



NACO Participants' Manual

3rd Edition

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Introduction

The Name Authority Cooperative Project (NACO) was established in 1977 as a result of an agreement between the Library of Congress (LC) and the U.S. Government Printing Office (GPO) to use and maintain a common authority file. With the success of this initial project, LC entered into additional cooperative cataloging projects with many other institutions. The partners in cooperative cataloging efforts eventually developed the Program for Cooperative Cataloging (PCC) to administer these projects, including the Subject Authority Cooperative Program (SACO), the Bibliographic Cooperative Program (BIBCO), and the Cooperative Online Serials Program (CONSER).

One of the missions of the LC Regional and Cooperative Cataloging Division (RCCD) is to support bibliographic cooperation among cataloging institutions. The Cooperative Cataloging Team assists the division by carrying out the team's mission "to develop cooperative cataloging programs among the Library of Congress and libraries and related institutions in the national and international library communities; to provide direct service and clerical and technical support to those cooperative partners; and to coordinate cooperative cataloging activities of the Library of Congress."

Currently, over 400 institutions throughout the world representing national, state, university, public, and special libraries, and vendors participate in one or more of these cooperative cataloging projects. NACO participants have contributed over 2.7 million name and series authority records alone since the inception of the program to the Library of Congress/NACO Authority File (LC/NAF). Both BIBCO and CONSER participants are also NACO members by virtue of the fact BIBCO and CONSER bibliographic records are subject to authority control.

The *NACO Participants' Manual* addresses NACO procedures for name authority records only and is to be used in conjunction with the appropriate authoritative documentation that is relevant to each section of the manual, including relevant documentation from the bibliographic utilities, OCLC and RLG. The manual has been extensively revised and updated to reflect current practice. Examples used in the manual are not prescriptive of practice. Examples of past practice can still be found in *MARC21 Format for Authority Data*, in the event that a cataloger needs to refer to such examples.

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I think it would be historically remiss not to mention with gratitude Amy M. McColl, who compiled the first edition as part of her duties as Authority Project Coordinator of the Philadelphia Area Consortium of Special Collections Libraries, and Cooperative Team member Joe Kaczorowski, who prepared the second.

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GLOSSARY OF TERMS AND ABBREVIATIONS

AACR – *Anglo-American Cataloguing Rules* (subsequent editions, updates, and revisions).

AACR2-compatible – Denotes the coding on a name authority record (NAR) that was in the database before AACR2 rules came into effect, but was judged to be similar enough to accept in the online catalog without being converted to AACR2 rules. The 008/10 code is **d**.

AMICUS – Library and Archives of Canada's (LAC's) online database for bibliographic records from over 500 Canadian libraries, including the authority records from the LAC; see yellow pages of *MARC 21 Authority Format, DCM Z1 Appendix for Canadian Headings* for more information.

BFM – Bibliographic File Maintenance. In certain circumstances, NACO participants must notify their LC liaison when changing an existing heading found in LC bibliographic records. LC staff will perform BFM on those bibliographic records. The complete guidelines for which changes need to be reported are available online at <http://www.loc.gov/catdir/pcc/naco/bfmguide.html>. The NACO home page also contains a useful FAQ link on BFM; see <http://www.loc.gov/catdir/pcc/naco/bfmfaq.html>.

BGN – U.S. Board of Geographic Names. This agency creates the list of geographic names used as a standard for LC and NACO libraries in establishing headings for geographic entities.

BIBCO – Bibliographic Cooperative Program. The monographic bibliographic record component of the Program for Cooperative Cataloging. By definition, all BIBCO institutions are also NACO members.

BIBCO contact or BIBCO liaison – The person within a BIBCO institution who is responsible for coordinating BIBCO activity at that particular institution and for maintaining contact with the LC Cooperative Cataloging Team (Coop).

BIBCO coordinator – A member of the LC Cooperative Cataloging Team who administers membership and training issues for the BIBCO program; often used synonymously with BIBCO contact as the lead person at a particular institution.

“Blue pages” – The Library of Congress Supplement Guidelines to the *MARC21 Format for Authority Data*, formerly issued in print format on blue paper. Issued by the LC Network Development and MARC Standards Office to show which MARC elements in the standard documentation (**“white pages”**) are not implemented by the Library of Congress system, and thus cannot be used in PCC records.

