

Update Information
2007 Update Number 2

DCM	Title	Action/Change
Z1	Name Series Authority Records	<p>Introduction - Added section to incorporate the requirement to create NARs for subfield \$a or subfield \$b elements of a name authority when the desired heading is a sub-element and/or when it is necessary to add references to an NAR and an established heading(s) for the elements of the hierarchy do not exist in the LC/NAF.</p> <p>1XX - Deleted the information for the exceptional practice for the British Library and National Library of Medicine. Added note to remind catalogers not to make unneeded changes to 1XXs.</p>

INTRODUCTION

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

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

In constructing headings/references and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records on the file against which the searching and cataloging is being done: OCLC, British Library, etc. NACO participants may choose to use only LC records found on the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the “LC database” (see 670 section). In this document, “database” refers to whatever file is being used for searching and cataloging. At times, LC staff may need to consult the manual Official Name Catalog (ONC).

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

This Introduction section covers the following topics:

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

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name

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

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

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

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

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

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

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

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

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

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

- (1) a reference must be traced on **that** authority record; or,
- (2) special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,
- (3) the heading is needed for a related work added entry or subject entry and the work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC or RLIN. See specific guidelines in LCRI 21.30G for a related work added entry; apply the same guidelines when a heading is needed for a subject entry; or,
- (4) special information needs to be recorded, e.g., citation title for a law.

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

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

Series authority records (SARs)

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

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

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

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

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

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

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

Additions and changes to authority records

Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

Normally a new reference or a change in heading must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, uniform title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

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

NACO normalization

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

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

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

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

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

The only mark of punctuation that is retained during normalization is the first comma in subfield \$a. This exception means that the following two headings normalize to different forms:

Catalog form:	Chung, Hui
Normalized form:	CHUNG, HUI
Catalog form:	Chung-hui
Normalized form:	CHUNG HUI

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

Headings. Because headings that differ only in diacritics, marks of punctuation (except the first comma, as stated above), capitalization, or special characters normalize to the

same form, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

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

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

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

See References. Do not trace a 4XX reference that normalizes to the same character string as an existing authorized 1XX heading in the national authority file, including the heading in the record to which the reference is made. This policy also applies to the *optional* linking references. If a linking reference and the heading in the same record normalize to the same form, do not trace a 4XX linking reference. Instead, give the old catalog heading in a 667 field preceded by the phrase: Old catalog heading:.

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

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

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

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

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

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

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

Should an SAR be made?

Series authority records should not be made for the following categories:

- (1) a republication that does not include the original series statement (see “Republications” section in 64X yellow pages);
- (2) generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;
- (3) a hardcover (sometimes even softcover) edition of a selected issue of a periodical.

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

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

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

How many SARs should be made?

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

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

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

for the different form.

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

- (2) How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.
- (3) How many authority records are made if the same volumes in a series are published separately by publishers in the same language in the United States and in another country (e.g., England)? A separate SAR is made for the series from each publisher; if the titles of the series are the same, add a LCRI 25.5B qualifier to the SAR made later.
- (4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 25.5B.
- (5) How many authority records are made for main series and subseries? Consult LCRI 1.6H and LCRI 1.6.
- (6) Has there been a change in responsibility (i.e., different person/body, body's name changes, uniform title changes)? Consult 21.3B.
- (7) When reestablishing a series, is the apparent difference between the “earlier” form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the “earlier” form as a 4XX/667 old catalog heading (see 4XX yellow pages).

Possibilities include the following:

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

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130 #0 $a Makedonikē vivliothēkē
430 #0 $w nna $a Makedonikē bibliothēkē
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- (b) The title is in a language containing a symbol or numeral that under earlier rules was replaced by the corresponding word or words.

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

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

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

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

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

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

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

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

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

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

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

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

Series statement appears only on ECIP data view at galley stage (LC partner practice)

(1) Series is new to the Library.

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

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

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

(2) Series is already represented by an SAR.

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

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

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

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

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

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

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

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

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

Searching series

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

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

Choice of entry:

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

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

Title truncated:

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

Space-hyphen-space:

Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change from one issue to the next). “Report - Department of Health” might be “Report - Virginia Department of Health” on the next issue and “Report - Commonwealth of Virginia Department of Health” on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:

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

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

preliminaries, the subseries is entered independently.

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

1XX Headings

General

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

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

NARs

For procedures involved with Canadian name headings, see DCM Z1 Appendix 2: Canadian headings.

SARs

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

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

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

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

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

Choosing a monographic series title proper:

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

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

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

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

Establishing an SAR heading:

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

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

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

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

(4) If you found a CONSER record,

- (a) do not use a heading from a record in the following categories:
 - 010 prefix is "cf"
 - 010 prefix is "cn" and 040 \$b is "fre"

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