.

## OCLC authority record display

14

### Trainer's notes:

1. This is the authority record for Amanda Cross.
2. Note the 100 and 500 fields that we saw in the search results.
3. The 100 is for the heading; the 500 is for another name under which this author writes.
4. The presence of the 500 field indicates that there is another authority record associated with this person—that is she writes in another subject area and it was decided that two authority records are needed to represent this person and her works.
5. This is an instance in which a tag (500) indicates the content of the field.
6. In further slides in this Module we will go over tags and their functions.
7. In additional Modules in this program, you will learn the decisions used in creating the content.



The Library of Congress [>> Go to Library of Congress](#)

**LIBRARY OF CONGRESS AUTHORITY**

Help New Search Search History Headings List Start Over

**SOURCE OF HEADINGS:** Library of Congress Online Catalog  
**INFORMATION FOR:** Cross, Amanda, 1926-

FIELD	Select a Link to View the Authority Record
Heading (1XX)	<a href="#">Cross, Amanda, 1926-</a>
Search Also Under (5XX)	<a href="#">Heilbrun, Carolyn G., 1926-</a>

15

### Trainer's notes

1. This slide shows search results for Amanda Cross in the Library of Congress catalog.
2. Note the differences in this search results display from the displays in OCLC.
3. This display combines some of the fields and tags found in both the OCLC search displays.
  - There are tags (1XX rather than 100; and 5XX rather than 500) as in the OCLC search display.
  - There are Search also references as well as the other authority heading associated with the author.
4. However there are no 4XX or additional headings listed for the associated works of the author.
5. By clicking on the link [Cross, Amanda, 1926-](#) the authority record for Amanda Cross will display (see next slide).

## LC authority record display

**LC Control Number:** n 81056248

**HEADING:** Cross, Amanda, 1926-

**000** 00599cz 2200169n 450

**001** 58986

**005** 20011206053405.0

**008** 810615n| acannaabn |a aaa

**010** \_\_ |a n 81056248 |z sh 88000194

**035** \_\_ |a (OCoLC)oca00601723

**040** \_\_ |a DLC |b eng |e DLC |d DLC |d MCo |d OCoLC

**053** \_0 |a PS3558.E4526

**100** 1\_ |a Cross, Amanda, |d 1926-

**500** 1\_ |a Heilbrun, Carolyn G., |d 1926-

**670** \_\_ |a Her Poetic justice, 1981, c1970: |b t.p. (Amanda Cross) verso t.p. (copr.: Carolyn Heilbrun)

**670** \_\_ |a Cont. auth., |b v. 45 (under Heilbrun, Carolyn G(old): pseud. Amanda Cross; b. 1/13/26)

**953** \_\_ |a be14 |b f:23

16

### Trainer's notes

Authority records in LC (MARC display) look different from ones in OCLC; note the 008 field. There are also some fields in LC authority records that are not in OCLC.

## LC authority record labeled display



The screenshot shows the Library of Congress Authority Record interface. At the top, there is a navigation bar with "The Library of Congress" on the left and ">> Go to Library of Congress" on the right. Below this is the Library of Congress logo and the text "LIBRARY OF CONGRESS AUTHORITY RECORD". A menu bar contains buttons for "Help", "New Search", "Search History", "Headings List", and "Start Over". Below the menu bar are "Previous" and "Next" navigation arrows, and two buttons: "MARC Display" and "Labelled Display". The main content area displays the following information:

**LC Control Number:** n 81056248  
**Cancel/Invalid LCCN:** sh 88000194  
**LC Class Number:** PS3558.E4526  
**HEADING:** Cross, Amanda, 1926-  
**Search Also Under:** Heilbrun, Carolyn G., 1926-  
**Found In:** Her Poetic justice, 1981, c1970: t.p. (Amanda Cross) verso t.p. (copr.: Carolyn Heilbrun)  
 Cont. auth., v. 45 (under Heilbrun, Carolyn G(old): pseud. Amanda Cross; b. 1/13/26)

17

Trainer's notes:

1. This display uses labels, such as "Heading" and "Found in".
2. It does not include fixed fields or an 008.
3. This display might be similar to how authority records might look in other library automated systems.



## Authority record displays in library systems

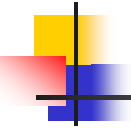
- MARC authority records are important to successful searches in library catalogs
- Different systems can index fields and display them in different ways
- MARC authority records remain intact when shared between bibliographic databases

18

### Trainer's notes:

1. Successful searching is dependent on the MARC authority record. It provides standardized mechanisms for data (authority content) to be manipulated into functional displays.
2. We have seen in the last set of slides how systems use MARC authority data differently—yet the content remains the same.
3. At the end of this Module we will look at the MARC communications format for an authority record.





## Fields

- Authority records are divided into fields
- A field is a string of characters identified by a tag and ending with field terminator
- Authority record content and data are recorded in fields
- Some fields are repeatable

19

Trainer's notes:

1. Repeatability of fields: The *MARC 21 Format for Authority Data* indicates which fields can be repeated by putting an (R) or (NR) after the field name.
2. The next slide and others later in this Module show examples of fields.



## Fields

---

Example of a MARC authority field for a personal name heading:

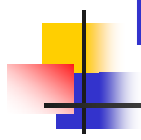
100 1\_ \$a West, Dottie, \$d 1932-1991

- Within fields are “signposts” or content designators

20

Trainer’s notes:

1. In the next few slides content designators will be defined and examples provided.

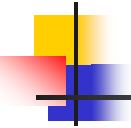


## Fields: content designators

---

- Three kinds of content designators:
  - Tags
  - Indicators
  - Subfield codes
- They label and explain the data in the authority record

21



## Content designators: tags

Each field has a **tag**:

- Tags identify the field and content
- Tags are always 3-digit numbers

Examples:

100 Tag for a personal name heading

400 Tag for a *see from tracing* for a  
personal name

670 Tag for a note field

22

Trainer's notes:

1. The first number in a tag indicates the function of the field.
2. The second and third numbers are used to define the type of information in the field.
3. We will go into more depth about fields and tags later in this Module.



## Content designators: indicators

- Indicators are placed in the two positions that follow the tag (exceptions are fields 001-009)
- Both indicator positions can be undefined, both can be used, or only one can be used
- When an indicator position is not defined, the position is left “blank”
- Indicator values are numbers from 0-9.

For purposes of this training, “blank” for undefined positions will be indicated by an underscore “\_”

23

### Trainers' notes:

1. Trainees should be aware that in some of the slides, especially screen shots, undefined indicators may contain an actual blank space, a “#” sign, or a small letter b with a slash through it.

## Content designators: indicator examples



100 <b>1</b> _	One indicator used
100 <b>0</b> _	One indicator used
400 <b>1</b> _	One indicator used
670 ___	Both indicators not used
050 _ <b>4</b>	One indicator used
050 <b>00</b>	Both indicators used

24

### Trainer's notes:

1. The indicators are in bold type in this slide.
2. Indicators appear to be a 2 digit number. They are actually two single-digit numbers.
3. Allowable indicators and their meanings are given in the MARC 21 documentation.
4. Example: the first indicator value of one in the "100 **1**\_" means that the heading begins with the surname first.

## Content designators: subfield codes



Many fields contain types of data called subfields

- Most fields contain several related subfields
- Subfields are preceded by a delimiter and subfield code combination
- Delimiters are characters that separate subfields
- Subfield codes are usually lowercase and indicate what type of data follows it

25

Trainer's notes:

1. Fields can have several pieces of related pieces of data—such as name and date of birth. Separate pieces of data are put in separate subfields.
2. Delimiters can be represented by different symbols. This Manual will use the “\$” sign. Bibliographic databases often use a vertical line intersected by two horizontal lines.



## Content designators: subfield code examples

---

100 1\_ **\$a** West, Dottie, **\$d** 1932-1991

100 **\$a** Personal name

100 **\$d** Dates associated with the person

110 2\_ **\$a** American Library Association. **\$b**  
Acquisitions Committee

110 **\$a** Corporate name

110 **\$b** Subordinate unit of the corporate  
name

26

### Trainer's notes:

1. There are many subfield codes available to use.
2. As with indicators, allowable delimiters and subfield codes are given in the MARC 21 standards.





## Authority record content

### **Headings 1XX**

Authorized form of the name (personal names, corporate names, meeting names) name/titles, and uniform title

### **Tracings and references**

See references 4XX

See also references 5XX

### **Notes 6XX**

Cite sources that support choice of headings, tracings and references or give additional information explaining relationships between them. Some display in OPACS—others are for staff information.

27

Trainer's notes:

1. As you can see tags are organized into groups of blocks.
2. Later in this Module, we will look at blocks of tags and patterns with the tags.

## Authority record content: examples



### Name headings:

100 1\_ \$a Picasso, Pablo, \$d 1881-1973  
[personal name]

110 2\_ \$a Films for the Humanities &  
Sciences (Firm)  
[corporate name]

111 2\_ \$a Science & Technology Forum  
[meeting name]

28

### Trainer's notes:

1. In the slide examples the XXs have been replaced with the more specific numbers for the type of heading.



## Authority record content: examples

---

Geographic name headings:

151\_\_ \$a Los Angeles (Calif.)

151\_0 \$a Märkisches Viertel (Berlin,  
Germany)

29

Trainer's notes:

1. Both of the headings are geographic names.
2. Note that the second indicators are different.
3. Revisions to the MARC standards may make some codes and values obsolete. The second indicator value of "0" was made obsolete in 1993. It should be removed if found when other revisions are being made to the record.
4. Many kinds of these obsolete values can to seen in older records.
5. Catalogers should not pattern MARC values after older records—some of the values may be incorrect. When unsure of correct codes always consult the MARC 21 standards.

## Authority record content: examples



Uniform title headings:

130 \_0 \$a Cantar de mío Cid [individual title]

130 \_0 \$a Cid (Epic cycle) [collective title]

---

130 \_0 \$a Dance of Death

30

Trainer's notes:

1. The first two are related: The first is the individual uniform title heading; the second is the uniform title heading used for collecting individual titles related to it.



## Authority record content: examples

---

Name/title combination:

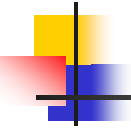
100 1\_ \$a Hemingway, Ernest, \$d 1899-  
1961. \$t Fifty grand

100 1\_ \$a King, Stephen, \$a 1947- \$t Bag of  
bones. \$l Hebrew

31

Trainer's notes:

1. Note that there are two different subfield codes in these examples.
2. The \$t in the first example indicates that the subfield contains a title of a work by Ernest Hemingway.
3. The \$l in the second example indicates that the language for this book by Stephen King is Hebrew.



## Control subfield \$w

- Precedes \$a in most cases
- Contains up to 4 character positions
- Controls display and indicates special meaning of headings
- Used only by exception
- Not all reference headings use \$w

32

Trainer's notes:

1. The next slide will show examples of the use of subfield code "w".

## Authority record content: \$w examples



Name heading with references tracings:

100 1\_ \$a King, Stephen, \$d 1947-

[Authorized form]

400 1\_ \$a King, Stiven, \$d 1947-

[See from tracing]

500 1\_ \$w nnc \$a Bachman, Richard

[See also from tracing]

500 1\_ \$w nnc \$a Druse, Eleanor

[See also from tracing]

33

Trainer's notes:

1. This example contains parts of the authority record for Stephen King. There are many other fields in the actual authority record including notes, and a class number.
2. Note the \$w in each of the 500 fields. While most fields begin with \$a, there are occasions when a subfield precedes the \$a.
3. \$w is a control field that contains up to four character positions that indicate whether special instructions apply to the display of the heading in the 4XX or 5XX field and whether a tracing is restricted to the reference structure of a particular type of authority.
4. The codes used in \$w are dependent on the character position in which they occur.
5. Not all reference headings need \$w subfield coding.
6. There are four character positions in the \$w. Each requires either a fill character or a code.
  - /0 Special relationship = n
  - /1 Tracing use = n
  - /2 Earlier form of heading = n
  - /3 Reference display = c

Note that in OCLC subfield \$w comes at the end of the field for ease of inputting.



## Authority record content: 670 source data found note

---


- 670 field contains a citation for a source that provides information about the content of the authority record
- May also include information found in the source
- Both indicators are undefined
- These notes are the most common ones used in authority records

34

Trainer's notes:

1. The next module will discuss Source data found notes in detail.





## Authority record content: example source data found notes

For King, Stephen, 1947-


670 \_\_ \$a Washington Post, 4/9/85 \$b (Stephen King has written 5 novels using the pseudonym Richard Bachman)

670 \_\_ \$a Amazon.com, via WWW, May 27, 2004 \$b (The journals of Eleanor Druse, 2004; Eleanor Druse is a fictional author created by Stephen King)

35

Trainer's notes:

1. These are two Source Data Found notes are used in the authority record for Stephen King.
2. Stephen King has used two additional names (one is fictional) in his works.
3. Each one one cites a source used when verifying the see also references (500) fields used in the authority record.
4. The \$a contains the citation for a work or description of any source or action that provided information about the heading.
5. The \$b contains parenthetical statements of the information found in the source (in \$a). A statement of the location of the information is included.



## MARC structural components

---

Three main structural components in  
MARC 21  
authority records:

- Leader
- Directory
- Variable fields
  - Variable control fields
  - Variable data fields

36

Trainer's notes:

1. MARC 21 bibliographic records also contain these three structural components.



## Structural components: leader

- Contains information needed for the processing of the authority record
- Contains coded values placed in character positions
- Most data is used to read and process the authority record
- Most data is computer generated
- Displays as part of “fixed fields”

37

### Trainer's notes:

1. The Leader is the first field in an authority record.
2. There are 24 (00-23) positions in the Leader.
3. It has no indicators or subfield codes.
4. The next few slides contain examples of the Leader in an OCLC authority record.

## Leader: OCLC example

ARN:	4674588	Entered:	19980303	
Rec stat:	c	Upd status:	a	Enc lvl:
Type:	z	Ref status:	a	Mod rec:
Roman:	■	Auth status:	a	Subj:
Govt agn:	■	Auth/ref:	a	Geo subd:
Series:	n	Name:	a	Subdiv tp:
Ser num:	n			

- Leader positions are in the boxes
- *Mnemonics* are used as labels to prompt catalogers regarding codes to use

38

### Trainer's notes:

1. This example is from the authority record for Charles D. Robinson, a personal name heading.



## Leader data elements

---

### **Record status**

c = Corrected or revised

d = Deleted

n = New

### **Type of record:**

z = Authority data (only code used)

### **Encoding level**

n = Complete authority record

39

#### Trainer's notes:

1. These three character positions give important information about the use and type of record.
2. Other data elements and codes provide information regarding the record content (headings, reference tracings, and notes).
3. Record status: indicates the relationship of the record to a file for file maintenance purposes.
4. Type of record: indicates the characteristics of and defines the components of the record.
5. Encoding level: indicates whether the authority record is complete or incomplete. It relates to the 008/31 Record update in process).



## Structural components: directory

- The directory is a series of entries that indicate tags, length and starting positions of each variable field
- It is always computer generated
- Except for tags, it does not display

40

### Trainer's notes:

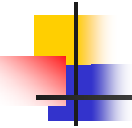
1. Only computer programmers or library technical staff can “see” the directory.
2. In the authority record tags display along with the field they mark. However, the directory is the “place” where the tags are stored for use.
3. At the end of this module there is an example of a directory as displayed in the MARC communications format.



## Structural components: variable fields

---

- MARC data is organized into variable fields:
  
- There are two kinds of variable fields
  - **Variable control fields**
  - **Variable data fields**



## Structural components: variable control fields

---

- 00X fields (001-009)
- Identified by a tag in the Directory
- Contain no indicators or subfield codes
- Contain either single data elements or a series of fixed length data elements

42

Trainer's notes:

1. Note the "00X". All these types of variable control fields begin with two zeros.





## Structural components: variable control field examples

---

- 001 Control number
- 003 Control number identifier
- 005 Date and time of latest transaction
  - These fields are usually system generated
- 008 Fixed-length data elements
  - Some of the codes can be defaults in defined systems; some need to be evaluated and supplied by the cataloger

43

Trainer's notes:

1. In the next few slides the 008 field will be presented in more detail.



## Variable control field: 008

---

- Referred to as the Fixed Field codes
- Contains 40 positions for coding
  - Unused positions contain a blank or fill character
- It has no indicators or subfield codes
- Data is used to identify and retrieve records matching certain criteria



## Variable control field: 008

---

- Contains coded information about the record as a whole
- Identifies aspects of the 1XX headings or 4XX/5XX tracing fields
- Some systems display the 008 position codes with *mnemonics*
- Some codes in the 008 relate to the variable data fields in the authority record

45

### Trainers' notes:

1. Later in the Module examples of mnemonics will be given and a few relationships between 008 codes and the variable data fields will be shown.

## 008 field: OCLC example

ARN:	4674588			
Rec stat:	c	Entered:	19980303	
Type:	z	Upd status:	a	Enc lvl: n
Roman:	■	Ref status:	a	Mod rec:
Govt agn:	■	Auth status:	a	Subj: a
Series:	n	Auth/ref:	a	Geo subd: n
Ser num:	n	Name:	a	Subdiv tp: n
				Source: c
				Name use: a
				Subj use: a
				Ser use: b
				Rules: c

- Outlined area shows the 008 fields
- Labels are called *mnemonics*. These act as prompts to indicate what codes to use
- If local systems use *mnemonics*—but they might be different than those used by OCLC

46

### Trainer's notes:

1. This authority record is for a personal name: Charles D. Robinson (Charles Dayon), 1822-1886.
2. In this display, date in the Entered position includes the entire year, rather than just the last two digits.

**Authority 008 Display for NAFO2004115928**

(00-05) Date entered on file	2004-12-01
(06) Direct or indirect geographic subdivision	n = Not applicable
(07) Romanization scheme	? = No attempt to code
(08) Language of catalog	• = No information provided
(09) Kind of record	a = Established heading
(10) Descriptive cataloging rules	c = AACR 2
(11) Subject heading system/thesaurus	a = Library of Congress Subject Headings
(12) Type of series	n = Not applicable
(13) Numbered or unnumbered series	n = Not applicable
(14) Heading use-main or added entry	a = Appropriate
(15) Heading use-subject added entry	a = Appropriate
(16) Heading use-series added entry	b = Not appropriate
(17) Type of subject subdivision	n = Not applicable
(28) Type of government agency	? = No attempt to code
(29) Reference evaluation	a = Tracings are consistent with the heading
(31) Record update in process	a = Record can be used
(32) Undifferentiated personal name	a = Differentiated personal name
(33) Level of establishment	a = Fully established
(38) Modified record	• = Not modified
(39) Cataloging source	c = Cooperative cataloging program

47

Trainer's notes:

1. Authority 008 displays provide the numbered positions and their codes for the 008 elements used in the record.
2. Note the absence of positions 18-27, 30, and 34-37. These positions are undefined in MARC authority records.



## Variable data fields

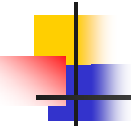
---

- Fields 010-999
- Identified by tags
- Contain indicators
- Contain subfield codes and delimiters preceding the data
- Contain the established heading, reference tracings, notes, etc.

48

Trainer's notes:

1. These are the second type of variable fields.



## Variable data fields blocks

- 0XX Standard numbers
- 1XX Headings (personal name, corporate body, meetings, uniform titles)
- 4XX See from tracings
- 5XX See also from tracings
- 6XX Notes
- 7XX Linking fields
- 8XX Alternate graphics
- 9XX For local use

49

Trainer's notes:

1. The first number indicates the function of the data in the field. For example all authorized headings will begin with a "1", all see from tracings on authority records will begin with a 4, etc.



## Variable data fields: groups

---

- The last two tag numbers identify content within the fields
- They are called *parallel content designations*

X00 Personal name

X10 Corporate names

X11 Meetings

X30 Uniform titles

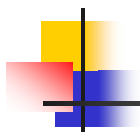
X51 Geographic names

50

### Trainer's notes:

1. When the first numbers from the last slide are combined with the numbers on this slide it can be seen that a personal name heading will be 100 and all cross references will have "00" after the first number—400 and 500.





## Variable data fields

---

- The 1XX, 4XX, 5XX, and 7XX blocks and the parallel content designations are important when using authority records
- Used together they can help to recognize the content of the field



## Variable data field: examples

---

### Patterns in tags

- Personal name headings with reference tracings might have a 100, 400, 500
- Corporate body headings with reference tracings might have a 110, 410, 510

52

### Trainer's notes:

1. Not all authority records will have reference tracings or sets of note fields.
2. In the next modules you will learn when to include reference tracings and how to use the notes.
3. Note that there can be mixing of tags within a single record. For example a corporate body (110) may have a (451) tracing.



## Variable data field: examples

---

### Patterns in tags (cont.)

- Meeting headings with reference tracings might have a 111, 411, 511
- Uniform title headings with reference tracings might have a 130, 430, 530
- Geographic names with reference tracings might have a 151, 451 551

53

### Trainer's notes:

1. Not all authority records will have reference tracings or sets of note fields.
2. In the next modules you will learn when to include reference tracings and how to use the notes.
3. Note that there can be mixing of tags within a single record. For example a corporate body (110) may have a (451) tracing.

## Variable data fields/008 field



- 008 codes can relate to special aspects in variable data fields in the authority record

Example

**008**

790802n?#acannaabn#####?a#aaa#####  
##

Heading: 100 1# \$a King, Stephen, \$d 1947-

Cat. source: 040## \$a DLC\$beng\$cDLC .....

- Since this is an established personal name heading (100), the 008/09 (Kind of record) is coded with a (for established heading)
- LC established this heading (040 DLC) so the 008/39 is coded # to show that LC is a national bibliographic agency

54

Trainer's notes:

- The slide shows 2 positions in the 008 and that relate to 2 variable data fields. There are many more of these relationships and are discussed in the *MARC 21 Format for Authority Data*.
- The undefined positions are represented by the “#” sign.



## Relationship of authority headings to bibliographic records

Established personal name heading:

100 1\_ \$a King, Stephen, \$d 1947-

In the bibliographic record as a subject:

600 10 \$a King, Stephen, \$d 1947-



## Relationship of authority headings to bibliographic records

Established meeting name heading:

111 2\_ \$a Biennale di Venezia

In the bibliographic record as a subject:

611 20 \$a Biennale di Venezia.

56

Trainer's notes:

1. The second indicator is blank in the meeting heading, but "0" in the 611 field on the bibliographic record.
2. The second indicator was made obsolete for use in field 100, 400, and 500 in 1993. The values were: 0-9 for nonfiling characters.
3. The second indicator codes used in 6XX fields specify the subject heading system or thesaurus used in constructing the subject heading. In the slide, code "0" in the second indicator position is for the Library of Congress Subject Headings.



## Relationship of authority headings to bibliographic records

Established geographic name heading:

151\_\_ \$a Los Angeles (Calif.)


In the bibliographic record as a subject:

651\_0 \$a Los Angeles (Calif.)

57

Trainer's notes:

1. Note the difference in the indicators in the 651 heading and as it is used in the bibliographic record.
2. The 151 does not use second indicator coding in the authority record.
3. The 651 requires the use of the second indicator to show which subject system or thesaurus was used.



## Relationship of authority headings to bibliographic records

Established corporate name heading:

110 20 \$a Johnson & Johnson

In the bibliographic record as a subject:

610 20 \$a Johnson & Johnson.

58

Trainer's notes:

1. In this example second indicators in the heading and the subject heading in the bibliographic record are coded "0".
2. It is necessary to code the 610 indicator to show that it came from the LCSH.
3. Although in 1993 the coding of the second indicator for 1XX fields was made obsolete, it should be corrected when making a change to an authority record; otherwise it may be ignored.





## Relationship of authority headings to bibliographic records

Established personal name heading:

100 1\_ \$a Beahm, George W.

In the bibliographic record as added entry:

700 1\_ \$a Beahm, George W.



## Relationship of authority headings to bibliographic records

Established personal name headings:

100 1\_ \$a King, Stephen, \$d 1947-

100 1\_ \$a Miller, Chuck, \$d 1952-

In the bibliographic record:

100 1\_ \$a King, Stephen, \$d 1947-

600 10 \$a King, Stephen, \$d 1947-

700 1 \_\$a Miller, Chuck, \$1952-

## MARC 21 communications formatted record



This block of data is what programmers see when looking at a MARC file


```
00388nz###2200121n##4500010008000000005001700008
008004100025010001700066040001600083100002800099
670005600127670008300183659859420030410155436.
0030324n|#acannaabn#####|n#aaa#####|##
  an
b20030315601## aUk1beng1cUK11# aSmith, Margaret,
1d1937-1## aFrom Victorian Wessex, 2003:1bt.p.
(Margaret
Smith)1## aLetter from author, 24 Mar. 20031b(Margaret
Isabella Smith, born 26 July 1937)1■
```

61

Trainer's notes:

1. It is comprised of one string of data.
2. The Leader makes up the first 24 positions, ending with "4500".
3. The Directory begins after the Leader.
4. Tags in the Directory have been underlined in this example.
5. The next slide shows this file in a formatted, tagged form.

## Formatted authority record: tagged display



```

Leader: 00388nz###2200121n##4500
Control no.    001    6598594
Last trans.   005    20030410155436.0
Fixed data    008
              030324n|#acannaabn#####|n#aaa#####
LCCN          010 ## $a nb2003031560
Cat. Source   040 ## $a uk$beng$cUk
Heading       100 1# $a Smith, Margaret, $d 1937-
Source note   670 ## $a From Victorian Wessex, 2003: $b t.p.
              (Margaret Smith)
Source note   670 ## $a Letter from author, 24 Mar. 2003 $b
              (Margaret
              Smith born 26 July 1937)
  
```

62

### Trainer's notes:

1. Authority records can be very simple such as the example on this slide or more complex using additional fields as needed.
2. In the tagged display note that the indicators follow the field tags.



## Summary

---

- Importance and necessity of authority control in the automated environment
- Importance of MARC 21 standards in authority control
- Structural components of the MARC authority record

63

### Trainer's notes:

1. This has been an overview of the basics of MARC 21 authority records.
2. More details about specific codes, record components, and structural components can be found in the documentation, *MARC 21 Format for Authority Data*.



## Summary (cont.)

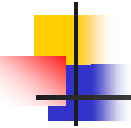
---

- Authority record content
- Relationships between variable control fields and variable data fields
- Relationships between headings in the authority record and the bibliographic record

64

### Trainer's notes:

1. This has been an overview of the basics of MARC 21 authority records.
2. More details about specific codes, record components, and structural components can be found in the documentation, *MARC 21 Format for Authority Data*.



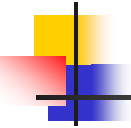
---

# End of Module 2

65

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*





# **BASIC CREATION OF NAME AND TITLE AUTHORITIES**

## **Module 3: Resources**

1

This module gives some general considerations and philosophy about how to go about collecting information for an authority record and how to represent this information in the authority record.



## Standards for Authority Records

Most authority records are created using nationally accepted standards and rules including:

- Anglo American Cataloging Rules 2<sup>nd</sup> Edition (AACR2)
- Interpretations of the AACR2 rules by the Library of Congress (Library of Congress Rule Interpretations; LCRIs)
- MARC21 format for authority data

2

**MUSTS: assumed throughout**

Already using AACR2 and LCRI, consulting MARC documentation, for cataloging

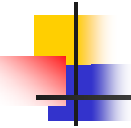
Continues to be true for auth. work

Also now include:

Chap. 26: general advice on selection of reference tracings

Chap. 21-25: interspersed with additional reference tracing advice

MARC format for authority data



## Additional Resources

Additional resources available to help create an authority file include:

- NACO participants' manual  
<http://www.loc.gov/catdir/pcc/naco/npm2ed.pdf>
- Maxwell's guide to authority work by Robert L. Maxwell. Chicago, American Library Association, 2002.
- Documents from this workshop

3

**MAYBES: look at if you want to**

NACO participants manual s/b also official source for a.r.s

Beware: Some details and procedures only important to NACO participants; ignore

Number of other tools to use; not exhaustive list

Several books on authority work, most recently:

Maxwell's guide to a.w., by our own Robert Maxwell (ALA, 2002)

Documentation from this workshop

Whatever else you can find

Library of Congress Authorities (Search for Name, Subject, Title and Name/Title) - Mozilla Firefox

File Edit View Go Bookmarks Tools Help

http://authorities.loc.gov/

BBC3 RLIN21 OCLC LCCat Auth Clswb Dkstp SACO Marc FmlySrch Google amzn JSC SAC

The Library of Congress

## LIBRARY OF CONGRESS AUTHORITIES

**Please note:** Beginning on Friday, October 28, the online catalog will begin a software upgrade which will last until approximately Monday, November 14. During this period, a fully functional, static version of the LC Database will be available at this address. Although, we do not anticipate any interruption in service, there may be a few brief periods of downtime; however, never more than a few hours.

**>> Search Authorities <<**

[Help on Searching Authorities](#) - [Frequently Asked Questions](#)

*If you have questions or comments, please send us feedback using our [Help Desk](#) page.*

*or switch to the*

**>> Library of Congress Online Catalog <<**

to search for and display catalog records for the over 12 million books and other items in the collections of the Library of Congress.

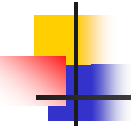
The Library of Congress  
October 24, 2005

[Contact Us](#)

Please Read Our [Legal Notices](#)

4

Don't forget that one of the most important resources for authority work is the authority file itself.



## Sources consulted

Sources consulted are cited in 670 fields in authority records

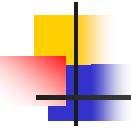
Authority records should include 670 fields for:

- Item being cataloged (e.g. book, Web page, CD, electronic databases, etc.)
- All other sources you consult when creating an authority record (e.g. reference books, Web pages, etc.)

5

When you create an authority record you need to document all of the places that you look to find information about the heading you are establishing.

Authority records should include 670 fields for: the item you're cataloging when you noticed the need for an authority record. This can include, and is not limited to books, electronic resources, manuscripts, or anything else you catalog



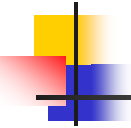
## Scheme for 670 field

Although other schemes are possible we are showing scheme used for NACO. This scheme:

- Has been used for decades
- Is based on card scheme
- Has advantages including:
  - Giving you a better understanding of NACO authority records
  - Makes an easier transition to NACO participation

6

Scheme used in 670 field—elements included, punctuation, etc.—is arbitrary  
Showing scheme used in NACO authority records; has been in use for decades  
NACO scheme is based on scheme used by LC on authority *cards*  
Possible to come up with different scheme  
Advantage of using NACO scheme: familiarity leads to better understanding of NACO authority records  
Easier transition to NACO participation



## 670 is for justification

- Must show where heading comes from
- Must show where reference tracings come from (unless ‘standard’ tracings)
- Similar concept to justification of added entries in bibliographic records
- Consider not only immediate use, but also future needs

7

Concept underlying source citations: called Justification

Need to show where information in authority record comes from

For example, if authority record to be fully useful in long term, can't simply put in heading and a couple of reference tracings; must also show why they're in the authority record

Need to justify information is similar to concept implicit in full-level bib records: can't have non-subject access point without showing in the 245 or note why it's there

Reason we recommend you take time to construct source citations: authority records have life that extends beyond immediate circumstances. Consider not only today's environment, but but needs/future users of a.r.s

## Justification

110	2	#a Zimbabwe Liberators' Platform
410	2	#a ZLP
670		#a War veterans and the status quo-, 2000: #b t.p. (Zimbabwe Liberators' Platform) p. 1 (ZLP)

100	1	#a Dubourdieu, C. #q (Catherine)
400	1	#a Dubourdieu, Catherine
670		#a International Conference on Thin Film Deposition of Oxide Multilayers Hybrid Structures, 2001: #b t.p. (C. Dubourdieu) p. ii (Catherine Dubourdieu)

8

Couple of simple a.r.s with their 670 fields

Don't panic; details come later

1<sup>st</sup> ex: 670 shows hdg. came from t.p., abbrev. used in ref. tracing from inside document

2<sup>nd</sup> ex: 670 show name w/initial from t.p., full name from inside. Used in both heading and ref. tracing

By citing IBC in this manner we have *justified* 1XX and 4XX



## Justification

110	1	#a Benin. #b Direction de la promotion et de la legislation rurales
410	1	#a Benin. #b Minist`ere du d`eveloppement rural. #b Direction de la promotion et de la legislation rurales
670		#a Les organisations paysannes dans le d`eveloppement rural au Benin, 1995: #b t.p. (R`epublique du Benin, Minist`ere du d`eveloppement rural, Direction de la promotion et de la legislation rurales)
100	1	#a Freitas, Manuela de
400	1	#a De Freitas, Manuela
670		#a A com`edia de Deus, c2001 #b credits (Manuela de Freitas, actress)

9

1<sup>st</sup> ex: 670 field shows full corporate hierarchy, useful not only for identification but also used in reference tracing

2<sup>nd</sup> ex: shows that not all reference tracings requires justification. Reference tracing here generated by simple manipulation of heading (suggested by AACR2); requires no justification.



## 670 is also for

- Identification of entity represented by the heading
- Clarifying relationships with other entities

10

Primary use of 670: justification

But not limited to justification

Also has broader purpose

Info in 670 fields also helps identify the entity represented by hdg:


Who is this person or organization?

Who is this person or organization NOT?

670 fields also show relationships with other entities

What is the parent corporate body?

What are predecessor and successor bodies?



## The 670 field

Subfields:

- Identification of the item (\$a)
- Information found in the item (\$b)

Indicators:

- Both are blank

General pattern:

**670 \_\_ \$a Title proper, date of publication: \$b location of data in the source (data)**

11

In MARC record, source citations (IBC and others) in 670 field

Simple field, 2 subfields

\$a contains information that identifies the source

Title of item being cataloged

Title of a biographical dictionary

Identification of a Web page

\$b contains the information you found in that source

Every authority record you create will have at least one 670 field

Some a.r.s will contain multiple 670 fields

Talk later: how many might need



## Identification of the source (670 \$a)

---

- Enough to make it possible to find bibliographic record (and thereby the item) again
- Use information from bibliographic record
- Minimum of title (245 \$a \$n \$p) + date
- Include main entry only if necessary to identify the item
- Abbreviate words as desired
- After first few words, ellipses if appropriate

12

1<sup>st</sup> thing in citation of source is identification of that source (goes into subfield \$a)

True for IBC and all other sources

Give enough info so someone can find bib. record and then item itself

Since using bib. rec. as intermediary, use info from bib record in 670 \$a

Minimum identification is title and date from 260 \$c: usu. enough (esp. plus heading in a.r.)

If want, can also include m.e. (not shown)

Abbrev. title if want (but don't omit internal words)

Can use ellipses if title long (suggestion comes later)



## Identification of the source (\$a)

---

- Transfer date from the \$c of the 260, give all dates present
- Omit trailing full stop at end of date
- Omit square brackets in any part of the title or date
- Use comma between title and date


13

For date in source citation

Transfer date from 260 subfield \$c

Omit brackets and unnecessary punctuation

Separate title and date in 670 \$a with comma



## Derivation of 670 \$a

Fields in bibliographic record:

100	1		#a Okubote, Cornelius OIusola
245	1	0	#a <u>Policy proposals for Nigeria in this new millenium</u> / #c Cornelius OIusola Okubote.
260			#a Lagos, Nigeria : #b OIbot Masscommunication Consultancy, #c <u>[2003]</u>


As transcribed in 670 \$a:

670			#a Policy proposals for Nigeria in this new millenium, 2003
-----	--	--	---

14

Ex. shows fields from a bib record, and how they become source citation in 670 \$a  
 Title from 245 \$a and date from 260 \$c minus brackets identify this item well enough

Note that this ex. and the next show only \$a; get to \$b in a bit



## Derivation of 670 \$a

Fields in bibliographic record:

245	1	0	#a <u>A quoi r<sup>e</sup>event les loups</u> / #c Yasmina Khadra.
260			#a Paris : #b Pocket, #c <u>[2000], c1999.</u>

As transcribed in 670 \$a:


670		#a A quoi r <sup>e</sup> event les loups, 2000, c1999
-----	--	---

15

Another ex. of 670 \$a.

Note here that we keep all of the dates from 260 \$c, not just the first one. Omit brackets.

In these examples, the bibliographic 245 only has \$a. Would have included \$n \$p in 670 if present.



## Bad derivation of 670 \$a

Fields in bibliographic record:

100	1		#a Shambore, Vernon Puma.
245	1	2	#a A study on factors influencing increased deaths of tuberculosis patients among 15-55 years age group in Mgongwe District / #c prepared by Vernon Puma Shamboze.
260			#a [Kabwe, Zambia : #b Pan African Institute for Development, East and Southern Africa, #c 1999]

As transcribed in 670 \$a:

670			#a A study on factors influencing increased ... 1999
-----	--	--	--

16

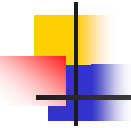
Said earlier: can use 3 dots to shorten a long title

Shorter title can still get us to bib record in future, no problem, BUT

If include enough of title to include subject matter, might not need to go to bib record at all

Note here also 3 dots overrides need for comma before the date





---

EXERCISES  
1, pt. 1-3  
670 \$a

17

Hold on this slide until end of exercises.



## Information taken from the source (\$b)

---

- Give all information taken from the source
- In case of doubt, include rather than omit
- Give all information pertaining to the heading and reference tracings as found
- Give any useful information, translate, summarize, and abbreviate as necessary

18

670 \$b not repeatable: all information from source in one subfield

### General guidance:

Give all info found in the source

Tend toward inclusion

Accurately transcribe information used in headings and reference

tracings

Other info: translate, abridge, as you see fit



## Transcribing information taken from the source

- Identify location within source
- Give data found in parentheses (abbreviate as necessary)
- For example:
  - \$b location (information)
  - \$b location (information) location (information)

19

670 \$b contains two separate pieces of information

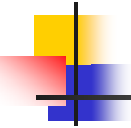
Identification of the source at which data was found

Data found at that location

Data found in parentheses

If information in more than one place in source, give each location and its information as a separate unit

All goes into one big subfield \$b



## Common locations for 670 \$b

- t.p.
- t.p. verso
- cover *(front cover)*
- p. 3 of cover *(inside rear cover)*
- p. 4 of cover *(outside rear cover)*
- title frames
- credits
- p. 29
- fiche header

20

Use any terms that seem sensible to identify location

Don't use brackets

Don't strive for unnecessary consistency as long as no ambiguity

Slide shows typical examples, not exhaustive list of possible forms

## Examples of \$b location

670		#a Policy proposals for Nigeria in this new millenium, 2003: #b <u>t.p.</u> (Cornelius Olusola Okubote)
670		#a Baby mother and other stories, c2001: #b <u>t.p.</u> ('Lanre Biobaku) <u>p. 4 of cover</u> (b. in Abeokuta, Nigeria)
670		#a Kizito, l'un de nous, 1984: #b <u>t.p.</u> (Kizito) <u>p. 32</u> (d. 1886) <u>p. 34</u> (beatified by Paul VI in October 1964)

21

Complete 670 fields, showing \$a and \$b

1<sup>st</sup>: simplest, and most common:


info comes from t.p. only; and here it is

2<sup>nd</sup>: Info from t.p. and rear cover

each location followed by info found there

3<sup>rd</sup>: info on t.p. and 2 sep. places w/in the item

each location followed by info found there



## Derivation of \$b

---

Title page:

La poétique de l'île  
dans l'œuvre romanesque de Certantès

Isabelle SOUPAULT ROUANE

670 field:

670			#a La poétique de l'île dans l'œuvre romanesque de Cervantès, 2002: #b t.p. (Isabelle SOUPAULT ROUANE)
-----	--	--	--

22

I've incl. this t.p. to show a useful trick that applies to personal names

Often question: what is entry element?

Some languages—French e.g.—surname portion of name shown in uppercase when rest of name is mixed

Can be transcribed into 670 field with uppercase intact, to support choice of entry element in hdg.

## Derivation of \$b



Title page:

Huguette Ivanier  
L'ARBRE À MADELEINES

P. 4 of cover:

*Huguette IVANIER NAKACHE, professeur de philosophie en Algérie où elle est née, puis à Metz, vit à Nice. Elle consacre sa retraite à des émissions radiophoniques sur la musique et à des recherches philosophiques.*


```
#a L'arbre `a madeleines, 2003: #b t.p.
(Huguette Ivanier) p. 4 of cover (Huguette
IVANIER NAKACHE; b. in Algeria, where she
taught philosophy; lives in Nice; retired)
```

23

This ex shows 2 things:

1<sup>st</sup>: back cover gives variant form of name, which we transcribe carefully

2<sup>nd</sup>: can summarize and translate as long as not part of heading or reference tracing



## Derivation of \$b

---

Title page:

Belachew Gebrewold-Tochalo

THE IMPACT OF THE SOCIO-CULTURAL STRUCTURES OF  
THE KAMBATA/ETHIOPIA ON THEIR ECONOMIC  
DEVELOPMENT

670			‡a The impact of the socio-cultural structures of the Kambata/Ethiopia on their economic development, 2002: ‡b t.p. (Belachew Gebrewold-Tochalo) ...
-----	--	--	---

Continues ...

24

This ex. so long had to go on 2 screens

Here's the info from the t.p., which is just author's name



## Derivation of 670 \$b



... and on p. 295:

My Curriculum Vitae

First name: Belachew  
 Family name: GEBREWOLD-TOCHALO  
 Date of Birth: 25 October 1968  
 Place of Birth: Kambata/Ethiopia  
 2001, July Ph.D. graduation (Political Science)  
 (University of Hamburg/Germany)

670		#a The impact of the socio-cultural structures of the Kambata/Ethiopia on their economic development, 2002: #b t.p. (Belachew Gebrewold-Tochalo) p. 295 (b. 25 Oct. 1968, Kambata/Ethiopia; Ph.D., polit. sci., Univ. of Hamburg)
-----	--	---

And here's info from near end of the item.

Author's name here is same as on t.p., and no question about entry element, so no need to repeat name from here



## Summarizing non-heading information

- If summarizing information from a range of pages, use ‘etc.’

670		#a Constante. M. Crónicas de un maestro oscense de antes de la guerra, 2001: #b p. 12, <u>etc.</u> (Mariano Constante Arán, father of author Mariano Constante, teacher in Riglos, Spain, during Spanish Civil War)
-----	--	---

26

If summarizing info spread over range of pages, can give the 1<sup>st</sup> relevant page plus “etc.”

## Punctuation between \$a and \$b

- If 670 \$b begins with a location, 670 \$a ends with colon

670		\$a Evaluation de l'etat nutritionnel de la population d'Abidjan, 1987?: \$b t.p. (REY J.L.)
-----	--	--

- If 670 \$b begins with parenthesis, no extra punctuation at end of \$a


27

One technical detail:

If 670 \$b begins with location—everything we've seen so far—670 \$a ends with colon

If 670 \$b begins with data in parentheses, no colon

Examples later



## Sometimes, no \$b

If information appears only in the title, no  
670 \$b at all

245	0	0	#a Sale of the reference library of A. J. B. Kiddell (1894-1980) #b to be sold by auction at 3 & 4 Hardwick Street, London ... on Thursday, 18 October, 1984.
260			#a London : #b Bloomsbury Book Auctions, #c 1984.