CDS – Cataloging Distribution Service of the Library of Congress. Publisher and distributor of cataloging documentation and LC database files.

CIP data – Cataloging in Publication data. This information typically appears on the verso of a title page of a published item but is based on a galley of the item before it is published.

Conflict – A condition in which certain cross-references match an established name authority record (NAR) heading, jeopardizing its uniqueness within the database. Conflicts are to be avoided or resolved wherever possible.

Connexion – See **OCLC**.

CONSER – **Cooperative ONLINE SERIALS Program**; the serials cataloging component of the PCC.

Consolidated NAR – See Undifferentiated personal name.

Coop Team – Cooperative Cataloging Team, Regional and Cooperative Cataloging Division, Library of Congress (RCCD). The Coop Team assists the RCCD Division chief in the duties of the Secretariat for the PCC and serves as the liaison for the cooperative programs.

CPSO – Cataloging Policy and Support Office of the Library of Congress; this office identifies cataloging standards and publishes cataloging policy documents.

DCM – *Descriptive Cataloging Manual*. An internal procedural document used by Library of Congress catalogers. DCM Z1 addresses name and series authority procedures and is prescribed for use in NACO.

DCM Z1– *Descriptive Cataloging Manual* (DCM), Section Z1, Name and Series Authority Records; also known as **Z1**, or “**Yellow Pages**”.

Division of the World – A term used historically in the Library of Congress to reflect two situations: 1) that certain entities must be established in the NACO Authority File (LC/NAF) and others in the Subject Authority File (LCSH) by the rules appropriate for each; and 2) that until recently, most LC catalogers specialized in either descriptive rules or subject rules, and divided responsibility for establishing authority records. For NACO catalogers, it is important to consult documentation to determine whether the entity should be established according to name authority or subject authority guidelines. See also *Subject Cataloging Manual (SCM)*, **H 405**.

Duplicates – Name or series authority records in which the main headings match, causing a conflict that must be resolved. If the headings are for the same entity, one record is deleted; if the headings are for two distinct entities, one or both must be changed to make both unique.

ENR – Early Notice Record. Brief, incomplete authority record input by and LC cataloger into the LC/NAF as a temporary record while the full record undergoes the complete review and input process.

FAQ – Frequently Asked Questions. The PCC Web site has FAQs to help users find answers to their questions.

Field – A portion of an online record as defined in the MARC 21 format. Fixed fields typically may contain very short strings of codes or data, while variable fields are longer, and contain access points and data transcribed directly from the item being cataloged or reference consulted.

Fixed Field – See **Field**.

FTP – File Transfer Protocol. In a NACO context, records created in one location can be transferred electronically to another database using this procedure.

Funnel coordinator – The leader of a **funnel project** who handles recruitment, communication with members, distribution of documentation, voting for PCC representatives during elections, and usually the training and review duties for funnel member institutions.

Funnel project – A group of NACO members who have joined together to contribute authority records to the shared authority file. Frequently, individual funnel members create records in modest numbers, and consolidate their efforts to make a more significant contribution in terms of quantity. Funnels may be based on similarities or shared expertise, (e.g., NACO Music Project, ArtNACO), geographic proximity (e.g., North Dakota Project), or consortium membership (e.g., CALICO South Africa).

FY – Designation for Fiscal Year (e.g., FY00, FY2003). Based on the federal calendar, the PCC fiscal year begins October 1 and ends September 30 of the next year.

H 405 – One of the instruction sheets in the LC Subject Cataloging Manual. H 405 is entitled “Establishing Certain Entities in the Name or Subject Authority File.” See also **Division of the World**.

Heading – A term that may be ambiguous in the NACO and SACO environment. The 1XX in an authority record is defined in MARC 21 as the “heading.” However, an access point used as a main or added entry on a bibliographic record is referred to as a “heading”. An authority record as a whole is often erroneously called a “heading.”

ILS – Integrated library system; see also **LC ILS**.

Independent status – The library/funnel project may contribute its records independently to the shared authority file upon reaching independent status, typically within one year.

Justification – The practice of giving a citation in the 670 field in an authority record for the forms of a name used as the main heading and for cross-references.

LAC – Library and Archives of Canada. **See also NLC**.