*Becomes:*

100	1		#a Kiddell, A. J. B., #d 1894-1980
670			#a Sale of the reference library of A. J. B. Kiddell (1894-1980), 1984

28

Occasionally: all info. in a source contained w/in title itself

In this case don't need \$b at all

Here, est. hdg. for person not otherwise known

all info (surname, initials, dates) found w/in title

no other information in item

The title statement in 670 \$a is all you need: nothing else to say



## Useful information for personal name 670s

---

- Include dates; indication of decease
- Jr., Sr., III, etc. even if not in heading
- Academic degree, title of address
- Occupation, affiliated institution, religious order, place of residence
- ‘also author of’; list of works
- Choice of entry element

29

Things often useful in 670s for personal names:

dates of birth and death

failing that: age as of certain year; “the late” (see illustration on next)

academic degree and university

title of address (Dr., Rev., Dame)

latest occupation, etc. (sometimes)

religious order and current residence (always)

‘Also author of’ one work if likely to be useful; existence of list of works

info showing choice of entry element if in doubt

## Example of personal name

670



670		#a Gillis, J.B. Edwin Binney, 2005: #b ECIP t.p. <u>(Edwin Binney) galley</u> (invented better and cheaper crayons (Crayola crayons); was about 40 years old in 1903)
-----	--	--



## Useful information for corporate name 670s

---

- Hierarchy of subordination (identify and justify heading and reference tracings)
- Location
- Dates of foundation and dissolution
- Immediate predecessor and successor bodies

31

Things useful in 670s for corporate names:

hierarchy (whether entered subordinately, or independently)

location

dates of activity

names of immediately-related bodies

## Example of corporate name

### 670

110	2	#a Boswell's Circus
410	2	#a Boswell Brothers Circus
410	2	#a Boswell's Royal Hippodrome and Circus Company
510	2	#w b #a Boswell/Wilkie Circus
670		#a The Boswells, 2003: #b jkt. ( <u>Boswell's Circus</u> ; est. 1913, closed 1963) p. 22 ( <u>Boswell Brothers Circus</u> , <u>Boswell's Royal Hippodrome and Circus Company</u> ) p. 105-106 (bought by Wilkie's Circus in 1963, which created a combined show called <u>Boswell/Wilkie Circus</u> , with no connection to the Boswell family)

32


### Optional

Elaborate 670 in corporate a.r.

No info came from t.p.

Includes dates of activity & name of related body





## Useful information for geographic names

---

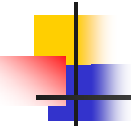
- Location (longitude and latitude)
- Kind of entity (city, county, etc.)

33

For geographic names (places):

Longitude and latitude when available

Kind of entity (if not obvious)



## Exercises 2-4, for 670

- Convert information into complete 670 field
- Special attention to subfield \$b

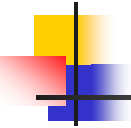
34

Have 3 exercises for you, nos. 2-4

For each, you're given heading and bibliographic fields, and some additional information

Want to construct full 670 field for each, \$a and \$b

Already know how to do \$a, just additional practice; interested esp. in \$b



## Item being cataloged

- Primary source of information
- Always cited in the authority record
- Always the *first* source citation
- Often, the *only* source citation

35

Item being cat. (IBC): 1<sup>st</sup> place for info pertaining to hdg.

Always cite IBC in a.r.s for a heading

IBC always the first source cited in the a.r.

Often, IBC only source cited in a.r.

Later, talk about need for research and multiple source citations



## Examining the item being cataloged

- Thoroughly examine the item
- Items are not necessarily designed for ease of cataloging
- Look at everything including:
  - Chief source (t.p. or substitute)
  - Packaging (cover)
  - Display title/header
  - Bibliography
  - Preface, accompanying materials

36

### Optional

When constructing heading and its a.r., examine IBC thoroughly

Publishers do not construct items for ease of cataloging/catalogers

Delight in concealing info.; supply inconsistent or conflicting info.

Start w/chief source, obviously; also

all parts of cover or package

list of contributors

bibliography

preface

accompanying materials

Whatever you get, you need to look over carefully



## Research beyond the item being cataloged

- Search catalog and national utility if possible
- Normally further research is only needed if there is a problem not resolved by item being cataloged
- Perform only enough research to resolve problems
- Leave trail of work done for the future
- Some research is required by the rules

37

One way to look at it:

Need to search 'the catalog' to determine whether problem exists

'The catalog' depends on circumstances

May well include LC/NACO authority file; records in

OCLC or RLIN

Only do research if needed to construct heading or solve problem

Only do enough research to solve the problem(s) at hand

Leave a clear record of work done—trail of breadcrumbs—so  
successor can start where you left off

Finally: AACR2 requires research in some circumstances:

Persons doing non-verbal things

Persons writing in Hebrew

Geographic names



## 670 fields: How many are enough?

- 670s do not record all research performed
- Only sources used to formulate authority record
- Always record research required by rules
- 670s contain information and evidence
- 670s do not justify decisions or show thought process

38

Often will look @ number of things before problem solved

Record all in a.r.? Usually not

A.r. not exhaustive inventory of research performed

Only include sources that provide info used in a.r., or likely to be of ongoing interest

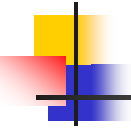
One exception: always record research required by the cataloging rules

If source provides only info provided by other sources, omit it

Source citations are the evidence you use to build an a.r.

Source citations do not show the thought process by which evidence transformed into heading and reference tracings

Source citations do not indicate weight given to each piece of information



## Reference sources

- Traditional reference sources (biographical dictionaries, encyclopedias, etc.)
- Other items in your collection (anything on the shelves)
- Online resources (anything you can find that you can trust)

39

Where, beyond IBC, might we look?

1. Traditional reference sources (biographical dictionaries, gazetteers, etc.)
2. Anything in your collection, even if not “reference”: esp. other items by same person or from same body
3. More and more: online resources (incl. online versions of traditional sources)
4. Personal information: personal contact with the author, etc.

Often now: Go online first; only go to paper if online not enough

## Citing reference sources



- Same pattern as for item being cataloged:  
670 \_\_ \$a Title, date: \$b location (information)
- Strive for clarity in citation, not rigid consistency
- No location for Web sites or alphabetically-arranged sources
- If no location in \$b, no colon after \$a  
670 \_\_ \$a Title, date \$b (information)

40

Citations in 670s for ref. sources other than IBC gen. follow same pattern as for IBC:

- identify the source
- show where in the source you found the info
- give the info

Don't worry about citing a reference source in exactly the same manner each time; as long as clear doesn't matter

'WW in Am.' one time, 'Who's who in America' another time is OK

If source is arranged alphabetically (biographical dictionary, e.g.)

no need for location: it's perfectly obvious

Similarly for Web reference sites: site is whole source; no particular location

If there's no location in \$b, no colon at end of 670 \$a





## Additional considerations for reference sources

- One 670 for each reference source
- Give all information found in the source, even if there is some overlap with other sources cited
- Do not generally cite sources that provide no unique information

41

Some other things you should know about references sources:

Each reference sources goes into a separate 670 field

As with IBC, give all of the info found in the source

Even if repeats *some* of info in another source citation

However: Do not include a source that only repeats info also in other sources



## Examples of citations for reference sources

---

**670 \_\_ \$a British biog. index, 1998 \$b (Ward, Theodore William Holzapfel; fl. 1910)**

**670 \_\_ \$a WW in Am., 2001 \$b (Newbold, Gregory S.; b. 1948 in Denver; military officer)**

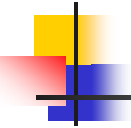
42

Here are a couple of examples of citations for reference sources

In both: alphabetically-arranged:

no location given in \$b; because of this,  
no colon needed at end of \$a

Only cite vol. in which info. was found, even if searched other volumes as well



## Online resources


- Any electronic resource
- IMDb
- GNIS
- GeoNames
- Social Security death index
- OCLC, LC, other catalogs
- E-mail

43

Online ref. sources very important

Here are few; will find others depending on focus of collection, etc.

**Optional:** Talk about a few of these



## Citing online resources

- Cite title or characterize the resource
- Indicate date viewed, not date of ‘publication’
- Give some clue of online-ness (words like via WWW or Website, or viewed)
- Do not include the URL (unless absolutely necessary for identification) and then only in \$u

44

More and more, IBC is an online resource

Give the title if that’s best; instead describe the resource if that’s best. (Examples of latter, later)

Citation similar to other things

Except:

Instead of date source created, give the date viewed

If not clear that resource is online, give some indication (usually by including word such as “viewed” with the date)

Since URLs constantly change, do not give URL. Unless it is absolutely necessary to identify the information.

Give the title if that’s best; instead describe the resource if that’s best. (Examples of latter, later)



## Online resource being cataloged derivation of \$a

Fields in bibliographic record:

245	0	4	\$a The Blood cold chain \$h [electronic resource] : \$b guide to the selection and procurement of equipment and accessories.
260			\$a Geneva : \$b World Health Organization, \$c 2002.

As transcribed in 670 \$a after viewing page on  
Sept. 13, 2004:

670		\$a The blood cold chain, viewed 13 Sept. 2004
-----	--	--

45

Ex. of citation for online resource being cat.

Give the title of Web page because it is clear; date consulted, not date 'published'

Word 'viewed' in 670 indicates online-ness

**Social Security Death Index Search Results**

72,265,659 Records The ke  
[Join An](#)

The most full-featured SSDI search engine on the internet

Field	Value	Records	Results
Last Name	WOOD	80835	80835
First Name	HELEN	662750	739
Death Year	1987	1895513	26

Results 1 thru 10 of 26

[Next](#)

Name	Birth	Death	Last Residence	Last Benefit	SSN	Issued	Links	Order Record?
HELEN C WOOD	16 Mar 1907	15 Dec 1987 (V)	01607 (Worcester, <a href="#">Worcester, MA</a> )	(none specified)	017-07-8812	Massachusetts	<a href="#">SS-5 Letter</a> <a href="#">Add Post-em</a> <a href="#">Search Ancestry.com</a>	<input type="checkbox"/>
HELEN WOOD	07 Jul 1913	Jun 1987	06716 (Wolcott, <a href="#">New Haven, CT</a> )	(none specified)	042-10-6148	Connecticut	<a href="#">SS-5 Letter</a> <a href="#">Add Post-em</a> <a href="#">Search Ancestry.com</a>	<input type="checkbox"/>

670 \_\_ \$a Soc. Security death index, viewed Sept. 12, 2004 \$b (Helen C. Wood, 16 Mar. 1907-15 Dec. 1987, last res. Worcester, MA)

46

Soc. security death index shows vital information for dead U.S. persons  
 Available from a number of different places, some free, some fee

Shows search results page for SSDI for “Helen Wood”  
 Assuming we’re looking for the first one, box shows how I’d transcribe info from this page

**Search the IMDb**

All

[More searches](#) | [Tips](#)  
[IMDbPro.com free trial](#)

---

**Search the Web**

Powered by

---

**Other Searches**

**sam jones**

- [Characters](#)
- [Plots](#)
- [Biographies](#)
- [Quotes](#)

[more »](#)

Note: some searches may not yield results

## IMDb name and title search

A search for "**sam jones**" found the following results:

**Exact Matches** (11 matches, by popularity)

1. [Sam J. Jones](#) (Actor, [Flash Gordon \(1980\)](#))  
aka "*Sam Jones*"
2. [Sam Jones](#) (IV) (Cinematographer, [I Am Trying to Break Your Heart \(2002\)](#))
3. [Sam Jones](#) (VI) (Actor, [David \(1951\)](#))
4. [Sam Jones](#) (I) (Sound Department, [Harvest of Fire \(1996\) \(TV\)](#))
5. [Sam Jones](#) (V) (Actor, [Prince and the Pauper, The \(2000\) \(TV\)](#))
6. [Sam Jones](#) (VIII) (Actor, [Glory of Their Times, The \(1977\)](#))
7. [Sam Jones](#) (II) (Second Unit Director or Assistant Director, [Ghosthunter \(2000\)](#))
8. [Sam Jones](#) (III) (Actor, [Incredible Journey of Doctor Meg Laurel, The \(1979\) \(TV\)](#))
9. [Sam Jones](#) (VII) (Miscellaneous Crew, [Liaisons dangereuses, Les \(1959\)](#))
10. [Sam Jones](#) (IX) (Miscellaneous Crew, [Hard Look, A \(2000\) \(TV\)](#))
11. [Sam Jones](#) (X) (Art Director, ["Captain Scarlet" \(2005\)](#))

---

**Partial Matches** (1 match)

1. [Sam Jones III](#) (Actor, ["Smallville" \(2001\)](#))  
aka "*Samuel L. Jones III*"

47

## Optional


Internet movie database: extremely important if cat. videos or DVDs

Editors carefully distinguish people w/same name (using roman numerals in parenthesis)

Here, search results for "Sam Jones". I'm actually interested in someone who actually calls himself "Sam Jones III" so I want the one at the bottom.

## Sam Jones III

Primary Photo  
Not Submitted





Submit Photo

**Date of birth (location)**  
[29 April 1983](#)  
[Boston, Massachusetts, USA](#)

**Trivia**  
 He attended the 2003 Comic-Con in San Diego, California with co-star... [\(show more\)](#)

**Sometimes Credited As:**  
[Samuel L. Jones III](#)

[More photos](#)  
[Add contact/agent](#)

 [Photo Gallery](#)  [IMDbPro Professional Details](#)

*Filmography as:* [Actor](#), [Himself](#), [Notable TV Guest Appearances](#)

**Actor - filmography**  
[\(In Production\) \(2000s\)](#)

1. [Glory Road \(2005\)](#) *(filming)*
2. [ZigZag \(2002\)](#) .... [ZigZag](#)
3. ["Smallville" \(2001\)](#) TV Series .... [Pete Ross](#) (2001-2004)  
 ... aka "Smallville Beginnings" (2001) (USA: rerun title)

670 \_\_ \$a IMDb, viewed Sept. 12, 2004 \$b (Sam Jones III, b. 29 April 1983, Boston, MA; Samuel L. Jones III; actor)

48

### Optional

Shows individual page for my Sam Jones.

In this case, roman numeral part of name.

Page gives birth info, and also lists variant.


All this goes into the 670 field. Probably don't need to incl. a list of the things Sam has appeared in.



# GNIS and GeoNames

<b>Feature Name:</b>	<b>Strawn</b>
<b>Feature Type:</b>	populated place
<b>Elevation (feet):</b>	979
<b>Estimated Population (2000):</b>	739
<b>State:</b>	Texas
<b>County:</b>	Palo Pinto
<b>Latitude / Longitude (nn°nn'nn" / nnn°nn'nn")</b>	<b>USGS 7.5' x 7.5' Map</b>
323307N 0982952W	Strawn East
323255N 0983004W	Strawn West

670 \_\_ \$a GNIS, Sept. 12, 2004 \$b (Strawn, Tex., pop. place, Palo Pinto co.; 32° 33' 07" N, 98° 29' 52" W)

Native	<b>Waterberg</b>
 <a href="#">PPL</a>	20° 31' 00" S 017° 14' 00" E <a href="#">WA39</a>
Variant	<b>Waterberg</b> (UNI= -3560186)

670 \_\_ \$a GeoNames, Sept. 12, 2004 \$b (Waterberg, var. Waterberg, PPL, 20° 31' 00" S, 17° 14' 00" E)

## Optional

Include these 2 mostly so we'd have something geographical in the talk. USGS gives info on U.S. place names, GeoNet on non-US names.

(PPL means 'populated place')

## Additional online resource examples



- 670 \_\_ \$a Family Search, via WWW, Feb. 4, 2002 \$b (Sarah Ann Whitney; b. 22 Mar 1825 Kirtland, Ohio; d. 4 Sep 1873 Salt Lake City, Ut.; married Joseph Smith 27 Jul 1842 Nauvoo, Ill.; married Heber Chase Kimball 17 Mar 1845 Nauvoo, Ill.)
- 670 \_\_ \$a University of Macau WWW site, Feb. 26, 1999 \$b (University of Macau; Universidade de Macau; created by decree-law Sept. 16, 1991; charter approved Feb. 3, 1992; university and pre-university level programs were transferred from the University of East Asia to the administration of the new University of Macau in Sept. 1991)

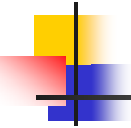


## Additional online resource examples

---

670 \_\_ GEOnet, via WWW, Dec. 18, 2002: \$b  
(Gellibrand River, STM, 38° 41' 00" S, 143° 09' 00"  
E, Victoria, Australia)

670 \_\_ Internet, URL:  
[www.johnnymac.harvard.edu:70/11/hbspc](http://www.johnnymac.harvard.edu:70/11/hbspc), Nov.  
23, 1999: \$b (Harvard Business School  
Publishing Corporation; Harvard Business School  
Publishing)



## E-mail

- Cite as ‘E-mail’ plus sender and date

**670 \_\_ \$a E-mail from B Witte, Nov. 10, 2003 \$b (b. Sept. 27, 1956, Berlin, Germany; not the same as the writer on Goethe, etc., or “Witte, Bernd, Dr.”, although he is a doctor)**

**670 \_\_ \$a E-mail from S. Williams, Oct. 21, 2003 \$b (Simon J.C. Williams, b. March 27, 1943; author of Richard Wagner and festival theatre, etc.; not author of Associative model of data)**

52

In research, often find e-mail addr. for person or org.

If can't solve otherwise, don't hesitate to write directly

Carefully explain the nature of problem and why you need the info you're asking for  
middle name, birth date, whatever

Most people and orgs. delighted you're interested and eager to help solve problem

Most do *not* want their items mixed up with other's items

Here 2 670s for authors contacted in 2003

Both happy to provide complete info to help solve problem.

## OCLC

- Headings: “hdg.” or “hdgs.”
- Formal statements of responsibility: “usage”
- Sometime use “usage not given” or “no usage”
- List in order of predominance

**670 \_\_ \$a OCLC, March 13, 2003 \$b (hdg.: Le Mesurier, Herbert Gerville, 1873-1933; usage: H.G. Le Mesurier)**  
**670 \_\_ \$a OCLC, Mar. 14, 2002 \$b (hdg.: Neuhaus, Johann Wendelin, 1713-1775; usage not given)**

53

Also find information in OCLC, RLIN, and catalogs of individual libraries (LC, British Library, Bibl. nat, BSB, etc.)

For such, whole database is one resource

Interested in 2 things:

Headings(s) found in the catalog; **dates** for personal names often found here

Usage (statements of responsibility)

If no formal statements of responsibility, use “usage not given”

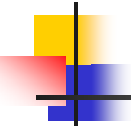
Use standard abbreviations shown in 670 \$b

In 1<sup>st</sup> example here, found both a heading and usage

In 2<sup>nd</sup> example, found a heading but no usage

If multiple headings or multiple usages, give in order of predominance

Use same scheme for printed catalogs, such as NUC pre-56 (no need to give date searched, though)



## Transcribed statement of responsibility?

Yes:

245 10 \$a Baustelle : \$b eine Art Tagebuch, 1967-1970 / \$c Luise Rinser.

No:

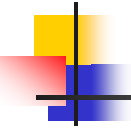
511 1 \$a Lucille Ball, Gale Gordon, Paul Winchell, Pat Priste, James Wellman.  
500 \$a Vol. 1 by W.R. Biers and L.V. Benson.

54

When looking at records in online catalogs, need to distinguish **formal, transcribed** statements of name from other things; only interested in formal statements

Mostly this means: 245 \$c good, rest bad

For example, info. in *notes* not transcribed, and can't be assumed to show name as found in item



## Final exercises (5-9)

- Provided with bibliographic fields, authority fields, and other information
- Select information to go into 670 fields
- Construct all the 670 fields needed in the authority record

55

OK, final set of exercises, drawing on everything covered in this session

There are several examples; some more than one page

For each you have

selected bibliographic fields

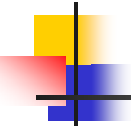
information from reference sources (when consulted)

selected authority fields

You are to

decide which sources need to be recorded

construct the 670 fields for the a.r.



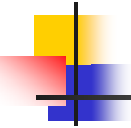
---

Sources Not Found  
675

56

Have talked so far about places where you find information  
Sometimes look in places and not find anything





## Sources *not* found (675 field)

- Not normally included unless you did research and found nothing about the heading in the source
- Most often records research required by the rules
- Helps to forestall repeated work later

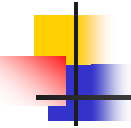
57

Usually things not found not interesting, usually not recorded in a.r.

Rare circumstances:

Heading represents problem and expected to continue

Want to save someone else repeating unnecessary work



## Sources *not* found (675 field)

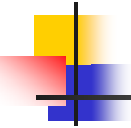
- Both indicators are blank
- Citation consists only of identification of the source (i.e. title and date)
- All in one 675 field, with repeated \$a
- Separate repeated \$a with semicolons

58

Use 675 field—not repeatable

Indicators are blanks

One subfield \$a in 675 for each source; separate with semicolons, too



## Sources *not* found (675 field)

675 \_\_ \$a GeoNames, June 8, 2004  
675 \_\_ \$a Who's who in Am. through  
2003; \$a Who was who in Am.  
through 2004  
675 \_\_ \$a NUC pre-56; \$a BLC to 1975  
675 \_\_ \$a Archaeo. atlas; \$a Coe, M.  
Atlas of ancient America, 1986; \$a  
Hist. Dict. of No. Am. archaeo., 1988

59

Several examples of 675 fields, identifying places searched in which nothing was found

Each 675 \$a looks very much like subfield \$a of 670 field; giving vols. searched for serially published items

## Module 3: Resources

### Exercise 1: Supply 670 \$a

#### Part 1:

Bibliographic fields:

100	1		#a Fashade, Eman M.
245	1	0	#a Youth and independence.
260			#a Ibadan, Nigeria : #b Advent Press, #c 1947.

As transcribed for 670 \$a:

---

#### Part 2:

Bibliographic fields:

245	0	0	#a Ebola war #h [videorecording] : #b the nurses of Gulu / #c [presented by] Filmmakers Library, Inc. ; produced by Alethia Productions ; director, David Belluz ; producers, Lori Kuffner, David Belluz ; writers, David Belluz, Daryl K. Davis.
260			#a New York, N.Y. : #b Filmmakers Library, Inc., #c c2002.

As transcribed for 670 \$a:

---

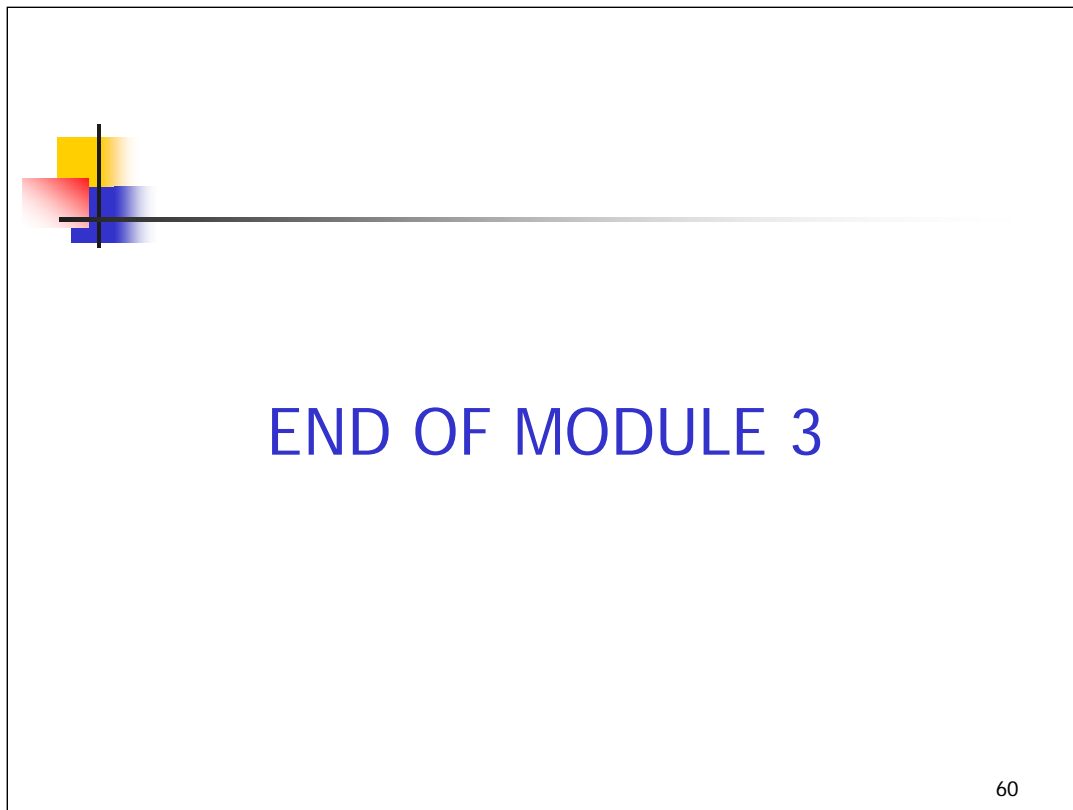
#### Part 3:

Bibliographic fields:

100	1		#a Costello, Kimberly.
245	1	0	#a L.A. Med. #p Liver let die : #b pilot / #c written by Kimberly Costello.
260			#a [Calif.?] : #b Stan Rogow Productions/Emerald Isle Productions, Touchstone Television, #c [199-?]

As transcribed for 670 \$a:

---



And that's all we have time for today.

Questions?

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 2: 670 in authority record for “Rousseau , Stéphanie”

Bibliographic fields for 670 \$a:

245	0	4	#a Les invasions barbares #h [videorecording] = #b The barbarian invasions / #c Cinémaginaire, Pyramide Productions présentent ; produit par Denise Robert, Daniel Louis ; écrit et réalisé par Denys Arcand.
260			#a [United States] : #b Miramax Home Entertainment ; #a Burbank, Calif. : #b Distributed by Buena Vista Home Entertainment, #c [2004]

In film’s title frames:

**Stéphanie Rousseau**

Complete 670 field (both \$a and \$b):

---



---



---



---



---



---



---



---



---



---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



## Exercise 3: 670 in authority record for “Andah, Abigail”

Bibliographic fields for 670 \$a:

245	1	0	#a Technological transitions : #b technical upgrading of indigenous food technologies in Africa / #c paper prepared by Abigail Andah.
260			#a [Addis Ababa, Ethiopia] : #b United Nations, Economic Commission for Africa, Food Security and Sustainable Development Division, #c [2000]

At foot of title page:

This paper has been prepared by Ms. Abigail Andah as consultant to the United Nations Secretariat.

Complete 670 field (both \$a and \$b):

---



---



---



---



---



---



---



---



---



---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 4: 670 in authority record for “Engelking, Katrin”

Bibliographic fields for 670 \$a:

245	1	0	\$a Bärenmärchen / \$c Kirsten Boie ; Bilder von Katrin Engelking.
260			\$a Hamburg : \$b Verlag Friedrich Oetinger, \$c c1999.

On title page:

Bilder von Katrin Engelking

On p. [32]:

*Katrin Engelking*, 1970 in Bückeberg geboren. Studium an der Fachhochschule für Gestaltung in Hamburg. Seit dem Herbst '95 als freie Illustratorin tätig. Wie in ihrem ersten Bilderbuch “Wenn Tiere träumen” (Text: Irina Korshunow) beeindruckt sie auch im “Bärenmärchen” durch einen sehr malerischen Stil und Bilder von ungewöhnlicher Leuchtkraft.

*Translation of relevant bits: Katrin Engelking, born 1970 in Bückeberg. Studied at the Fachhochschule für Gestaltung in Hamburg. From Spring '95, active as freelance illustrator. As in her first picture book “Wenn Tiere träumen” (text: Irina Korshunow) ...*

Complete 670 field (both \$a and \$b):

---



---



---



---



---



---



---



---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 5: 670 fields in authority record for “Gaskell, H.S. (Hugh Selwyn)”

Bibliographic fields for 670 \$a:

245	1	0	#a With Lord Methuen in South Africa, February 1900 to June 1901 : #b being some notes on the war with extracts from letters and diaries / #c H.S. Gaskell.
260			#a London, #b H. J. Drane, #c 1906.

On title page (no other information about the person in the item):

H.S. Gaskell

OCLC database, searched March 15, 2002:

Heading found: Gaskell, Hugh Selwyn; no formal statement of responsibility found

Authority heading and reference tracing:

100	1		#a Gaskell, H. S. #q (Hugh Selwyn)
400	1		#a Gaskell, Hugh Selwyn

Complete 670 fields (both \$a and \$b):

---



---



---



---



---



---



---



---



---



---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 6: 670 fields in authority record for “Louis, Daniel”

Bibliographic fields for 670 \$a:


245	0	4	\$a Les invasions barbares #h [videorecording] = #b The barbarian invasions / #c Cinémaginaire, Pyramide Productions présentent ; produit par Denise Robert, Daniel Louis ; écrit et réalisé par Denys Arcand.
260			\$a [United States] : #b Miramax Home Entertainment ; #a Burbank, Calif. : #b Distributed by Buena Vista Home Entertainment, #c [2004]

In title frames:

Produit par Denise Robert et Daniel Louis

IMDb, searched Sept. 15, 2004 because of conflicting name in local catalog:

### Daniel Louis



**Date of birth (location)**  
[12 October 1953](#)  
[Montréal, Québec, Canada](#)

**Trivia**  
 Co-Founder of Cinémaginaire inc. [Cinémaginaire Inc.]  
[\(show more\)](#)

More ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*





*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 7: 670 fields in authority record for “Atalla, Ash”

Bibliographic fields for 670 \$a:


245	0	4	#a The office #h [videorecording] : #b the complete second series / #c BBC ; producer, Ash Atalla ; written & directed by Ricky Gervais, Stephen Merchant.
-----	---	---	--

In title frames:


**Producer, Ash Atalla**  
**Copyright 2004**

IMDb, searched Sept. 18, 2004 (no conflict in local catalog; no conflict with LC/NACO headings):

### Ash Atalla



[Add contact/agent](#)

 [IMDbPro Professional Details](#)

More ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 8: 670 fields in authority record for “Hallmann, Johann Christian, d. 1704”

Bibliographic fields for item being cataloged:

100	1		#a Hallmann, Johann Christian, #d d. 1704.
240	1	0	#a Sinnreiche Liebe
245	1	4	#a Das von der Liebe handelnde Sinn- und Lehr- reiche Pastorellgedicht zum Nutzen und Vergnügen die da lieben und sich verheirathen #h [microform] / #c ausgesetzt von ... Johann Christian Hallmann und die verschiedene Leidenschafften nach der Zeichnungskunst von Kupfferstecher Joh. Andreas Thelot sehr inventios in Kupffer gebracht.
260			#a Augsburg #b Gedrukt und verlegt von Johann Andreas Erdmann Maschenbauer, #c 1750.

OCLC database, searched March 15, 2002:

Headings found (in order of prevalence):

Hallmann, Johann Christian, d. 1704  
 Hallmann, Johann Christian, ca. 1640-1704  
 Hallmann, Johann Christian  
 Hallmann, Joh. Chn.

Statements of responsibility found (in decreasing frequency of occurrence):

Johann Christian Hallmann  
 Joh. Chn. Hallmann  
 Jonannes Christianus Hallmann  
 J.C.H.

More ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*





*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 9: 670 fields in authority record for “Largeau, V. (Victor), 1842-1897”

Bibliographic fields for item being cataloged:

100	1	0	#a Largeau, V. #q (Victor), #d 1842-1897.
245	1	3	#a Le Sahara; #b premier voyage d'exploration de V. Largeau.
260	0		#a Paris, #b Sandoz & Fischbacher, #c 1877.

On title page:

V. Largeau, membre des sociétés de Géographie de Paris [and many other places], Médaille de 1re classe de la Société de Typographie de Paris, etc.

OCLC database, searched Sept. 28, 2004:

Headings found: Largeau, Victor, 1840-1897, Largeau, Victor, 1840-1916, Largeau, Victor, b. 1840, Largeau, Victor, 1840- , Largeau, Victor, Largeau, V. (Victor), 1840-1897; usages found: V. Largeau, Victor Largeau

Search of World Statesmen Web site (found via Google), Sept. 28 2004:

Victor Largeau (b. 1842 – d. 1897)

Search in catalog of Bibliotheque Nationale de France, Sept. 28 2004:

Largeau, Victor, 1842-1896

Authority heading and reference tracings:

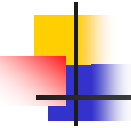
100	1		#a Largeau, V. #q (Victor), #d 1842-1897
400	1		#a Largeau, Victor, #d 1842-1897

More ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



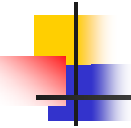
---

**BASIC CREATION OF  
NAME AND TITLE  
AUTHORITIES**

**Module 4: Personal Names**

1

Scope: Personal names



## Scope

- Personal Names
  - AACR2 chapter 22: personal names
  - LCRI's for chapter 22
  - MARC 21: X00 field

2

Scope of this module is Personal names

We will cover: AACR2 and the LCRI's for chapter 22 and the MARC21 format for the 100 field





## Personal name authority records

- 1XX fields: authorized form
- 4XX fields: references
- 5XX fields: related authorized forms (will have own authority records)
- 6XX fields: notes

3

Personal name authority records consist of the following broad groups of tags:


1XX fields: authorized form

4XX fields: references

5XX fields: related authorized forms (will have own authority records)

6XX fields: notes

## Sample authority record



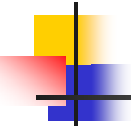
053 \_\_ \$a PS3545.I5365  
100 1\_ \$a Williams, Tennessee, \$d 1911-1983  
400 1\_ \$a Williams, Thomas Lanier, \$d 1911-1983  
670 \_\_ \$a The glass menagerie, 1945 : \$b t.p.  
(Tennessee Williams)  
670 \_\_ \$a Stopped rocking and other screenplays, 1984 :  
\$b CIP t.p.(Tennessee Williams) data sheet (d. 1983)  
670 \_\_ \$a Contemporary authors, via WWW, June 21,  
2004 \$b (Thomas Lanier Williams; b. March 26, 1911,  
Columbus, MS; d. Feb. 24, 1983, at Hotel Elysee, New  
York, NY; Playwright, novelist, short story writer, and  
poet)

4

This is a sample personal name authority record.

Trainers:

Point out all the fields, tags, delimiters, and subfields.



## Established heading

- Use 1XX field  
Personal name: 100
- Each record will have one and only one 1XX field

5

The established heading for a personal name is in the 100 field, each record will only have one 100 field



## Relationship of authority to bibliographic: main entry

---

- Heading in Authority Record

**100 1\_ \$a Williams, Tennessee, \$d 1911-1983**

- Bibliographic Record


**100 1\_ \$a Williams, Tennessee, \$d 1911-1983.**  
245 10 \$a Clothes for a summer hotel : \$b a ghost  
play / \$c Tennessee Williams.

6

Here the relationship between the authority heading and its representation on the bibliographic record as a main entry is shown.

Trainers:

Note the correspondence between the two headings.



## Relationship of authority to bibliographic: added entry

- Heading in Authority Record

**100 1\_ \$a Williams, Tennessee, \$d 1911-1983**

- Bibliographic Record

245 10 \$a The rose tattoo \$h [videorecording] /  
\$c Paramount Pictures; directed by Daniel  
Mann.

**700 1\_ \$a Williams, Tennessee, \$d 1911-1983.**

7

Here the relationship between the authority heading and its representation on the bibliographic record as an added entry is shown

Trainers:

Note the correspondence between the two headings.



## Relationship of authority to bibliographic: subject

- Heading in Authority Record

**100 1\_ \$a Williams, Tennessee, \$d 1911-1983**

- Bibliographic Record

245 10 \$a Tennessee Williams :\$b a casebook /  
\$c edited by Robert F. Gross.

**600 10 \$a Williams, Tennessee, \$d 1911-1983 \$x Criticism and interpretation.**

8

Here the relationship between the authority heading and its representation on the bibliographic record as a subject heading is shown

Trainers:

Note the correspondence between the two headings.



## The authority record: see references

---

- Use 4XX field
  - Personal name: 400
- You may have as many 4XX fields as necessary
- The 4XX forms are not authorized forms, so don't use them in bibliographic records

9

Records may have as many 4XX fields as necessary to cover all variants  
The 4XX forms are not headings. They should not be used in bibliographic records



## The authority record: see references

---

- See reference in authority record  
**100 1\_ \$a Williams, Tennessee, \$d 1911-1983**  
**400 1\_ \$a Williams, Thomas Lanier, \$d 1911-1983**
- Bibliographic record should ***NOT*** have:  
**100 1\_ \$a Williams, Thomas Lanier, \$d 1911-1983.**

10

Note here that the bibliographic record should NOT correspond to the 4XX reference on the authority record.





## The authority record: see references

---

- See reference in authority record  
**100 1\_ \$a Williams, Tennessee, \$d  
1911-1983**  
**400 1\_ \$a Williams, Thomas Lanier, \$d  
1911-1983**
- May display in OPAC as:  
**Williams, Thomas Lanier, 1911-1983**  
*search under*  
**Williams, Tennessee, 1911-1983**

11

See references are shown in a libraries OPAC to guide the user to the right place in the catalog. Here is an example of how a cross reference might display.



## The authority record: see also references

---

- Use for *authorized* headings for related entities
- Use 5XX fields
  - Personal name: 500 (e.g. pseudonyms)
  - Corporate name: 510 (e.g. heads of government/state)

12

Used for *authorized* headings for related entities. Records may have as many 5XX fields as necessary .


The 5XX forms are headings.



## The authority record: see also references

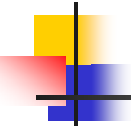
In most cases a 5XX field in an authority record must have a reciprocal authority record

100 1\_ \$a Roberts, Nora      100 1\_ \$a Robb, J. D., \$d 1950-  
500 1\_ \$a Robb, J.D. \$d 1950-      500 1\_ \$a Roberts, Nora



13

Since 5XX's are headings, in most cases a 5XX must have a reciprocal authority record. However in a few cases such as with heads of government, there will only be a reciprocal link from the personal name to the corporate name and not from the corporate name to the personal name.

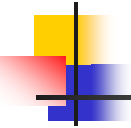


## The authority record: notes

- 6XX fields
- 670 field: for works cited
- No rules for form; general pattern:  
**670 \_\_ \$a Title proper, date of publication: \$b location of data in the source (data)**

14

The 6XX fields are for notes in the authority record. The most common note is the 670 where we record works where information about the person was found. While there is no rule for the form of the 670 the general pattern is shown.



## The authority record: notes

- The authority record should contain 670s that
  - justify all access points
  - justify all variant forms that are not justified by the rules in AACR2
  - justify all parts of the access points and variants including qualifiers

15

There should be 670s in the authority record that justify all access points, all variants (references) that are not justified by the rules in AACR2, and all parts of the access points including qualifiers such as dates, middle names, etc.

## The authority record: notes

053 \_\_ \$a PS3545.I5365

---

400 1\_ \$a Williams, Tennessee, \$d 1911-1983

400 1\_ \$a Williams, Thomas Lanier, \$d 1911-1983

670 \_\_ \$a The Glass menagerie, 1945 : \$b t.p.  
(Tennessee Williams)

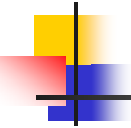
670 \_\_ \$a Stopped rocking and other screenplays,  
1984: \$b CIP t.p. (Tennessee Williams) data  
sheet (d. 1983)

670 \_\_ \$a Contemporary Authors, via WWW, June  
21, 2004 \$b (Thomas Lanier Williams; b.  
March 26, 1911, Columbus, MS; d. Feb. 24,  
1983, at Hotel Elysee, New York, NY;  
Playwright, novelist, short story writer, and  
poet)

16

### Trainers:

Point out the 670's and show how this authority record has 670's that justify the form of the name, the dates and the variant form of the name in the 4XX



## The authority record: notes

- Other common note fields:
  - 675: “Source data not found”—used to cite a source in which no data about the heading or references was found
  - 667: “Nonpublic general note”—used to communicate information about the heading to other catalogers (e.g., “Not to be confused with \_\_\_\_” or “Cannot identify with: \_\_\_\_\_”)

17

Another common note field is the 675

Why would a cataloger want to use a 675 field? To show subsequent catalogers that a particular source has already been unsuccessfully searched.

Another note field that is common is the 667

We use the 667 field to indicate special information such as when we know two people are different and we want others to know “not to be confused with” or when we are not certain we have two different people “cannot identify with”



## The authority record: terminal punctuation

---

No punctuation at end of fields

Unless

- It is part of the data (e.g. period after abbreviation)
- It is called for by the rules (e.g. a closing parenthesis in a qualifier)

18

There is no punctuation at end of fields unless it is part of the data (e.g. period after abbreviation) or called for by the rules (e.g. a closing parenthesis in a qualifier)



## Authority control for personal names



The process of authority control for names has the following steps:

- 1) Look at the item in hand and determine if there are any personal names on it that will be used in the bibliographic record
- 2) Formulate in your mind how that name might be represented in a heading
- 3) Search an authority file to determine if an authority record has been made for the name
- 4) If you find an authority record for the name
  - add that authority record into your local file
  - use the form of the heading used in the 1XX on the authority record in the bibliographic record

19

The process of authority control for names has the following steps:

1. Look at the item in hand and determine if there are any personal names on it that will be used in the bibliographic record
2. Formulate in your mind how that name might be represented in a heading
3. Search an authority file to determine if an authority record has been made for the name
4. If you find an authority record for the name, add that authority record into your local file and use the form of the heading used in the 1XX on the authority record in the bibliographic record



## Process of authority control for personal names

How do you determine if a name on your book and a name in an authority record are the same person?

You can be certain they are the same if:

- The title of your book is the same as the title of a book in a 670

20

One important part of personal name authority control is determining if two people are the same. When you have a book in hand and are looking at an authority record which may or may not represent the same person, you must ask yourself : Is this the same person? Since people's names are often the same you need to question every time if the name you have and an authority record match.

How do you determine if they are the same person?

You can be certain they are the same if the title of the book in your hand matches the title of a book in one of the 670's on the authority record.



## Process of authority control for personal names

You can be fairly certain they are the same if:

- The subject of your book is the same as the subjects of the book title(s) in the 670(s) (people tend to write on the same subject)
- The call number of your book matches the literary author number in the 053

21

Beyond that:

You can be fairly certain they are the same person if:

The subject of the book in your hand is the same as the subjects of the book titles in the 670s. This is true because people usually write on the same topic. With some exceptions most brain surgeons will write on brain surgery and not dog breeding.

Another important point to look at for authors of literary works is the 053 which lists the standard call number from the “P” schedules for each literary author. If the call number on your book and the call number in the 053 match then you can be pretty sure they are the same person.



## Process of authority control for personal names


- Other things to look for to help you determine if a person is the same are:
- The time period your book matches the time period that the person lived and worked. (People usually publish during a specific time in their lives; People usually don't publish books before they were born or after they died)
  - The language of your book matches the language that person speaks or writes in. (People usually publish in their native language)

22

Some other things to look for include:

The time period. Since most people write during a certain period of their lives (about ages 20-65) you can look at the dates of the book you have and see if it matches the time period that the person lived and worked. Also most people don't publish books before they were born or after they died so if those time periods don't match you may not have the same person.

Also most people write in the language that they speak, and if they write in more than one language those languages are usually closely related. So if a person was born and raised in Spain, chances are they will not write in German. Or if a person writes in German it is more likely they would also write in English than in Romanian. If languages don't match, chances are you don't have the same person.



---

EXERCISES  
1-2

Is this the same person?

23



## Process of authority control for personal names

---

If you can't find an authority record for the name:

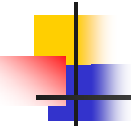
- create a new record for the person



## Establishing a personal name

---

- Choose for the heading the name by which a person is most commonly known (AACR2 22.1A)
- This could be a pseudonym, nickname, initials, title or other form



## Choosing the name

Survey the national utility in which you catalog and reference sources for all resources by or about a person.

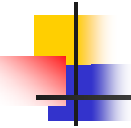
From this information:

- Determine the most common form from:
  - The chief source of information in printed sources
  - Names listed in reference sources issued in the persons language or country

26

Choose the predominant name





## Choosing among the choices

What if there are a number of choices of name?

- Choose the most commonly found form

But what if there is no name that is predominant?

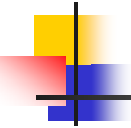
- If a person uses different names (except pseudonyms) then select (AACR2 22.2A1):
  - 1) the name that appears most frequently in the person's works;
  - 2) the name that appears most frequently in reference sources;
  - 3) the latest name

27

Choose the predominant name

But what if there is no predominant name?

If a person uses different names (i.e. more than one name that are not pseudonyms) and there is no predominate choice then select: 1) the name that appears most frequently in the person's works; 2) the name that appears most frequently in reference sources; 3) the latest name. (AACR2 22.2A1)



## Choosing among the choices

If the name comes in different forms and there is no predominant choice then:

- Choose the form of the name that appears in the chief source of information (e.g. t.p., cover, etc.)

Example:  
Title page of book – T.B. Smith  
Verso of title page – T. Basil Smith  
Choose: T.B. Smith

28

If the name is the same but only comes in different forms (i.e. using initials and spelt out forms) and there is no predominate choice then:

Choose the form of the name that appears in the chief sources of information (i.e. t.p., cover, etc.)

Example:

Title page of book – T.B. Smith

Verso of title page – T. Basil Smith

Choose: T. B. Smith



## Choosing among the choices

---

If some names are fuller than others and there is no predominant choice:

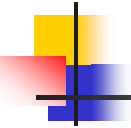
- Choose the fullest form (i.e. the form with the most elements) (AACR2 22.3A1)

Example:

Verso of title page – Alexander Williamson

p. 4 of cover – A. C. Williamson

Choose: A. C. Williamson



## Choosing among the choices

If a person writes in more than one language:

- Choose the one corresponding to the language of most of the works
- When in doubt, choose the form most commonly found in reference sources from the person's country. (AACR2 22.3B1)

Example:  
Name on English works: George Mikes  
Name on German works: György Mikes  
Uses English on most works  
Choose: George Mikes

30

If a person uses more than one language choose the one corresponding to the language of most of the works, in case of doubt choose the form most commonly found in references sources from the person's country. (AACR2 22.3B1)


Example:

Name on English works: George Mikes

Name on German works: György Mikes

Uses English on most works

Choose: George Mikes

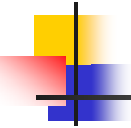


---

EXERCISES  
3-6

Choice of name

31



## Pseudonyms

Contemporary authors (AACR2 22.2B3):

- All living authors and those who have died since December 31, 1900
- Heading matches the one used on the book
- Make an authority record for all names
- Link the authority records using 5XX and 663 fields as necessary

32

For contemporary authors (AACR2 22.2B3):

663 fields are publicly-displayable note fields in authority records. They are used to convey information to patrons that may not be easy to convey as part of simple 5XX fields. This field is mostly used with pseudonyms to indicate to patrons other places they can search.

## Pseudonyms for contemporary authors

100 1\_ \$a King, Stephen, \$d 1947-

500 1\_ \$w nnc \$a Druse, Eleanor

500 1\_ \$w nnc \$a Bachman, Richard

663 \_\_ \$a For works of this author written under other names, search also under \$b Bachman, Richard, \$b Druse, Eleanor

100 1\_ \$a Bachman, Richard

500 1\_ \$a King, Stephen, \$d 1947-

670 \_\_ \$a Washington post, April 9, 1985 \$b (Stephen King has written 5 novels using the pseudonym Richard Bachman)

## Pseudonyms for contemporary authors

- On the bibliographic record use the heading for the name found on the item

**100 1\_ \$a Bachman, Richard.**

**245 10 \$a Rage / \$c a novel by Richard Bachman**

NOT

**100 1\_ \$a King, Stephen, \$d 1947-**

**245 10 \$a Rage / \$c a novel by Richard Bachman**

34

On the bibliographic record use the authority heading for the name found on your book.

Example the book says:

Rage / a novel by Richard Bachman


The bibliographic record would have as the main entry:

100 1\_ \$a Bachman, Richard

NOT

100 1\_ \$a King, Stephen, \$d 1947-





## Pseudonyms

Non-Contemporary authors:

- Authors who have died before Dec. 31, 1900
- Only one heading for the author. Include as references all used pseudonyms (AACR2 22.B1)

35



## Pseudonyms for non-contemporary authors

---

**100 1\_ \$a Sand, George, \$d 1804-1876**

**400 1\_ \$a Dudevant, Aurore, \$d 1804-1876**

**400 1\_ \$a Dupin, Aurore, \$d 1804-1876**

**670 \_\_ \$a George Sand, 1988: \$b p. 1,  
etc. (Aurore Dupin) p. 61 (Aurore  
Dudevant)**



## Pseudonyms for non-contemporary authors: exception

---

EXCEPT (AACR2 22.2B2):

If a non-contemporary author has established separate bibliographic identities, then each identity gets its own authority record



## Pseudonyms for non-contemporary authors: exception

**100 1\_ \$a Carroll, Lewis, \$d 1832-1898**

**500 1\_ \$w nnc \$a Dodgson, Charles Lutwidge, \$d 1832-1898**

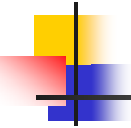
**663 \_\_ \$a For mathematical works of this author, search also under \$b Dodgson, Charles Lutwidge, 1832-1898.**

**100 1\_ \$a Dodgson, Charles Lutwidge, \$d 1832-1898**

**500 1\_ \$w nnc \$a Carroll, Lewis, \$d 1832-1898**

**663 \_\_ \$a For literary works of this author, search also under \$b Carroll, Lewis, 1832-1898.**

38



## Choosing what comes first

- Surnames come first, with forenames after (AACR2 22.5A1): Williams, Ted C.
- Compound surnames, both come first (AACR2 22.5C): Gonzalez Abreu, Manuel
- Prefixes written with the surname are included with the surname (AACR2 22.5E1): MacDonald, William
- If you're not sure put the surname part first (AACR2 22.5B1): Ali, Muhammad

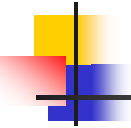
39

Normally surnames come first, with forenames after (AACR2 22.5A1): Williams, Ted C.

If there are two surnames, both come first (AACR2 22.5C): Gonzalez Abreu, Manuel

Prefixes written with the surname should be treated with the surname (AACR2 22.5E1): MacDonald, William

If you're not sure it's a surname, two surnames, or it could be treated as one put the surname part first (AACR2 22.5B1): Ali, Muhammad



## Choosing what comes first

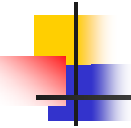
Surname present:

- First indicator '1'
- Second indicator 'blank'

**100 1\_ \$a Williams, Ted C.**  
**100 1\_ \$a Gonzalez Abreu, Manuel**  
**100 1\_ \$a MacDonald, William**  
**100 1\_ \$a Ali, Muhammad**

40

For all headings where the surname comes first the first indicator (in bibliographic and authority records) of the heading will be a "1"



## Choosing what comes first


- If the name does not include a surname put what comes first in other reference sources (AACR2 22.8): John, the Baptist
- If the name is initials, letters or numerals put them in directly: A. de O.
- If the name is a phrase put it in directly: Lady of Quality

41

If the name does not include a surname put what comes first in other reference sources (AACR2 22.8): John, the Baptist

If the name is initials, letters or numerals put them in directly: A. de O.

If the name is a phrase (without a surname) put it in directly: Lady of Quality



## Choosing what comes first


No surname:

- First indicator '0'
- Second indicator 'blank'

**100 0\_ \$a John, \$c the Baptist**  
**100 0\_ \$a Lady of Quality**

42





## Choosing what comes first

When a surname includes a separately written prefix (AACR2 22.5D)

- Select which comes first by referring to the language lists in AACR2 22.5D1
- For example: For Portuguese: Start after the prefix

**100 1\_ \$a Fonseca, Martinho da**  
**NOT 100 1\_ \$a Da Fonseca, Martinho**

43

When a surname includes a separately written prefix (AACR2 22.5D)

select which comes first by referring to the language lists in AACR2 22.5D1

For example: Person is Portuguese: Portuguese rules say enter under the part of the name following the prefix so name would be: **Fonseca, Martinho da**

NOT Da Fonseca, Martinho



## Choosing what comes first: references

---

Make references to all other possible forms including:

- Compound Surnames:

100 1\_ \$a Gonzalez Abreu, Manuel

400 1\_ \$a Abreu, Manuel Gonzalez

44


Once you have chosen the heading entry element make references to all other possible forms including compound surnames, names you're not sure about, and names with separately-written prefixes. When presented with a choice of entry words, always make references for forms starting with the words you don't choose



## Choosing what comes first: references

---

- Uncertain Choices:
  - 100 1\_ \$a Ali, Muhammad,\$d 1942-
  - 400 0\_ \$a Muhammad Ali,\$d 1942-
- Separately written prefixes:
  - 100 1\_ \$a Fonseca, Martinho da
  - 400 1\_ \$a Da Fonseca, Martinho



---

EXERCISES  
7-8

Choice of entry element

46

## Additions to names: qualifiers

### ■ Dates of birth and death (AACR2 22.17)

- Always add dates to a heading when they are available

Formatting guidelines are given in AACR2 22.17A.

- Both years known : 1945-2004
- Year of birth unknown: d. 1944
- Approximate year of death: 1844-ca. 1924
- Some years of activity known (do not use beyond 1900):  
fl. 1226-1240
- Dates are displayed in the \$d:  
Malcolmson, David, \$d 1889-1970

47

### Dates of birth and death (AACR2 22.17)

Always add dates of birth and death to a heading when they are available

Formatting guidelines are given in AACR2 22.17A. For example

Both years known : 1945-2004

Year of birth unknown: d. 1944

Approximate year of death: 1844-ca. 1924

Some years of activity known, Do not use with twentieth century  
dates: fl. 1226-1240

Dates are displayed in the \$d for example:

100 1\_ \$a Malcolmson, David, \$d 1889-1970



## Additions to names: qualifiers

- Fuller forms (i.e. middle names, initials spelled out) (AACR2 22.18)
  - Include the fuller form if known
  - Fuller forms are displayed in the \$q and the information is surrounded by parentheses:
    - Gonzalez A., Bernardo \$q (Gonzalez-Arechiga)
    - Martin, A. Patchett \$q (Arthur Patchett)
    - Martinez A., Eduardo J. \$q (Eduardo Jose Martinez Alonso)

48

Fuller forms (i.e. middle names, initials spelled out) (AACR2 22.18)

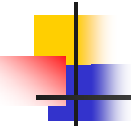
If the heading as selected does not include the fuller form of a name, include the fuller form as necessary from either the surnames or forenames

Fuller forms are displayed in the \$q and the information is surrounded by parentheses, for example:

Gonzalez A., Bernardo \$q (Gonzalez-Arechiga)

Martin, A. Patchett \$q (Arthur Patchett)

Martinez A., Eduardo J. \$q (Eduardo Jose Martinez Alonso)



## Additions to names: qualifiers

- If no other qualifier is available, devise a suitable term (AACR2 22.19)
  - Terms can include position or office, initials of an academic degree, initials showing membership in an organization, more general phrases
  - Choose the phrase that provides the most distinctive and specific identification

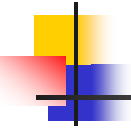
49

If no other qualifier is available devise a suitable term to distinguish between individuals (AACR2 22.19)

Terms can include position or office, initials of an academic degree, initials showing membership in an organization, more general phrases

Choose the phrase that provides the most distinctive and specific identification

Such qualifiers should only be used sparingly to break a conflict



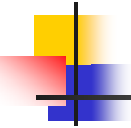
## Additions to names: qualifiers

- Such qualifiers should only be used to break a conflict
- Fuller forms are displayed in the \$c:
  - Williams, Graham, \$c Ph.D.
  - Richards, Anthony J., \$c conductor
  - Bingham, John, \$c Captain
  - Johannes \$c (Notary)

50

(Note: parentheses only used when entry element is a given name only)





## Additions to names: qualifiers

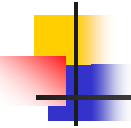
- Justify all qualifiers in 670 fields

**100 1\_ \$a Mason, Abraham John, \$d  
1794-1858**

**670 \_\_ \$a Groce, G. N.Y. Hist. Soc. dict. of  
artists in Amer., 1957 \$b (Mason,  
Abraham John: wood engraver; b.  
April 4, 1794; d. Feb. 3, 1858)**

51

The 670 citation includes the source for the dates of birth and death used in the heading.



## Additions to names: qualifiers

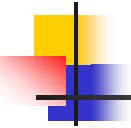
**100 1\_ \$a Richards, Anthony J. \$q  
(Anthony John), \$d 1962-**

**670 \_\_ \$a OCLC database, , 5/12/95 ,b  
(hdg.: Richards, Anthony J.; usage:  
Anthony J. Richards)**

**670 \_\_ \$a Phone call to author, May 12,  
1995 \$b (Anthony John Richards, b.  
1962)**

52

The second 670 field shows where the fuller form for the second forename and the date of birth come from.




## Additions to names: qualifiers

**100 1\_ \$a Richards, Anthony J., \$c  
conductor**

**670 \_\_ \$a Soldiers of the Queen [SR]  
p1976: \$b label (Major Anthony J.  
Richards, director of music)**

53

The 670 field tells us that this Anthony J. Richards is a bandleader



---

EXERCISES  
9-11  
Qualifiers

54



## Undifferentiated names

Principle of unique headings states:

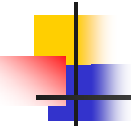
- Two different entities with the same name should be given different headings. Qualifying information is used to break conflicts between two persons with identical heading forms.

**Bingham, James and Bingham, James**

100 1\_ \$a Bingham, James, \$d1905-1993  
and

100 1\_ \$a Bingham, James

55



## Undifferentiated names

- Sometimes no qualifiers are available.
- So you make an undifferentiated name record.
- Undifferentiated name records include more than one person on the record.

56

When you can't qualify a name in any way to make it different from another one you make an undifferentiated name record.

Undifferentiated name records include more than one person on the record. It is best to do anything to avoid making an undifferentiated name record. This is used only as a last resort.

## Undifferentiated name authority record

**008/32 b**

100 1\_ \$a Davis, Peter

**670 \_\_ \$a [Co-author of First Bull Run,  
1861]**

670 \_\_ \$a First Bull Run, 1861, 1971: \$b t.p.  
(Peter Davis)

**670 \_\_ \$a [Joint author of Assessing pupils]**

670 \_\_ Assessing pupils, 1984: \$b t.p. (Peter  
Davis) p. ix (project housed at Sheffield City  
Polytechnic)

**670 \_\_ \$a [Co-author of Aliya]**

670 \_\_ \$a Aliya, c1995: \$b t.p. (Peter Davis)

675 \_\_ \$a Academic WW, 1973-74; \$a WW ed.,  
1974; \$a WW, 1985

57

The important identifying elements in the undifferentiated name record are highlighted. The 008/32 fixed field is “b” indicating an undifferentiated name record. There’s a separate 670 field identifying each separate person included under this one heading. This identifying phrase is followed by the 670 fields that pertain to that one heading. The 675 field covers all the persons on this heading.



## References

---

Formulate all references (4XX and 5XX) as if you were formulating a heading. All rules for entry elements and adding qualifiers apply to references.





## References

---

Make see from references (4XX) from all alternative forms documented in 670s

**100 1\_ \$a Richards, Alan, \$d 1932-**

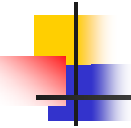
**400 1\_ \$a Richards, Walter Alan, \$d 1932-**

**670 \_\_ \$a The bygone Bromsgrove picture book, 1983: \$b t.p. (Alan Richards)**

**670 \_\_ \$a BL AL recd., Oct. 25, 1988 \$b (Walter Alan Richards, born 18 Dec. 1932)**

59

Make see references (4XX) from all alternate forms of a name documented in 670's



## References

---

**100 1\_ \$a Card, Orson Scott**  
**400 1\_ \$a Kard, Orson Skot**  
**670 \_\_ \$a Characterization and  
viewpoint, 1988: \$bt.p. (Orson  
Scott Card)**  
**670 \_\_ \$a Ksenocid, 1998: \$b t.p.  
(Orson Skot Kard)**

60

Additionally justify in the 670's any see references (4XX) from:  
Alternative language form



## References

---

**100 1\_ \$a Tchaikovsky, Peter Ilich, \$d  
1840-1893**

**400 1\_ \$a Tschaikowsky, Peter Iljitch, \$d  
1840-1893**

**670 \_\_ \$a Serenades for strings [SR],  
1983?: \$b container (Peter Ilich  
Tchaikovsky) label (b. 1840; d. 1893)**

**670 \_\_ \$a Erinnerungen, c1922: \$b t.p.  
(Peter Iljitch Tschaikowsky)**

61

Alternative spelling form



## References

---

**100 1\_ \$a Browning, Elizabeth Barrett,  
\$d1806-1861**

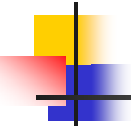
**400 1\_ \$a Barrett, Elizabeth, \$d 1806-  
1861**

**670 \_\_ \$a Poems, 1857: \$b t.p. (Elizabeth  
Barrett Browning) half-title (Mrs.  
Browning)**

**670 \_\_ \$a Contemporary authors, via  
WWW, Feb. 16, 2000 \$b(Elizabeth  
Barrett Browning; b. 1806; d. 1861)**

62

Earlier alternative form



## References

Additionally make see references (4XX) from:

- Other surname forms:
  - 100 1\_ \$a Gonzalez Abreu, Manuel**
  - 400 1\_ \$a Abreu, Manuel Gonzalez**
- Fuller forms not spelled out in the heading:
  - 100 1\_ \$a Williams, A. Paul \$q  
(Alan Paul), \$d 1951-**
  - 400 1\_ \$a Williams, Alan Paul, \$d  
1951-**


63

Additionally make see references (4XX) from:

\* Other entry element forms (all types):

\* Fuller forms not spelled out in the heading:

These references need not be justified by information in the 670. See previous slides for other entry element form references.



## References

Traditionally we only make references for those headings in which the entry element and the first element following the comma are different

**100 1\_ \$a Williams, A. Paul**  
**400 1\_ \$a Williams, Alan Paul**

**100 1\_ \$a Williams, Alan P.**  
***NOT***  
**400 1\_ \$a Williams, Alan Peter**

64

Traditionally we only make see references for those headings in which the elements to the left of the comma and the first element to the right of the comma are different, but not if other elements are different

Williams, A. Paul would have a reference to Williams, Alan Paul  
(in this case the first two elements are different Williams, A. and Williams, Alan)

Williams, Alan P. would NOT have a reference to Williams, Alan Peter  
(in this case the first two elements are the same Williams, Alan and Williams, Alan)



## References

---

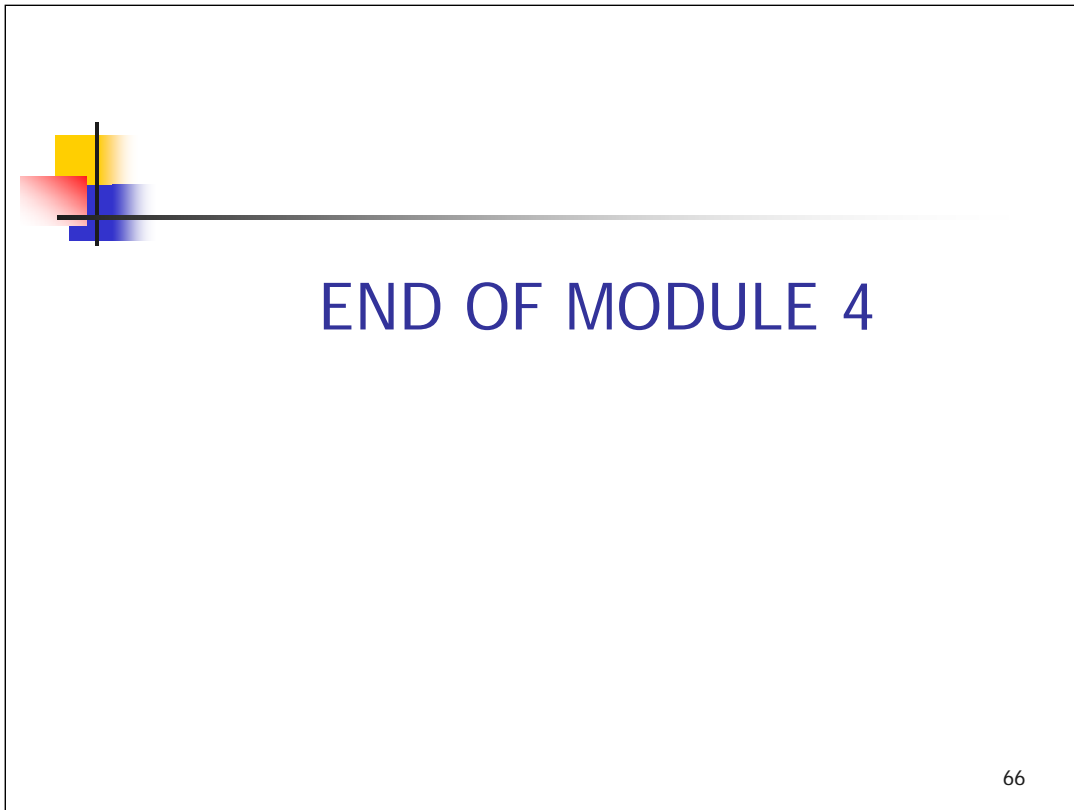
Make see also references (5XX) to link pseudonyms

**100 1\_ \$a Carroll, Lewis, \$d 1832-1898**

**500 1\_ \$w nnc \$a Dodgson, Charles Lutwidge, \$d 1832-1898**

65

Make see also references (5XX) to link pseudonyms



Scope: Personal names



## Exercises for Module 4: Personal names

### Exercise 1: Is this the same person?

The title page of the book you're cataloging reads:

Raptors of the Rockies  
biology of the birds of prey and  
species accounts of the  
raptors of the Rockies  
by Kate Davis  
Mountain Press  
2002

You wish to determine if there is an existing authority record for 'Kate Davis.'

You look in an authority file and find the following authority records:

#### Record #1

100 1\_ \$a Davis, Kate, \$d 1951-  
670 \_\_ \$a Rough road, c2000: \$b t.p. (Kate Davis)  
670 \_\_ \$a Secretary of the Interior, 2003: \$b CIP t.p. (Kate Davis)

#### Record #2

100 1\_ \$a Davis, Kate, \$d 1959-  
670 \_\_ \$a Raptors of the Rockies, 2002: \$b CIP t.p. (Kate Davis)  
datasheet (b. December 30, 1959)

**Is the heading for the author of your book already established in an authority record?**

**If yes, then which heading should you use in your bibliographic record?**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 2: Is this the same person?

The title page of the book you're cataloging reads:

British die-casts  
a collector's guide to toy cars  
Graham Thompson  
1980

You wish to determine if there is an existing authority record for 'Graham Thompson.'

You look in an authority file and find the following authority records:

### Record #1

100 1\_ \$a Thompson, Graham, \$d 1965-  
670 \_\_ \$a Male sexuality under surveillance, 2003: \$b CIP t.p.  
(Graham Thompson) data sheet (Graham [William] Thompson; b.  
Jan. 25, 1965)

### Record #2

100 1\_ \$a Thompson, Graham, \$d 1950-  
670 \_\_ \$a Spot-on, diecast models by Tri-ang, 1983: \$b t.p. (Graham  
Thompson)  
670 \_\_ \$a Brit. Nat. bibl., 1983 \$b (Thompson, Graham, 1950-)

**Is the heading for the author of your book already established in an authority record?**

**If yes, then which heading should you use in your bibliographic record?**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 3: Choice of name

The title page of the book you're cataloging reads:

Ostriches and other flightless birds  
by Peter R. Townsend  
Littlefield Publishers, New York  
1998

You wish to create a personal name heading for 'Peter R. Townsend.'

You look in a national database and also find these items:

Why ostriches don't fly / Peter R. Townsend  
The ostrich communal nesting system / Peter R. Townsend  
Ostrich breeding on an ostrich farm / Peter R. Townsend  
An ostrich encyclopedia / Peter Richard Townsend

You check the Internet and find Mr. Townsend's homepage, where you find the following:

Main page: Peter R. Townsend  
Biography page: Peter Richard Townsend

**What form of heading will you choose for Townsend? (Do not use MARC coding yet.)**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 4: Choice of name

The title page of the book you're cataloging reads:

Theories of robot design and construction  
William A. Rogers  
Mason, Jones, and Roberts, Boston  
2003

The cover says: W.A. Rogers

The biographical note about the author on page 145 says: William Allen Rogers

There is no additional information from national database or other reference sources.

**What form of heading will you chose for Rogers? (Do not use MARC coding yet.)**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



## Exercise 5: Choice of name

The title page of the book you're cataloging reads:

Handbook of energy use  
for building construction  
U.S. Department of Energy  
Assistant Secretary for Conservation and Renewable Energy  
Office of Buildings and Community Systems  
1981

The verso of title page says: prepared by R.G. Stein

On the same book a note about the author on page 145 reads: Roger Stein

There is no additional information from national database or other reference sources.

**What form of heading will you chose for Stein? (Do not use MARC coding yet.)**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 6: Choice of name

The title page of the book you're cataloging reads:

The political history of Venezuela 1974-1999  
Michael Angel Rodríguez-Valdés .  
Research Editions, Chicago, 2003

You look in a national database and find another item by the same person:

Los rostros del golpe / Miguel Angel Rodríguez-Valdés  
Published in 2003

You check the internet and find this on the author's homepage:

Miguel Angel Rodríguez-Valdés ; born and lives in Venezuela.

**What form of heading will you chose for this author? (Do not use MARC coding yet.)**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*





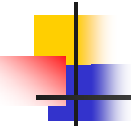
*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

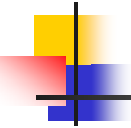


---

**BASIC CREATION OF  
NAME AND TITLE  
AUTHORITIES**

**Module 5: Uniform Titles**

1



## Scope

- Uniform Titles
  - AACR2 chapter 21.1 (rules for entry) and 25 (uniform titles)
  - LCRI's for chapter 21.1 and 25
  - MARC 21: 130; 1XX + \$ t
- Name-title uniform titles
- Uniform titles for works identified by title alone

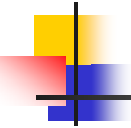
2

Scope of this module is Uniform titles

We will cover: AACR2 and the LCRI's for chapter 25 and the MARC 21 format for the 100, 110, and 130 field

NOTE: mention difference between name-title and UTs w/o name—name-title UTs are for works that would have author main entry in the bib record.





## Scope

---

The purpose of uniform titles is:

- Collocation
- Identification
- Differentiation
- Organizing the file  
(AACR2 25.1A)

3

Governed by AACR2 Chapter 25

**Collocation:** Bringing together entries for a work whose manifestations or expressions have been published under varying titles

**Identification:** Identifying a work known by a title other than the title proper of one of its manifestations

**Differentiation:** Differentiating among different works published with the same titles proper

**Organizing the file :** a good example of "organizing the file" is the use of UTs for organizing music headings

Under AACR2, uniform titles are generally used to collocate and differentiate between *works*



## Scope

---

Not covered in this module:

- Series
- Sacred scriptures
- Liturgical works
- Law headings
- Manuscript headings
- Music (although referred to from time to time –there is an addendum at the end)

4

Series will be covered in a later ALCTS/PCC production. Also not covered will be Sacred scriptures, liturgical works, music (although referred to from time to time), law, and manuscript headings.



## Name-Title Uniform Titles vs. Uniform Titles for Works Identified by Title Alone

- Some uniform title strings begin with an author's name
- Others consist of a title alone
- Determined by AACR2 21.1:
  - -if the record for the work would have a main entry, the uniform title will be a name-title
  - -if the record for the work would be entered under title, the uniform title will be title alone

5

Note that name-title uniform titles can be entered under personal or corporate names as appropriate. [[and include AACR2 excerpt in trainer's note]]

### 21.1A2. General rule

Enter a work by one or more persons under the heading for the personal author ...

### 21.1B2. General rule

Enter a work emanating from one or more corporate bodies under the heading for the appropriate corporate body (see 21.4B, 21.5B) if it falls into one or more of the following categories: ...

### 21.1C. Entry under title

Enter a work under its title proper ... if:

a) the personal authorship is unknown (see 21.5) or diffuse (see 21.6C2), and the work does not emanate from a corporate body

*or*

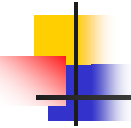
b) it is a collection of works by different persons or bodies (see 21.7)

*or*

c) it emanates from a corporate body but does not fall into any of the categories given in 21.1B2 and is not of personal authorship

*or*

d) it is accepted as sacred scripture by a religious group (see 21.37).



## Uniform title authority records

- 1XX fields: authorized form
- 4XX fields: references
- 5XX fields: related authorized forms (will have their own authority records)
- 6XX fields: notes

6

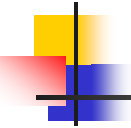
Uniform title authority records consist of the following broad groups of tags

1XX fields: authorized form

4XX fields: references

5XX fields: related authorized forms (will have their own authority records)

6XX fields: notes




## Sample title authority record

130 \_0 \$a Casablanca (Motion picture)  
430 \_0 \$a Everybody comes to Rick's  
670 \_\_ \$a Casablanca, 2003  
670 \_\_ \$a Am. Film Inst. cat., 1941-1950,  
c1999: \$b F4, v. 1, p. 385 (Casablanca; orig.  
title: Everybody comes to Rick's)  
670 \_\_ \$a Internet movie database, via the  
WWW, June 21, 2004 \$b (Casablanca; orig.  
script title: Everybody comes to Rick's)

7

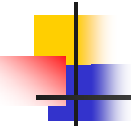
This is a sample uniform title authority record. Point out all the fields, tags, delimiters, and subfields.

## Sample name-title authority record



100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Adventures  
of Huckleberry Finn  
400 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Adventures  
of Huckleberry Finn (Tom Sawyer's comrade)  
400 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Huckleberry Finn  
670 \_\_ \$a Tom Sawyer and Huckleberry Finn, 1979,  
c1980: \$b t.p. (containing the complete texts of ...  
The adventures of Huckleberry Finn)  
670 \_\_ \$a The adventures of Huckleberry Finn (Tom  
Sawyer's comrade), 1884  
670 \_\_ \$a Huckleberry Finn, 1951

This is a sample uniform title authority record with the title in the subfield t. Point out all the fields, tags, delimiters, and subfields.



## Established heading

- Personal name: 100 with subfield \$ t
- Corporate name: 110 with subfield \$ t
- Meeting name: 111 with subfield \$ t
- Title without a name: 130

9

Use the 1XX field for the authorized heading

Each record will have one and only one 1XX field



## Relationship of authority to bibliographic: main entry

- Heading in authority record  
**130 \_0 \$a Casablanca (Motion picture)**
- Bibliographic record  
**130 \_0 \$a Casablanca (Motion picture)**  
245 10 \$a Casablanca \$h [videorecording] / \$c  
Hal B. Wallis production ; directed by  
Michael Curtiz ; screenplay Julius J. & Philip  
G. Epstein and Howard Koch.  
260 \_\_ \$a [Burbank, Calif.] : \$b Warner Home  
Video, \$c c2003.

10

Note that in the case of a title only uniform title there is an exact correspondence between the authority record and the bib record





## Relationship of authority to bibliographic: name/title main entry

- Heading in authority record  
**100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Adventures of Huckleberry Finn**
- Bibliographic record  
**100 1\_ \$a Twain, Mark, \$d 1835-1910.**  
**240 10 \$a Adventures of Huckleberry Finn**  
245 10 \$a Mark Twain's Huckleberry Finn / \$c  
with index by Jerry S. O'Brien.  
260 \_\_ \$a Hurley, N.Y. : \$b Jerry's Books, \$c  
[1993]

11

Note that the form in the authority record must match exactly the form in the bibliographic record, except that it is split between two fields and subfield \$t in the authority record becomes subfield \$a in the 240 field.



## Relationship of authority to bibliographic: added entry

---

- Heading in authority record  
**130 \_0 \$a Casablanca (Motion picture)**
- Bibliographic record  
100 1\_ \$a Steiner, Max, \$d 1888-1971.  
240 10 \$a Casablanca. \$k Selections; \$o arr.  
245 10 \$a Casablanca suite : \$b for piano /  
\$c music by Max Steiner ; adapted for piano  
by Tony Esposito.  
**730 0\_ \$a Casablanca (Motion picture)**

12



## Relationship of authority to bibliographic: name/title added entry

- Heading in authority record

100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Adventures of Huckleberry Finn

- Bibliographic record

100 1\_ \$a Suter, Joanne.

245 10 \$a Huckleberry Finn / \$c Mark Twain ; adapted by  
Joanne Suter.

260 \_\_ \$a Belmont, Calif. : \$b Lake Education, \$c c1996.

700 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Adventures of Huckleberry Finn.

13

Note here that there is an exact correspondence between the records (and in all the following examples)



## Relationship of authority to bibliographic: subject

- Heading in authority record  
**130 \_0 \$a Casablanca (Motion picture)**
- Bibliographic Record  
100 1\_ \$a Key, Sarah.  
245 10 \$a The Casablanca cookbook : \$b  
wining and dining at Rick's / \$c Sarah Key,  
Jennifer Newman Brazil, Vicky Wells.  
260 \_\_ \$a New York : \$b Abbeville Press, \$c  
c1992.  
**630 00 \$a Casablanca (Motion picture)**



## Relationship of authority to bibliographic: name/title subject

- **Heading in authority record**

**100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Adventures of Huckleberry Finn**

- **Bibliographic Record**

100 1\_ \$a Mensh, Elaine, \$d 1924-

245 10 \$a Black, white, and Huckleberry Finn : \$b re-imagining the American dream / \$c Elaine Mensh and Harry Mensh.

260 \_\_ \$a Tuscaloosa : \$b University of Alabama Press, \$c c2000.

**600 10 \$a Twain, Mark, \$d 1835-1910. \$t Adventures of Huckleberry Finn.**



## The authority record: see references

- Use 4XX field
  - Personal name: 400 with subfield \$ t
  - Corporate name: 410 with subfield \$ t
  - Meeting name: 411 with subfield \$ t
  - Title without name: 430
- You may have as many 4XX fields as necessary
- The 4XX forms are not authorized forms, so don't use them in bibliographic records

16

Use 4XX field for variant or other unauthorized forms

Personal name: 400 with subfield \$ t

Corporate name: 410 with subfield \$ t

Meeting name: 411 with subfield \$ t

Title without name: 430

Records may have as many 4XX fields as necessary to cover all variants



## The authority record: see references

---

- See reference in authority record  
**100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Adventures of Huckleberry Finn**  
**400 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Huckleberry Finn**
- Bibliographic record should **NOT** have:  
**700 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Huckleberry Finn**

17

Note here that the bibliographic record should NOT correspond to the 4XX reference on the authority record.



## The authority record: see references

---

- See reference in authority record

**100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Adventures of Huckleberry Finn**

**400 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Huckleberry Finn**

- May display in OPAC as:

Twain, Mark, 1835-1910. Huckleberry Finn  
*search under:*

Twain, Mark, 1835-1910. Adventures of  
Huckleberry Finn





## The authority record: see also references

---

- Use for *authorized* headings for related entities
- Use 5XX field
  - Personal name: 500 with subfield \$ t
  - Corporate name: 510 with subfield \$ t
  - Meeting name: 511 with subfield \$ t
  - Title without name: 530

19

Use 5XX fields for authorized headings for related works



## The authority record: see also references

---

- Fairly rare for uniform titles (except series)
- If needed, a reciprocal authority record must exist or be created

20

Fairly rare, except in series authority records

If a 5XX field is needed in an authority record, a reciprocal authority record for that heading must exist or be created



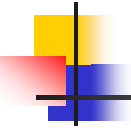
## The authority record: notes

---

- 6XX fields
- 670 field: for works cited
- Guidelines for form are provided in the *MARC 21 Authority Format*
- General pattern:  
**670 \_\_ \$a Title proper, date of publication: \$b location of data in the source (data)**

21

6XX fields are used for notes




## The authority record: notes

- The authority record should contain 670s that
  - Justify all access points
  - Justify all variant forms that are not justified by the rules in AACR2
- Exceptions in DCM Z1 at ‘670’

22

Generally for name headings, the authority record should contain 670 fields citing works justifying all access points to the record, including the heading and all variant forms that are not justified by the rules.

Note, however, DCM Z1 at 670: “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” do not require a 670 to justify them. A “name/title cross reference derived from the work being cataloged”, however, presumably would have all the justification needed for references in the first 670 field in the record.




## The authority record: notes

130 \_0 \$a Casablanca (Motion picture)  
**430 \_0 \$a Everybody comes to Rick's**  
...  
670 \_\_ \$a Am. Film Inst. cat., 1941-1950, c1999: \$b F4, v. 1, p. 385 (Casablanca; orig. title: **Everybody comes to Rick's**)

23

Point out the 670 and show how this authority record has 670's that justify the form of the name, and the variant form of the name in the 4XX



## The authority record: notes

- Other common note fields:
  - 675: “Source data not found”—used to cite a source in which no data about the heading or references was found
  - 667: “Nonpublic general note”—used to communicate information about the heading to other catalogers (e.g., “Not to be confused with \_\_\_\_” or “Cannot identify with: \_\_\_\_\_”)

24

Although seldom used for uniform titles it is possible to have a 675 note field in authority records.

Why would a cataloger want to use a 675 field? To show subsequent catalogers that a particular source has already been unsuccessfully searched.

Another note field that is commonly used for NARs (although rarely for UTs) is the 667 field.

We use the 667 field to indicate special information such as when we know two people are different and we want others to know “not to be confused with” or when we are not certain we have two different people “cannot identify with”



## The authority record: terminal punctuation

---

No punctuation at end of fields

Unless

- It is part of the data (e.g. period after abbreviation)
- It is called for by the rules (e.g. a closing parenthesis in a qualifier)

25

No punctuation at end of field unless part of the data (e.g. period after abbreviation) or called for by the rules (e.g. a closing parenthesis in a qualifier)



## Process of authority control for uniform titles

The process of authority control for uniform titles has the following steps:

- 1) Look at the item in hand and determine if a uniform title will be needed in the bibliographic record
- 2) Formulate in your mind how that title might be represented in a heading
- 3) Search an authority file to determine if an authority record has been made for the title
- 4) If you find an authority record for the title
  - add that authority record into your local file
  - use the form of the heading used in the 1XX on the authority record in the bibliographic record

26

The process of authority control for names has the following steps:

1. Look at the item in hand and determine if a uniform title will be needed in the bibliographic record
2. Formulate in your mind how that name might be represented in a heading
3. Search an authority file to determine if an authority record has been made for the title
4. If you find an authority record for the title add that authority record into your local file and use the form of the heading used in the 1XX on the authority record in the bibliographic record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.





## Process of authority control for uniform titles

---

- If you can't find an authority record for the title:
- create a new record for the title

27

Step 5 of the process of authority control:

If you can't find an authority record then you need to create a new record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.

## When should a uniform title authority record be created?

- Individual libraries: whenever they feel the need
- LC:
  - Reference tracing needed
  - Research must be recorded
  - Heading needed for added entry or subject heading and related work not in LC's bibliographic file
  - Other information needs to be recorded

28

Libraries can establish uniform titles whenever they feel an authority record is needed

LC only creates authority records for uniform titles when:

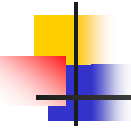
A reference must be traced from the authority record (e.g., for a variant title)

Research has been done which must be recorded

The heading is needed for a related work added entry or subject heading and the related work is not in LC's bibliographic file

Other information needs to be recorded

From *Descriptive Cataloging Manual: Z1, Name and Series Authority Records*



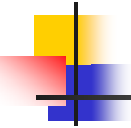
## Establishing a uniform title

- AACR2 21.9
- If nature substantially changed: use heading for new work
- Abridgement, rearrangement, etc.: use heading for original work

29

As you search the various files (your catalog, OCLC, LC, etc.), you may encounter publications that are similar to each other. You must determine if they are the same work or different works.

AACR2 21.9: “Enter a work that is a modification of another under the heading appropriate to the *new work* if the modification has substantially changed the nature and content of the original or if the medium of expression has been changed. If, however, the modification is an abridgement, rearrangement, etc., enter under the heading appropriate to the *original*.”



## Choosing the title

- If a new work, no shared uniform title
- If the same work, shared uniform title

30

If one resource is a “new work”, the two resources do not share a uniform title  
If the two resources are the same work, they share a uniform title



## Choosing the title: new work (no shared uniform title)

- Version in different literary form (21.10)
- Revised text, if different author (21.11)
- Condensations with rewriting (21.12, 21.10)
- Commentary emphasized (21.13B)
- Text set to music (21.19A)
- Film version (21.6)
- Artwork in different medium (21.16A)
- Adaptation of musical work (21.18C)

31

AACR2 has defined certain situations where resources are considered different works from each other and where they are considered the same work.

Paraphrases, adaptations, versions in different literary forms (21.10)

Revised text if original author not responsible (21.11)

Condensations involving extensive rewriting (21.12, 21.10)

Commentary with text, commentary emphasized (21.13B)

Text that has been set to music (21.19A)

Film version of a literary work (21.6)

Artwork adapted from one medium to another (21.16A)

Distinctive adaptation of musical work (21.18C)

Note that these lists are not exhaustive, just scattered examples of what is found in AACR2



## Choosing the title: same work (shared uniform title)

- Same text as original
- Same text, illustrated (21.11)
- Revised text, original author (21.12) (but cf. 25.2B)
- Abridgement without rewriting (21.12)
- Text with subsidiary commentary (21.13C)
- Translation (21.14)

32

Same text as original

Same text as original, illustrated (21.11)

Revised text, if original author responsible (21.12) (but cf. 25.2B)

Abridgement not involving extensive rewriting (21.12)

Text with subsidiary commentary (21.13C)

Translation (21.14)

More ...



## Choosing the title: same work (shared uniform title)

- Reproduction of artwork (21.16B)
- Musical arrangement (21.18B)
- Musical work with text (21.19A)
- Musical work with accompaniment or parts (21.21)
- Recording of a musical work (21.23)

33

If you determine that you have more than one publication of the same work, you may need to establish a uniform title that identifies the work.

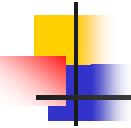
Reproduction of artwork (photographically or in same medium as original) (21.16B)

Arranged musical work (21.18B)

Musical work with text added (21.19A)

Musical work with accompaniment or parts added (21.21)

Recording of a musical work (21.23)



## Establishing a name/title

- Name portion uses already established form, or must be established
- Check authority file for author's name

34

Name-title uniform titles: name portion takes already-established form, or must be established first.

Check authority file for author's name





## Establishing a name/title: author's name

053 \_0 \$a PS1300 \$b PS1348

**100 1\_ \$a Twain, Mark, \$d 1835-1910**

500 1\_ \$w nnc \$a Clemens, Samuel Langhorne, \$d  
1835-1910

500 1\_ \$w nnc \$a Snodgrass, Quintus Curtius, \$d  
1835-1910

500 1\_ \$w nnc \$a Conte, Louis de, \$d 1835-1910

663 \_\_ \$a For works of this author written under other  
names, search also under \$b Clemens, Samuel  
Langhorne, 1835-1910, \$b Snodgrass, Quintus  
Curtius, 1835-1910 \$b Louis de Conte, 1835-1910

35

Remind audience that the complete authority record is not represented here so that the actual name authority record would contain a 670 field, it is simply not displayed here.



## Establishing a name/title: constructing the heading

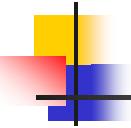
- Name followed by period (unless the last element is an open date)
- Title goes in subfield \$t:  
**100 1\_ \$a Twain, Mark, \$d 1835-1910.  
\$t ...**

36

Authority record for the uniform title will first contain the name in 1XX, followed by a period (unless the last element is an open date)

Title, when chosen, will be added in subfield \$t.

(Uniform titles that do not include a name portion skip this step)



## Choosing the title


- Search databases for same/similar resources
- Determine relationship between resources you found: the same work or different?

37

Survey databases for same/similar resources.

Having done this survey, before you can use any of the evidence found, you must determine the relationship between resources you found: are they the same work or different works?

Remind the audience of the discussion of work a few slides back. Refer them to the appropriate place in the handout.



## Choosing the title

- AACR2 25.3A: commonly-known title in original language
- Generally, title used in the first edition
- Sometimes ‘commonly known’ means in a different country
- Pre-1501 works: title by which work has become known in modern sources

38

Choose “the title or form of title *in the original language* by which a work created after 1500 *has become known* through use in manifestations of the work or in reference sources.” (25.3A)

Except for very famous works, this generally means choose the form used in the first edition.

Sometimes ‘commonly known’ means commonly known in a different country from your own!

Pre-1501 works: choose the title by which the work has become known in modern sources

For classical and Byzantine Greek works, prefer well-established English or Latin title; for other works, use a title in the work’s original language.

For anonymous works in a non-roman script before 1501, use an English title if available.

Point out that this is a variant on the “commonly known” principle in AACR2.



## Choosing the title

---

- Omit introductory articles (25.2C)  
**The** adventures of Huckleberry Finn
- Omit introductory phrases (25.3B)  
**This is the story of** Faint George who wanted to be a knight  
**Here beginneth the booke, named the** assise of breade
- Generally omit statements of responsibility (25.3B)  
**Shakespeare's** Hamlet



## Choosing the title: Huckleberry Finn

---

- Published in English under different titles:
  - The adventures of Huckleberry Finn
  - The adventures of Huckleberry Finn (Tom Sawyer's comrade)
  - Huckleberry Finn
  - Mark Twain's Adventures of Huckleberry Finn
  - The annotated Huckleberry Finn
- Most common form:
  - The adventures of Huckleberry Finn

40

This work has been published in English many times under different titles:


The most common form is "The adventures of Huckleberry Finn." This is also the original title (without the subtitle "Tom Sawyer's comrade")



## Establishing a name/title: constructing the heading

---

- Add period to end of established form of author's name
- Omit initial article
- Add chosen title in subfield \$t  
**100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Adventures of Huckleberry Finn**
- All other titles found are candidates for use in see reference tracings

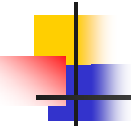


---

**EXERCISE**  
**1**  
**Choice of title**

42





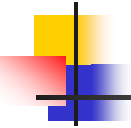
## Uniform titles for collocation

- AACR2 25.1A
- Bring together various manifestations with varying titles under a single title

43

AACR2 25.1A: “Uniform titles can be used ... for bringing together all catalogue entries for a work when various manifestations (e.g., editions, translations) of it have appeared under various titles”

Note that 'manifestations' in this quote is not defined according to FRBR yet, and the meaning of the term 'manifestations' in AACR2R is probably 'expressions and manifestations' in FRBR terms. Also, we might want to discuss the fact that AACR2R provides techniques for using uniform titles to collocate works and then subarrange expressions under the work heading by language, date, and even edition name (as in the case of the Bible, for example)...



## Translation into one language

- Determine and/or establish uniform title for original
- Add period, then language of translation in subfield \$I ('L')
- Use the English form of the name of the language
- Official English forms in MARC code list:  
<http://www.loc.gov/marc/languages/langhome.html>

44

First determine and/or establish the uniform title for the original

Add period to the end, and the language of the translation in subfield \$I

Note that's subfield "L" (for "language"), not "one".

Use the English form of the name of the language ("French," not "Français")

The official English forms are in the MARC code list:

<http://www.loc.gov/marc/languages/langhome.html>



## Spanish translation of *Huckleberry Finn*

- 1998 Spanish translation has title:  
Las aventuras de Huckleberry Finn
- Uniform title for original:  
**100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Adventures of Huckleberry Finn**
- Add language in subfield \$I following period:  
100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Adventures  
of Huckleberry Finn. **\$I Spanish**

45

Note that in this case we wind up with two authority records, one for the original and one for the translation. Although this session does not cover music uniform titles in detail, attendees should know that the practice appears to be different for uniform titles for musical works (though it really isn't), where references for all language forms of the title are on the same authority record. E.g., the UT for Beethoven's fifth symphony will not have \$I English at the end, even if the title of the publication presents itself in English. Instead, the English title will be given as a variant in a 400 field. This is because this publication does not actually represent a "translation" of Beethoven's musical work into another language (English).

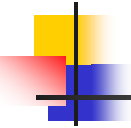
## Authority record

### for Spanish *Huckleberry Finn*

**100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Adventures of Huckleberry Finn. \$l  
Spanish**

**400 1\_ \$a Twain, Mark, \$d 1835-1910. \$t  
Aventuras de Huckleberry Finn**

**670\_\_ \$a Las aventuras de Huckleberry  
Finn, c1998**



## Publication in two languages

- Use both languages in subfield \$I, separated by “&”
- If one is the original, give it second
- Otherwise, use this order:  
English, French, German, Russian, Spanish,  
other (in English alphabetical order)

47

Up to two languages may be named in the uniform title, separated by “&”

If one is the original, it is named last

Otherwise, they are named in this order:

English

French

German

Russian

Spanish

Other (in English alphabetical order)

Note that the effect of naming the original last results in an organization of the file where the language of the translation is emphasized; original (untranslated) editions will file first because they do not have the language suffix.



## Greek/English edition of the *Odyssey*

---

- Uniform title for the original:  
**100 0\_ \$a Homer. \$t Odyssey**
- Add period, languages in subfield \$I  
(original language last):  
**100 0\_ \$a Homer. \$t Odyssey. \$I English &  
Greek**



## Publication in more than two languages

- Use “Polyglot” in subfield \$I

Uniform title for the 2002 German edition, with Latin and English translation, of *Slovenly Peter*:


**100 1\_ \$a Hoffmann, Heinrich, \$d 1809-1894. \$t Struwwelpeter. \$I Polyglot**

49

Do not name the languages. Instead, give “Polyglot” in subfield \$I

This also stands for the 1984 edition in German, English, French, Italian, and Latin.

This also stands for another 2002 edition in 10 languages.

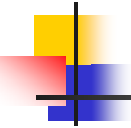


---

**EXERCISE**  
**2**  
**Translation**

50





## Collective uniform titles

- Bring together groups of works by a single author
- Three types:
  - Complete/collected works
  - Selections
  - Works in a single literary form

51


Technique for collocating groups of works by a single author

Three types of collective titles:

complete/collected works

selections

works in a single literary form



## Works of single author

- Items that purport to be the complete works
- Use “Works” in subfield \$t
- LCRI 25.8: add year of publication in subfield \$f

**100 1\_ \$a Shakespeare, William, \$d  
1564-1616. \$t Works. \$f 1990**


52

Use for items that purport to be the complete works of an author  
Add the collective title “Works” in subfield \$t following the name  
LCRI 25.8: add date (year) of publication to the heading, in subfield \$f

“Works” can be used for publications of living authors, even though potentially the publication will not be “complete”—be guided by the intent of the publication as evidenced by the wording of the title page, etc.

Uniform title for 1990 editions of Shakespeare’s works

Note: This heading stands for all editions of Shakespeare’s works published in 1990; there were at least two separate editions.



## Selections of single author

- Three or more works, or extracts of incomplete works
- Use “Selections” in subfield \$t
- LCRI 25.9: add year of publication in subfield \$f

**100 1\_ \$a Whitman, Walt, \$d 1819-1892. \$t Selections. \$f 2000**

53

Use for resources consisting of three or more works of a single author, or extracts of incomplete works of a single author

Add the collective title “Selections” in subfield \$t following the name

LCRI 25.9: add date (year) of publication to the heading, in subfield \$f

Uniform title for *Leaves of Grass and Other Writings* (2000)

Note: this resource consists of all or part of *Leaves of grass* and other works or parts of works, at least some of which are *not* poetry (otherwise the collective title would be *Whitman, Walt, 1819-1892. Poems. Selections*). The treatment of collections of works of a single literary form is covered next.

On the first point, explain that the three or more works should also be of different literary forms if the author wrote in more than one form (otherwise, you would use a “form” collective title).

Explain that for items consisting of two works of a single author the bibliographic record will have a uniform title for each (one the main entry, one an added entry)



## Works of an author in a single form

- Collection of works in a single literary form
- Use “[name of form]” in subfield \$t
- Use the list in AACR2 25.10A if appropriate
- Do not add year

**100 1\_ \$a Dumas, Alexandre, \$d 1802-1870. \$t Plays**

54

Use for a collection of works by a single author all in the same literary form

Add a collective title “[name of form]” in subfield \$t following the name

Use the list in AACR2 25.10A if appropriate

In contrast to other collective titles, do not add year

Note that the list in 25.10A is not complete

Collective title for any edition of Dumas’ plays in the original language (French):



## Translations of collections

---

- Treat same as single works
- Add language(s) in subfield \$I


**100 1\_ \$a Chekhov, Anton Pavlovich,  
\$d 1860-1904. \$t Works. \$I Yiddish. \$f  
1910**

**100 1\_ \$a Donne, John, \$d 1572-1631.  
\$t Selections. \$I Russian. \$f 1994**

**100 0\_ \$a Plato. \$t Dialogues. \$I  
Italian & Greek**

55

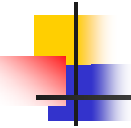
Translations of collections of an author's works are treated the same way as single works, by the addition of the language(s) in subfield \$I after the collective title



---

**EXERCISE**  
**3**  
**Collective uniform title**

56



## Parts of a work (non-musical)

- If a part of a work has title, use it
- See reference tracing from the title of the part as a subheading of the main work

100 1\_ \$a Tolkien, J. R. R. \$q (John Ronald Reuel), \$d 1892-1973. \$t **Fellowship of the ring**

400 1\_ \$a Tolkien, J. R. R. \$q (John Ronald Reuel), \$d 1892-1973. \$t **Lord of the Rings. \$n 1, \$p Fellowship of the ring**

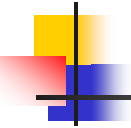
57

If a part of a work has its own title, use it:

Add a see reference tracing from the title of the part as a subheading to the title of the main work:

The Fellowship of the Ring is the first part of The Lord of the Rings

The generic term for the part in subfield \$n (if present) should be one used in the work itself, if possible, i.e., “chapter”, “book”, “liber”; check the authority file first to see if parts have been established already and follow the pattern already being used



## Parts of a work (non-musical)

- If a part has no title, use title of work plus generic term in subfield \$n or subfield \$p


100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Tramp abroad. **\$n Chapter 28-29**

100 1\_ \$a Fitzgerald, F. Scott \$q (Francis Scott), \$d 1896-1940. \$t This side of paradise. **\$p Preface**

58

If a part of a work does not have its own title, use the title of the work plus an appropriate generic term in subfield \$n if numbered, or subfield \$p if not:





## Parts of a work (non-musical)

- If unnumbered or nonconsecutively numbered parts, use “Selections” in subfield \$k

100 1\_ \$a Watterson, Bill. \$t Calvin and Hobbes. **\$k Selections**

100 1\_ \$a Menotti, Gian Carlo, \$d 1911- \$t Unicorn, the gorgon, and the manticore. **\$k Selections**

59

If the item consists of unnumbered or nonconsecutively numbered parts, use the title of the main work followed by “Selections” in subfield \$k

## Translations of parts



- Add the language(s) in subfield \$l
- “Selections” always comes last

100 0\_ \$a Virgil. \$t Aeneis. **\$n Liber 3-6. \$l English**

100 1\_ \$a Whitman, Walt, \$d 1819-1892. \$t Leaves of grass. **\$l Chinese. \$k Selections**

110 2\_ \$a Catholic Church. \$t Breviary. **\$p Hymns. \$l French & German. \$k Selections**

60

The breviary example shows a named part, translation, and selections. Note the order of the languages (original was Latin)



---

**EXERCISE**  
**4**  
**Parts**

61



## Uniform titles for differentiation

- AACR2 25.1A
- Differentiate between two or more works published under identical titles proper
- Addition of qualifier to base title

62

“Uniform titles can be used ... for differentiating between two or more works published under identical titles proper”—AACR2 25.1A



## Differentiation for monographs with uniform title headings

- LC: not routinely used, unless uniform title needed for:
  - Added entry or subject heading in another bibliographic record
  - Translation
- If uniform title created, original record is revised

63

May be used to differentiate monographs entered under title

LC practice: not routinely used, unless UT needed for another reason, e.g.:

heading needed for the work on another bibliographic record

heading needed for a translation of the work

If a UT is established, the original bibliographic record is revised

LCRI 25.5B and LCRI 25.8



## Additions to titles: qualifiers

- Corporate body
- Date of publication
- Descriptive data element (edition statement, etc.)
- Place of publication
- Other

64

Titles are differentiated by the addition of a qualifier. The choice of qualifier is left to cataloger judgment:

Corporate body

Date of publication

Descriptive data element (ed. statement, etc.)

Place of publication

Other

## Additions to titles: qualifiers example

- Many monographs with title *Cuba*
- One is: London : Dorling Kindersley, 2002
- Translated into German (2004) as *Kuba*
- Record for German edition needs uniform title to collocate with English edition
- Uniform title needs to differentiate this work from others

65

There are many monographs given title main entry with the title *Cuba*

One is (London : Dorling Kindersley, 2002)

This was translated into German as *Kuba* (2004)

The German edition needs a UT to collocate it with the English edition

The UT also needs to differentiate the work from the other works with the same title



## Additions to titles: qualifiers example

---

- Differentiate by qualifying the title
- Many possibilities for the English work
  - Cuba (London, England)
  - Cuba (Dorling Kindersley Publishing, Inc.)
  - Cuba (Eyewitness travel guides)

66

For purposes of this example, we're going to use the name of the publisher as the qualifier.





## Additions to titles : qualifiers example

---

- German translation:  
**130 \_0 \$a Cuba (Dorling Kindersley  
Publishing, Inc.). \$l German.**  
**245 10 \$a Kuba ...**
- Revised record for English original:  
**130 \_0 \$a Cuba (Dorling Kindersley  
Publishing, Inc.)**  
**245 10 \$a Cuba ...**

67

Mention that with the revised record, because we are adding a 1XX field where one wasn't there before, the first indicator of the 245 will be changed to "1" (previously it was "0").




## Additions to titles: form qualifiers

- ... (Motion picture)
- ... (Radio program)
- ... (Television program)
- ... (Comic strip)
- ... (Choreographic work)

68


These should be used if applicable



## Additions to titles: form qualifiers

- If further differentiation is needed, add second qualifier (usually year)
  - Star is born (Motion picture : 1937)
  - Star is born (Motion picture : 1954)
  - Star is born (Motion picture : 1976)

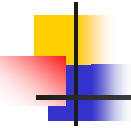
69



---

**EXERCISE**  
**5**  
**Qualifiers**

70



## Differentiation for serials

- Differentiate serials (and series) with identical titles
- LC: use routinely used to differentiate between serials
- Parenthetical qualifier
- LC: authority records rarely made
- Others make authority records if desired

71

Used to differentiate between serials (and series) entered under identical titles

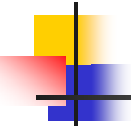
LC practice: unlike monographic practice, uniform titles are routinely used to differentiate between serials

Differentiate using parenthetical qualifier

Uniform titles routinely used, but authority records are rarely made for serial uniform titles in LC practice

Other libraries may make authority records if desired

[Note: Most serials UTs do fit the DCM criteria for creation of authority records (the UT would be different from the 245, i.e., a variant); however, most of the functions of an AR for serials UTs are filled via the bibliographic record in current practice]



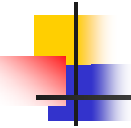
## Example for serials

- Title of serial #1: Parenthesis
- Other title information: The journal of the Fine Press Book Association
- First issue (May 1998) published: Whitney, England
- Alternately published England and North America

72

Parenthesis  
The Journal of  
the Fine Press Book Association

This journal is published by the Fine Press Book Association; place of publication alternates between England and North America, every other issue, by various fine presses. The first issue (May 1998) was published in Witney, England.

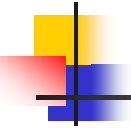


## Example for serials

- Title of serial #2: Parenthesis
- Other title information: Journal of theory and new literatures
- Published: London, 1993-
- Not affiliated with any corporate body

73

This journal has been published in London since 1993. It does not appear to be affiliated with any corporate body.



## Example for serials

---

Parenthesis (Witney, England)

*OR*


Parenthesis (Fine Press Book Association)

Parenthesis (London, England)

74

Discuss choice of qualifier for the first one. The second (corporate body) would probably be better in this case because the place of publication alternates. But either is acceptable under AACR2.






## References

---

Formulate all references (4XX and 5XX)  
as if you were formulating a heading.  
All rules apply to references.

75



## References

- Name/title: use only authorized form of name; variant title in subfield \$t
- For name/title headings, no reference tracing from title alone

76

Formation of the reference: form as though for the heading

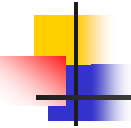
Start with authorized form of author's name; add variant title in subfield \$t

Differing forms of the author's *name* are not traced from the authority record for the uniform title

Differing forms of the author's name found when establishing the uniform title should be added to the authority record for the author's name.

Under current practice, no reference tracing is made from the title alone in author/title uniform title records, so the user searching "Huckleberry Finn" without the author's name would not be led to the authorized heading in most systems

Note: the same problem existed in pre-OPAC days. This is because of the rule expressed on the previous slide.



---

# Addendum Music Uniform Titles

77

This addendum is only to be used if there is time and interest.



## Addendum: music uniform titles

---


- Uniform titles for music follow AACR2 25.26-25.35
- Begin by formulating the “initial title element”: “the word or words selected from the title of a musical work and placed first in the uniform title for that work” (AACR2 Appendix D [Glossary])

78

The following slides are to be used if there is interest and if there is time left. LARGE CAVEAT!!! THIS IS AN INTRODUCTION ONLY!!! Not intended to teach how to make music UTs, only to give some understanding of how they are formed, etc.

Uniform titles for music follow AACR2 25.26-25.35

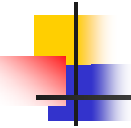
Begin by formulating the “initial title element”: “the word or words selected from the title of a musical work and placed first in the uniform title for that work” (AACR2 Appendix D [Glossary])



## Select the title

- Before finding the “initial title element”, select the title to use as its basis
- Composer’s original title, if possible
- If another title in the same language is better known, choose it

79



## Remove from the title

- Remove from the selected title:
  - statement of medium of performance (“for piano”)
  - name of the key (“in E major”)
  - serial, opus, etc., numbers (“opus 67”)
  - other numbers unless integral to title
  - date of composition
  - adjectives and epithets not part of original title
  - initial article

80

Remove from the selected title:

statement of medium of performance (“for piano”)

name of the key (“in E major”)


serial, opus, etc., numbers (“opus 67”)

other numbers unless integral to title

date of composition

adjectives and epithets not part of original title

initial article




## Example of title preparation

Ludwig van Beethoven  
Fünfte Symphonie, c-Moll, Opus 67

Faksimile nach dem Autograph in der Staatsbibliothek  
zu Berlin Kulturbesitz  
mit einem Kommentar, herausgegeben von Rainer  
Cadenbach

Laaber • Laaber-Verlag • c2002

81



## Example of title preparation

- Select the title: Fünfte Symphonie, c-Moll, Opus 67
- Isolate the initial title element:
  - remove name of key: “c-Moll” (“c minor”)
  - remove opus number: “Opus 67”
  - remove other number: “Fünfte” (“Fifth”)
- What remains is the initial title element: “Symphonie”

82





## Formulate the initial title element

- If the initial title element is name of a type of composition, use English form: “Symphony”
- If composer wrote more than one work of that type, use plural: “Symphonies”
- See AACR2 25.29 for details

83

If the initial title element is nothing but the name of a type of composition (“Symphonie”), use English form in the plural unless the composer only wrote one work of the type

Since Beethoven wrote more than one symphony, this will result in “Symphonies”

See AACR2 25.29 for more details



## Additions to the initial title element

- Once the initial title element has been formulated, the following elements are added back in, in prescribed order:
  - Medium of performance (“\$m piano”) unless implied by the title
  - Numeric identifying elements (“\$n no. 3”)
  - Key (“\$r B major”)
  - Other identifying elements (if needed to distinguish between works with otherwise identical uniform titles) (“\$n (1811)”)

84

Once the initial title element has been formulated, the following elements are added back in, in prescribed order:

Other identifying elements as needed to distinguish between works with otherwise identical uniform titles) (“\$n (1811)”)



## Additions to the initial title element

---

- Precede each addition with a comma
- See AACR2 25.30 for details, especially medium of performance

85

See AACR2 25.30 for details, especially about dealing with the medium of performance



## Finish the Beethoven title

Initial title element for the Beethoven example (Fünfte Symphonie, c-Moll, Opus 67) was “Symphonies”. Add:

-Numeric identifying elements: no. 5, op. 67

-Key: C minor

Final uniform title:

100 1\_ \$a Beethoven, Ludwig van, \$d 1770-1827. \$t Symphonies, \$n no. 5, op. 67, \$r C minor

86

NOTE: No medium of performance added because “orchestra” is implied in the title “Symphonies.”



## Authority record for the heading

---


100 1\_ \$a Beethoven, Ludwig van, \$d  
1770-1827. \$t Symphonies, \$n no.  
5, op. 67, \$r C minor

400 1\_ \$a Beethoven, Ludwig van, \$d  
1770-1827. \$t Fünfte Symphonie,  
c-Moll, Opus 67

670 \_\_ \$a Fünfte Symphonie, c-Moll,  
Opus 67, c2002

87

The authority record would include 4XX fields for variants:



---

END OF MODULE 5

88

## Exercises for Module 5: Uniform titles

### Exercise 1: Choice of title


The title frame of a film you're cataloging reads:

Carl Laemmle  
presents  
Karloff in  
The Bride of Frankenstein  
...  
A Universal Picture  
1935

You also have a copy of the book *Magical Image Filmbooks presents The bride of Frankenstein* (Abesecon, NJ, Magical Image Filmbooks, c1989).

You check the Internet Movie Database ([www.imdb.com](http://www.imdb.com)), which gives this information:

## Bride of Frankenstein ([1935](#))



**Directed by**  
[James Whale](#)

**Writing credits**  
[William Hurlbut](#)  
[William Hurlbut](#) (adaptation) ...  
[\(more\)](#)

Continued on next page ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



## Continuation of information from IMDB:

**Also Known As:**

Frankenstein Lives Again! (USA) (working title)

The Bride of Frankenstein (USA) (poster title)

The Return of Frankenstein (USA) (working title)

**Runtime:** 75 min**Country:** [USA](#)**Language:** [English](#)**Color:** [Black and White](#)**Sound Mix:** [Mono](#) (*Western Electric Sound System*)**Certification:** [Australia:PG](#) / [Canada:G](#) (*Quebec*) / [Finland:K-16](#) (1976)

**What will you choose for the uniform title for this movie? (Do not use MARC coding.)**

---

---

---

**Will you need any see references in the authority record for this title? If so, list them. (Do not use MARC coding)**

---

---

---

---

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

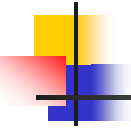


*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*





*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



---

**BASIC CREATION OF  
NAME AND TITLE  
AUTHORITIES**

**Module 6: Corporate  
Bodies**

1



## Scope

---

- Corporate bodies
- Including both non-governmental bodies and government bodies
  - AACR2 chapter 24: corporate bodies
  - LCRI's for chapter 24
  - MARC 21: 110 field



## Corporate body authority records

---

- 1XX fields: authorized form
- 4XX fields: references
- 5XX fields: related authorized forms (will have own authority records)
- 6XX fields: notes



## Sample authority record

110 2\_ \$a Frank Erwin Center  
410 2\_ \$a Erwin Center  
410 2\_ \$a University of Texas Frank Erwin  
Center  
410 2\_ \$a University of Texas at Austin. \$b  
Frank Erwin Center  
670 \$a Applause magazine, Mar. 1988:  
\$b t.p. (Frank Erwin Center) p. 3  
(University of Texas Frank Erwin Center;  
Austin, Texas)



## Established heading

---

- Use 1XX field
- Each record will have one and only one 1XX field



## Relationship of authority to bibliographic: main entry

---

- Heading in Authority Record  
**110 2\_ \$a Cows in the Graveyard  
(Musical group)**
- Bibliographic Record  
**110 2\_ \$a Cows in the Graveyard  
(Musical group)**  
245 10 \$a Icon \$h [sound recording] / \$c  
Cows in the Graveyard.





## Relationship of authority to bibliographic: added entry

---

- Heading in Authority Record

**110 2\_ \$a Frank Erwin Center**

- Bibliographic Record

245 00 \$a Applause magazine : \$b the entertainment monthly of the Frank Erwin Center.

**710 2\_ \$a Frank Erwin Center.**



## Relationship of authority to bibliographic: subject

- Heading in Authority Record  
**110 2\_ \$a OCLC**
- Bibliographic Record  
245 10 \$a Misinformation and  
meaning in library catalogs / \$c  
D.W. Bade.  
**610 20 \$a OCLC \$x Evaluation.**

8

Note here and in all the following examples that there is an exact correspondence between the records.



## The authority record: see references

---

- Use 4XX field
  - Corporate body: 410
- You may have as many 4XX fields as necessary
- The 4XX forms are not authorized forms, so don't use them in bibliographic records

9

Records may have as many 4XX fields as necessary to cover all variants

The 4XX forms are not headings. They should not be used in bibliographic records



## The authority record: see references

---

- See reference in authority record  
110 2\_ \$a U.S. Playing Card Co.  
**410 2\_ \$a United States Playing  
Card Company**
- Bibliographic record should **NOT** have:  
**110 2\_ \$a United States Playing  
Card Company**



## The authority record: see references

---

- See reference in authority record  
110 2\_ \$a U.S. Playing Card Co.  
**410 2\_ \$a United States Playing Card Company**
- May display in OPAC as:  
**United States Playing Card Company**  
*search under*  
**U.S. Playing Card Co.**



## The authority record: see also references

---

- Use for *authorized* headings for related entities
- Use 5XX fields
  - Corporate name: 510 (e.g. changes in names)
  - Personal name: 500 (e.g. musician in a group)

12


Used for *authorized* headings for related entities



## The authority record: see also references

A 5XX field in an authority record must have a reciprocal authority record

110 2\_ Radio Writers Guild    110 2\_ Screen Writers' Guild  
510 2\_ Screen Writers' Guild    510 2\_ Radio Writers Guild



13

In most cases a 5XX must have a reciprocal authority record. However in a few cases such as with heads of government, there will only be a reciprocal link from the personal name to the corporate name and not from the corporate name to the personal name.

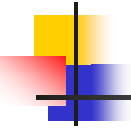


## The authority record: notes

---

- 6XX fields
- 670 field: for works cited
- No rules for form; general pattern:  
**670 \_\_ \$a Title proper, date of  
publication: \$b location of data  
in the source (data)**





## The authority record: notes

- The authority record should contain 670s that
  - justify all access points
  - justify all variant forms that are not justified by the rules in AACR2

15

There should be 670s in the authority record that justify all access points, all variants (references) that are not justified by the rules in AACR2, and all parts of the access points including qualifiers as necessary

## The authority record: notes



110 2\_ \$a National Film and Sound Archive  
(Australia)

410 2\_ \$a National Film & Sound Archive (Australia)

510 2\_ \$w b \$a ScreenSound Australia

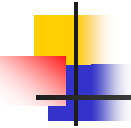
670 \_\_ \$a Australian jazz on record, 1925-80, 1988:  
\$b t.p. (National Film and Sound Archive)

670 \_\_ \$a Its Annual review, 1989-1990: \$b t.p.  
(National Film & Sound Archive)

670 \_\_ \$a ScreenSound Australia WWW home page,  
Aug. 19, 2004 \$b (created in 1984 as the  
National Film and Sound Archive; changed its  
name in 1999 to ScreenSound Australia, the  
National Screen and Sound Archive)

16

Notice how this authority record has 670's that justify the form of the name, the dates and the variant form of the name in the 4XX



## The authority record: notes

- Other common note fields:
  - 675: “Source data not found”—used to cite a source in which no data about the heading or references was found
  - 667: “Nonpublic general note”—used to communicate information about the heading to other catalogers (e.g., “SUBJECT USAGE: This heading is not valid for use as a subject.” or “For works issued before/after...”)

17

Why would a cataloger want to use a 675 field? To show subsequent catalogers that a particular source has already been unsuccessfully searched.

We use the 667 field to indicate special information such as when we know two people are different and we want others to know “not to be confused with” or when we are not certain we have two different people “cannot identify with”



## The authority record: indicators

---

- X10
  - First position
    - 1 – Jurisdiction name
    - 2 – Name in direct order
  - Second position
    - blank
- 667-675 fields: no indicators (blanks)

18

Discuss the indicators for the fields

## The authority record: X10 subfields



---

- X10
  - \$a Corporate name
  - \$b Subordinate unit
  - \$n Number/part/section of meeting
  - \$d Date of meeting
  - \$c Location of meeting



## The authority record: terminal punctuation

---

No punctuation at end of fields

Unless :

- It is part of the data (e.g. period after abbreviation)
- It is called for by the rules (e.g. a closing parenthesis in a qualifier)

20

No punctuation at end of field unless part of the data (e.g. period after abbreviation) or called for by the rules (e.g. a closing parenthesis in a qualifier)



## The authority record: heading punctuation

---

- Use a period before a subordinate unit  
110 2\_ \$a University of Virginia. \$b  
Alumni Association
- Use colons between additions for  
meetings  
110 2\_ \$a Southwest Citizens'  
Participation Congress, Inc. \$b Training  
Conference \$d (1992 : \$c Dallas, Tex.)



## Authority control for corporate bodies

The process of authority control for names has the following steps:

- 1) Look at the item in hand and determine if there are any corporate body names on it that will be used in the bibliographic record
- 2) Formulate in your mind how that name might be represented in a heading
- 3) Search an authority file to determine if an authority record has been made for the name
- 4) If you find an authority record for the name
  - add that authority record into your local file
  - use the form of the heading used in the 1XX on the authority record in the bibliographic record

22

1. Look at the item in hand and determine if there are any corporate body names on it that will be used in the bibliographic record
2. Formulate in your mind how that name might be represented in a heading
3. Search an authority file to determine if an authority record has been made for the name
4. If you find an authority record for the name, add that authority record into your local file and use the form of the heading used in the 1XX on the authority record in the bibliographic record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.





## Process of authority control for corporate bodies

---

If you can't find an authority record for the corporate body's name:

- create a new record for the corporate body



## Definitions


- A corporate body is (AACR2 21.1B):
  - an organization or a group of persons
  - identified by a particular name
  - that acts, or may act
- Consider an entity to have a name if
  - the words referring to it are a specific appellation rather than a general description
  - in a script and language using capital letters for proper names, the initial letters of the words referring to it are consistently capitalized
  - in a language using articles, the words are always associated with a definite article

24

### AACR2 21.1B

“A corporate body is an organization or a group of persons ... identified by a particular name and that acts, or may act ... Consider a corporate body to have a name if the words referring to it are a specific appellation rather than a general description. Consider a body to have a name if, in a script and language using capital letters for proper names, the initial letters of the words referring to it are consistently capitalized, and/or if, in a language using articles, the words are always associated with a definite article.”

If you are not sure it is a corporate body see LCRI 241.A



## Establishing a corporate body: name or subject?

---

Since there are split authority files at the Library of Congress you must determine if the corporate body heading you will be establishing is a name or subject.

- Name headings are created using AACR2
- Subject headings are created using LCSH guidelines
- Name in the LC/NACO authority file is borrowed for use as subject

# Establishing a corporate body: name or subject?



**An Alphabetic List of Ambiguous Entities: Name vs. Subject file;  
where to establish what**

(Based on *Subject Cataloging Manual* H 405, February, 2003)

**NOTE: This list is not exhaustive!**

Heading	MARC 21 Tag	Contribute Through		Formulate Using	
		NACO (Group 1)	SACO (Group 2)	AACR2 LCRIs	SCM
Abbeys	110	X		X	
Academies	110	X		X	
Airplanes, Named	110	X		X	
Airports	110	X		X LCR124.1, p.6	
Almshouses	110	X		X	
Amusements parks	151		X		X
Apartment houses	110		X		X
Aquariums, Public	110	X		X	
Arboretums	110	X		X	
Arenas	110		X		X
Armories	110		X		X
Art works, Individual	100,110,130	X		X LCR125.3A	

This is all rather arbitrary and has been decided by LC. However it is a useful standard to follow. List is found on the SACO page in the PCC Web site at: <http://www.loc.gov/catdir/pcc/saco/alpha405.html>



## Establishing a corporate body

---

- Choose for the heading the name by which a corporate body is commonly identified (AACR2 24.1A)
- This could be a full name, initials, or acronyms
- Corporate body names will be entered directly unless later rules say otherwise



## Choosing the name

---

Survey the national utility in which you catalog and reference sources for all resources by or about a corporate body.

From this information:

- Determine the most common form from:
  - Items issued by the body in its language



## Choosing among the choices

---

What if there are a number of choices of name?

Select the form found on items issued by the body in its language

If more than one form appears on items issued by the body – Use the name that appears on chief sources of information (e.g. t.p., cover, etc.) (AACR2 24.2B)



## Choosing among the choices

---

What if there is more than one choice of name on chief sources of information?

Use the name that is presented formally (e.g. biggest type face, bolded words, in the center of the page, etc.) (AACR2 24.2D)





## Choosing among the choices

---

What if there is more than one choice of name that is presented formally?


Use the name that appears most often.  
If no form is most frequent then use a brief form that would make it different from others



## Choosing among the choices

---

- If a name appears in more than one language (AACR2 24.3A1)
  - Use the form in the official language of the body
  - If the body is international or uses more than one language use the English form
  - If you don't know the body's language use most predominant form



---

EXERCISES  
1-3

Choice of name

33



## Choosing what comes first

---

- Basic rule: Corporate body names are entered directly  
110 2\_ \$a Washington State Governor's  
Timber Team
- Sometimes, however, the rules say to enter them subordinately  
110 1\_ \$a Washington (State). \$b  
Governor's Task Force on Children's  
Day Care



## Choosing what comes first

---

- Non-government corporate bodies are entered subordinately under six conditions (AACR2 24.13)
- Government corporate bodies are entered subordinately under eleven conditions (AACR2 24.18)




## Choosing what comes first

---

To determine if it is entered subordinately:

- 1) Determine the type of corporate body (e.g. non-government vs. government)
- 2) Look at the conditions for your type of body
- 3) Determine if one of the conditions applies
  - 1) If one of the conditions does not apply then enter it directly
  - 2) If one of the conditions does apply, enter it subordinately



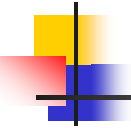
## Choosing what comes first

The six conditions for non-government corporate bodies (AACR2 24.13) are:

- 1) The name contains a term that implies it is part of another  
110 2\_ \$a Central Washington University. \$b Chemistry **Dept.**
- 2) The name contains a word that implies that it is administratively subordinate  
110 2\_ \$a Stanford University. \$b **Committee** for Art

37

- 1) It contains a term that implies it is part of another – some of these terms are Department, Division, Section, Branch. The abbreviation Dept. is not in AACR2 but LC has mandated its use in names of corporate bodies.
  - 2) It contains a work that implies that it is administratively subordinate - some of these terms are Committee, Commission
- These are listed in an inclusive list in the LCRI for 24.13 type 1 and 2



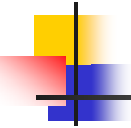
## Choosing what comes first

- 3) The name is general or is only a geographic, chronological or lettered subdivision  
110 2\_ \$a Canadian Jewish Congress.  
\$b **Central Region**
- 4) The name does not convey that it is a corporate body  
110 2\_ \$a Central Washington University. \$b **REM 598**

38

- 3) A name that is general or it is only a geographic, chronological or lettered subdivision
- 4) It does not convey that it is a corporate body





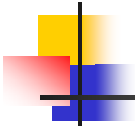
## Choosing what comes first

- 5) The name is of a university faculty, school, college, institute, or laboratory  
110 2\_ \$a Stanford University. \$b **Graduate School of Business**
- 6) The name includes the entire name of its higher or related body  
110 2\_ \$a University of Vermont. \$b Choral Union  
(Name on item: Choral Union of the University of Vermont)

39

5) It is the name of a university faculty, school, college, institute, or laboratory

6) It includes the entire name of its higher or related body



## Choosing what comes first

The eleven conditions for government corporate bodies (AACR2 24.18) are:

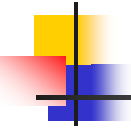
- 1) The name contains a term that implies it is part of another  
110 1 Ohio. \$b **Division** of Energy
- 2) The name contains a word that implies that it is administratively subordinate  
110 1\_ \$a Washington (State). \$b  
**Commission** for Vocational Education

40

A different set of rules applies to government bodies. However, some government bodies follow the rules for non-government bodies: “If a [government]body is subordinate to a higher [government] body that is entered under its own name, formulate the heading for the subordinate body according to 24.12-24.14.” (AACR2. 24.17)

- 1) It contains a term that implies it is part of another – some of these terms are Department, Division, Section Branch
- 2) It contains a work that implies that it is administratively subordinate - some of these terms are Committee Commission

Consult the list in the LCRI for this rule



## Choosing what comes first

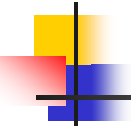
- 3) The name is general or is only a geographic, chronological or lettered subdivision  
110 1 Malaysia. \$b Customs and Excise Dept. \$b **Sabah Region**
- 4) The name does not convey that it is a corporate body  
110 1\_ \$a Canada. \$b **Ocean and Aquatic Affairs**

41

3) A name that is general or it is only a geographic, chronological or lettered subdivision

4) It does not convey that it is a corporate body

Note that there is not a an equivalent for type 6 for non-government bodies (entire name appears as part of the body) for government bodies

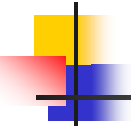


## Choosing what comes first

- 5) The body is a ministry or similar major executive agency  
110 1\_ \$a Italy. \$b Ministero del bilancio e della programmazione economica
- 6) The body is legislative  
110 1\_ \$a Chicago (Ill.). \$b City Council
- 7) The body is a court  
110 1\_ \$a Ontario. \$b High Court of Justice

42

- 5) A ministry or similar major executive agency
- 6) Legislatures
- 7) Courts



## Choosing what comes first

- 8) The body is an armed force  
110 1\_ \$a Germany. \$b Heer
- 9) The heading stands for a head of state  
110 1\_ \$a Utah. \$b Governor
- 10) The body is an embassy or consulate  
110 1\_ \$a Canada. \$b Embassy (France)
- 11) The body is a delegation to an international or intergovernmental body  
110 1\_ \$a Poland. \$b Delegation to the United Nations


43

8) Armed forces

9) Head of state or government

10) Embassy or consulate

11) Delegation to an international or inter-governmental body



## Choosing what comes first

- When a heading is entered subordinately the larger body that the heading is subordinate to must be established

110 2\_ \$a University of Virginia. \$b Dept. of Law

110 2\_ \$a University of Virginia

↓

110 2\_ \$a Dallas (Tex.). \$b Community Access Task Force

151 \_\_ \$a Dallas (Tex.)

44

All jurisdictional and institutional qualifiers used must also have an established authority record.



## Choosing what comes first: references

---

Make references from all other possible forms including:

- A form entered directly that is subordinate to a higher body

110 2\_ \$a Frank Erwin Center

410 2\_ \$a University of Texas at Austin.  
\$b Frank Erwin Center

45

Once you have chosen the heading entry element make references to all other possible forms entered opposite to what you decided; including a form entered directly that is subordinate to a higher body



## Choosing what comes first: references

---

- A form entered subordinately but where the name appears without the name of the higher body on the chief source of the body's own publications

110 2\_ \$a University of California, Berkeley.


\$b Task Force on Black Student Persistence

410 2\_ \$a Task Force on Black Student  
Persistence (University of California, Berkeley)

46

Once you have chosen the heading entry element, make references to all other possible forms entered opposite to what you decided. Including a form entered subordinately but where the name appears without the name of the higher body on the chief source of the bodies own publications





---

EXERCISES  
4-7

Choice of entry element

47



## Additions to names: qualifiers

---

Types of qualifiers used for corporate bodies include:

- Names of countries, states, provinces, local place names, etc.  
110 2\_ \$a Christ Church (Boston, Mass.)
- Name of an associated institution  
110 2\_ \$a Newman Club (Brooklyn College)



## Additions to names: qualifiers

---

When a place or institution is insufficient as a qualifier it may be necessary to further qualify a heading chronologically:

110 2\_ \$a Scientific Society of San Antonio  
(1892-1894)

110 2\_ \$a Scientific Society of San Antonio  
(1904- )

110 2\_ \$a Washington Senators (Baseball team  
: 1886-1960)



## Additions to names: qualifiers

---


If all the other qualifiers are insufficient, add any appropriate word in English:

110 2\_ \$a All State Legal (Firm)

110 2\_ \$a Watertown Red & Black  
(Football team)

110 2\_ \$a Cows in the Graveyard  
(Musical group)

50



## Additions to names: qualifiers

- All jurisdictional and institutional qualifiers used must also have an established authority record

110 2\_ \$a Christ Church (Alpine, Tenn.)  
151 \_\_ \$a Alpine (Tenn.) ←

110 2\_ \$a Middle Eastern Texts Initiative  
(Brigham Young University) ↘  
110 2\_ \$a Brigham Young University

51

All jurisdictional and institutional qualifiers used must also have an established authority record. Note that the qualifier corresponds to the appropriate heading. Also note that for place qualifiers we take out the parentheses and add a comma between elements.



## Additions to names: qualifiers

---

All qualifiers come after the heading set in parentheses

110 2\_ \$a Newman Club (Brooklyn College)

110 2\_ \$a Christ Church (Boston, Mass.)

110 2\_ \$a All State Legal (Firm)



## Additions to names: qualifiers

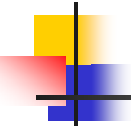
---

When two qualifiers are necessary they are separated in the parentheses by a colon:

110 2\_ \$a Santo Domingo (Church : Guatemala, Guatemala)

110 2\_ \$a Greens (Restaurant : Fort Mason, Calif.)

110 2\_ \$a Washington Senators (Baseball team : 1886-1960)



## Additions to names: qualifiers

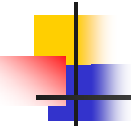
Only add a qualifier to a corporate body when:

- Name doesn't convey the idea of a corporate body (AACR2 24.4B)  
110 2\_ \$a Bounty **(Ship)**  
110 2\_ \$a Red Hot Chili Peppers  
**(Musical Group)**
- Name conflicts with other names (AACR2 24.4C)  
110 2\_ Arts Centre **(Darlington, England)**  
110 2\_ Arts Centre **(Melbourne, Vic.)**

54

Unlike personal names where you add qualifiers if you have them, qualifiers are only added to corporate bodies under certain conditions: 1) if the name does not convey the idea of a corporate body 2) if the name conflicts with other names





## Additions to names: qualifiers

- When a government body is entered directly add the name of the government as a qualifier unless it is already present in the name or unless it is an institution (LCRI 24.4C)  
110 2\_ \$a Dundee Harbour Trust (Great Britain)

***BUT NOT***

- 110 2\_ \$a Baltimore Redevelopment Corporation
- 110 2\_ \$a Library of Congress

55


An institution is defined in a list given in the LCRI (nongovernment body or a government institution (school, library, laboratory, hospital, archive, museum, prison, etc.))



## Additions to names: qualifiers

---

- Add a qualifier when it would assist in helping understand the nature or purpose of the body (LCRI 24.4C)  
110 2\_ \$a All State Legal (Firm)  
110 2\_ \$a Watertown Red & Black (Football team)



---

EXERCISES  
8-10  
Qualifiers

57



## Omissions from names

---

With corporate names there are some terms that are omitted from headings:

- Initial articles

**The** Library Association

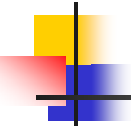
110 2\_ \$a Library Association

- Phrases indicating an honor or order awarded to the body

Moskovskii khudozhestvennyi **ordena**

**Lenina** akademicheskii teatr

110 2\_ \$a Moskovskii khudozhestvennyi akademicheskii teatr



## Omissions from names

- Terms indicating incorporation (Inc., Ltd., E.V., VEB, S.a.)  
American Ethnological Society, Inc.  
110 2\_ \$a American Ethnological Society
- Terms of incorporation can be kept when
  - They are an integral part of the name (e.g. Films Incorporated)
  - They are needed to make it clear that it's a corporate body (e.g. Limited, Inc.)

59

The word “company” or its equivalent in other languages is not considered a term of incorporation and so should not be omitted.



## Omissions from names

---

- When corporate bodies have been entered subordinately and there are layers of administrative hierarchy we often omit hierarchal layers in the heading to make headings less complicated and assist in computer filing
- Go backwards up the hierarchy until you find the first name that does not fall under one of the types of headings that are entered subordinately
- Omit intervening elements (with one exception)

60



## Omissions from names

---

For example:

American Library Association : Does not fall under a type (and it is the highest body)

Resources and Technical Services Division : AACR2 22.13 Type 1

Cataloging and Classification Section : AACR2 22.13 Type 1

So omit middle level, and heading is:

110 2\_ \$a American Library Association. \$b  
Cataloging and Classification Section

## Omissions from names



---

For example:

American Library Association : Does not fall under a type

Public Library Association : Does not fall under a type

Audiovisual Committee : AACR2 22.13 Type 2

So no levels omitted, and heading is:

110 2\_ \$a Public Library Association. \$b  
Audiovisual Committee





## Omissions from names

- Layers of administrative hierarchy should be left in when the name of the body has been or is likely to be used by another body within the same administrative hierarchy

110 1\_ \$a New York (State). \$b Dept. of Environmental Conservation. **\$b Office of Human Resources Management**

110 1\_ \$a New York (State). \$b Dept. of Efficiency and Economy. **\$b Office of Human Resources Management**



## Omissions from names

- When omitting administrative hierarchy always include a reference with the hierarchy  
110 2\_ \$a American Library Association. \$b  
Cataloging and Classification Section  
410 2\_ \$a American Library Association. \$b  
Resources and Technical Services  
Division. \$b Cataloging and Classification  
Section



## References

---

Formulate all references (4XX and 5XX) as if you were formulating a heading. All rules for choosing what comes first and adding qualifiers apply to references.

## References



Make see references (4XX) from all alternative forms documented in 670s

110 2\_ \$a U.S. Playing Card Co.

410 2\_ \$a **United States Playing Card Company**

670 \_\_ \$a World War II prisoners of war escape map of ... a deck of Bicycle Playing Cards, 1990: \$b box (The U.S. Playing Card Co., Cincinnati) letter from co. (The **United States Playing Card Company**)

66

Make see references (4XX) from all alternate forms of a name documented in 670's  
Alternative form



## References

---

Additionally make see references  
(4XX) from:

- The surname portion of a corporate body name that includes forenames or initials (LCRI 26.3A)

110 2\_ \$a Frank Erwin Center

410 2\_ \$a Erwin Center



## References

---

Additionally make see references (4XX) from:

- Spelled out abbreviations (LCRI 26.3A6)

110 2\_ \$a Breilkopf & Härtel.

410 2\_ \$a Breilkopf und Härtel

110 2\_ \$a St. Paul's Cathedral (Buffalo, N.Y.)

410 2\_ \$a Saint Paul's Cathedral (Buffalo, N.Y.)



## References

---

Additionally make see references (4XX) from:

- All forms of initials found, including variations in the punctuation (LCRI 26.3B-C)
- Please note:
  - When the only form found includes periods, make a reference from the form without periods
  - When the only form found is without periods do not make a reference from the form with periods



## References

---

Additionally for **government bodies entered subordinatedly** (LCRI 26.3) make see references (4XX):

- From the generic term that indicates the type of agency when this term is preceded by a word or words that may not be recognized as part of the name

110 1\_ \$a Michigan. \$b State Dept. of Education

410 1\_ \$a Michigan. \$b Dept. of Education, State



## References

Additionally for **government bodies entered subordinatedly** (LCRI 26.3) make see references (4XX):

- From the first key word in the name

110 1\_ \$a Washington (State). \$b State Council on Aging

410 1\_ \$a Washington (State). \$b **Council on Aging**, State

410 1\_ \$a Washington (State). \$b **Aging**, State Council on

## References

Additionally for **government bodies entered directly** (LCRI 26.3) make see references (4XX):

- From the form as though it had been entered subordinately (LCRI 26.3A7)  
110 2\_ \$a U.S. Fish and Wildlife Service  
410 1\_ \$a United States. \$b Fish and Wildlife Service

## References



Make see also references (5XX) to link name changes over time:

The Screen Writers' Guild of the Authors' League of America was organized in 1920. In 1954 the Screen Writers' Guild merged with the Radio Writers Guild to form the Writers Guild of America, West.

110 2\_ \$a Radio Writers Guild

510 2\_ \$a Screen Writers' Guild

510 2\_ \$a Writers Guild of America, West

## References



With 5XX references use the \$w to indicate clear progression over time from one name to another

110 2\_ \$a American Material Handling Society

510 2\_ \$w b \$a **International Material Management Society**

(\$w b = later form)

110 2\_ \$a International Material Management Society

510 2\_ \$w a \$a **American Material Handling Society**

(\$w a = earlier form)

## References



5XX references must be justified in the 6XX fields. Documentation can be found in either a 670 field or in a 675 field

110 1\_ \$a Oregon. \$b Dept. of Human Resources

510 1\_ \$w b \$a Oregon. \$b Dept. of Human Services

670 \_\_ \$a Cancer in Oregon, 1998: \$b t.p. (Health Division, Oregon Department of Human Resources)

675 \_\_ \$a Lead-safe remodeling for do-it-yourselfers and property owners, 1999: back cover (Oregon Health Division, Department of Human Services)



## References

---


5XX references should be made on the personal name records for governmental officials. A reciprocal heading should be made to the the record for the corporate body record for the office if one exists.

100 1\_ \$a Reagan, Ronald

510 1\_ \$a United States. \$b President  
(1981-1989 : Reagan)

110 1\_ \$a United States. \$b President  
(1981-1989 : Reagan)

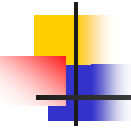
76



## Special Situations

- Conferences, Congresses, Meetings, Exhibitions, Fairs, Festivals (AACR2 24.7-24.8) (Covered in module 7)
- Jurisdictional geographic names (AACR2 Chapter 23) (Covered in module 8)
- Religious bodies and officials (AACR2 24.27, 24.10)

77



---

END OF MODULE 6

78

Scope: Personal names



## Exercises for Module 6: Corporate bodies

### Exercise 1: Choice of name

The title page of the book you're cataloging reads:

Facts and figures on the Italian Stock Exchange Council  
Italian Stock Exchange Council  
Economic Publications, New York  
1995

You wish to create a heading for 'Italian Stock Exchange Council.'

You look in a national database and also find these items:

Compendio di economia politica / Consiglio di borsa  
Rapporto Consiglio di borsa  
Studi di storia economica / Consiglio di borsa  
Foreign trade and economic growth in Italy / Italian Stock  
Exchange Council

The language of the body is Italian.

**What form of heading will you chose for the Italian Stock Exchange Council? (Do not use MARC coding yet.)**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 2: Choice of name

The title page of the book you're cataloging reads:

Private financing for the power sector  
U.S. Export Council for Renewable Energy  
Arlington, Virginia  
2005

The cover says: US/ECRE

Page 10 says: United States Export Council for Renewable Energy

There is no additional information from national database or other reference sources.

**What form of heading will you chose for the export council? (Do not use MARC coding yet.)**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 3: Choice of name

The title page of the book you're cataloging reads:

# **LLANO ISD**

Report for the Texas School Performance Review  
Llano Independent School District  
2003

On p. 2 it says: LISD

There is no additional information from national database or other reference sources.

**What form of heading will you chose for the district? (Do not use MARC coding yet.)**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*





*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



## Exercise 9: Qualifiers

The title page of the book you're cataloging reads:

Grand Hotel, Mackinac Island  
Unicorn Press, Lake Superior State College  
1987

Page 30 says: The Grand Hotel opened in early July, 1887

The Grand Hotel, Mackinac Island website gives an address of: 1 Grand Ave., Mackinac Island, MI.

The authority file has the following heading:

Mackinac Island, Mich.

You also notice an authority record for: Grand Hotel (Florence, Italy)

**Create an authority record for the Hotel by providing the 1XX and any necessary 4XX and 670 fields**

---

---

---

---

---

---

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



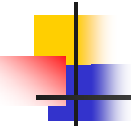
*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



---

# **BASIC CREATION OF NAME AND TITLE AUTHORITIES**

## **Module 7: Meeting Names**



## Scope

- Conferences, meetings, etc.
  - Athletic contests
  - Scientific expeditions
  - Races
- AACR2 chapter 24: selected rules for meeting names
- LCRI for chapter 24; LCRI 21.1B1
- MARC 21: 111 & 110

2

Includes conferences, meetings, expeditions, etc. LCRI 21.1B1 directs us to include some 'ambiguous' entities like:

Athletic contests=Olympic Games (28th : 2004 : Athens, Greece)

Scientific expeditions=United States Naval Expedition to Japan (1852-1854)

Races= Tour de France (Bicycle race) (2003)



## Meeting name authority records

---

- 1XX fields: authorized form
- 4XX fields: references
- 5XX fields: related authorized forms (will have own authority records)
- 6XX fields: notes

3

Meeting name authority records consist of the following broad groups of tags

1XX fields: authorized form

4XX fields: references

5XX fields: related authorized forms (will have own authority records)

6XX fields: notes



## Sample authority record


---

**111 2\_ \$a IEEE International Conference on Consumer and Industrial Electronics and Applications \$d (1984 : \$c Singapore)**  
**411 2\_ \$a International Conference on Consumer and Industrial Electronics and Applications, IEEE**  
**411 2\_ \$a Conference on Consumer and Industrial Electronics and Applications, IEEE International**  
**670\_\_ \$a nuc86-109429: Its Tencon '84, 1984 \$b (hdg. on AzU rept.: IEEE International Conference on Consumer and Industrial Electronics and Applications (1984 : Singapore); usage: IEEE International Conference on Consumer and Industrial Electronics and Applications, April 17-19, 1984, Singapore)**

4



## Sample authority record



---

**110 2\_ \$a American Library Association. \$b  
Conference**

**411 2\_ \$a Conference of Librarians (American Library  
Association)**


**410 2\_ \$a American Library Association. \$b  
Conference of Librarians**

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

**670 \_\_ \$a Its Annual Conference proceedings of the  
American Library Association, July 8-14, 1951, June  
29-July 5, 1952: \$b t.p. (Annual Conference,  
American Library Association)**

**675 \_\_ \$a American Library Association. Meeting.  
Papers and proceedings ... May 25-27, 1914: t.p.  
(Annual Meeting of the American Library  
Association)**

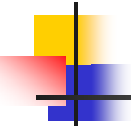
5



## Established heading

- Use 1XX field
  - Meeting name: 111
  - Corporate name: 110 with subfield \$b
- Each record has one and only one 1XX field

6




## Relationship of authority to bibliographic: main entry

- Authority Record  
**111 2\_ \$a International Conference on Education and Change \$d (1995 : \$c University of South Africa)**
- Bibliographic Record  
**111 2\_ \$a International Conference on Education and Change \$d (1995 : \$c University of South Africa)**  
245 10 \$a International Conference on Education and Change : \$b a selection of papers of a conference ...

7

Relationship between authority heading and bibliographic record



## Relationship of authority to bibliographic: added entry

- Authority Record  
**111 2\_ \$a Olympic Games \$n (26th : \$d 1996 : \$c Atlanta, Ga.)**
- Bibliographic Record  
245 14 The games of the XXVI Olympiad : closing ceremony program = Les Jeux de la XXVI Olympiade : programme de la ceremonie de cloture  
260 [Atlanta, GA : Atlanta Committee for the Olympic Games, 1996]  
**711 2\_ Olympic Games \$n (26th : \$d 1996 : \$c Atlanta, Ga.)**

8

Relationship between authority heading and bibliographic record. As a side issue, under current NACO practice, fully worked out authority records (including qualifiers) may not exist for individual instances of ongoing meetings or events such as the Olympics. Whether you decide to have such records in your own catalog depends on your own library's policies.



## Relationship of authority to bibliographic: subject

---

- Authority Record  
**111 2\_ \$a Symposium on a European Armaments Policy \$d (1979 : \$c Brussels, Belgium)**
- Bibliographic Record  
245 00 \$a Symposium on a European Armaments Policy, Brussels, 15th, 16th, and 17th October 1979 : \$b resolution 62 / \$c adopted by the Presidential Committee on 18th January 1979.  
**611 20 \$a Symposium on a European Armaments Policy \$d (1979 : \$c Brussels, Belgium)**

9

Relationship between authority heading and bibliographic record



## The authority record: see references

---

- Use 4XX field  
Meeting name: 411 (or 410 with subfield \$b)
- You may have as many 4XX fields as necessary
- The 4XX forms are not authorized forms, so don't use them in bibliographic records

10

Records may have as many 4XX fields as necessary to cover all variants

The 4XX forms are not headings. They should not be used in bibliographic records



## The authority record: see references

---

- See reference in authority record  
111 2\_ \$a Industrial and Commercial  
Power Systems Conference  
411 2\_ \$a Conference on Industrial and  
Commercial Power Systems
- Bibliographic record should *not* have:  
111 2\_ \$a Conference on Industrial and  
Commercial Power Systems

11

Note here that the bibliographic record should NOT correspond to the 4XX reference on the authority record.



## The authority record: see references

---

- See reference in authority record  
111 2\_ \$a Industrial and Commercial Power Systems Conference  
411 2\_ \$a Conference on Industrial and Commercial Power Systems
- May display in OPAC as:  
Conference on Industrial and Commercial Power Systems  
*search under*  
Industrial and Commercial Power Systems Conference

12

See references are shown in a library's OPAC to guide the user to the right place in the catalog. Here is an example of how a cross reference might display.





## The authority record: see also references

---

- Use for *authorized* headings for related entities

- Use 5XX fields

Meeting name: 511

Corporate name: 510 (e.g. meeting entered subordinatedly to a corporate body name)

13

Used for *authorized* headings for related entities. Records may have as many 5XX fields as necessary .

The 5XX forms are headings.



## The authority record: see also references

In most cases a 5XX field in an authority record must have a reciprocal authority record

111 2\_ \$a Conference on Instructional Computing Applications

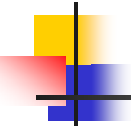
511 2\_ \$a Conference on Academic Computing Applications

111 2\_ \$a Conference on Academic Computing Applications

511 2\_ \$a Conference on Instructional Computing Applications

14

Since 5XX's are headings, in most cases a 5XX must have a reciprocal authority record.

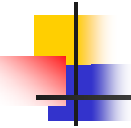


## The authority record: notes

- 6XX fields
- 670 field: for works cited
- No rules for form; general pattern:  
**670 \_\_ \$a Title proper, date of publication: \$b location of data in the source (data)**

15

The 6XX fields are for notes in the authority record. The most common note is the 670 where we record works where information about the meeting was found. While there is no rule for the form of the 670 the general pattern is shown.

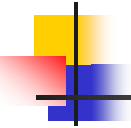


## The authority record: notes

- The authority record should contain 670s that
  - Justify all access points
  - Justify all variant forms that are not justified by the rules in AACR2
  - Justify all parts of the access points and variants including qualifiers

16

There should be 670s in the authority record that justify all access points, all variants (references) that are not justified by the rules in AACR2, and all parts of the access points including qualifiers as necessary



## The authority record: notes


**111 2\_ \$a Tour de France (Bicycle race)**  
**411 2\_ \$a Grande boucle (Bicycle race)**  
**670 \_\_ \$a La France du Tour, c1997: \$b  
t.p. (Tour de France)**  
**670 \_\_ \$a Les France du tour, 2003: \$b  
t.p. (Grande boucle)**  
**670 \_\_ \$a Tour de France WWW Home  
page, Nov. 21, 2003: \$b (Tour de  
France; "Grande boucle")**

17

The authority record should contain 670 fields citing works justifying all access points to the record, including the heading and all variant forms

Trainers:

In case anyone asks the title of the second 670 really begins with "Les"



## The authority record: notes

- Other common note fields:
  - 675: “Source data not found”—used to cite a source in which no data about the heading or references was found
  - 667: “Nonpublic general note”—used to communicate information about the heading to other catalogers (e.g., “Not to be confused with \_\_\_\_” or “Cannot identify with: \_\_\_\_\_”)

18

Another common note field is the 675

Why would a cataloger want to use a 675 field? To show subsequent catalogers that a particular source has already been unsuccessfully searched.

Another note field that is common is the 667

We use the 667 field to indicate special information such as when we know two people are different and we want others to know “not to be confused with” or when we are not certain we have two different people “cannot identify with”



## The authority record: indicators

---

- X11, X10
  - First position
    - 1 – Jurisdiction name (used only with X10)
    - 2 – Name in direct order
  - Second position
    - blank
- 667-675 fields: no indicators (blanks)

19

Discuss the indicators for the fields. Note that the first indicator 1 for 111 tags is not used under AACR2, although it is valid in MARC21. And that most meeting names will be tagged X11. However, there are cases when meeting names will be tagged X10.

## The authority record: X11, X10 subfields



---

- X11, X10
  - \$a Meeting name
  - \$b Subordinate unit
  - \$n Number/part/section of meeting
  - \$d Date of meeting
  - \$c Location of meeting





## The authority record: terminal punctuation

---

No punctuation at end of fields

Unless :

- It is part of the data (e.g. period after abbreviation)
- It is called for by the rules (e.g. a closing parenthesis in a qualifier)

21

No punctuation at end of field unless part of the data (e.g. period after abbreviation) or called for by the rules (e.g. a closing parenthesis in a qualifier)



## The authority record: heading punctuation

- If they are included retain quotation marks
- Do not include spaces between initials to regularize them
- Place one space before the year to regularize it

**In source: CDS2000**

**Heading: 111 2\_ \$a CDS 2000 ...**

22

### LCRI 24.1

1. Quotation marks: If the form includes them, retain them
2. Initials: Regularize, do not put spaces between initials
7. Year in the conference name: Regularize the spacing by placing one space before the year, regardless of the configuration of the year

Source: CDS2000

Heading: 111 2\_ CDS 2000 ...

Again, under current NACO practice, this authority record would not exist in the LC/NACO Authority File; however, creating such an authority record in a library's own authority file, depending on the library's policies, would not be incorrect practice.



## The authority record: heading punctuation

---

- Use colons between additions  
111 2\_ \$a International Conference on  
3-D Digital Imaging and Modeling \$n  
**(2nd : \$d 1999 : \$c Ottawa, Ont.)**

23

Note that it is space : space for the punctuation



## Process of authority control for meeting names

The process of authority control for names has the following steps:

1. Look at the item in hand and determine if there are any meeting names on it that will be used in the bibliographic record
2. Formulate in your mind how that name might be represented in a heading on a record in the bibliographic record

24

The process of authority control for names has the following steps:

1. Look at the item in hand and determine if there are any meeting names on it that will be used in the bibliographic record
2. Formulate in your mind how that name might be represented in a heading
3. Search an authority file to determine if an authority record has been made for the name
4. If you find an authority record for the name; add that authority record into your local file and use the form of the heading used in the 1XX on the authority record in the bibliographic record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.



## Process of authority control for meeting names

Steps (cont.):

3. Search an authority file to determine if an authority record has been made for the name
4. If you find an authority record for the name
  - add that authority record into your local file
  - use the form of the heading used in the 1XX on the authority record in the bibliographic record

25

The process of authority control for names has the following steps:

1. Look at the item in hand and determine if there are any meeting names on it that will be used in the bibliographic record
2. Formulate in your mind how that name might be represented in a heading
3. Search an authority file to determine if an authority record has been made for the name
4. If you find an authority record for the name; add that authority record into your local file and use the form of the heading used in the 1XX on the authority record in the bibliographic record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.



## Process of authority control for meeting names

---

If you can't find an authority record for the meeting name:

- Create a new record for the meeting name

26

Step 5 of the process of authority control:

If you can't find an authority record then you need to create a new record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.

## Definitions

- A meeting is considered a corporate body under AACR2
- A corporate body is (AACR2 21.1B):
  - an organization or a group of persons
  - identified by a particular name
  - that acts, or may act
- Consider an entity to have a name if
  - the words referring to it are a specific appellation rather than a general description
  - in a script and language using capital letters for proper names, the initial letters of the words referring to it are consistently capitalized
  - in a language using articles, the words are always associated with a definite article

27

A meeting is considered a corporate body.

As a reminder:

### AACR2 21.1B

“A corporate body is an organization or a group of persons ... identified by a particular name and that acts, or may act ... Consider a corporate body to have a name if the words referring to it are a specific appellation rather than a general description. Consider a body to have a name if, in a script and language using capital letters for proper names, the initial letters of the words referring to it are consistently capitalized, and/or if, in a language using articles, the words are always associated with a definite article.”

Much hinges on the determination of whether a meeting is named or not.



## Establishing a meeting name

---

First step is to determine if the meeting has a name (LCRI 21.1.B1)

- Pay attention to capitalization & definite articles
- Phrase must normally include a word that connotes a meeting: “symposium,” “conference,” etc.

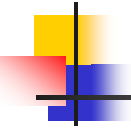
28

RI 21.1.B1 States: When determining whether a conference has a name, cases arise that exhibit conflicting evidence insofar as two of the criteria in the definition of a corporate body are concerned: capitalization and the definite article. When the phrase is in a language that normally capitalizes each word of a name, even in running text, consider a capitalized phrase a name even if it is preceded by an indefinite article.

Phrase must include a word that connotes a meeting: “symposium,” “conference,” etc.

Note: Some notable sequential conferences that lack such a term are exceptionally considered to be named, e.g., Darmstädter Gespräch. In addition, phrases that combine acronyms or initialisms with the abbreviated or full form of the year are also considered to be named. See the next slide for another example





## Establishing a meeting name

- Phrases that combine acronyms or initialisms with the abbreviated or full form of the year are also considered to be named


**111 2\_ \$a TOOLS 2003 ...**

**111 2\_ \$a GAGETECH '92 ...**

**111 2\_ \$a MILCOM '90 ...**

29

Phrases that combine acronyms or initialisms with the abbreviated or full form of the year are also considered to be named.



## Establishing a meeting name: name or subject?

- LCRI 24.7; SCM H1592
  - Before August 1996, events were established as either name or subject headings, tagged X11 or X50
  - Now they are all established as name headings, tagged X11
  - Old subject headings (X50's) are being converted as needed

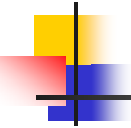
30

### LCRI 24.7; SCM H1592

Before August 1996, **events** were established as either name or subject headings, tagged x11 or x50.

Now they are established as name headings, tagged x11. Old subject headings (x50's) are being converted as needed.

The definition of 'event' is key here. Natural disasters, battles, etc. are still established as subject headings. Even though the RI says "all" be sure to double-check.

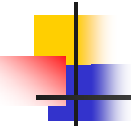


## Choosing the name

- Choose for the heading the name by which a meeting is commonly identified (AACR2 24.1A)
- This could be a full name and include initials or acronyms
- If both there is a specific and general name, choose the specific
- Meeting names will be entered directly unless later rules say otherwise

31

The source for a meeting name is the item itself. Formerly it had to come from the title page (or chief source of information) but now it can come from anywhere in the item.



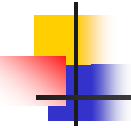
## Choosing among the choices

What if there are a number of choices of name?

If the item is issued by the body – Use the name that appears on the **chief source** of information (e.g. t.p., cover, etc.) (AACR2 24.2B)

32

Chief Source defined = 1.0A1; Monograph = t.p. (2.0B1) ; CD audio = disc and label (6.0B1), etc.



## Choosing among the choices

What if there is more than one choice of name on the chief source of information?

Use the name that is **presented formally** (e.g. biggest type face, bolded words, in the center of the page, etc.) (AACR2 24.2D)

33

No definition in AACR2 or LCRIs of “presented formally”; in general, the practice is that the information is prominent in the piece, not nested within a lot of other text or implied in from other text

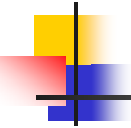


## Choosing among the choices

---

What if there is more than one choice of name that is presented formally?

Use the name that appears **most often**. If no form is most frequent then use a brief form that would make it different from others (AACR2 24.2D)



## Choosing among the choices

- If a name appears in more than one language (AACR2 24.3A1)
  - Use the form in the official language of the meeting
  - If the meeting is international or uses more than one language use the English form
  - If you don't know the meeting language use most predominant one

35

All these selection criteria are meant to enable you to create a heading in the form that that another cataloger would most likely create it



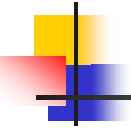
## Choosing what comes first

To determine if a heading is entered subordately:

- 1) Determine the type of meeting name (e.g. non-government vs. government)
- 2) Look at the conditions for your type of meeting name
- 3) Determine if one of the conditions applies
  - If none of the conditions applies then enter it directly
  - If one of the conditions does apply then enter it subordately

36





## Choosing what comes first

- Meetings sponsored by non-government bodies are entered subordinately under six conditions (AACR2 24.13)
- Meetings sponsored by government bodies are entered subordinately under eleven conditions (AACR2 24.18)

37

Especially the first 3 types of each



## Choosing what comes first

---

Meeting names entered subordinately most often fall under:


- Type 3 (AACR2 24.13 & 24.18): The name is general or is only a geographic, chronological or lettered subdivision

For example:

Meeting / American Library Association

110 2\_ \$a American Library Association. \$b

Meeting



## Choosing what comes first

Or:

- Type 6 for non-government bodies (AACR2 24.13): It includes the entire name of its higher or related body

For example:

Annual Conference of the American Academy of Advertising

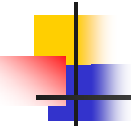
110 2\_ \$a American Academy of Advertising. \$b Conference \$n (22nd : \$d 1980 : \$c University of Missouri-Columbia)

39

24.13 Subordinate bodies Type 6 Note that there is no such type for government bodies.

### ***Named Meetings***

If a named meeting (cf. LCRI 21.1B1) contains the entire name of a corporate body (as defined above), enter the meeting subordinately to the heading for the body if the name contains, in addition to the name of the body, no more than a generic term for the meeting or not more than a generic term plus one or more of the following elements: the venue of the meeting; number, date, or other sequencing element.



## Additions to names: qualifiers

Add to the meeting name heading:

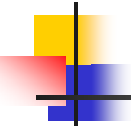
- Number - \$n
- Date - \$d
- Location - \$c

40

The Number (2<sup>nd</sup>, 9<sup>th</sup>, etc.)

The Date: RI 24.7B If the name includes an abbreviated form of the year and is followed by additions, include the year as one of the additions

The location: Prefer institution name over local place name but do not use the name of a hotel, conference center, etc. unless the conference was held outside of a local place



## Additions to names: qualifiers

- In NACO/LC practice, when a conference is ongoing, the authority record heading does not include the number, date and place qualifiers
- The number, date and place are included on the heading in the bibliographic record
- This 'ongoing' practice allows libraries to use this authority record for serial or monograph treatment of the titles

41

In NACO/LC practice, when a conference is ongoing, the authority record heading does not include the date and place qualifiers. Occasionally a conference will say '1<sup>st</sup>' but usually this is only known when the '2<sup>nd</sup>' meeting proceedings are published. Each library is free to decide for themselves how to deal with ongoing meetings.

The original authority record heading may change to accommodate subsequent conferences or serial practice.

This 'ongoing' practice allows libraries to use this authority record for serial or monograph treatment of the titles.

## Additions to names: qualifiers



- Authority record

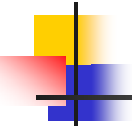
**111 2\_ \$a Conference on  
Computation and Neural Systems**

Bibliographic record

**711 2\_ \$a Conference on  
Computation and Neural Systems \$n  
(4th : \$d 1995 : \$c Monterey, Calif.)**

42

Relationship between authority heading and bibliographic record



## Additions to names: number qualifiers

- Headings that include acronyms or initialisms do not usually include number

**In chief source:**

**Second International Symposium,  
ISHPC'99, Kyoto, Japan**

**111 2\_ \$a ISHPC '99 \$d (1999 : \$c  
Kyoto, Japan)**

43

Ask, is this the 9<sup>th</sup>, etc. of this conference?

Usually headings that include acronyms or initialisms do not also include a 'number' designation

Example: ISHPC '99 \$d (1999 : \$c Kyoto, Japan) *for the Second International Symposium, ISHPC'99, Kyoto, Japan,*

This is also NACO/LC practice, not required by AACR2

## Additions to names: location qualifiers

- Use the established form for places

**111 2\_ \$a Olympic Games \$n (26th : \$d  
1996 : \$c Atlanta, Ga.)**

- Use the name found on the piece for institutions

**111 2\_ \$a NATO International Conference  
on Cognitive Psychology and Instruction \$d  
(1977 : \$c Free University of  
Amsterdam)**

**Not ... \$c Vrije Universiteit te Amsterdam**

44

If the place is a geographic location, use the authority form of the heading

Example: Olympic Games (26th : 1996 : Atlanta, Ga.)

If the place is an institution (university, etc.) use the form as found on the piece RI 24.7B

Example: NATO International Conference on Cognitive Psychology and Instruction (1977 : [Free University of Amsterdam](#))

Not [Vrije Universiteit te Amsterdam](#) [n 80-7962]





## Omissions from names

---

- **Omit number, frequency, year from basic heading**

**111 2\_ \$a Summer Seminar on  
Academic Administration**

*Not*

**111 2\_ \$a 12th Annual Summer  
Seminar on Academic Administration**

45

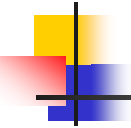
Omit indications of number, frequency or year from the heading



## References

---

Formulate all references (4XX and 5XX) as if you were formulating a heading. All rules for entry elements and adding qualifiers apply to references.



## References

Inverted reference are allowed only if (LCRI 26.3A3):

- The heading begins with name of the sponsor
- The words for the conference are not the first words

We usually do not add qualifiers to inverted references

47

Formed as though chosen for the heading

Inverted references are allowed only when the heading begins with the name of the sponsor and/or when the word for conference is not the first element of the heading.  
RI 26.3A3

Additions (Qualifiers) are not usually added to the references

Note that inverted references are NOT made for subject words in the conference name



## References

---

**111 2\_ \$a IBM Academic  
Information Systems Seminar for  
Deans of Law Schools \$d (1985 :  
\$c University of Minnesota Law  
School)**

**411 2\_ \$a Seminar for Deans of  
Law Schools, IBM Academic  
Information Systems**



## References

---

Make see also references (5XX) to link name changes over time:

- With 5XX references use the \$w to indicate clear progression over time from one name to another
- 5XX references must be justified in the 6XX fields. Documentation can be found in either a 670 field or in a 675 field



## References

---

111 2\_ \$a International Conference on AC and DC Power Transmission

411 2\_ \$a Conference on AC and DC Power Transmission, International

**511 2\_ \$w b \$a International Conference on AC-DC Power Transmission**

670 \_\_ \$a Its (4th : 1985 : London, England). Fourth International Conference on AC and DC Power Transmission, 23-26 Sept. 1985, London, c1985.

675 \_\_ \$a Seventh International Conference on AC-DC Power Transmission, c2001: t.p. (28-30 November 2001, London)

50

\$w b means that it is a later heading



## References

---

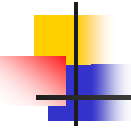
- Usually no 5XX for ‘initials’ headings

111 2\_ \$a ISHPC '99 \$d (1999 : \$c  
Kyoto, Japan)

111 2\_ \$a ISHPC 2002 \$d (2002 : \$c  
Kansai Science City, Japan)

51

It is perfectly acceptable to make 511 references to link headings of this type. However, most catalogers don't bother.



---


EXERCISES

1-4

52

Hold on this slide until ready to show the answers.





---

END OF MODULE 7

53

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercises for Module 7: Meeting names

### Exercise 1: Establish a new heading, and use it

Given this information in a bibliographic record:

245 14 \$a The proceedings of the Conference on Biblical Interpretation, 1988 ...

500 \_\_ \$a Papers presented at the conference, held April 25-27, 1988, in Ridgecrest, N.C. and sponsored by the six seminaries of the Southern Baptist Convention.

**What are the 1XX and any 4XX fields in the authority record?**

---

---

---

---

---

**What is the heading in the bibliographic record?**

---

---

---

---

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 2: Establish a new heading, and use it

Given this information in a bibliographic record:

245 10 \$a Proceedings of the ... annual meeting of the American Association of Collegiate Schools of Business.

**What are the 1XX and any 4XX fields in the authority record?**

---

---

---

---

---

**What is the heading in the bibliographic record?**

---

---

---

---

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

### Exercise 3: Establish a new heading, and use it

Given this information in a bibliographic record:

Title: International Conference on Abelian Groups and Modules, 8/7-12/95, Colorado Springs, Colo.

**What are the 1XX and any 4XX fields in the authority record?**

---

---

---

---

---

**What is the heading in the bibliographic record?**

---

---

---

---

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



## Exercise 4: Change an existing authority record

Given this information in a bibliographic record:

245 10 \$a 2003 IEEE Workshop on Automatic Speech Recognition and Understanding : ASRU '03 : \$b November 30-December, 2003, St. Thomas, Virgin Islands.

260 \$a Piscataway, NJ : IEEE, c2003.

Given this existing authority record:

111 2\_ \$a IEEE Workshop on Automatic Speech Recognition and Understanding \$d (1997 : \$c Santa Barbara, Calif.)

**How will you change the established heading?**

---

---

---

---

---

**What is the heading in the bibliographic record?**

*Tip: established heading for St. Thomas is: St. Thomas (V.I.)*

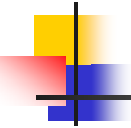
---

---

---

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



---

**BASIC CREATION OF  
NAME AND TITLE  
AUTHORITIES**

**Module 8:  
Geographic/Jurisdiction  
Names**

1

## Scope

- Geographic/Jurisdiction Names
  - AACR2 chapter 23: jurisdictions
  - LCRI's for chapter 23
  - MARC 21: 151
- Geographic name headings represent a dual concept

2

### **Names of jurisdictions versus names of geographic features**

**AACR2 Chapter 23 is applied in the formulation of names of jurisdictions created as name headings.**

**The MARC 21 tag for geographic headings is the 151.**

**In the LC/NACO authority file geographic name headings represent a dual concept.**

Geographic name headings represent a dual concept. In the name authority context they represent the jurisdiction as a corporate body that issues laws, employs civil servants, and collects taxes; they also represent the territory that the government controls.

## Scope

- Use in descriptive cataloging  
Jurisdictions/corporate names
- Use in subject cataloging  
Rivers, regions, mountain ranges, etc.


3

**In the LC/NACO authority file – 151 headings are used for descriptive cataloging purposes**

**In the LC Subject authority file (LCSH) –151 headings are created for geographic features that are not capable of authorship**

The guidelines for formulating non-jurisdictional geographic names headings are found in the Library of Congress Subject Heading List (LCSH). Both geographic name headings are established with the MARC 21 tag 151.

## Scope

- 
- Name in the LC/NACO authority file is borrowed for use as subject
  - There are split authority files at the Library of Congress
    - Subject headings created using LCSH guidelines
    - Name headings created using AACR2

4

**When a geographic name established in the LC/NACO authority file is needed as a subject access point it is borrowed from that file.**

This arbitrary situation is the result of the split authority files at the Library of Congress.

The authority files are split into

Subject headings created using LCSH guidelines

Name headings created using AACR2

This division impacts all users of the LC/NACO authority file and bibliographic records.

The authority files are split into subject headings and name headings. In LC this is grandiosely known as the “division of the world” or in practical terms “the division of the work”

## Terminology



- Use of “Geographic names” is avoided
- Use “names of jurisdictions”

Names of jurisdictions can be:

- Names of cities, states, or countries
- Used as subject headings, corporate names, and as qualifiers

5

**To avoid confusion the phrase “Geographic names” will not be used in this module**

**Use the phrase “names of jurisdictions”**

**These are names of cities, states, countries**

**They are used as subject headings, as corporate names, and as qualifiers (for corporate names entered directly, series, and conferences)**

NOTE to instructors: As soon as you start explain why we are calling this module “Names of Jurisdictions” rather than Geographic Names. You may want to ask them to hold off questions as each slide should build on the other and may clarify concepts as you go along.



## Jurisdiction names authority records

---

- 1XX fields: authorized form
- 4XX fields: references
- 5XX fields: related authorized forms  
(will have own authority records)
- 6XX fields: notes
- 7XX fields: linking entries

6

Jurisdiction name authority records consist of the following broad groups of tags

1XX fields: authorized form

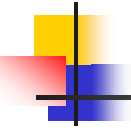
4XX fields: references

5XX fields: related authorized forms (will have own authority records)

6XX fields: notes

7XX fields: linking entries





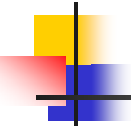
## Sample authority record

151 \_\_ \$a United States  
451 \_\_ \$a U.S.A.  
451 \_\_ \$a Artsot ha-Berit  
670 \_\_ \$a Midiniyut Artsot-ha-Berit ... 1987: \$b  
added t.p. (United States)  
670 \_\_ \$a The U.S.A.: an aerial close-up, 1968  
670 \_\_ \$a Bituye hizdahut leumit ba-kibuts ha-  
Yehudi shebe-Artsot ha-Berit, 1982: \$b t.p.  
(Artsot ha-Berit) added t.p. (United States of  
America)  
781 \_0 \$z United States

7

**Trainers:**

This is a sample jurisdiction name authority record. Point out all the fields, tags, delimiters, and subfields.

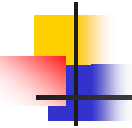


## Established heading

- Use 1XX field  
Jurisdiction name: 151
- Each record will have one and only one 1XX field

8

The established heading for a personal name is in the 151 field, each record will only have one 1XX field



## Relation of authority to bibliographic

---

- There is no 151 or 751 field in bibliographic records  
So for main and added entries:
- 151 becomes X10

9

A geographic name authority heading is assigned the MARC 21 tag 151; however, a 151 heading is never appropriate to use as a main or added entry in AACR2/MARC 21 bibliographic record. For use as a descriptive access point on a bibliographic record a 151 is converted into a corporate heading with the MARC 21 tag 110. This entity is known variously as a jurisdiction, a local place name or sometimes referred to as a “corporate body entered under place.”



## Relation of authority to bibliographic: main entry

- Heading in authority record

**151 \_\_ \$a Texas**

- Bibliographic record

**110 1\_ \$a Texas.**

245 10 \$a Laws and rules governing pari-mutuel racing in Texas ...

10

A geographic name authority heading is assigned the MARC 21 tag 151; however, a 151 heading is never appropriate to use as a main or added entry in AACR2/MARC 21 bibliographic record. For use as a descriptive access point on a bibliographic record a 151 is converted into a corporate heading with the MARC 21 tag 110. This entity is known variously as a jurisdiction, a local place name or sometimes referred to as a “corporate body entered under place.”

In other words, a geographic name authority heading is not created as a 110 (corporate name without a subordinate unit) it is created as a 151 and borrowed when needed for use for use as a corporate entity on bibliographic records.

Having a single name authority record for a jurisdiction, tagged 151, sometimes confuses people when they need to use that jurisdiction name in different ways, as corporate main entry or as the basis for a corporate name heading in a 610 or 710.

Catalogers use geographic name authority records to help them come up with the corporate name headings beginning with a jurisdictional name.

## Relation of authority to bibliographic: added entry

- Heading in authority record

**151 \_\_ \$a Utah**

- Bibliographic record

245 10 \$a Areas of responsibility and land status, state of Utah, 1993 / \$c produced by the Bureau of Land Management in cooperation with the United States Geological Survey and the state of Utah.

**710 1\_ \$a Utah.**

11

A geographic name authority heading is assigned the MARC 21 tag 151; however, a 151 heading is never appropriate to use as a main or added entry in AACR2/MARC 21 bibliographic record. For use as a descriptive access point on a bibliographic record a 151 is converted into a corporate heading with the MARC 21 tag 110. This entity is known variously as a jurisdiction, a local place name or sometimes referred to as a “corporate body entered under place.”

In other words, a geographic name authority heading is not created as a 110 (corporate name without a subordinate unit) it is created as a 151 and borrowed when needed for use for use as a corporate entity on bibliographic records.

## Relation of authority to bibliographic: subject

There is a 651 field in bibliographic records

So for subjects:

- 151 becomes 651

12

A 151 geographic heading may be used as a subject heading and assigned the MARC 21 tag 651 [subject heading] on a bibliographic record.

In this case the geographic heading is functioning as the subject of the item as when the item is discussing the place such as guidebooks, history books, etc.

## Relation of authority to bibliographic: subject

- Heading in authority record

**151 \_\_ \$a North Carolina**

- Bibliographic record

245 10 \$a The history of the first North Carolina reunion at Greensboro, N. C.

**651 \_0 \$a North Carolina.**

13

A 151 geographic heading may be used as a subject heading and assigned the MARC 21 tag 651 [subject heading] on a bibliographic record.

In this case the geographic heading is functioning as the subject of the item as when the item is discussing the place such as guidebooks, history books, etc.

Show the relationship between the authority heading and its representation on the bibliographic record as a main entry

Note the correspondence between the two headings and the change of tag.



## The authority record: see references

---

- Use 4XX field  
jurisdiction names: 451
- You may have as many 4XX fields as necessary
- The 4XX forms are not authorized forms, so don't use them in bibliographic records

14

Records may have as many 4XX fields as necessary to cover all variants

The 4XX forms are not headings. They should not be used in bibliographic records





## The authority record: see references

---

- See reference in authority record

151 \_\_ \$a Canada

451 \_\_ \$a Dominion of Canada

- Bibliographic record should ***NOT*** have:

110 1\_ \$a Dominion of Canada.

15

Note here that the bibliographic record should NOT correspond to the 4XX reference on the authority record.



## The authority record: see references

---

- See reference in authority record  
**151 \_\_ \$a Canada**  
**451 \_\_ \$a Dominion of Canada**
- May display in OPAC as:  
**Dominion of Canada**  
*search under*  
**Canada**

16

See references are shown in a libraries OPAC to guide the user to the right place in the catalog. Here is an example of how a cross reference might display.



## The authority record: see also references

---

- Use for *authorized* headings for related entities
- Use 5XX fields  
Jurisdiction names: 551 (e.g. changes of name)

17


Used for *authorized* headings for related entities



## The authority record: see also references

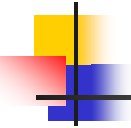
In most cases a 5XX field in an authority record must have a reciprocal authority record

151 \_ \$a British Honduras      151 \_ \$a Belize  
551 \_ \$w b \$a Belize      551 \_ \$w a \$a British Honduras



18

In most cases a 5XX must have a reciprocal authority record. However in a few cases such as with heads of government, there will only be a reciprocal link from the personal name to the corporate name and not from the corporate name to the personal name.

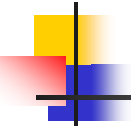


## The authority record: notes

- 6XX fields
- 670 field: for works cited
- No rules for form; general pattern:  
**670 \_\_ \$a Title proper, date of publication: \$b location of data in the source (data)**

19

The 6XX fields are for notes in the authority record. The most common note is the 670 where we record works where information about the person was found. While there is no rule for the form of the 670 the general pattern is shown.



## The authority record: notes

- The authority record should contain 670s that
  - justify all access points
  - justify all variant forms that are not justified by the rules in AACR2

20

There should be 670s in the authority record that justify all access points, all variants (references) that are not justified by the rules in AACR2, and all parts of the access points including qualifiers as necessary

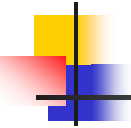


## The authority record: notes

- 151 \_\_ \$a United States
- 451 \_\_ \$a U.S.A.
- 451 \_\_ \$a Artsot ha-Berit
- 670 \_\_ \$a Midiniyut Artsot-ha-Berit ... 1987: \$b added t.p. (United States)
- 670 \_\_ \$a The U.S.A.: an aerial close-up, 1968
- 670 \_\_ \$a Bituye hizdahut leumit ba-kibuts ha-Yehudi shebe-Artsot ha-Berit, 1982: \$b t.p. (Artsot ha-Berit) added t.p. (United States of America)
- 781 \_0 \$z United States

21

Point out the 670's and show how this authority record has 670's that justify the form of the name, and the variant form of the name in the 4XX



## The authority record: notes

- Other common note fields:
  - 675: “Source data not found”—used to cite a source in which no data about the heading or references was found
  - 667: “Nonpublic general note”—used to communicate information about the heading to other catalogers (e.g., “SUBJECT USAGE: This heading is not valid for use as a subject.” or “For works issued before/after...”)

22

Another common note field is the 675

Why would a cataloger want to use a 675 field? To show subsequent catalogers that a particular source has already been unsuccessfully searched.

Another note field that is common is the 667

We use the 667 field to indicate special information such as when we know two people are different and we want others to know “not to be confused with” or when we are not certain we have two different people “cannot identify with”





## The authority record: linking entries

---

The 781 field contains a geographic subdivision name that is equivalent to the heading represented by the record, and shows the form the name should take when used as a subdivision in a subject string.

151 \_\_ \$a Provo (Utah)

781 \_0 \$z Utah \$z Provo

23

The form of the 781 is established according to the rules in LCSH which we will not be covering in this training. But you should pay attention to existing 781 fields, they are very useful.



## The authority record: Indicators

---

- 151, 451, 551: no indicators (blanks)
- 667-675 fields: no indicators (blanks)
- 781 field: first indicator blank; second indicator indicates the thesaurus used (e.g., 0=LCSH)

24

Discuss the indicators for the fields

## The authority record: X51 subfields

- 151: \$a only
- 451: \$a and \$w only
- 551: \$a and \$w only
- 781: \$z
- Subfields \$v,x,y,z, 6 and 8 are valid but are not used in NACO name authority records, except in 781 fields

25

Again remind attendees that other subfields defined by the MARC 21 authority format are not used in Name Authority Records but may be appropriate for Subject authority records.

At LC these are 2 separate files and there is often confusion especially since the examples in the MARC 21 authority format uses as examples headings that are mainly subject headings (e.g., Amazon River, Communist countries, Halley's comet, etc.)

Subfield \$w will be discussed later in the module.



## The authority record: terminal punctuation

---

No punctuation at end of fields

Unless :

- It is part of the data (e.g. period after abbreviation)
- It is called for by the rules (e.g. a closing parenthesis in a qualifier)

26

No punctuation at end of field unless part of the data (e.g. period after abbreviation) or called for by the rules (e.g. a closing parenthesis in a qualifier)



## Process of authority control for jurisdiction names

The process of authority control for names has the following steps:

- 1) Look at the item in hand and determine if there are any jurisdiction names on it that will be used in the bibliographic record
- 2) Formulate in your mind how that name might be represented in a heading
- 3) Search an authority file to determine if an authority record has been made for the name
- 4) If you find an authority record for the name
  - add that authority record into your local file
  - use the form of the heading used in the 1XX on the authority record in the bibliographic record

27

The process of authority control for names has the following steps:

1. Look at the item in hand and determine if there are any jurisdiction names on it that will be used in the bibliographic record
2. Formulate in your mind how that name might be represented in a heading
3. Search an authority file to determine if an authority record has been made for the name
4. If you find an authority record for the name; add that authority record into your local file and use the form of the heading used in the 1XX on the authority record in the bibliographic record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.



## Process of authority control for jurisdiction names

---

- If you can't find an authority record for the jurisdiction name:
- create a new record for the jurisdiction name

28

Step 5 of the process of authority control:

If you can't find an authority record then you need to create a new record

NOTE: if module 4 was covered this information may be skipped or only covered briefly.

## Ambiguous headings



- Some headings formerly subjects now in LC/NACO authority file
- LCRI 23.1
- City sections, conservation districts, ancient jurisdictions, parks
- Subject cataloging manual section H405  
<http://www.loc.gov/catdir/pcc/saco/alpha405.html>

29

A list of “ambiguous” entities that were once considered subject headings are now treated as formulated as geographic names in the name authority file is found in LCRI 23.1 and includes:

City sections, Collective settlements, Communes, Conservation districts, Ancient Jurisdictions, Military installations (established after 1899), and Parks, Recreation, Sanitation, Utility, and Water districts

A complete list of “ambiguous” entities in an alphabetical listing in a chart showing what guidelines to use for formulation is available on the web at:  
<http://www.loc.gov/catdir/pcc/saco/alpha405.html>

It is highly unlikely that these entities are capable of authorship (which is what defines a corporate entity x10)

A good tip to remember is that if the chart says to use the Subject Cataloging Manual (SCM) it is not a jurisdictional name.

# Ambiguous heading list from PCC website

## An Alphabetic List of Ambiguous Entities: Name vs. Subject file; where to establish what

(Based on *Subject Cataloging Manual* H 405, February, 2003)

NOTE: **This list is not exhaustive!**

Heading	MARC 21 Tag	Contribute Through		Formulate Using	
		NACO (Group 1)	SACO (Group 2)	AACR2 LCRIs	SCM
Abbeys	110	X		X	
Academies	110	X		X	
Airplanes, Named	110	X		X	
Airports	110	X		X LCRI24.1, p.6	
Almshouses	110	X		X	
Amusements parks	151		X		X
Apartment houses	110		X		X
Aquariums, Public	110	X		X	
Arboretums	110	X		X	
Arenas	110		X		X
Armories	110		X		X
Art works, Individual	100,110,130	X		X LCRI25.3A	

30

A good tip to remember is that if the chart says to use the Subject Cataloging Manual (SCM) it is not a jurisdiction name.



## Establishing a jurisdiction name



- Always use a reference source
  - Gazetteers
  - Atlases
  - Encyclopedias
  - Internet databases
    - LC uses U.S. Board on Geographic Names (BGN)  
<http://geonames.usgs.gov/>
      - (NACO participants are required to cite this reference source)

31

Names of jurisdictions established for an authority file are established using a reference source. Sources used may be a current gazetteers, atlases and/or encyclopedias.

LC, as a federal agency is required to use the U.S. Board on Geographic Names (BGN) as its chief reference source for determining the forms of the name of a jurisdiction. This requirement is passed on to NACO participants. Access to the BGN or USGS or GNIS as it is now called is via the web at URL:

<http://geonames.usgs.gov/>

**GNIS**

**USGS**  
science for a changing world

**U.S. Board on Geographic Names**

[Search Domestic Names](#) or [Download Domestic Names](#)

<p><b>Main Menu</b></p> <p><a href="#">BCN Home</a></p> <p><b>Domestic Names</b></p> <p><a href="#">Search</a></p> <p><a href="#">Download</a></p> <p><a href="#">Principles, policies, and Procedures</a></p> <p><a href="#">Minutes</a></p> <p><a href="#">Quarterly Review List</a></p> <p><a href="#">Propose or Change a Name</a></p> <p><a href="#">Compilation Status Map</a></p> <p><a href="#">FAQs</a></p> <p><a href="#">Foreign Names</a></p> <p><a href="#">Antarctic Names</a></p> <p><a href="#">Underscore Features</a></p> <p><a href="#">Member Directory</a></p> <p><a href="#">Links</a></p>	<p>The Geographic Names Information System (GNIS) is the Federal standard for geographic nomenclature. The U.S. Geological Survey developed the GNIS for the U.S. Board on Geographic Names as the official repository of domestic geographic names data; the official vehicle for geographic names use by all departments of the Federal Government; and the source for applying geographic names to Federal electronic and printed products.</p> <p>The GNIS contains information about physical and cultural geographic features of all types in the United States, associated areas, and Antarctica, current and historical, but not including roads and highways. The database holds the Federally recognized name of each feature and defines the feature location by state, county, USGS topographic map, and geographic coordinates. Other attributes include names or spellings other than the official name, feature designations, feature classification, historical and descriptive information, and for some categories the geometric boundaries.</p> <p>The database assigns a unique, permanent feature identifier, the Feature ID, as <i>the only</i> standard Federal key for accessing, integrating, or reconciling feature data from multiple data sets. The GNIS collects data from a broad program of partnerships with Federal, State, and local government agencies and other authorized contributors, and provides data to all levels of government, to the public, and to numerous applications through a web query site, web map and feature services, file download services, and customized files upon request.</p> <p>For additional information on the GNIS and related web map and feature services, see the text version of the <a href="#">GNIS Metadata</a> or the Geographic Names Community in <a href="#">Geoportal One-Stop</a>. To search or download files from the GNIS, click the respective link in the menu on the left. Communications concerning the Geographic Names Information System should be addressed to <a href="mailto:gnis_manager@usgs.gov">gnis_manager@usgs.gov</a>.</p>
--	---

Accessibility    FOIA    Privacy    Policies and Notices


U.S. Department of the Interior | U.S. Geological Survey  
 URL: <http://geonames.usgs.gov/domestic/index.html>  
 Page Contact Information: [GNIS Manager](#)  
 Page Last Modified: Monday, 14-Jul-2008 12:49:24 EDT


USA.gov    U.S. DEPARTMENT OF THE INTERIOR

32


Note that there are 2 possible places to search: US and its territories and Foreign Names (Geonet)

# GNIS for US Names





**USGS**  
Geographic Names Information System (GNIS)



---

**Query Form For The United States And Its Territories**

---

Feature Name:

Exact Match  Exclude Variants

State:

County:

Feature ID:

Feature Class:  [Definitions](#)

[Press Ctrl to select more than one.](#)

Arch  
Area  
Arroyo

Elevation\*:

Feet  Meters

Send Query
Erase Query

[Click any field title for help in entering query data.](#)

**Click Frequently Asked Questions (FAQs) tab for important information.**

\*Elevations are from the [National Elevation Dataset](#)

---

U.S. Department of the Interior || U.S. Geological Survey  
 12201 Sunrise Valley Drive, Reston, VA 20192, USA  
[gnis\\_manager@usgs.gov](mailto:gnis_manager@usgs.gov)  
 Form updated: July 23, 2008  
[USGS Privacy Policy and Disclaimers](#)

33

This is the initial query page for name in the GNIS US

# GeoNet for non-US names

WWW

**NGA GEOnet Names Server (GNS)**

**Putting a Name to a Place**

Click [Here](#) for the Map Based Search page.  
Provides access to Web Map Services (WMS) interface and a high level graphical search. This page requires the use of Internet Explorer 6.

Click [Here](#) for the Text Based Search page.  
Provides access to a text based query interface and mechanisms for initiating queries and generating outputs. This page can be viewed by most browsers.

**GNS is best viewed with Internet Explorer 6 or Netscape 7.0**  
(Firefox users may want to download the "IE Tab" extension to get the most out of GNS)

**Database last update - July 7, 2008**

**Database next estimated update - Mid to late September 2008.**  
**Maintenance and software upgrade activities are occurring. The posted country files are updated on a weekly basis and contain the most current information.**

**NOTE:**  
The GEOnet Names Server (GNS) does not contain any data for the United States of America or its Dependent areas. To obtain U.S. data, please access the [United States Geological Survey \(USGS\) Geographic Names Information System \(GNIS\)](#) database of names.

The Geographic Names Server is the official repository of standard spellings of all foreign place names, sanctioned by the United States Board on Geographic Names. The database also contains variant spellings (cross-references), which are useful for finding purposes. We are starting to hold the native script spellings of these names. All the geographic features in the database contain information about location,

34

This is the initial page for GeoNet for non-US names

# Searching GeoNet

35

Initial query page for Geonet

## Choosing the name



Use the English form if in general use  
(AACR2 23.2A1)

Italy *not* Italia

Germany *not* Deutschland

Spain *not* España

Vienna *not* Wien

36

AACR2 23.2A1 instructs catalogers to use the English form of name if there is one in general use.

This the reason we use names such as:

Italy *not* Italia

Germany *not* Deutschland

Spain *not* España

Vienna *not* Wien

Otherwise know as the “conventional name”

## Choosing the name



- If no English form, use form in official language of the country (AACR2 23.2B1)  
Buenos Aires  
Caracas  
Livorno
- If there is more than one official language prefer English

37

AACR2 23.2B1 states that if there is no English form to use the form in the official language of the country.

Buenos Aires

Caracas

Livorno

With a preference for English if the country has more than one official language.

In practice LC now tries to err on the politically correct side by establishing names in the vernacular (official name of the country).



## Additions to names: qualifiers

---

- With the exception of country names –all jurisdiction names are qualified
  - The qualifier is the name of a larger place (AACR2 23.4B1, 23.4E-F)
  - Use parentheses
  - Use abbreviations in AACR2 Appendix B.14
- Buenos Aires (**Argentina**)  
Sydney (**N.S.W.**)  
Atlanta (**Ga.**)


38

AACR2 23.4B1, 23.4E-F instructs catalogers to add to the name of a place (other than a country) the name of the larger place within which it is located in parenthesis and using the AACR2 authorized abbreviations.

Note: The AACR2 authorized abbreviations are found in Appendix B.14



## Additions to names: qualifiers

- 
- General rule: qualify by the country
    - Paris (France)
    - Rome (Italy)
  - U.S., Australia, Canada, British Isles, Malaysia, U.S.S.R, and Yugoslavia (AACR2 23.4C-D) use the **state name or equivalent**
    - Austin (Tex.) *not* Austin (U.S.A.)
    - Jasper (Alta.) *not* Jasper (Canada)

39

Exceptions to this rule are listed in AACR2 23.4C-D, these include places in the U.S. Australia, Canada, and the British Isles as well as Malaysia, U.S.S.R., and Yugoslavia

For these exceptions the additions used are the names of the states or provinces in which they are located:

Chiefly the exclusions for not adding the country level; Note that AACR2 does not use the US Postal Service abbreviations instead uses the authorized abbreviations are found in Appendix B.14 as noted earlier.



## Additions to names: qualifiers

- Two places with same name within same jurisdiction demand further qualification (presence or absence in any catalog is irrelevant)

Jonestown (Lebanon County, Pa.)

New York (State)

Washington (State)

40

What does it mean to say “conflict is absolute”?

Absolute conflict means that if a place name is the same as another place name within the same jurisdiction further qualification is needed.

For NACO catalogers this also means

Whether or **not** the other place name is used in your catalog


Jonestown has the same name as other towns in Pennsylvania therefore the county name is added to differentiate.

The addition is usually the highest jurisdictional level (state or equivalent) but when more than one place within the same jurisdiction has the same name an addition at the lower jurisdiction is used (county or equivalent). **Example:** Jonestown.

In some cases to avoid ambiguity or when the city name is the same as the state name (or equivalent) the state name is qualified with the word indicating the type of jurisdiction.

**Examples:** New York (State); Washington (State)

This happens more often with foreign names



## Jurisdiction names used as qualifiers

- Generally use all portions of a place name when the name becomes a qualifier
- Use only one set of parentheses

**110 2\_ \$a Central Area Farmers Support  
Group (Jonestown, Lebanon County, Pa.)**


***NOT***

**110 2 \$a Central Area Farmers Support  
Group (Jonestown (Lebanon County,  
Pa.))**

41

Additions to the place name are generally carried through when the name is used as a qualifier

Note that “cataloger’s” additions to the place name (such as parenthesis or type of jurisdiction) are not used when the name is used as a qualifier



## Jurisdiction names used as qualifiers

---

- Exception: Do not include the jurisdiction “**type**” to qualify a non-jurisdictional corporate body

**110 2\_ \$a Central Area Farmers Support  
Group (Washington)**

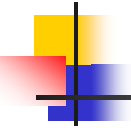
***NOT***

**110 2\_ \$a Central Area Framers Support  
Group (Washington : State)**

42

“cataloger’s” additions to the place name (such as parenthesis or type of jurisdiction) are not used when the name is used as a qualifier

The colon and the additional qualifier of “State” are not included when the name is used as a qualifier;



---

Class participation:  
Establish a new place name

43

We're going to work thru this exercise together

(Remember to wait for answers from the group before moving to next slide.)



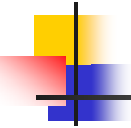
## Establish a new place name

---

- Place name: Susquehanna Township
- Location: Cambria County,  
Pennsylvania

44


You need to establish an authority record for a place named: Susquehanna Township located in Pennsylvania in Cambria County.



## Steps to take

- Read: LCRI 23.2 on Townships
- Search GNIS for information and conflicts

45



## LCRI 23.2

- Omit 'Township' or 'Town' from heading
- Add 'Township' or 'Town' to qualifier after state

**151 \_\_ \$a Kintire (Minn. : Township)**  
*In GNIS: Kintire, Township of*

**151 \_\_ \$a Milo (Me. : Town)**  
*In GNIS: Milo, Town of*

46

First read the LCRI:

“For U.S. townships (called “Towns” in some states) that encompass one or more local communities and the surrounding territory, do not include the term “township” or “town” as part of the name. Instead, add the term after the name of the state.



“These non-local jurisdictions are called “townships” in Arkansas, California, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, New Jersey, North Carolina, North Dakota, Ohio, Pennsylvania, and South Dakota; they are called “towns” in Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont, and Wisconsin. If there is more than one township with the same name in the same state, apply LCRI 23.4F1.

“Note: For the period 1980-1990, the term “Township” or “Town” was added only if the name conflicted. Change existing headings for U.S. townships lacking the term “Township” or “Town” when the headings are needed for post-1990 cataloging.

Emphasize to participants that the word “Town” is not automatically added to the qualifier, but only if it is used in place names in the sense of “Township.” For instance, Hanksville, Utah, refers to itself as the “Town of Hanksville” The town is established at Hanksville (Utah) NOT Hanksville (Utah : Town) Because “town” is not the equivalent to “township.” The word “Town” is omitted in this case not because of LCRI 23.2 but because of AACR2 23.5



# Search GNIS

**Geographic Names Information System (GNIS)**

---

## Query Form For The United States And Its Territories

Feature Name:

Exact Match  Exclude Variants

State:

County:

Feature ID:

Feature Class:  [Definitions](#)

Elevation\*:

Feet  Meters

[Send Query](#) [Erase Query](#)

[Click any field title for help in entering query data.](#)  
 Click [Frequently Asked Questions \(FAQs\)](#) tab for important information.  
 \*Elevations are from the [National Elevation Dataset](#)

47

Execute the search in GNIS

## GNIS search results

**Feature Query Results**

**Click the feature name for details and to access map services**  
 Click any column name to sort the list ascending ▲ or descending ▼



Feature name	Feature Id	Class	County	Latitude	Longitude	State	Map ▲	Elev.m†	Elev.ft†	BGN
<a href="#">Township of Susquehanna</a>	1216096	Civil	Cambria	404039N	0784552W	PA	Barnesboro	550	1804	-
<a href="#">Susquehanna Speedway</a>	1213373	Locale	York	400645N	0764930W	PA	Dover	174	571	-
<a href="#">Susquehanna River Overlook</a>	1205137	Locale	Dauphin	402318N	0770035W	PA	Duncannon	314	1030	-
<a href="#">Susquehanna Bridge</a>	1189110	Locale	Clearfield	405850N	0782937W	PA	Glen Richey	345	1132	-
<a href="#">Susquehanna Boy Scout Camp</a>	1197743	Locale	Susquehanna	415339N	0753957W	PA	Great Bend	520	1706	-
<a href="#">Susquehanna Manor</a>	1202058	Populated Place	Dauphin	401739N	0765053W	PA	Harrisburg East	150	492	-
<a href="#">Township of Susquehanna</a>	1216368	Civil	Dauphin	402000N	0765259W	PA	Harrisburg West	161	528	-
<a href="#">Susquehanna Trails</a>	1867509	Populated Place	York	394531N	0762205W	PA	Holtwood	141	463	-
<a href="#">Susquehanna County</a>	1213688	Civil	Susquehanna	415231N	0760730W	PA	Little Meadows	458	1503	-
<a href="#">Township of Susquehanna</a>	1216587	Civil	Juniata	403700N	0770059W	PA	Reward	172	564	-
<a href="#">Susquehanna Valley Mall</a>	1211802	Locale	Snyder	404930N	0765056W	PA	Sunbury	136	446	-
<a href="#">Susquehanna Valley Country Club</a>	1213374	Locale	Snyder	405012N	0765053W	PA	Sunbury	187	614	-
<a href="#">Susquehanna</a>	1189109	Populated Place	Susquehanna	415636N	0753559W	PA	Susquehanna	285	935	1969
<a href="#">Borough of Susquehanna Depot</a>	1215617	Civil	Susquehanna	415636N	0753608W	PA	Susquehanna	325	1066	-
<a href="#">Township of Susquehanna</a>	1216773	Civil	Lycoming	411252N	0770211W	PA	Williamsport	244	801	-
<a href="#">Susquehanna Heights</a>	1196434	Populated Place	York	395417N	0764332W	PA	York	208	682	-

[View & Print all](#)

Note: If data are returned and the column headings display but no data appear, click any column heading.  
 †Elevations are from the [National Elevation Dataset](#)

48

NOTE to instructor: This results page continues on and on. The important thing here is that there are multiple townships in Pennsylvania called ‘Susquehanna.’ One in Cambria county, one in Dauphin county, one in Juniata county, and one in Lycoming county. The one we’re establishing is the one in Cambria county.

# GNIS display

---

**Feature Detail Report**

Feature ID: 1216096  
 Name: Township of Susquehanna  
 Class: Civil  
 Citation: Census County/Townships, CDP's and incorporated cities - Bureau of Census, Geography Division, coordinates are located at the centroid. If known, the year the data were compiled follows:  
 Entry Date: 01-Dec-1989  
 Elevation(ft/m)\*: 1804/550

**Federal Codes**

Census Code	Class Code	GSA Code	OPM Code
75520	T1	-	-

Class Code Description: Active Minor Civil Divisions. An active county subdivision that is not coextensive with an incorporated place.

**Counties**

Sequence	County	Code	State	Code	Country
1	Cambria	021	Pennsylvania	42	US

**Coordinates (One point per USGS topographic map containing the feature, NAD83)**

Sequence	Latitude(DEC)	Longitude(DEC)	Latitude(DMS)	Longitude(DMS)	Map Name
1	40.6775672	-78.7644718	404039N	0784552W	Barnesboro

49

If more than one set of coordinates are provided, it means that the place appears on more than one USGS map.

Use the coordinates that most closely match those in the item (if available) or the 1st set provided. –per Bob Hiatt, January 2005



## Result: Geographic name Heading

---

**151 \_\_ \$a Susquehanna (Cambria  
County, Pa. : Township)**

**670 \_\_ \$a GNIS, Nov. 9, 2005 \$b  
([information for the established  
name]; also lists 3 other  
Susquehanna townships)**

50

Based on the information this is what the NAR would look like. Explain that the County name was added to show that there was absolute conflict with other same named places in the same jurisdiction (even though other names not present in any catalog searched). The word Township was added because of the LCRI.

The addition in the 670 shows how to illustrate that there are other locations of the same name within the jurisdiction, and justifies the qualifier “Cambria County, Pa.”

Latitude and longitude are important components of NACO records for geographic names. You will often see them in the 670 field of authority records. They are not required for local authority records, so we will not go into them in detail here, nor require them in the exercises.



## Changes in names: earlier and later names

- When a name changes, establish both and link with 551s

**151 \_\_ \$a British Honduras**

**551 \_\_ \$w b \$a Belize**

**151 \_\_ \$a Belize**

**551 \_\_ \$w a \$a British Honduras**

51

When a place changes its name a new name is established and a See Also from tracing—Geographic name (551) is added to both authorized forms of the geographic name in order to link them.

Note that a subfield “w” is added to the 551 to denote where the heading is the earlier heading (\$w a) or the later heading (\$w b).

## Changes in names: earlier names as subject

- Earlier names not used as subjects
- Authority record contains 667
- 008/15 (used as subject) coded 'b'

**008/15: b**

**151 \_\_ \$a British Honduras**

**551 \_\_ \$w b \$a Belize**

**667 \_\_ \$a SUBJECT USAGE: This heading is not valid for use as a subject. Works about this place are entered under Belize.**

52

Another LC subject/name file principle that impacts users is that an earlier geographic heading generally may not be used for subject heading application.

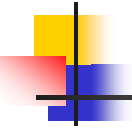
Therefore the authority record for the earlier heading will contain a 667 note and the fixed field "Subj. use" 008/15 will be coded: b

Variant for names of jurisdictions on ability to use forms as subject headings--latest form principle.

Note that there ARE a few exceptions to this rule. These are listed in the LC Subject Cataloging Manual: H 710 "Jurisdictional Mergers and Splits."

This instruction sheet provides general guidance as when it is appropriate to use an older form of name as a subject entry and points to LC treatment of special or complex situation such as: Germany (H 945), Soviet Union (H 1023), and Yugoslavia (H 1055), etc.

Please note that the earlier forms are still valid as main and added entries.



## Changes in names: Latest name as subject

---

- Latest name is used as subject
- 008/15 (used as subject) coded ‘a’

**008/15: a**

**151 \_\_ \$a Belize**

**551 \_\_ \$w a \$a British Honduras**

53

Here is the later heading with the 551 subfield \$ w set to a and the 008/15 set to “a” heading appropriate for use as a subject heading.



## Changes in names: latest name as qualifier

**151 \_\_ \$a Belize City (Belize)**  
**451 \_\_ \$a Belize City (British Honduras)**

**NOT:**

**151 \_\_ \$a Belize City (Belize)**  
**551 \_\_ \$w a \$a Belize City (British Honduras)**

54

Note that when a 1<sup>st</sup> level jurisdiction (country/state) undergoes a name change but a local place name the jurisdiction does NOT change, the latest name is used as the qualifier for the local name. The local name qualified by the earlier place name is not established as a separate heading, and there is consequently no need for earlier/later links.

Instead the earlier established name is changed to add the new jurisdictional name but the old form [with the earlier name of the jurisdiction] of name is converted into a 451 See reference

The example illustrates that when British Honduras changed its name to Belize the capital city of Belize City did not change. As a result only the qualifier needed to be changed resulting in a “do not use” see reference for the older form of name rather than an earlier/later.

The question always asked is “what if I have a work on the city or by a corporate body from the period of its earlier name.” The answer is that the the later form of name is used on those works if it is a subject if it is a corporate body entered under place then the principle of earlier later is employed. The concept is analogous to a personal name change (all items written on or by Jackie Kennedy when she used that name are subsumed under the latest name). There may be some exceptions but these are only for the most recent country name changes (Hong Kong, etc.)

Note that because the name is changed the principle of using only the latest form of name for subject application is inherent without the need to recode the fixed field or add a 667 note.



## Jurisdiction names and subordinate bodies



When a jurisdiction name is used with a subordinate body then the tag changes to 110 with addition of \$b or \$t

**151 \_\_ \$a Chicago (Ill.)**

**110 1\_ \$a Chicago (Ill.). \$b City Council**

**151 \_\_ \$a United States**

**110 1\_ \$a United States. \$t Comprehensive Employment and Training Act**

55

Geographic names with the MARC 21 tag 151 cannot have subordinate bodies. All names of jurisdictions are handled in direct order including those for city sections.

According to AACR2, many government agencies are entered subordinately, that is, with the name of the jurisdiction in subfield \$a and the name of the agency in subfield \$b. The name authority record for Canada provides the correct form to be used in the subfield \$a of the heading for the corporate body shown here, the Ministry of Transport.

In the authority record, the heading **Canada. \$b Ministry of Transport** is coded 110. When used as a corporate main or added entry in bibliographic records, it is coded 110 or 710.

If you needed to assign a corporate main or added entry for a government agency entered subordinately but no authority record existed for that agency, you would use the heading for the jurisdiction as in the name authority record, add the name of the agency in subfield \$b, and code the heading 110 or 710 in your bib record. (This is greatly simplified and catalogers should refer to chapter 24 of AACR2 and the LCRIs for guidance!)

When a subfield \$b or \$t for a subordinate body is needed under a geographic name the MARC 21 tag for this field becomes a 110 corporate name.

Emphasize that the concept is to borrow the geographic place name to use as the jurisdictional place name. Only jurisdictions (corporate bodies) can have subordinate units.

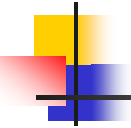
Remind the class that earlier we had discussed that a 110 with first indicator '1' and without subfield \$b or \$t can not exist in the name authority file. Similarly a heading coded 151 cannot contain a subfield \$b (or any other subfield) in the LC/NACO authority file.



## References

---

Formulate all references (4XX and 5XX)  
as if you were formulating a heading.  
All rules for entry elements and  
adding qualifiers apply to references.



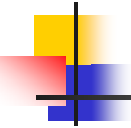
## References

Make see references (4XX) from all alternative forms documented in 670s

- 151 \_\_ \$a United States
- 451 \_\_ \$a U.S.A.
- 451 \_\_ \$a Artsot ha-Berit
- 670 \_\_ \$a Midiniyut Artsot-ha-Berit ... 1987: \$b added t.p. (United States)
- 670 \_\_ \$a The U.S.A.: an aerial close-up, 1968
- 670 \_\_ \$a Bituye hizdahut leumit ba-kibuts ha-Yehudi shebe-Artsot ha-Berit, 1982: \$b t.p. (Artsot ha-Berit) added t.p. (United States of America)
- 781 \_0 \$z United States

57

Make see references (4XX) from all alternate forms of a name documented in 670's  
Alternative form



## References: city sections

---

**151 \_\_ \$a Chinatown (San Francisco, Calif.)**  
**410 1\_ \$a San Francisco (Calif.). \$b**  
**Chinatown**

**151 \_\_ \$a Battersea (London, England)**  
**410 1\_ \$a London (England). \$b Battersea**

58

In the case of city sections there is a required cross reference (410). Since a 151 cannot have a subordinate part added to it, it must be converted into a corporate body tag (X10) and in this case these are 410s.



## References

---


Make see also references (5XX) to link changes in name

**151 \_\_ \$a British Honduras**

**551 \_\_ \$w b \$a Belize**

59

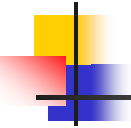
Make see also references (5XX) to link earlier or later names



---

# EXERCISES 1-5

60



---

END OF MODULE 8

61

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



## Exercises for Module 8: Jurisdictions

### Exercise 1: Questions to answer

**What is the correct MARC 21 tag for a geographic name heading in an authority record?**

---

**What are the correct indicators for geographic name headings in an authority record?**

---

**What is the correct fixed field value for geographic names in the MARC 21 008/32 (undifferentiated personal name; represented by NAME in OCLC)?**

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*


## Exercise 2: Establish a new heading

Given this information in a bibliographic record:

245 10 \$a History of Charles Town, West Virginia  
260 \_\_ ... \$c 1990.

Given this information on p. iii of this item: Originally chartered in 1786 and named for Charles Washington, brother of the first president; county seat of Jefferson Co.; one of the Western counties that separated from Virginia in 1861 and formed state of West Virginia; admitted to union in 1863.

Given this information found today in a search of GNIS:

	
<b>Feature Name:</b>	<b>Charles Town (county seat)</b>
<b>Feature Type:</b>	populated place
<b>Elevation (feet):</b>	540
<b>Estimated Population (2000):</b>	2,907
<b>History Notes:</b>	Established 1786
<b>State:</b>	West Virginia
<b>County:</b>	Jefferson
<b>Variant Name(s)</b>	Charlestown
<b>USGS 7.5' x 7.5' Map:</b>	Charles Town
<b>Latitude (nn°nn'nn"):</b>	391720N
<b>Longitude (nnn°nn'nn"):</b>	0775136W

Continues on next page ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 3: Establish a new heading

Given this information in a bibliographic record:


245 10 \$a Muleshoe : \$b local attractions, including the Muleshoe National Wildlife Refuge.

260 \_\_ \$a Muleshoe, Tex. ... \$c 2000.

On title page: Muleshoe, Texas

On p. 4 of this item: Seat of Bailey County, long a sparsely settled area of huge cattle ranches. Early in 20<sup>th</sup> century the immense ranches began to break up, and farming was introduced to this area of the High Plains. Town organized in 1926, named for muleshoe brand of famous early ranch. Today a center for marketing and shipping of High Plains agricultural products.

Given this information found today in a search of GNIS:

 National Mapping Information	
1 feature records have been selected from GNIS.	
<b>Feature Name:</b>	<b>Muleshoe (county seat)</b>
<b>Feature Type:</b>	populated place
<b>Elevation:</b>	3792
<b>Estimated Population (2000):</b>	4,530
<b>State:</b>	Texas
<b>County:</b>	Bailey
Latitude / Longitude (nn°nn'nn" / nnn°nn'nn")	<b>USGS 7.5' x 7.5' Map</b>
341335N 1024324W	Muleshoe
341350N 1024501W	Baileyboro NE

Continues on next page ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*





*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Exercise 4: Questions to answer

Here is an authority record:

010 \_\_ |a n 79040139 |z n 79055111 |z n 2002073242 |z n 2002073241  
 035 \_\_ |a (OCoLC)oca00273622  
 040 \_\_ |a DLC |c DLC |d NIC |d DLC |d IAhCCS  
 043 \_\_ |a n-us-il  
 151 \_\_ |a Evanston (Ill.)  
 451 \_\_ |a Evanston (Ill. : Township)  
 551 \_\_ |w a |a Ridgeville (Ill. : Township)  
 667 \_\_ |a Old catalog heading: Evanston, Ill.  
 670 \_\_ |a Evanston Public Library, May 14, 2002 |b (Evanston, Ill.; 1872, inc. as Village of Evanston; 1892 org. as city)

**What kind of heading is this?**

---

**Can this heading be used in a bibliographic record?**

---

**If Yes: list 3 ways it can be used, and provide MARC tags**

---



---



---

Continues on next page ...

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

**Can this heading be used as part of other headings?**

---

**If Yes: list 3 ways it can be used, and provide MARC tags**

---

---

---

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*



# **BASIC CREATION OF NAME AND TITLE AUTHORITIES**

## **Module 9: The NACO Program**



## Program for Cooperative Cataloging (PCC)

---

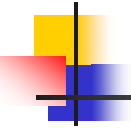
- International in scope
- Expand access to library collections
- Useful, timely, and cost-effective cataloging
- Mutually-accepted standards

<http://www.loc.gov/catdir/pcc/2001pcc.html>

2

International in scope, the Program for Cooperative Cataloging (PCC) aims to expand access to library collections “by providing useful, timely, and cost-effective cataloging that meets mutually-accepted standards of libraries around the world.”



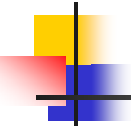


## PCC goals

- Enhancing availability of bibliographic and authority records
- Mutually accepted standards
- Training

3

The program's goals include enhancing the availability of both bibliographic and authority records for sharing, developing and maintaining mutually accepted standards for those records, and through training efforts to increase the number of trained catalogers using those standards



## PCC history and structure

- Initiated 1995
- Four programs:
  - NACO (Name Authority Cooperative)
  - SACO (Subject Authority Cooperative)
  - BIBCO (Bibliographic Records Cooperative)
  - CONSER (Cooperative Online Serials)

4

The PCC was initiated in 1995 and currently consists of four programs:

NACO (Name Authority Cooperative)

SACO (Subject Authority Cooperative)

BIBCO (Bibliographic Records [Monograph] Cooperative)

CONSER (Cooperative Online Serials)

It developed from the previously existing NACO and CONSER programs and through a series of meetings of cooperative library programs during the mid-1990's the PCC was consolidated in 1997.




## NACO program

---

- New and updated authority records
- Names, uniform titles, and series
- Contributed to shared authority file
- Individual institutions or groups
- “Funnel projects“
- Over 400 participants (190 individual institutions, 220 members in 19 NACO funnels)

5

NACO participants learn to construct and contribute new and updated authority records for names, uniform titles, and series to the Library of Congress national authority file. The program is open to individual institutions or to a group of libraries with a common interest through the formation of a "funnel project" to contribute records via a coordinator. There are over 400 participants, including approximately 190 individual institutional members and 220 members in 19 NACO funnel projects.



## NACO training

- Up to five days
- Overview of *MARC 21 authority format*
- Components of authority records
- Review relevant chapters of AACR

6

Training sessions of up to five days are undertaken by participants at their home institutions, LC, or at another venue. The training consists of an overview of the *MARC 21 Authority Format* and the components of an authority record  
review of the relevant chapters of AACR

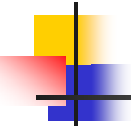
22 – Personal names

23 – Geographic names

24 – Corporate bodies

25 – Uniform titles

26 – References

A graphic consisting of overlapping colored squares (yellow, red, blue) and a black crosshair.

## NACO training

- Review of LCRIs
- Construction of headings
- Searching and verification of headings and references
- Procedures for contribution
- Administration and communication within the program

7

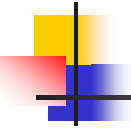
Review of LCRIs (Library of Congress Rule Interpretations) relating to those chapters

construction of headings

searching and verification of headings and references

procedures for contribution

administration and communication within the program



## How to become involved

- Institution, not individuals
- Institutional involvement promotes continuity of participation

8

Institutions, rather than individuals, make up the NACO program. Institutional involvement in the time and training required promotes the continuity of participation long after an individual cataloger has moved on.



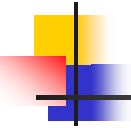
## How to become involved

- A least 200 new or modified authority records per year
- Small libraries: at least 100 new or modified records per year

9

In order to justify the costs involved in the program large libraries (all ARL and national libraries) must contribute at least 200 new or modified name or series authority records per year. Currently a funnel must contribute a total of 100 heading for the entire group not per library.

Small libraries (state, public, college, special libraries, and those with specialized collections) are required to contribute at least 100 new or modified name and series records per year



## How to become involved

- Application form available at:  
<http://www.loc.gov/catdir/pcc/application.html>

10

An application form for participation in NACO can be found at:

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



## Review period



- All records are reviewed until independent—maximum of 1 year –if not independent within that time counseling takes place or participation may end.
- Records reviewed to assure that:
  - Heading is unique and properly constructed
  - Record has appropriate cross references
  - All headings in the hierarchy have been established

11

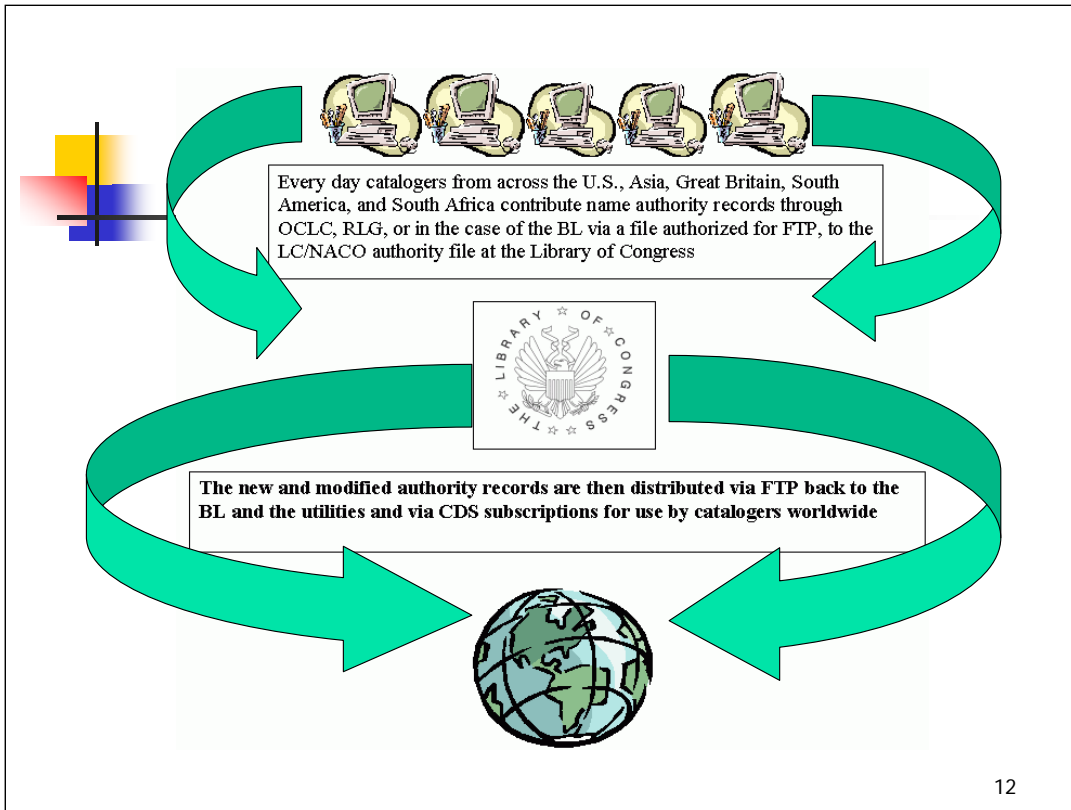
For a period of time after you have completed the NACO training sessions you will submit your records to a reviewer for feedback. The reviewer will ensure that your heading:

is unique and properly constructed

that it has appropriate cross references

if the heading is part of a hierarchy that all the headings in the hierarchy have been established.

This process is part of a maximum one year probationary period required for membership in PCC. If your records have met the specified requirements of quality and met the quantity requirements within that one year probationary period you will be considered “independent” and review of your submitted records is no longer required. In some cases where institutions submit records in large numbers the review period can take less time.





## Funnel projects

---

- Libraries with similar mission or purpose in common join to contribute headings

**Arabic Funnel Project**

**Art-NACO Funnel Project**

**Hebraica Funnel Project**

**NACO Music Funnel Project**

**OLAC Funnel Project**

**Etc.**

13

Funnel projects consist of libraries having a similarity of mission, purpose or location joining together to contribute name headings to the national authority file.

These funnel projects may be based upon subject area, such as the NACO Music Project or Hebraica Funnel



## Funnel projects

---

- Smaller libraries within a location or members of same bibliographic utility may unite to contribute headings to NACO

**Detroit Area Network Funnel, Minnesota Funnel, Utah Funnel, Virginia Funnel, NACO-MEXICO, NACO-Canada, Law Funnel/OCLC, Law Funnel/OCLC, etc.**

14

Small libraries that may not be able to meet the 100 record a year minimum contribution of records to NACO may consider becoming part of a funnel project especially if these are within the same geographic area, such as the Virginia Funnel; or membership in a consortium, such as the OCLC law funnel.



## Funnel coordinator and training

---

- Project facilitated by coordinator
- Only coordinator is ‘independent’
- Recruit members, arrange training, distribute documentation
- Training more flexible for funnels

15

The project is facilitated by a coordinator, who recruits members, arranges for training, and distributes documentation. The training sessions are more flexible in funnel projects; they may be spread out over time, reduced in content, or given in conjunction with a conference, depending upon the needs of the project.

Within NACO it is only the coordinator who may be granted independent status and may vote within PCC on behalf of the funnel project.



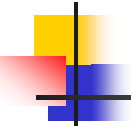
## Funnel contributions in FY2005

---

- OLAC funnel: over 2000 name and series authority records
- Minnesota funnel: over 1200 name and series authority records

16

Funnel projects make significant contributions to the LC authority file. For example, in the 2005 fiscal year the OLAC funnel contributed just over 2000 name and series authority records. During the same fiscal year the Minnesota funnel contributed over 1200 records.



## Funnel projects


---

- Consult the NACO web page:  
<http://www.loc.gov/catdir/pcc/naco/naco.html>

17

For more information about NACO and NACO funnel projects you may consult the NACO web page at:

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

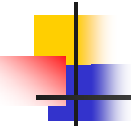


---

END OF MODULE 9

18





---

# **BASIC CREATION OF NAME AND TITLE AUTHORITIES**

## **Module 10: Module for Reference Librarians**

1

Rev. January 6, 2005



# Index design

- Personal name indexes
- Corporate name indexes
- Conference name indexes
- Work indexes

2



## Index design

---

- BEWARE!
- 1. In most systems, keyword searches do not search authority records (cross references)
- 2. In most systems, limits cannot be applied to searches that search authority records (cross references)



## Index design: personal name indexes

---

Ideal: Keyword in heading searches that do not require the user to know the entry term or the order of terms, and that display matched headings rather than a list of bibliographic records

It is not intuitive for users to have to invert personal names when doing computer searches

Always include cross references from authority records in name heading indexes



## Index design: corporate name indexes

---

Ideal: Keyword in heading searches that do not require the user to know the entry term, and that display matched headings rather than a list of bibliographic records

Users often have garbled citations for corporate bodies and shouldn't be required to know the order of terms in headings



## Index design: corporate name indexes

---

Corporate headings are often heavily constructed by catalogers, e.g. headings that begin with jurisdiction names; users can't be expected to know about this ahead of time (e.g. to look under United States for the FBI)

Always include cross references from authority records in corporate name heading indexes



## Index design: meeting name indexes

---

Ideal: Keyword in heading searches that do not require the user to know the entry term, and that display matched headings rather than a list of bibliographic records

Use 008 fixed field codes to provide a subset for keyword in record searching



## Index design: meeting name indexes

---

Conference names are even more often garbled in citations than corporate names

Always include cross references from authority records in conference name heading indexes





## Index design: work indexes

---

Works have authority records, too!

Implications:

1. If offered, exercise the option of displaying title cross references from authority records along with title headings from bibliographic records



## Index design: work indexes

Works have authority records, too!

Implications:

2. If offered the option, suppress marked titles from display

130 0\_ \$a Rebel (Television program : 1959-1962). \$p In memoriam

245 00 \$a Rebel. \$p In memoriam

10

The 245 title should not be placed in the title index, as it duplicates the 130 title. It is marked with the correct MARC 21 first indicator (0 means do not trace when a 1XX is present).



## Default searches

- Personal authors
- Corporate bodies
- Conferences
- Works


11



## Default searches: personal authors

---

- Ideal default public search:
- keyword in heading search (no need to know entry terms or order of terms; no need to invert surname and forename) with display of matching headings rather than immediate display of bibliographic records



## Default searches: corporate bodies

---

- Ideal default search for both public and staff:
- keyword in heading search (no need to know entry terms or order of terms; no need to invert surname and forename) with display of matching headings rather than immediate display of bibliographic records



## Default searches: meeting names

---

- Ideal default search for both staff and public:
- keyword in heading search (no need to know entry terms or order of terms; no need to invert surname and forename) with display of matching headings rather than immediate display of bibliographic records



## Default searches: works

---

Only SIRSI provides the option to let users do a search using both author words and title words that matches on authority records, and few libraries exercise the option.




## Display of authority records

---

- General
- Display of see references
- Display of see also references
- Display of complex references
- Display of notes
- NOTE: All recommendations apply to both staff and public displays






## Display of authority records: general

---


- Allow OPAC users to request the display of the full authority record for any heading:
  - a. from the preferred heading (1XX) wherever it appears, whether in a heading display or a single bibliographic record display
  - b. from any see (4XX) or see also (5XX) reference in a headings display



## Display of authority records: general

---

- Display of the full authority record will allow OPAC users to better identify the person, corporate body, etc. they are seeking when there is more than one entity by that name, and it has the potential of empowering them to construct Google-type Internet searches using all the name variants for a given entity (for example, in a Boolean OR search)



## Display of authority records: general

```
010 __ $a no90008923
100 10 $a Morgan, Dennis, $d 1910-
400 10 $a Morner, Stanley, $d 1910-
400 10 $a Stanley, Richard, $d 1910-
670 __ $a Katz, E. Film encyc., 1979 $b
(Morgan, Dennis; b. Dec. 30, 1910,
Prentice, Wis.; mid-30's used his r.n., Stanley
Morner, or the pseud. Richard Stanley; in
1939 became Dennis Morgan; actor, singer,
radio announcer, opera singer)
```




## Display of authority records: general

---

- If a keyword-in-record search of bibliographic records also matches a heading or reference in an authority record, provide an option for the catalog user to “jump” to the appropriate place in an alphabetical display of headings that includes reference structures.

20


SIRSI may be the only system to offer this option, but if it is available, take it!



## Display of authority records: general

---

- In a display of a single bibliographic record, hyperlink name or work headings to an alphabetical display of headings that includes reference structures.



## Display of authority records: general

---

- If possible, display reference structures with 0 postings if a heading exists in the database in subdivided form only (i.e., make suppression of reference structures with 0 postings optional and/or dependent on the existence of a given heading whether subdivided or alone)




## Display of authority records: general

---

FBI cross reference is only on the authority record for United States. Federal Bureau of Investigation.

If library has only publications of subdivisions of the agency but nothing from the agency itself, it is still going to need the cross reference




## Display of authority records: general

---

- Provide hyperlinks from displayed references; these hyperlinks should take the user to the appropriate place in a headings display (i.e., a display that includes the reference structure)






## Display of authority records: see references

---

- Name see references should display along with headings in any name headings search



## Display of authority records: see references

---

- In the cases where there are non-unique see-references, display all the possibilities
- NEA, see:
  - National Education Association of the United States
  - National Endowment for the Arts
  - Nepal Electricity Authority
  - New England Archivists



## Display of authority records: see also references

- Exercise one of the following options for the placement of see also references relative to headings:
- (1) Display all see/see-also references, both simple and complex, in the list of headings



## Display of authority records: see also references

- (2) Condense the reference information in the initial display, identifying and quantifying the options available
- (3) Provide a link or links to a display of the reference structure for a given heading, with the capability of launching a new search from within the display



## Display of authority records: see also references

---

- Missing links in multi-level links: make it possible to display 0-posting headings if any see-also references associated with the headings have postings



## Display of authority records: complex references

---

- If offered, exercise the option to display complex see and see also references “up front”—specifically the 663, 664 and 665 fields.



## Display of authority records: notes

---

- Do display general notes in authority records (e.g., 667, 680).
- Be sure to display 680 notes to the public



## Searching techniques

---

- Find out which searches in your system search authority records (cross references) and be sure to use them






## Searching techniques

---

- If searching is failing, try breaking the search into parts and searching one entity at a time, e.g., for a search for a musical work, search separately:
  - composer
  - work
  - work part



---

END OF MODULE 10

34

## Module 10 for reference librarians: Handout

**Keyword:** A set of characters bounded by spaces on either side (e.g., a word or a number). When referring to a search method, a search in which the order of the terms entered doesn't matter.

**Keyword-within-heading searching:** A type of search in which the user types in keywords that the system matches against the words in a single heading in a headings index in which headings are linked to bibliographic records. The matching of keywords to words in the heading is done without regard to order. The display that results is a display of headings.

### Two examples of keyword-within-heading searching

Examples of keyword-within-heading searches on two keywords, *waste* and *fuel* (user is interested in the use of waste products for fuel):

**Example 1.** A keyword-within-heading search that looks for two keywords to occur within the same heading subfield:

650 \_0 \$a **Waste** products as **fuel** \$v Abstracts.

Recommended initial results display: Summary display of headings matched

**Step 1:** The user does a keyword-within-heading search on *waste* and *fuel* in the subject heading index.

**Step 2:** The OPAC produces the following initial results display (a summary display of headings matched):

Line no. [available for selection]	Subject:	No. of records:
1.	Organic <b>waste</b> as <b>fuel</b> (term used in this catalogue: Waste products as fuel)	15
2.	<b>Waste</b> as <b>fuel</b> (terms used in this catalogue: Refuse as fuel)	13
3.	Waste products as fuel)	12
4.	<b>Waste</b> products as <b>fuel</b> <u>information about this term<sup>1</sup></u>	25

<sup>1</sup> This is a hyperlink to the authority record for this heading; see **Heading principle 2 and Recommendation S.1.1.4.**

5.	<p><u>5 subjects related to Waste products as fuel<sup>2</sup></u>  <span style="border: 1px solid black; padding: 2px;">Waste</span> products <span style="border: 1px solid black; padding: 2px;">fuel</span> production equipment industry  <u>information about this term</u>  <u>1 subject related to Waste products fuel production</u>  <u>equipment industry</u></p>	12
6.	<p><span style="border: 1px solid black; padding: 2px;">Waste</span> tires as <span style="border: 1px solid black; padding: 2px;">fuel</span>  <u>information about this term</u>  <u>1 subject related to Waste tires as fuel</u></p>	1
7.	<p>Wood <span style="border: 1px solid black; padding: 2px;">waste</span> as <span style="border: 1px solid black; padding: 2px;">fuel</span>  <u>information about this term</u>  <u>1 subject related to Wood waste as fuel</u></p>	2

**Step 3:** The user navigates through the headings display, selecting one or more headings of interest and inspecting the bibliographic records attached to those headings. When a heading with more than one posting is selected, a summary display of bibliographic records results, listing all bibliographic records with that heading. When a heading with one posting is selected, a single-record display of that bibliographic record results.

**Example 2.** A keyword-within-heading search that looks for two keywords to occur within the same heading field:

650 \_0 \$a Reactor fuel reprocessing \$x Waste disposal.

Recommended initial results display: Summary display of headings matched

**Step 1:** The user does a keyword-within-heading search on *waste* and *fuel* in the subject heading index.

**Step 2:** The OPAC produces the following initial results display (a summary display of headings matched):

Line no. [available for selection]	Subject:	No. of records:
1.	Organic <span style="border: 1px solid black; padding: 2px;">waste</span> as <span style="border: 1px solid black; padding: 2px;">fuel</span> (term used in this catalogue: Waste products as fuel)	15
2.	Reactor <span style="border: 1px solid black; padding: 2px;">fuel</span> reprocessing-- <span style="border: 1px solid black; padding: 2px;">Waste</span> disposal <u>information about this term</u> <u>1 subject related to Reactor fuel reprocessing--Waste disposal</u>	3

---

<sup>2</sup> This is a hyperlink to the see also references for this heading; see **Heading principle 2.**

3.	<b>Waste</b> as <b>fuel</b> (terms used in this catalogue: Refuse as fuel	13
4.	Waste products as fuel)	12
5.	<b>Waste</b> products as <b>fuel</b> <u>information about this term</u> <u>5 subjects related to Waste products as fuel</u>	25
6.	<b>Waste</b> products <b>fuel</b> production equipment industry <u>information about this term</u> <u>1 subject related to Waste products fuel production</u> <u>equipment industry</u>	12
7.	<b>Waste</b> tires as <b>fuel</b> <u>information about this term</u> <u>1 subject related to Waste tires as fuel</u>	1
8.	Wood <b>waste</b> as <b>fuel</b> <u>information about this term</u> <u>1 subject related to Wood waste as fuel</u>	2

**Step 3:** The user navigates through the headings display, selecting one or more headings of interest and inspecting the bibliographic records attached to those headings. When a heading with more than one posting is selected, a summary display of bibliographic records results, listing all bibliographic records with that heading. When a heading with one posting is selected, a single-record display of that bibliographic record results.

**Keyword-within-record searching:** A type of search in which the user types in keywords that the system matches without regard to order against all words in a single bibliographic record, or all words in a group of fields within a single bibliographic record, such as all fields containing subject terms or all title fields. The only possible result of such a search would be a direct display of bibliographic records matched, since the search can easily match words that are not in a heading field, or words that are in more than one heading field. Heretofore, systems have not applied this kind of searching to authority records, so generally cross-references are not matched on or retrieved when this kind of search is done.

**Example 1.** A keyword-within-record search that looks for two keywords to occur within particular fields within the same bibliographic record (here, within the subject heading fields):

```

110 1_ $a United States. $b Congress. $bHouse. $b Committee on
      Government Operations. $b Environment, Energy, and Natural
      Resources Subcommittee.
245 10 $a United States waste trade with Mexico and Canada.
650 _0 $a Hazardous waste management industry $z United
      States.

```

650 \_0 \$a **Fuel** trade \$z United States \$x Corrupt practices.

Only possible initial results display: Summary display of bibliographic records matched, here shown in order by work heading (with date order as an option that can be selected by the user)

**Step 1:** The user does a keyword-within-record search on *waste* and *fuel* in the subject heading fields.

**Step 2:** The OPAC produces the following initial results display (a summary display of bibliographic records):

1. Actinide recovery from waste and low-grade sources. 1982.
2. Agriculture, biomass, wind, new developments. 1976.
3. California Energy Commission. Nuclear fuel reprocessing and high level waste disposal. 1977-
4. California. Legislature. Assembly. Committee on Environmental Safety and Toxic Materials. Hearing on public health and environmental impacts of waste-to-energy facilities in the San Gabriel Valley. 1985.
5. Cervinka, Vaclav. Farming, the energy resource. 1979.
6. Cheremisinoff, Paul N. Energy from solid wastes. 1976.
7. A Chinese biogas manual. 1979.
- ..., etc.
95. United States. Congress. House. Committee on Government Operations. Environment, Energy, and Natural Resources Subcommittee. United States waste trade with Mexico and Canada. 1993.

Resort by date

**Step 3:** The user looks through the bibliographic records retrieved. When a bibliographic record is selected, a single-record display results.

**Example 2.** A keyword-within-record search that looks for two keywords to occur within any fields within the same bibliographic record:

- 245 00 \$a Disposal of radioactive **waste**.
- 260 \_\_ \$a Paris : \$b Nuclear Energy Agency, Organisation for Economic Co-operation and Development, \$c c1992.
- 505 0\_ \$a A comparison of sorption databases used in recent performance assessments / I.G. McKinley and A. Scholtis -- The selection and use of a sorption database for the geosphere model in the Canadian nuclear **fuel** waste management program / T.T. Vandergraaf, K.V. Ticknor, and T.W. Melnyk ...

Only possible initial results display: Summary display of bibliographic records matched, here shown in order by work heading (with date order as an option that can be selected by the user)

**Step 1:** The user does a keyword-within-record search on *waste* and *fuel*.

**Step 2:** The OPAC produces the following initial results display (a summary display of bibliographic records):

1. An analysis of the back end of the nuclear **fuel** cycle with emphasis on high-level **waste** management. 1977.
  2. Biomass handbook for the biomass conversion demonstration program. 1980.
  3. Bottiger, R. Ted. Municipal solid **waste** and energy resource recovery in Washington State. 1979.
  4. California. Air Resources Board. Project Assessment Branch. Staff report on a procedure relating to the determination of agricultural/forestry **waste** emission offset credits. 1987.
  5. California. Legislature. Assembly. Select Committee on Energy Alternatives in Agriculture. Transcript. 1982.
  6. Cassebeer, Jon Sabey. Wet air oxidation of biomass **waste** waters. 1983.
  7. Disposal of radioactive **waste** . 1992.
- ..., etc.

#### Resort by date

**Step 3:** The user looks through the bibliographic records retrieved. When a bibliographic record is selected, a single-record display results.

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*






# **BASIC CREATION OF NAME AND TITLE AUTHORITIES**

**Module 11: Module for  
System Designers**

1

Rev. January 6, 2005



# Outline

- 1. What you can do in software design to better support authority work:
  - Global modify
  - Import of national level records
  - Linking to national authority files
  - Normalization
  - Validation

2

Note that presentation should begin with the general introduction module (#1) (why authority work is important, etc.)



## Outline

---

2. What you can do in software design to empower users to benefit from authority work
  - Index design
  - Default searches
  - Display of authority records



## Global modify

---

- Link the authority record for any given heading to the bibliographic records in which the heading is used, whether it is used in a 1XX, 24X\*, 4XX\*, 6XX, 7XX or 8XX field.
- [\*protecting transcribed data in 245 and 440 from change, of course; see below]



## Global modify

---

- Provide catalogers with the ability to change the heading in an authority record and thereby automatically change that heading in all attached bibliographic records\*
- [\*protecting transcribed data in 245 and 440 from change, of course; see below]



## Global modify

---

- Provide catalogers with the ability to change the tags and/or indicators and/or subfield codes for a heading in an authority record and thereby automatically change the tags and/or indicators and/or subfield codes for that heading in all attached bibliographic records



## Global modify

---

- Ensure that transcribed fields (245, 440) are protected from global modify



## Global modify

---

- Hierarchical force
- When there is a change to the authority record for a main heading that has subdivisions, it should be possible for an authorities librarian to request a change to every occurrence of that main heading, whether the subdivisions are present or not, in every other authority record and every bibliographic record

8

Such a change should be considered carefully to ensure that entity change is not involved, rather than simple name change.





## Global modify

- Hierarchical force
- When there is a change to the authority record for a name heading that is also used in name-title headings, it should be possible for an authorities librarian to request a change to every occurrence of that name heading, whether a title subfield is present or not, in every other authority record and every bibliographic record

9

Such a change should be considered carefully to ensure that entity change is not involved, rather than simple name change. For example, if the old heading was:

Mollat, Michel. Pauvres au Moyen Age

and the new heading is:

Mollat, Michel. Pauvres au Moyen Age. \$I English

this is actually an entity change; the first heading represents the French expression and the second heading represents the English expression of this work.



## Global modify

- Hierarchical force
- Example:
- National Science Foundation
- Became
- National Science Foundation (U.S.)
- Probably to break a conflict with National Science Foundation (Colombo, Sri Lanka)
- It has many subdivisions (many other authority record begin with this heading)

10

Beware of entity change rather than name change; manual clean-up may be necessary in those cases.

If you are sure all names in your file are for the U.S. National Science Foundation, global modify should be safe?



## Global modify

---

- Hierarchical force
- When there is a change to the authority record for a corporate name heading that has corporate subdivisions, it should be possible for an authorities librarian to request a change to every occurrence of that corporate name heading, whether a corporate subdivision is present or not, in every other authority record and every bibliographic record

11

Such a change should be considered carefully to ensure that entity change is not involved, rather than simple name change.



## Global modify

---

- Hierarchical force
- [Note that this global modify capability should not be used when a corporate name change that represents a change in identity has taken place. Human editing must be used in that situation.]



## Global modify

---

- Hierarchical force
- When there is a change to the authority record for a geographic heading, it should be possible for an authorities librarian to trigger a change (under the librarian's review) to every occurrence of that geographic name used as a subdivision, in every other authority record and every bibliographic record



## Import of national level records

---

Authority librarians need to be able to import national level authority records as efficiently as possible

Local fields identified by \$5 subfields should be protected from overlay when national level authority records are imported and overlaid on existing local authority records



## Linking to national authority files

---

It would be helpful if vendors could make it possible for records to be linked to the national authority files so that changes made nationally are automatically made locally

15

I didn't get any feedback on this one, so I'm putting it in tentatively to try to stimulate some discussion (smile)--Martha



# Normalization

---

Follow NACO normalization rules, found on the Web at:

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





## Normalization

---

Do pay attention to MARC 21 tags and indicators

130 0 \_ \$a Cancer metastasis

is not the same as

450 \_0 \$a Cancer metastasis



## Normalization

---

Do pay attention to key pieces of punctuation such as commas, periods and parentheses

Note that in NACO normalization, the first internal comma in subfield \$a of a normalized field is retained as found



# Normalization

---

Example:

400 0\_ \$a Chung-hui (n79033696  
Zhonghui)

Is different from

400 1\_ \$a Chung, hui (n79141876 Zhong,  
Hui)



## Normalization

Do pay attention to presence or absence of subfield codes

Note that in NACO normalization, the subfield delimiter is retained but not the subfield code

20

Can anyone think of a good example in which two headings for two different entities are differentiated by presence or absence of a subfield code?

Unfortunately, NACO normalization makes the following two headings look identical:

X10 1\_ United States. \$b Army \$b Artillery

X10 1\_ United States. \$b Army \$x Artillery



# Validation

---

Headings to be validated should never be truncated



## Validation

---

Always report the following to catalogers:

1. The same heading is established in two different authority records
2. A 4XX field matches a 1XX field (in either the same authority record or a different authority record)



## Validation

---

Always report the following to catalogers:

3. A 4XX field matches a 5XX field (in either the same authority record or a different authority record)
4. A 5XX is not matched by a 1XX in another authority record



## Validation

---

Always report the following to catalogers:

5. A 1XX heading in an authority record is not used by any other authority or bibliographic record
6. A 1XX heading in an authority record is used in other authority records but not in any bibliographic records





## Validation

---

Always report the following to catalogers:

7. A 1XX heading in an authority record matches a 5XX in the same authority record
8. A 4XX in an authority record matches another 4XX in the same authority record



## Validation

---

Always report the following to catalogers:

9. A 5XX in an authority record matches another 5XX in the same authority record
10. A 4XX matches part of the 1XX in another authority record or in the same authority record



## Validation

---

Always report the following to catalogers:

11. A 4XX matches part of the 5XX in another authority record or in the same authority record
12. One authority record establishes a basic conference name; another authority record establishes the same name with \$n, \$d and/or \$c subfield(s)



## Validation

---

Always report the following to catalogers:

13. Headings in two authority records are the same except for subfield codes
14. Headings in two authority records are the same except for subfield codes; difference is \$v vs. \$x



## Validation

---

Always report the following to catalogers:

15. Personal name headings in two authority records are the same except for the first indicator
16. Corporate/conference name headings in two authority records are the same except for the first indicator



# Validation

---

Always report the following to catalogers:

17. A name or series heading in a bibliographic record does not have a corresponding authority record; include cases in which the heading only matches a 5XX field in an authority record
18. A name-title heading, including a name-title series heading, in a bibliographic record does not have a corresponding authority record



## Validation

---

Possible locations of name-title headings  
in bibliographic records:

1XX plus 240

if no 240 is present, 1XX plus 245

6XX plus \$t subfield

7XX plus \$t subfield

8XX plus \$t subfield



# Validation

---

Possible locations of name-title headings  
in authority records:

1XX plus \$t subfield

4XX plus \$t subfield

5XX plus \$t subfield





## Validation

---

Always report the following to catalogers:

19. Personal or corporate name headings in authority and bibliographic records are the same except for first indicator
20. A name, title or series heading in a bibliographic record has an unauthorized subfield

EXAMPLE:

600 10 \$a Hayworth, Rita, \$d 1918-1987 \$v  
Biography.



## Validation

---

Always report the following to catalogers:

21. A heading in a bibliographic record matches one or more 4XXs in authority records
22. A subdivision in a bibliographic record matches a 48X in a subdivision authority record



## Validation

---

Always report the following to catalogers:

23. A geographic subdivision (\$z) in a bibliographic record matches a 451 in a geographic authority record
24. A bibliographic main or added entry heading matches an established heading but the authority record is not coded for main/added use



## Validation

---

Always report the following to catalogers:

25. A bibliographic series heading matches an established heading but the authority record is not coded for series use
26. A bibliographic heading matches another heading in the same bibliographic record



## Validation

---

Always report the following to catalogers:

27. A bibliographic heading matches a heading on another bibliographic record except for subfield codes (including subfield \$v/\$x)
28. A name heading matches a name heading on another bibliographic record except for first indicators



## Validation

---

Always report the following to catalogers:

29. The heading in a bibliographic record matches the text in a 1XX or 4XX field in an authority record, but the tags do not correspond
30. There is an inconsistency between the numbering of a bibliographic series heading and the numbering information in the authority record



# Validation

---

Always report the following to catalogers:

31. There is an inconsistency between the series treatment of a bibliographic series heading and the series treatment information in the authority record
32. The matched authority record represents a non-unique name or is a provisional, preliminary or memorandum record



## Validation

---

33. Provide catalogers with the option to review all personal names without dates or qualifiers that are linked to more than one bibliographic record





## What you can do

---

- 2. What you can do in software design to empower users to benefit from authority work:
  - Index design
  - Default searches
  - Display of authority records



## Index design

---

Do not penalize users who choose to search headings indexes that include cross references by not allowing them to limit their searches



## Index design

---

Make it possible to apply limits but still provide access to the appropriate reference structures; and for each heading displayed, indicate the number of bibliographic records that have that heading *and* that conform to the limits applied



# Index design

---

- Personal name indexes
- Corporate name indexes
- Conference name indexes
- Work indexes



## Index design: personal name indexes

---

Keyword in heading searches that do not require the user to know the entry term or the order of terms, and that display matched headings rather than a list of bibliographic records

It is not intuitive for users to have to invert personal names when doing computer searches

Always include cross references from authority records in name heading indexes



## Index design: corporate name indexes

---

Keyword in heading searches that do not require the user to know the entry term, and that display matched headings rather than a list of bibliographic records

Users often have garbled citations for corporate bodies and shouldn't be required to know the order of terms in headings



## Index design: corporate name indexes

---

Corporate headings are often heavily constructed by catalogers, e.g. headings that begin with jurisdiction names; users can't be expected to know about this ahead of time (e.g. to look under United States for the FBI)

Always include cross references from authority records in corporate name heading indexes



## Index design: corporate name indexes

---

Display X51 headings and cross references (geographic headings) in *both* the name authority file and the subject authority file





## Index design: meeting name indexes

---

Keyword in heading searches that do not require the user to know the entry term, and that display matched headings rather than a list of bibliographic records

Use 008 fixed field codes to provide a subset for keyword in record searching



## Index design: meeting name indexes

---

Conference names are even more often garbled in citations than corporate names

Always include cross references from authority records in conference name heading indexes

# Index design: work indexes



Works have authority records, too!

Implications:

1. Allow institutions the option of displaying title cross references from authority records along with title headings from bibliographic records

## Index design: work indexes



Works have authority records, too!

Implications:

2. Allow institutions the option of suppressing marked titles from display

130 0\_ \$a Rebel (Television program : 1959-1962). \$p In memorium

245 00 \$a Rebel. \$p In memorium

52

The 245 title should not be placed in the title index, as it duplicates the 130 title. It is marked with the correct MARC 21 first indicator (0 means do not trace when a 1XX is present).

# Index design: work indexes



Works have authority records, too!

Implications:

3. Since name-title work authority records do not have cross references from the title alone, allow keyword in heading searching (match two or more keywords in any order within a field and display the heading matched)



## Default searches

---

- Personal authors
- Corporate bodies
- Conferences
- Works



## Default searches: personal authors

---

- Default staff search:
- left to right match with automatic truncation
- Default public search:
- keyword in heading search (no need to know entry terms or order of terms; no need to invert surname and forename) with display of matching headings rather than immediate display of bibliographic records



## Default searches: corporate bodies

---

- default search for both public and staff:
- keyword in heading search (no need to know entry terms or order of terms; no need to invert surname and forename) with display of matching headings rather than immediate display of bibliographic records





## Default searches: corporate bodies

---

- default search for both staff and public:
- keyword in heading search (no need to know entry terms or order of terms; no need to invert surname and forename) with display of matching headings rather than immediate display of bibliographic records



## Default searches: works

---

Only SIRSI provides the option to let users do a search using both author words and title words that matches on authority records, and few libraries exercise the option.

Such a search would be more attractive if the resultant displays differentiated among:

1. editions of the work sought, including editions of it that are contained in other works
2. works about the work sought
3. works related to the work sought, such as motion picture adaptations, sequels, etc.

## Display of authority records



- General
- Display of see references
- Display of see also references
- Display of complex references
- Display of notes
- NOTE: All recommendations apply to both staff and public displays



## Display of authority records: general

---

- Allow OPAC users to request the display of the full authority record for any heading:
  - a. from the preferred heading (1XX) wherever it appears, whether in a heading display or a single bibliographic record display
  - b. from any see (4XX) or see also (5XX) reference in a headings display



## Display of authority records: general

---

- Display of the full authority record will allow OPAC users to better identify the person, corporate body, etc. they are seeking when there is more than one entity by that name, and it has the potential of empowering them to construct Google-type Internet searches using all the name variants for a given entity (for example, in a Boolean OR search)



## Display of authority records: general

---

010 \_\_ \$a no90008923  
100 10 \$a Morgan, Dennis, \$d 1910-  
400 10 \$a Morner, Stanley, \$d 1910-  
400 10 \$a Stanley, Richard, \$d 1910-  
670 \_\_ \$a Katz, E. Film encyc., 1979 \$b  
(Morgan, Dennis; b. Dec. 30, 1910,  
Prentice, Wis.; mid-30's used his r.n., Stanley  
Morner, or the pseud. Richard Stanley; in  
1939 became Dennis Morgan; actor, singer,  
radio announcer, opera singer)

62



## Display of authority records: general

---

- If a keyword-in-record search of bibliographic records also matches a heading or reference in an authority record, provide an option for the catalog user to “jump” to the appropriate place in an alphabetical display of headings that includes reference structures.



## Display of authority records: general

---

- In a display of a single bibliographic record, hyperlink name or work headings to an alphabetical display of headings that includes reference structures.





## Display of authority records: general

---

- Preserve punctuation and capitalization in the display of headings and references (i.e., do not normalize the display)



## Display of authority records: general

---

- Use MARC 21 bibliographic tags to create meaningful arrays of name and work headings:
  - 1. Separate works by a person or corporate body from works about the person or corporate body
  - 2. Separate editions of a work (including editions contained within other works) from works about a work and from related works



## Display of authority records: general

---

- Make it possible to display reference structures with 0 postings if a heading exists in the database in subdivided form only (i.e., make suppression of reference structures with 0 postings optional and/or dependent on the existence of a given heading whether subdivided or alone)



## Display of authority records: general

---

FBI cross reference is only on the authority record for United States. Federal Bureau of Investigation.

If library has only publications of subdivisions of the agency but nothing from the agency itself, it is still going to need the cross reference



## Display of authority records: general

---

- Provide hyperlinks from displayed references; these hyperlinks should take the user to the appropriate place in a headings display (i.e., a display that includes the reference structure)



## Display of authority records: see references

- Name see references should display along with headings in any name headings search
- Libraries should be given the option to display title see references along with title headings in any title headings search
- Libraries should be given the option to have a name and title search that searches both authority records and bibliographic records



## Display of authority records: see references

- In the cases where there are non-unique see-references, display all the possibilities
- NEA, see:
  - National Education Association of the United States
  - National Endowment for the Arts
  - Nepal Electricity Authority
  - New England Archivists

## Display of authority records: see also references



- Systems should offer institutions an array of options for the placement of see also references relative to headings.
- Options that a system should ideally offer to an institution:
  - (1) Display all see/see-also references, both simple and complex, in the list of headings





## Display of authority records: see also references

---

- (2) Condense the reference information in the initial display, identifying and quantifying the options available
- (3) Provide a link or links to a display of the reference structure for a given heading, with the capability of launching a new search from within the display



## Display of authority records: see also references

---

- Missing links in multi-level links: make it possible to display 0-posting headings if any see-also references associated with the headings have postings

## Display of authority records: complex references




- Make it possible for an institution to choose to display complex see and see also references “up front”—specifically the 663, 664 and 665 fields.



## Display of authority records: notes

---

- Also, as an option, make it possible to display general notes (e.g., 667, 680).



---

End of Module 11

77

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Module 11: Module for system designers

### Handout on validation

Always report the following to catalogers:

1. The same heading is established in two different authority records
2. A 4XX field matches a 1XX field (in either the same authority record or a different authority record)
3. A 4XX field matches a 5XX field (in either the same authority record or a different authority record)
4. A 5XX is not matched by a 1XX in another authority record
5. A 1XX heading in an authority record is not used by any other authority or bibliographic record
6. A 1XX heading in an authority record is used in other authority records but not in any bibliographic records
7. A 1XX heading in an authority record matches a 5XX in the same authority record
8. A 4XX in an authority record matches another 4XX in the same authority record
9. A 5XX in an authority record matches another 5XX in the same authority record
10. A 4XX matches part of the 1XX in another authority record or in the same authority record
11. A 4XX matches part of the 5XX in another authority record or in the same authority record
12. One authority record establishes a basic conference name; another authority record establishes the same name with \$n, \$d and/or \$c subfield(s)
13. Headings in two authority records are the same except for subfield codes
14. Headings in two authority records are the same except for subfield codes; difference is \$v vs. \$x
15. Personal name headings in two authority records are the same except for the first indicator
16. Corporate/conference name headings in two authority records are the same except for the first indicator
17. A name or series heading in a bibliographic record does not have a corresponding authority record; include cases in which the heading only matches a 5XX field in an authority record
18. A name-title heading, including a name-title series heading, in a bibliographic record does not have a corresponding authority record
19. Personal or corporate name headings in authority and bibliographic records are the same except for first indicator
20. A name, title or series heading in a bibliographic record has an unauthorized subfield
21. A heading in a bibliographic record matches one or more 4XXs in authority records

22. A subdivision in a bibliographic record matches a 48X in a subdivision authority record
23. A geographic subdivision (\$z) in a bibliographic record matches a 451 in a geographic authority record
24. A bibliographic main or added entry heading matches an established heading but the authority record is not coded for main/added use
25. A bibliographic series heading matches an established heading but the authority record is not coded for series use
26. A bibliographic heading matches another heading in the same bibliographic record
27. A bibliographic heading matches a heading on another bibliographic record except for subfield codes (including subfield \$v/\$x)
28. A name heading matches a name heading on another bibliographic record except for first indicators
29. The heading in a bibliographic record matches the text in a 1XX or 4XX field in an authority record, but the tags do not correspond
30. There is an inconsistency between the numbering of a bibliographic series heading and the numbering information in the authority record
31. There is an inconsistency between the series treatment of a bibliographic series heading and the series treatment information in the authority record
32. The matched authority record represents a non-unique name or is a provisional, preliminary or memorandum record
33. Provide catalogers with the option to review all personal names without dates or qualifiers that are linked to more than one bibliographic record



## **APPENDIX A**

### **Selected MARC 21 Content Designation for Name and Title Authority Records**

#### **008 – Fixed-length data elements**

##### **008/06 : Direct or Indirect Geographic Subdivision**

n Not applicable

##### **008/09 : Kind of Record**

a Established heading  
g Reference record

##### **008/10 : Descriptive Cataloging Rules**

c AACR2

##### **008/11 : Subject Heading System / Thesaurus**

a Library of Congress Subject Headings (code “a” if the name can be used as a subject)  
n Not applicable (code “n” if the name cannot be used as a subject, as with some names of jurisdictions)

##### **008/12 : Type of Series**

n Not applicable

##### **008/13 : Numbered or Unnumbered Series**

n Not applicable

##### **008/14 : Heading Use—Main or Added Entry**

a Appropriate for use as a main or added entry in a bibliographic record

##### **008/15 : Heading Use—Subject Added Entry**

a Appropriate (if the name can be used as a subject)  
b Not appropriate (used if the name cannot be used as a subject (as with some names of jurisdictions))

##### **008/16 : Heading Use—Series Added Entry**

b Not appropriate

##### **008/17 : Type of Subject Subdivision**

n Not applicable

##### **008/28 : Type of Government Agency**

| No attempt to code (this is not coded in NACO practice)

**008/29 : Reference Evaluation**

- a Tracings are consistent with the heading
- n Not applicable (if there are no 4XX or 5XX reference tracings)

**008/32 : Undifferentiated Personal Name**

- a Differentiated personal name (100 field represents one and only one person)
- b Undifferentiated personal name (100 field represents two or more persons)
- n Not applicable (so coded for corporate body names)

**008/33 : Level of Establishment**

- a Fully established
- c Provisional

**008/39 : Cataloging Source**

- \_ National bibliographic agency (e.g., Library of Congress)
- c Cooperative cataloging program
- d Other

**Variable data fields****010 : Library of Congress Control Number**

- First indicator: blank
- Second indicator: blank
- \$a LC/NACO control number
- \$z Canceled/invalid LC control number

**040 : Cataloging Source**

- First indicator: blank
- Second indicator: blank
- \$a MARC 21 symbol/code of original cataloging agency
- \$b language of the catalog for which the record is intended (use code from MARC code list, e.g., “eng” for English)
- \$c MARC 21 symbol/code of transcribing agency
- \$d MARC 21 symbol/code of modifying agency

**053 : LC Classification (used primarily for literary author numbers)**

- First indicator: blank
- Second indicator: Source of call number: 0 = Assigned by LC; 4 = Assigned by agency other than LC
- \$a Classification number element—single number or beginning of a span
- \$b Classification number element—ending number of a span
- \$c Explanatory term

**082 : Dewey Decimal Call Number (used primarily for literary author numbers)**

- First indicator: Type of edition: 0 = Full; 1 = Abridged

Second indicator: Source of call number: 0 = Assigned by LC; 4 = Assigned by agency other than LC

\$a Classification number  
\$2 Edition number of DDC

**1XX : Established Heading**

100 : Heading—Personal Name (and uniform title with associated personal name)  
First indicator: 0 – forename; 1 – surname.

Second indicator: blank

110 : Heading—Corporate Name (and uniform title with associated corporate name)

First indicator: 1 – jurisdiction name; 2 – other name in direct order

Second indicator: blank

111 : Heading—Meeting Name

First indicator: 2 – name in direct order

Second indicator: blank

130 : Heading—Uniform Title (without associated personal or corporate name)

First indicator: blank

Second indicator: 0-9 (nonfiling characters)

151 : Heading—Name of Jurisdiction

First indicator: blank

Second indicator: blank

*See below 5XX for subfield definitions*

**4XX : See From / UF (Used For) Tracings**

400 : See From Tracing—Personal Name (and uniform title with associated personal name)

First indicator: 0 – forename; 1 – surname.

Second indicator: blank

410 : See From Tracing—Corporate Name (and uniform title with associated corporate name)

First indicator: 1 – jurisdiction name; 2 – other name in direct order

Second indicator: blank

411 : See From Tracing—Meeting Name

First indicator: 2 – name in direct order

Second indicator: blank

430 : See From Tracing—Uniform Title (without associated personal or corporate name)

First indicator: blank

Second indicator: 0-9 (nonfiling characters)

451 : See From Tracing—Name of Jurisdiction

First indicator: blank

Second indicator: blank

*See below 5XX for subfield definitions*

**5XX : See Also From Tracings**

- 500 : See Also From Tracing—Personal Name (and uniform title with associated personal name)  
First indicator: 0 – forename; 1 – surname.  
Second indicator: blank
- 510 : See Also From Tracing—Corporate Name (and uniform title with associated corporate name)  
First indicator: 1 – jurisdiction name; 2 – other name in direct order  
Second indicator: blank
- 511 : See Also From Tracing—Meeting Name  
First indicator: 2 – name in direct order  
Second indicator: blank
- 530 : See Also From Tracing—Uniform Title (without associated personal or corporate name)  
First indicator: blank  
Second indicator: 0-9 (nonfiling characters)
- 551 : See Also From Tracing—Name of Jurisdiction  
First indicator: blank  
Second indicator: blank

### **1XX, 4XX, 5XX subfields**

#### **X00 : Subfields**

- \$a – personal name (including surname and/or forename)
- \$d – dates associated with name
- \$q – fuller form of name
- The following subfields are used with name/title uniform titles*
- \$f – date of work
- \$k – form (used for “Selections” as part of a UT for an individual work)
- \$l – language (of translation)
- \$n – number of part or section of a work
- \$p – name of part or section of a work
- \$t – title

#### **X10 : Subfields**

- \$a – Corporate name
- \$b – Subordinate unit
- The following subfields are used with meeting names entered subordinately*
- \$c – Location of meeting
- \$d – Date of meeting
- \$n – Number of meeting
- The following subfields are used with name/title uniform titles*
- \$f – date of work
- \$k – form (used for “Selections” as part of a UT for an individual work)
- \$l – language (of translation)
- \$n – number of part or section of a work
- \$p – name of part or section of a work
- \$t – title

**X11 : Subfields**

- \$a – Meeting name
- \$c – Location of meeting
- \$d – Date of meeting
- \$e – Subordinate unit
- \$n – Number of meeting

**X30 : Subfields**

- \$a – uniform title
- \$f – date of work
- \$k – form (used for “Selections” as part of a UT for an individual work)
- \$l – language (of translation)
- \$n – number of part or section of a work
- \$p – name of part or section of a work

**X51 : Subfields**

- \$a – name of jurisdiction

**5XX subfields : in addition to the above,**

- \$w – control subfield
  - Position 1 (also called byte 0) – Special relationship to the entity represented in the 1XX field:
    - a – earlier heading
    - b – later heading

**667 : Nonpublic General Note**

- First indicator: blank
- Second indicator: blank
- \$a - note

**670 : Source Data Found**

- First indicator: blank
- Second indicator: blank
- \$a – Source citation
- \$b – Information found

**675 : Source Data Not Found**

- First indicator: blank
- Second indicator: blank
- \$a – source citation

**781 : Subdivision Linking Entry – Geographic Subdivision**

- First indicator: blank
- Second indicator: Thesaurus: 0 (LCSH or LC/NACO Authority File)
- \$z Geographic subdivision

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## APPENDIX B Sample Authority Records

### Personal Name : OCLC Display

**AR#** 322461

<a href="#">Rec stat</a>	c	Entered	19800709	Replaced	20040623033151.0
<a href="#">Type</a>	z	<a href="#">Upd status</a>	a	<a href="#">Enc lvl</a>	n
<a href="#">Roman</a>	■	<a href="#">Ref status</a>	a	<a href="#">Mod rec</a>	
<a href="#">Govt agn</a>	■	<a href="#">Auth status</a>	a	<a href="#">Subj</a>	a
<a href="#">Series</a>	n	<a href="#">Auth/ref</a>	a	<a href="#">Geo subd</a>	n
<a href="#">Ser num</a>	n	<a href="#">Name</a>	a	<a href="#">Subdiv tp</a>	n
<a href="#">Source</a>		<a href="#">Name use</a>	a	<a href="#">Subj use</a>	a
<a href="#">Ser use</a>	b	<a href="#">Rules</a>	c		

010		n 79090096
040		DLC #b eng #c DLC #d DLC #d MdU #d OCoLC #d CSt-HC #d UPB
053	0	PS3545.I6365
100	1	Williams, Tennessee, #d 1911-1983
400	1	Williams, Thomas Lanier, #d 1911-1983
400	1	Uilī`a`ms, Tennesi, #d 1911-1983
400	1	Vilyams, Tenesi, #d 1911-1983
670		His The Glass menagerie, 1945.
670		His Stopped rocking and other screenplays, 1984: #b CIP t.p. (Tennessee Williams) data sheet (d. 1983)
670		His "Stekli`a`nnyĩ zverinet`s`" i eshche devi`a`t' p'es (MI) 1967: #b t.p. (Tennesi Uilī`a`ms)
670		Bevar ha-zekhukhit, 1973: #b t.p. (Tenesi Vilyams) t.p. verso (Tennessee Williams [in rom.])
670		Contemporary Authors, via WWW, June 21, 2004 #b (Thomas Lanier Williams; b. March 26, 1911, Columbus, MS; d. Feb. 24, 1983, at Hotel Elysee, New York, NY; Playwright, novelist, short story writer, and poet)

## Personal Name : LC Display

http://authorities.loc.gov - MARC Display (Library of Congress Authorities) - Mozilla Firefox

The Library of Congress >> Go to Library of Congress Online Catalog

### LIBRARY OF CONGRESS AUTHORITIES

Help | New Search | Search History | Headings List | Start Over

◀ Previous Next ▶

MARC Display Labelled Display

**LC Control Number:** n 79090096

**HEADING:** Williams, Tennessee, 1911-1983

000 01251cz a2200265n 450

001 2824028

005 20040623033151.0

008 800709n| acannaabn |a aaa

010 \_\_ |a n 79090096

035 \_\_ |a (OCoLC)oca00322461

035 \_\_ |a (DLC)n 79090096

040 \_\_ |a DLC |b eng |c DLC |d DLC |d MdU |d OCoLC |d CSt-HC |d UPB

053 \_0 |a PS3545.I5365

100 1\_ |a Williams, Tennessee, |d 1911-1983

400 1\_ |a Williams, Thomas Lanier, |d 1911-1983

400 1\_ |a Uil'i`a`ms, Tennesi, |d 1911-1983

400 1\_ |a Vilyams, Tenesi, |d 1911-1983

670 \_\_ |a His The Glass menagerie, 1945.

670 \_\_ |a His Stopped rocking and other screenplays, 1984: |b CIP t.p. (Tennessee Williams) data sheet (d. 1983)

670 \_\_ |a His "Stekli`a`nny`i zverinet`s`" i eshche devi`a`t' p'es (MI) 1967: |b t.p. (Tennesi Uil'i`a`ms)

670 \_\_ |a Bevar ha-zekhukhit, 1973: |b t.p. (Tenesi Vilyams) t.p. verso (Tennessee Williams [in rom.])

670 \_\_ |a Contemporary Authors, via WWW, June 21, 2004 |b (Thomas Lanier Williams; b. March 26, 1911, Columbus, MS; d. Feb. 24, 1983, at Hotel Elysee, New York, NY; Playwright, novelist, short story writer, and poet)

952 \_\_ |a RETRO

952 \_\_ |a Death date added per B.R. Tucker, 3-15-89

953 \_\_ |a xx00 |b ta06

◀ Previous Next ▶

Done



## Uniform Title : OCLC Display

ARN 460986

<a href="#">Rec stat</a>	c	Entered	19801114	Replaced	20050419145644.0
<a href="#">Type</a>	z	<a href="#">Upd status</a>	a	<a href="#">Enc lvl</a>	n
<a href="#">Roman</a>	■	<a href="#">Ref status</a>	a	<a href="#">Mod rec</a>	
<a href="#">Govt agn</a>	■	<a href="#">Auth status</a>	a	<a href="#">Subj</a>	a
<a href="#">Series</a>	n	<a href="#">Auth/ref</a>	a	<a href="#">Geo subd</a>	n
<a href="#">Ser num</a>	n	<a href="#">Name</a>	n	<a href="#">Subdiv tp</a>	n
				<a href="#">Source</a>	
				<a href="#">Name use</a>	a
				<a href="#">Subj use</a>	a
				<a href="#">Ser use</a>	b
				<a href="#">Rules</a>	c

010		n 80079669
040		DLC #b eng #c DLC #d DLC #d UPB #d DLC
130	0	Casablanca (Motion picture)
430	0	Everybody comes to Rick's
670		Koch, H. Casablanca, 1973.
670		Internet movie database, via the WWW, June 21, 2004 #b (Casablanca; orig. script title: Everybody comes to Rick's)

## Uniform Title : LC Display

The screenshot shows a web browser window displaying the Library of Congress Authorities page for the record n 80079669. The browser's address bar shows the URL <http://authorities.loc.gov>. The page header includes the Library of Congress logo and the title "LIBRARY OF CONGRESS AUTHORITIES". Navigation buttons for "MARC Display" and "Labelled Display" are visible, with "MARC Display" currently selected. The main content area displays the following MARC record:

LC Control Number: n 80079669  
 HEADING: Casablanca (Motion picture)  
 000 00537cz a2200169n 450  
 001 1440662  
 005 20050419145644.0  
 008 801114n| acannaab |a ana  
 010 \_\_ |a n 80079669  
 035 \_\_ |a (DLC)n 80079669  
 040 \_\_ |a DLC |e DLC |d DLC |d UPB |d DLC  
 130 \_0 |a Casablanca (Motion picture)  
 430 \_0 |a Everybody comes to Rick's  
 670 \_\_ |a Koch, H. Casablanca, 1973.  
 670 \_\_ |a Internet movie database, via the WWW, June 21, 2004 |b (Casablanca, orig. script title: Everybody comes to Rick's)  
 952 \_\_ |a RETRO  
 953 \_\_ |a xx00 |b ym09

At the bottom of the page, there is a section titled "Save, Print or Email Records (View [Help](#))". It contains a dropdown menu for "Select Download Format:" set to "Text (Labelled Display)", a "Press to SAVE or PRINT" button, and a text input field for "Email Text (Labelled Display) to:" with a "Press to SEND EMAIL" button.

## Uniform Title (Name/Title) : OCLC Display

The screenshot shows the OCLC Connexion interface for an authority record. The title bar reads "OCLC Connexion - [Online LC Authority File: Twain, Mark, 1835-1910. Adventures of Huckleberry ...]". The menu bar includes File, Cataloging, Authorities, Edit, Action, Batch, View, Tools, Window, and Help. The toolbar contains various icons for editing and viewing. Below the toolbar, there are dropdown menus for "Text Strings" and "User Tools".

The main content area displays the following information:

[ARN](#) 364098

<a href="#">Rec stat</a>	c	Entered	19791115	Replaced	20010524140018.0
<a href="#">Type</a>	z	<a href="#">Upd status</a>	a	<a href="#">Enc lvl</a>	n
<a href="#">Roman</a>	■	<a href="#">Ref status</a>	a	<a href="#">Mod rec</a>	
<a href="#">Govt agn</a>	■	<a href="#">Auth status</a>	a	<a href="#">Subj</a>	a
<a href="#">Series</a>	n	<a href="#">Auth/ref</a>	a	<a href="#">Geo subd</a>	n
<a href="#">Ser num</a>	n	<a href="#">Name</a>	a	<a href="#">Subdiv tp</a>	n
				<a href="#">Source</a>	
				<a href="#">Name use</a>	a
				<a href="#">Subj use</a>	a
				<a href="#">Ser use</a>	b
				<a href="#">Rules</a>	c

010			n 79132705 #z n 79125030
040			DLC #b eng #c DLC #d DLC #d OrU #d DLC
100	1		Twain, Mark, #d 1835-1910. #t Adventures of Huckleberry Finn
400	1		Twain, Mark, #d 1835-1910. #t Adventures of Huckleberry Finn (Tom Sawyer's comrade)
400	1		Twain, Mark, #d 1835-1910. #t Huckleberry Finn
400	1		Twain, Mark, #d 1835-1910. #t Annotated Huckleberry Finn
670			His Tom Sawyer and Huckleberry Finn, 1979, c1980: #b t.p. (containing the complete texts of ... The adventures of Huckleberry Finn)
670			Twain, M. The adventures of Huckleberry Finn (Tom Sawyer's comrade), 1884.
670			The annotated Huckleberry Finn, 1981.

## Uniform Title (Name/Title) : LC Display

The screenshot shows a web browser window displaying the Library of Congress Authorities MARC Display page. The browser's address bar shows the URL: <http://authorities.loc.gov>. The page header includes the Library of Congress logo and the text "LIBRARY OF CONGRESS AUTHORITIES". Below the header are navigation buttons: "Help", "New Search", "Search History", "Headings List", and "Start Over". There are also "Previous" and "Next" navigation arrows, and two display options: "MARC Display" (selected) and "Labelled Display".

The main content area displays the following information:

**LC Control Number:** n 79132705

**HEADING:** Twain, Mark, 1835-1910. Adventures of Huckleberry Finn

000 00893cz a2200205n 450  
 001 500804  
 005 20010524140018.0  
 008 791115n| acannaab |a aaa  
 010 \_\_ |a n 79132705 |z n 79125030  
 035 \_\_ |a (OCoLC)oca00364098  
 035 \_\_ |a (DLC)n 79132705  
 040 \_\_ |a DLC |e DLC |d DLC |d OrU |d DLC  
 100 1\_ |a Twain, Mark, |d 1835-1910. |t Adventures of Huckleberry Finn  
 400 1\_ |a Twain, Mark, |d 1835-1910. |t Adventures of Huckleberry Finn (Tom Sawyer's comrade)  
 400 1\_ |a Twain, Mark, |d 1835-1910. |t Huckleberry Finn  
 400 1\_ |a Twain, Mark, |d 1835-1910. |t Annotated Huckleberry Finn  
 670 \_\_ |a His Tom Sawyer and Huckleberry Finn, 1979, c1980: |b t.p. (containing the complete texts of ... The adventures of Huckleberry Finn)  
 670 \_\_ |a Twain, M. The adventures of Huckleberry Finn (Tom Sawyer's comrade), 1884.  
 670 \_\_ |a The annotated Huckleberry Finn, 1981.  
 953 \_\_ |a be20 |b lk19

At the bottom of the page, there are "Previous" and "Next" navigation arrows, and a button labeled "Save, Print or Email Records (View [Help](#))".

## Corporate Name : OCLC Display

The screenshot shows the OCLC Connexion interface for an authority record. The window title is "OCLC Connexion - [Online LC Authority File: Frank Erwin Center]". The menu bar includes File, Cataloging, Authorities, Edit, Action, Batch, View, Tools, Window, and Help. The toolbar contains various icons for editing and viewing records. Below the toolbar, there are dropdown menus for "Text Strings" and "User Tools".

The main content area displays the following information:

[ARN](#) 2426491

<a href="#">Rec_stat</a>	n	Entered	19881104	Replaced	19881219151446.6
<a href="#">Type</a>	z	<a href="#">Upd status</a>	a	<a href="#">Enc lvl</a>	n
<a href="#">Roman</a>	■	<a href="#">Ref status</a>	a	<a href="#">Mod rec</a>	
<a href="#">Govt agn</a>	■	<a href="#">Auth status</a>	a	<a href="#">Subj</a>	a
<a href="#">Series</a>	n	<a href="#">Auth/ref</a>	a	<a href="#">Geo subd</a>	n
<a href="#">Ser num</a>	n	<a href="#">Name</a>	n	<a href="#">Subdiv tp</a>	n
		<a href="#">Source</a>		<a href="#">Name use</a>	a
		<a href="#">Subj use</a>		<a href="#">Ser use</a>	b
		<a href="#">Rules</a>			c

010		n 88672822
040		TxU #b eng #c TxU
110	2	Frank Erwin Center
410	2	Erwin Center
410	2	University of Texas Frank Erwin Center
410	2	University of Texas at Austin. #b Frank Erwin Center
670		Applause magazine, Mar. 1988: #b t.p. (Frank Erwin Center) p. 3 (University of Texas Frank Erwin Center; Austin, Texas)

## Corporate Name : LC Display

The screenshot shows a web browser window displaying the MARC Display page for the Library of Congress Authorities. The browser's address bar shows the URL <http://authorities.loc.gov>. The page header includes the Library of Congress logo and the text "LIBRARY OF CONGRESS AUTHORITIES". Navigation buttons for "Help", "New Search", "Search History", "Headings List", and "Start Over" are present, along with "Previous" and "Next" arrows. Below these are buttons for "MARC Display" and "Labelled Display".

The main content area displays the following information:

LC Control Number: n 88672822

HEADING: Frank Erwin Center

000 00556nz a2200169n 450

001 4420084

005 19881219151446.6

008 881104n| acannaab |a ana c

010 \_\_ |a n 88672822

035 \_\_ |a (DLC)n 88672822

040 \_\_ |a TxU |c TxU

110 20 |a Frank Erwin Center

410 20 |a Erwin Center

410 20 |a University of Texas Frank Erwin Center

410 20 |a University of Texas at Austin. |b Frank Erwin Center

670 \_\_ |a Applause magazine, Mar. 1988: |b t.p. (Frank Erwin Center) p. 3 (University of Texas Frank Erwin Center, Austin, Texas)

953 \_\_ |a bz81

Navigation buttons: < Previous Next >

Save, Print or Email Records (View [Help](#))

Select Download Format: Text (Labelled Display)

Email Text (Labelled Display) to:

Help - Search - Search History - Headings List - Start Over

## Meeting Name : OCLC Display

The screenshot shows the OCLC Connexion interface with the following details:

- Window Title:** OCLC Connexion - [Online LC Authority File: IEEE International Conference on Consumer and Indu...]
- Menu Bar:** File, Cataloging, Authorities, Edit, Action, Batch, View, Tools, Window, Help
- Toolbar:** Includes icons for search, edit, and other database functions.
- Text Strings:** 1-10, User Tools
- Record ID:** ARN 1785949
- Record Fields:**

<a href="#">Rec_stat</a>	n	Entered	19870209	Replaced	19870209111607.7
<a href="#">Type</a>	z	<a href="#">Upd status</a>	a	<a href="#">Enc lvl</a>	n
<a href="#">Roman</a>	■	<a href="#">Ref status</a>	a	<a href="#">Mod rec</a>	
<a href="#">Govt agn</a>	■	<a href="#">Auth status</a>	d	<a href="#">Subj</a>	a
<a href="#">Series</a>	n	<a href="#">Auth/ref</a>	a	<a href="#">Geo subd</a>	n
<a href="#">Ser num</a>	n	<a href="#">Name</a>	n	<a href="#">Subdiv tp</a>	n
				<a href="#">Source</a>	
				<a href="#">Name use</a>	a
				<a href="#">Subj use</a>	a
				<a href="#">Ser use</a>	b
				<a href="#">Rules</a>	c
- Authority List:**

010			n 87807265
040			DLC #b eng #c DLC
111	2		IEEE International Conference on Consumer and Industrial Electronics and Applications #d (1984 : #c Singapore)
411	2		International Conference on Consumer and Industrial Electronics and Applications, IEEE
411	2		Conference on Consumer and Industrial Electronics and Applications, IEEE International
670			nuc86-109429: Its Tencon '84, 1984 #b (hdg. on AzU rept.: IEEE International Conference on Consumer and Industrial Electronics and Applications (1984 : Singapore); usage: IEEE International Conference on Consumer and Industrial Electronics and Applications, April 17-19, 1984, Singapore)

## Meeting Name : LC Display

The Library of Congress >> [Go to Library of Congress Online Catalog](#)

### LIBRARY OF CONGRESS AUTHORITIES

[Help](#) | [New Search](#) | [Search History](#) | [Headings List](#) | [Start Over](#)

◀ Previous
Next ▶

MARC Display
Labelled Display

**LC Control Number:** n 87807265

**HEADING:** IEEE International Conference on Consumer and Industrial Electronics and Applications (1984 : Singapore)

000 00866nz a2200157n 450

001 655694

005 19870209111607.7

008 870209n| acannaab |a and

010 \_\_ |a n 87807265

035 \_\_ |a (DLC)n 87807265

040 \_\_ |a DLC |c DLC

111 20 |a IEEE International Conference on Consumer and Industrial Electronics and Applications |d (1984 : |c Singapore)

411 20 |a International Conference on Consumer and Industrial Electronics and Applications, IEEE

411 20 |a Conference on Consumer and Industrial Electronics and Applications, IEEE International

670 \_\_ |a nuc86-109429: Its Tencon '84, 1984 |b (hdg. on AzU rept.: IEEE International Conference on Consumer and Industrial Electronics and Applications (1984 : Singapore); usage: IEEE International Conference on Consumer and Industrial Electronics and Applications, April 17-19, 1984, Singapore)

953 \_\_ |a nf04

◀ Previous      Next ▶

**Save, Print or Email Records (View [Help](#))**

Select Download Format: Text (Labelled Display) Press to SAVE or PRINT

Email Text (Labelled Display) to:  Press to SEND EMAIL

[Help](#) - [Search](#) - [Search History](#) - [Headings List](#) - [Start Over](#)



## Jurisdiction Name : OCLC Display

The screenshot shows the OCLC Connexion interface for an authority record. The window title is "OCLC Connexion - [Online LC Authority File: British Honduras]". The menu bar includes File, Cataloging, Authorities, Edit, Action, Batch, View, Tools, Window, and Help. The toolbar contains various icons for editing and viewing records. Below the toolbar, there are dropdown menus for "Text Strings" and "User Tools".

The main content area displays the following information:

[ARN](#) 358479

<a href="#">Rec_stat</a>	c	Entered	19791101	Replaced	20030215071224.0
<a href="#">Type</a>	z	<a href="#">Upd_status</a>	a	<a href="#">Enc_ivl</a>	n
<a href="#">Roman</a>	■	<a href="#">Ref_status</a>	a	<a href="#">Mod_rec</a>	
<a href="#">Govt_agy</a>	■	<a href="#">Auth_status</a>	a	<a href="#">Subj</a>	n
<a href="#">Series</a>	n	<a href="#">Auth/ref</a>	a	<a href="#">Geo_subd</a>	n
<a href="#">Ser_num</a>	n	<a href="#">Name</a>	n	<a href="#">Subdiv_tp</a>	n
				<a href="#">Source</a>	
				<a href="#">Name_use</a>	a
				<a href="#">Subj_use</a>	b
				<a href="#">Ser_use</a>	b
				<a href="#">Rules</a>	c

010		n 79126945
040		DLC #b eng #c DLC #d DLC #d WaU
043		ncbh—
151		British Honduras
451		Balize
451		Belice
551		Belize #w b
667		SUBJECT USAGE: This heading is not valid for use as a subject. Works about this place are entered under Belize.

## Jurisdiction Name : LC Display

The screenshot shows a web browser window displaying the Library of Congress Authorities page for LC Control Number n 79126945. The page features a header with the Library of Congress logo and navigation links. Below the header, there are buttons for 'MARC Display' and 'Labelled Display'. The main content area displays the following information:

LC Control Number: n 79126945  
 HEADING: British Honduras  
 000 00538cz a2200193n 450  
 001 500252  
 005 20030215071224.0  
 008 791101n| acnnabbn |a ana  
 010 \_\_ |a n 79126945  
 035 \_\_ |a (OCoLC)oca00358479  
 040 \_\_ |a DLC |b eng |c DLC |d DLC |d WaU  
 043 \_\_ |a ncbh---  
 151 \_\_ |a British Honduras  
 451 \_\_ |a Balize  
 451 \_\_ |a Belice  
 551 \_\_ |w b |a Belize  
 667 \_\_ |a SUBJECT USAGE: This heading is not valid for use as a subject. Works about this place are entered under Belize.  
 952 \_\_ |a RETRO  
 953 \_\_ |a xx00 |b fj21

At the bottom of the page, there is a section titled 'Save, Print or Email Records (View Help)'. It includes a dropdown menu for 'Select Download Format' set to 'Text (Labelled Display)', a 'Press to SAVE or PRINT' button, and an 'Email Text (Labelled Display) to:' field with a 'Press to SEND EMAIL' button.

## APPENDIX C

### Bibliography

#### Books and Periodicals: General

*Anglo-American Cataloging Rules*. 2nd ed., 2002 revision. Chicago: American Library Association, 2002.

*Cataloging Service Bulletin*. Washington, D.C.: Library of Congress, 1978- Quarterly. ISSN 0160-8029

Furrie, Betty. *Understanding MARC Bibliographic: Machine-Readable Cataloging*. 7<sup>th</sup> ed. Washington, D.C.: Cataloging Distribution Service, 2003.

*Library of Congress Rule Interpretations*. 2nd ed. Washington, D.C.: Cataloging Distribution Service, 1989. 2v. (loose-leaf).

*MARC 21 Concise Formats*. 2003 ed. Washington, D.C.: Cataloging Distribution Service, 2003.

*MARC 21 Format for Authority Data*. 1999 ed. Washington, D.C.: Cataloging Distribution Service, 1999. 2v. (loose-leaf)

*MARC 21 Format for Bibliographic Data*. 1999 ed. Washington, D.C.: Cataloging Distribution Service, 1999. 2v. (loose-leaf)

Maxwell, Robert L. *Maxwell's Guide to Authority Work*. Chicago, Ill. : American Library Association, 2002.

Taylor, Arlene G. *The Organization of Information*. 2nd ed. Westport, Conn.: Libraries Unlimited, 2004.

*Understanding MARC Authority Records: Machine-Readable Cataloging*. Washington, D.C.: Cataloging distribution Service, 2004.

#### Online Resources

Alphabetic list of ambiguous entities (i.e., is it a subject or a name?)  
<http://www.loc.gov/catdir/pcc/saco/alpha405.html>

*Cataloger's Desktop*. Washington, D.C.: Cataloging Distribution Service, 1994.  
Available by subscription, CD-ROM or Web version. Updated quarterly. ISSN 1073-4929.  
Also available as CD-ROM.

Includes several tools used in this workshop: *AACR2*, *LCRIs*, *MARC Formats*, *NACO Participants' Manual*

*Classification Web*. Available by subscription. See <http://classweb.loc.gov>

*Library of Congress Authorities*. <http://authorities.loc.gov>

*Library of Congress Online Catalog*. <http://catalog.loc.gov>

MARC Standards. <http://lcweb.loc.gov/marc>

NACO (from the PCC home page). <http://www.loc.gov/catdir/pcc/naco/naco.html>

NACO Participants' Manual. <http://www.loc.gov/catdir/pcc/naco/npm3rd.pdf>

### **A Few Useful (and Free!) Online Databases for Name Authority Work**

FamilySearch (extensive genealogical databases, including birth and death dates)  
[www.familysearch.org](http://www.familysearch.org)

GEOnet Names Server (place names outside the United States)  
<http://earth-info.nga.mil/gns/html/index.html>

Getty Thesaurus of Geographic Names Online  
[http://www.getty.edu/research/conducting\\_research/vocabularies/tgn/index.html](http://www.getty.edu/research/conducting_research/vocabularies/tgn/index.html)


The Internet Movie Database (extensive list of motion pictures, actors, directors, etc.)  
<http://www.imdb.com/>

SACO list of geographic databases  
<http://www.loc.gov/catdir/pcc/saco/resources.html#GEOG>

Social Security Death Index (includes birth and death dates of deceased persons who had social security numbers)  
<http://www.death-records.net/ssdi.htm>

Union List of Artist Names Online (from the Getty)  
[http://www.getty.edu/research/conducting\\_research/vocabularies/ulan/index.html](http://www.getty.edu/research/conducting_research/vocabularies/ulan/index.html)

USGS National Mapping Information (GNIS) (place names inside the United States)  
<http://geonames.usgs.gov/pls/gnispublic>




---

## EXERCISES

### 1-10

Identify the cataloging principle being applied in each of these cases

1



---

## Exercise 1: answers

**110 1\_ \$a United States. \$b Central Intelligence Agency**  
**410 2\_ \$a CIA**

**110 1\_ \$a United States. \$b DCI Counterterrorist Center**

Hierarchical force

2



## Exercise 2: answers

---

100 1\_ \$a Westlake, Donald E.  
500 1\_ \$a Clark, Curt  
500 1\_ \$a Stark, Richard, \$d 1933-

100 1\_ \$a Clark, Curt  
500 1\_ \$a Westlake, Donald E.

100 1\_ \$a Stark, Richard, \$d 1933-  
500 1\_ \$a Westlake, Donald E.

Change of name is change of identity

3




## Exercise 3: answers

---

100 1\_ \$a Layne, Sara Shatford  
400 1\_ \$a Shatford, Sara

Uniform headings

4



## Exercise 4: answers


---

**110 2\_ \$a Natural History  
Museum (London, England)**

**110 2\_ \$a Natural History  
Museum (Nepal)**

Unique headings

5



## Exercise 5: answers

---

**100 1\_ \$a Wayne, John, \$d 1907-  
1979**

**400 1\_ \$a Morrison, Marion  
Michael, \$d 1907-1979**

Name commonly known

6



## Exercise 6: answers

---

**130 \_0 \$a Young and innocent  
(Motion picture)**

**430 \_0 \$a Girl was young (Motion  
picture)**

Uniform headings

7



## Exercise 7: answers

---


**100 1\_ \$a Marx, Karl, \$d 1818-  
1883**

**100 1\_ \$a Marx, Karl, \$d 1897-**

Unique headings

8





## Exercise 8: answers


---

**100 1\_ \$a Cummings, E. E. \$q  
(Edward Estlin), \$d 1894-  
1962**

**400 1\_ \$a Cummings, Edward  
Estlin, \$d 1894-1962**

Name commonly known

9



## Exercise 9: answers

---

**110 2\_ \$a Association for Library Collections &  
Technical Services**


**510 2\_ \$a American Library Association. \$b  
Resources and Technical Services Division**

**110 2\_ \$a American Library Association. \$b  
Resources and Technical Services Division**

**510 2\_ \$a Association for Library Collections &  
Technical Services**

Change of name is change of identity

10



## Exercise 10: answers

---


**100 1\_ \$a Petrarca, Francesco, \$d  
1304-1374**

**400 1\_ \$a Petrarch, \$d 1304-1374**

**100 1\_ \$a Petrarca, Francesco, \$d  
1304-1374. \$t Sine nomine. \$l  
English**

Hierarchical force

11



## EXERCISES

1, pt. 1-3

670 \$a

12

## Exercise 1: answers, part 1

100	1		#a Fashade, Eman M.
245	1	0	#a <u>Youth and independence.</u>
260			#a <u>Ibidan, Nigeria</u> : #b Advent Press, #c 1947.

670 \$a Youth and independence, 1947

13

## Exercise 1: answers, part 2

245	0	0	#a <u>Ebola war</u> #h [videorecording] : #b the nurses of Gulu / #c [presented by] Filmmakers Library, Inc. ; produced by Alethia Productions ; director, David Belluz ; producers, Lori Kuffner, David Belluz ; writers, David Belluz, Daryl K. Davis.
260			#a New York, N.Y. : #b Filmmakers Library, Inc., #c c2002.

670 \$a Ebola war, c2002

14

## Exercise 1: answers, part 3

100	1		#a Costello, Kimberly.
245	1	0	#a L.A. Med. #p Liver let die : #b pilot / #c written by Kimberly Costello.
260			#a [Calif.?] : #b Stan Rogow Productions/Emerald Isle Productions, Touchstone/Television, #c [199-?]

670 \$a L.A. Med. Liver let die, 199-?

15

## Exercises 2-4, for 670

- Convert information into complete 670 field
- Special attention to subfield \$b

16



## Exercises 2-4: answers

---

670 \_\_ \$a Les invasions barbares, 2004:  
\$b title frame (Stéphanie Rousseau)

670 \_\_ \$a Technological transitions,  
2000: \$b t.p. (Abigail Andah)

670 \_\_ \$a Bärenmärchen, c1999: \$b t.p.  
(Katrin Engelking) p. 32 (b. 1970,  
Bückeberg; illustrator)

17



## Final exercises (5-9)

---

- Provided with bibliographic fields, authority fields, and other information
- Select information to go into 670 fields
- Construct all the 670 fields needed in the authority record

18



## Exercise 5: answers

---

**670 \_\_ \$a With Lord Methuen  
in South Africa ... 1906: \$b t.p.  
(H.S. Gaskell)**

**670 \_\_ \$a OCLC, March 15,  
2002 \$b (hdg.: Gaskell, Hugh  
Selwyn; usage not given)**

19




## Exercise 6: answers

---

**670 \_\_ \$a Les invasions  
barbares, 2004: \$b title frames  
(Daniel Louis)**

**670 \_\_ \$a IMDb, via WWW,  
Sept. 15, 2004 \$b (Daniel  
Louis, b. 12 Oct. 1953,  
Montréal, Québec)**

20




## Exercise 7: answers

---

**670 \_\_ \$a The office, 2004.: \$b  
title frames (producer, Ash  
Atalla)**

21



## Exercise 8: answers

---

**670 \_\_ \$a Das von der Liebe handelnde Sinn-  
und Lehr- reiche ...1750: \$b t.p. (Johann  
Christian Hallmann)**

**670 \_\_ \$a OCLC, March 15, 2002 \$b (hdgs.:  
Hallmann, Johann Christian, d.1704,  
Hallman, Johann Christian, ca. 1640-1704,  
Hallmann, Joh. Chn., Hallmann, Johann  
Christian; usage: Joh. Chn. Hallmann,  
Johann Christian Hallmann, Joannes  
Christianus Hallmann, J.C.H.)**

22



## Exercise 9: answers


---

**670 \_\_ \$a Le Sahara, 1877: \$b t.p. (V. Largeau)**

**670 \_\_ \$a OCLC, Sept. 28, 2004 \$b (hdgs.: Largeau, Victor, 1840-1897, Largeau, Victor, 1840-1916, Largeau, Victor, b. 1840, Largeau, Victor, 1840- , Largeau, Victor, Largeau, V. (Victor), 1840-1897; usage: V. Largeau, Victor Largeau)**

More ...

23



## Exercise 9: answers, continued


---

**670 \_\_ \$a World Statesmen Web site, Sept. 28, 2004 \$b (Largeau, Victor, 1842-1897)**

**670 \_\_ \$a Bib. nat. cat., Sept. 28, 2004 \$b (Largeau, Victor, 1842- 1896)**

24






---

## EXERCISES

### 1-2

Is this the same person?

25



---

### Exercise 1: answers

- Does the name of the author of your book already have an established authority record? **YES**
- Bibliographic heading?  
**100 1\_ \$a Davis, Kate, \$d  
1959-**

26



## Exercise 2: answers

- Does the name of the author of your book already have an established authority record? **YES**
- Bibliographic heading?  
**100 1\_ \$a Thompson, Graham,  
\$d 1950-**

27




---

## EXERCISES

### 3-6

Choice of name

28




### Exercise 3: answers

---

‘Peter R. Townsend’ appears 5 times  
‘Peter Richard Townsend’ appears 2 times

Heading based on: Peter R. Townsend

29




### Exercise 4: answers

---

‘William A. Rogers’ in chief source

Heading based on: William A. Rogers

30




## Exercise 5: answers

---

Verso t.p.: R.G. Stein  
P. 145: Roger Stein:

Heading based on: R.G. Stein

31




## Exercise 6: answers

---

‘Michael’ in English publication  
‘Miguel’ in Spanish publication

Heading based on: Miguel Angel  
Rodríguez-Valdés

32




---

**EXERCISES**  
**7-8**

Choice of entry element

33




---

**Exercise 7: answers**

**100 1\_ \$a Martin Smith, Patrick**  
**400 1\_ \$a Smith, Patrick Martin**

34




## Exercise 8: answers

---

**100 1\_ \$a X, Malcolm**  
**400 0\_ \$a Malcolm X**

35



## EXERCISES

### 9-11

Qualifiers

36



## Exercise 9: answers

100 1\_ \$a Williams, John, \$d 1872-1944  
 670 \_\_ \$a The story of a country man and  
 his garden, 1997: \$b t.p. (John  
 Williams) p. 10 (b. Sept. 22, 1872) p.  
 150 (d. May 30, 1944)  
 670 \_\_ \$a OCLC, April 25, 2005 \$b (hdg.:  
 Williams, John, 1872-1944; usage: John  
 Williams)


37



## Exercise 10: answers

100 1\_ \$a Richards, R. L. \$q (Raymond L.)  
 400 1\_ \$a Richards, Raymond L.  
 670 \_\_ \$a New topics in chemistry, 1980:  
 \$b t.p. (R. L. Richards, A.R.C. Unit of  
 Nitrogen Fixation, Univ. of Sussex)  
 670 \_\_ \$a Directory of British Scientists,  
 1966-67 \$b (Richards, Raymond L., BSc  
 1961, PhD 1964 Manc.; SO, ARC Unit  
 Nitrogen Fixation, Sussex, FCS)

38




## Exercise 11: answers

---

**100 1\_ \$a Smith, John, \$c Captain  
670 \_\_ \$a The seafarers, 1877: \$b  
t.p. (Captain John Smith)**


39



# EXERCISE 1 Choice of title

40






## Exercise 1: answers

---

- Title:  
Bride of Frankenstein
- See references:  
Frankenstein lives again!  
Return of Frankenstein

41



## EXERCISE 2 Translation

42



## Exercise 2: answers


---

**100 1\_ \$a Card, Orson Scott. \$t  
Shadow puppets. \$l French**

**400 1\_ \$a Card, Orson Scott. \$t  
Marionettes de l'ombre**


**670 \_\_ \$a Les marionettes de  
l'ombre, 2004**

43



## EXERCISE 3 Collective uniform title

44



## Exercise 3: answers

---

100 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Selections. \$f 1985

400 1\_ \$a Twain, Mark, \$d 1835-1910. \$t Portable Mark Twain. \$f 1985


670 \_\_ \$a The portable Mark Twain, 1985

45



## EXERCISE 4 Parts

46



## Exercise 4: answers


---

100 0\_ \$a Homer. \$t Odyssey. \$n Book  
9-12. \$l English

400 0\_ \$a Homer. \$t Travels of  
Ulysses

670 \_\_ \$a The travels of Ulysses, 1980

47



## EXERCISE 5 Qualifiers

48



## Exercise 5: answers

---

130 \_0 \$a Bride of Frankenstein (Motion picture)

430 \_0 \$a Frankenstein lives again! (Motion picture)

430 \_0 \$a Return of Frankenstein (Motion picture)

670 \_\_ \$a The bride of Frankenstein, 1935

670 \_\_ \$a Internet movie database, [date viewed] \$b (The bride of Frankenstein; also known as Frankenstein lives again!, The return of Frankenstein)

49




## EXERCISES

### 1-3

Choice of name

50




## Exercise 1: answers

---

The language of the body is Italian.  
Use the form in the official  
language of the body:

Consiglio di borsa

51




## Exercise 2: answers

---

Use the name that appears on the  
chief source of information:

U.S. Export Council for Renewable  
Energy

52




## Exercise 3: answers

---

Use the name that is presented formally:

Llano ISD

53




## EXERCISES

### 4-7

Choice of entry element

54




## Exercise 4: answers

---

Does not fall under one of the types

110 2\_ \$a Philip Kahgan Collection  
410 2\_ \$a UCLA Film and Television  
Archive. \$b Philip Kahgan Collection

55



## Exercise 5: answers


---

Non-government Type 6: It includes  
the entire name of its higher or  
related body

110 2\_ \$a Brethren in Christ Church.  
\$b Board of Administration  
410 2\_ \$a Board of Administration of  
the Brethren in Christ Church

56






## Exercise 6: answers

---

Government type 2: It contains a word that implies that it is administratively subordinate

110 1\_ \$a Canada. \$b Committee on Election Expenses

57




## Exercise 7: answers

---

Does not fall under one of the types (remember that there is no equivalent for governments for the non-government type 6)

110 2\_ \$a Utah State Library

58




---

# EXERCISES

## 8-10

### Qualifiers

59




---

## Exercise 8: answers

Name doesn't convey the idea of a corporate body; add any appropriate word in English

110 2\_ \$a Andaraje (Musical group)  
670 \_\_ \$a Anonimo y popular [SR], 2001:  
\$b label (Andaraje) insert (Andaraje;  
formed 1972; specializes in traditional  
Andalusian music)

60




## Exercise 9: answers

Name conflicts with other names ; add the location

110 2\_ \$a Grand Hotel (Mackinac Island, Mich.)  
670 \_\_ \$a Grand Hotel, Mackinac Island, 1987:  
\$b p. 30 (Grand Hotel, originally opened in 1887)  
670 \_\_ \$a Grand Hotel, Mackinac Island  
website, [date] \$b (Grand Hotel, 1 Grand Ave., Mackinac Island, Mich.)

61

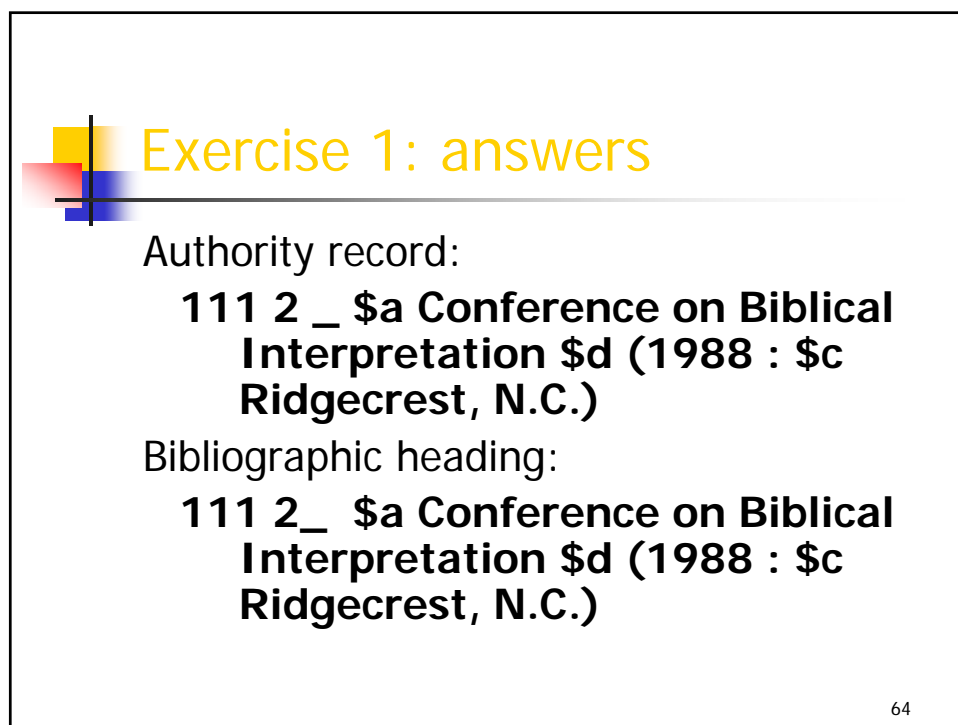
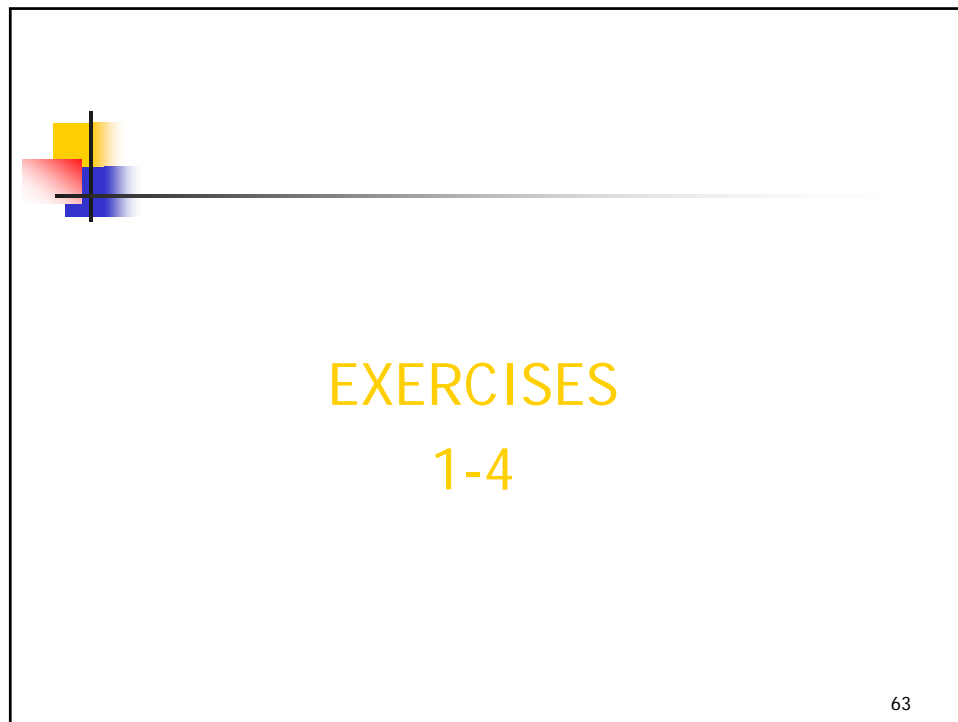



## Exercise 10: answers

Name conflicts with other names ; add the institution

110 2\_ \$a Fisher Gallery (University of Southern California)  
410 2\_ \$a University of Southern California. \$b Fisher Gallery  
670 \_\_ \$a Artists, technology & the ownership of creative content, 2005: \$b t.p. (Fisher Gallery)  
670 \_\_ \$a The Percy A. Rockefeller loan collection of American historical portraits, 1939: \$b t.p. (The University of Southern California, Fisher Gallery)

62





## Exercise 2: answers


Authority record:

- 110 2\_ \$a American Association of Collegiate Schools of Business. \$b Meeting**
- 411 2\_ \$a Meeting of the American Association of Collegiate Schools of Business**

Bibliographic record:

- 110 2\_ \$a American Association of Collegiate Schools of Business. \$b Meeting**

65



## Exercise 3: answers

- Authority record
  - 111 2\_ \$a International Conference on Abelian Groups and Modules \$d (1995 : \$c Colorado Springs, Colo.)**
  - 411 2\_ \$a Conference on Abelian Groups and Modules, International**

Bibliographic record

- 111 2\_ \$a International Conference on Abelian Groups and Modules \$d (1995 : \$c Colorado Springs, Colo.)**

66



## Exercise 4: answers

---

Modified authority record:

**111 2\_ \$a IEEE Workshop on Automatic  
Speech Recognition and Understanding**

**411 2\_ \$a ASRU**

Bibliographic heading:

**111 2\_ \$a IEEE Workshop on Automatic  
Speech Recognition and Understanding  
\$d (2003 : \$c St. Thomas, V.I.)**

67



## EXERCISES 1-5

68

## Exercise 1: answers



What is the correct MARC 21 tag for geographic name heading in an authority record? 151

What are the correct indicators for geographic name headings in an authority record? blanks

What is the correct fixed field value in MARC 21 field 008/32? n

69

## Exercise 2: answers



**151 \_\_ \$a Charles Town (W. Va.)**

**451 \_\_ \$a Charles Town (Va.)**

**451 \_\_ \$a Charlestown (W. Va.)**

**670 \_\_ \$a History of Charles Town, West Virginia, 1990 \$b p. iii (seat of Jefferson Co.; one of the Western counties that separated from Va. in 1861 and formed state of West Va.; admitted to union in 1863)**

**670 \_\_ \$a GNIS, Jan. 13, 2005 \$b (Charles Town; West Va; ppl; 39°17'20" N 077°41'36" W; var.: Charlestown)**

70



## Exercise 3: answers

---

151 \_\_ \$a Muleshoe (Tex.)

670 \_\_ \$a Muleshoe: local attractions, including the Muleshoe National Wildlife Refuge, 2000: \$b t.p. (Muleshoe, Texas) p. 4. (seat of Bailey Co.)

670 \_\_ \$a GNIS, Jan. 13, 2005 \$b (Muleshoe; Texas; ppl; 34°13'35" N 102°43'24" W)

71



## Exercise 4: answers, part 1

---

- Kind of heading: Geographic or jurisdiction name
- Used in bibliographic? Yes
- Examples:
  - Main entry: 110
  - Added entry: 710
  - Subject heading: 651

72





## Exercise 4: answers, part 2

---

- Used as part of other headings? Yes  
**Corporate heading with subordinate body: 110 with \$b**  
**Qualifier in a conference (111) or series heading (130)**  
**Corporate heading with a uniform title: 110 with \$t**

*THIS PAGE INTENTIONALLY LEFT BLANK  
FOR DOUBLE SIDED COPY*

## Appendix E: Evaluation Form Basic Creation of Name and Title Authorities

Your evaluation of this workshop is very important to the future development of this course and other similar courses. Your honest, candid answers to the following questions will assist us in providing quality programs.

Please rate the following aspects of today's workshop by checking the box that best reflects your evaluation:

1. The overall content of the workshop:

	5	4	3	2	1	
a. was extremely valuable						was of little value
b. provided enough detail						was too general
c. was current & relevant						was outdated
d. was cohesive & logical						was fragmented/difficult to follow
e. was appropriate to my needs						was not at all appropriate
f. met its stated objectives						did not meet objectives

2. Presenter:

	5	4	3	2	1	
a. was knowledgeable						was unsure of the material
b. had good presentation skills						had poor presentation skills
c. encouraged participation						discouraged participation
d. addressed my level of understanding						did not consider my level
e. answered questions directly						did not answer questions
f. was prepared						was not prepared
g. understood the audience dynamics						ignored audience dynamics

3. Presenter:

	5	4	3	2	1	
a. was knowledgeable						was unsure of the material
b. had good presentation skills						had poor presentation skills
c. encouraged participation						discouraged participation
d. addressed my level of understanding						did not consider my level
e. answered questions directly						did not answer questions
f. was prepared						was not prepared
g. understood the audience dynamics						ignored audience dynamics

4. The handouts:

	5	4	3	2	1	
a. are excellent						are poor
b. followed course content						are disjointed/out of sequence
c. are valuable for future reference						are of no value

5. The PowerPoint slides:

- a. were clear and easy to read
- b. were well organized
- c. illustrated concepts clearly
- d. covered an appropriate amount of information
- e. were visually effective
- f. were enhanced by and supported the presenter's remarks

5	4	3	2	1

- were hard to read
- were poorly organized
- were confusing
- contained too much or not enough information
- were not effective
- were poorly related to the presenter's remarks

**Please give the following information about yourself:**

- 6. Your level of knowledge in the subject of this workshop before today: expert 5 4 3 2 1 novice
- 7. Your level of experience in the subject of this workshop before today: very experienced 5 4 3 2 1 beginner
- 8. Other comments:

**Comments on specific sessions:**

THANK YOU!