LC – Library of Congress.

LC ILS – The name given to the Library of Congress’ Integrated Library System (Voyager from Endeavor) that serves as the local system for LC.

LC liaison – The Library of Congress staff member assigned to a NACO library to help with cataloging questions, and especially to delete authority records in the LC database or to arrange for BFM.

LCC – Library of Congress Classification.

LCCN – Library of Congress Control Number.

LC/NAF – Library of Congress/NACO Authority File (formerly referred to as NAF). As recommended by an international task group, the PCC officially named the authority file the LC/NAF in 2004.

LCRIs or RIs – *Library of Congress Rule Interpretations* to AACR. NACO participants are required to follow LCRIs in addition to AACR in their authority work.

LCSH – Library of Congress Subject Headings. A hierarchical system of subject headings maintained by LC for use on bibliographic records.

MARC – Machine-Readable Cataloging. A technical standard for the representation and communication of bibliographic and related information in machine-readable form.

MARC organization code – Short alphabetic codes used in MARC records to represent libraries and other kinds of organizations in the bibliographic environment. Formerly known as the NUC code. More information about searching or requesting codes can be found at: <http://www.loc.gov/marc/organizations/> or in *MARC Code List for Organizations*.

MARC 21 Authority Format – Description standard for the representation and exchange of authority data in machine-readable form. The format is used in conjunction with **blue** and **yellow** pages.

MLC – Minimal Level Cataloging. Indicated by a value of **7** in the Level of Establishment fixed field on bibliographic records (Leader/17).

NACO – Name Authority Cooperative Program. Name authority component of the PCC.

NACO contact or **NACO liaison** – The person within a NACO institution who is responsible for coordinating NACO activity at that particular institution and for maintaining contact with the LC Coop Team.

NAF – the former name of the Library of Congress/NACO Authority File. See also **LC/NAF**.

NAR – Name Authority Record.

NLC – National Library of Canada; since 2004, the institution is known as Library and Archives of Canada (LAC)—see also **LAC**.

Non-unique name – A NAR with a 1XX heading that represents more than one person with the same name because there is insufficient information to make a unique NAR for each. Also referred to as a consolidated NAR. Synonymous with **Undifferentiated personal name**.

Normalization – The automated process by which headings are compared for uniqueness to prevent duplicate headings and conflicts between records. Under the rules of normalization, all diacritics and punctuation marks (except for the first comma) are removed, all letters are converted to uppercase, and modified letters are converted to their unmodified forms. Subfield delimiters (but not subfield codes) are retained. Headings that differ only in diacritics, marks of punctuation (except the first comma), or special characters normalize to the same form and are thus considered in conflict. Such headings need to be further differentiated. NACO normalization rules appear on the Web at: <http://www.loc.gov/catdir/pcc/naco/normrule.html>. A full description is available in the DCM Z1.

NUC – National Union Catalog.

NUC Codes – In the NACO context, the identification codes for NACO institutions formerly were called NUC codes, and currently are called **MARC 21**.

OCLC – Online Computer Library Center. One of the two major utilities by which NACO participants contribute records to the NACO database. WorldCat is OCLC's Online Union Catalog, a database of bibliographic and authority records. Connexion is the cataloging interface providing access to WorldCat.

OPAC – Online Public Access Catalog.

PCC – Program for Cooperative Cataloging.

Preliminary records – Authority records with Level of establishment 008/33 value **d**. Used for authority records created without an item in-hand, usually created as part of a retrospective conversion project.

Provisional records – Authority records with Level of establishment 008/33 value **c**. These may be created by NACO participants when there is not enough information to establish a full record. Examples: The contributing library does not have the language expertise to establish the record in full; or a subordinate body name is available only in a language that is different from the language of the parent body.

Qualifier – An addition to a heading or cross-reference to further clarify its identify or to make it unique in the database.

Quality review – The review by designated NACO trainers/reviewers of a set number of a new NACO institution's records, conducted to determine readiness for independent status.

RCCD – Regional and Cooperative Cataloging Division, Library of Congress, home division of the Cooperative Cataloging Team. RCCD's Division chief is the Secretariat of the PCC, assisted in administrative duties by the Cooperative Cataloging Team.

Reference evaluation – The process of examining and adjusting the cross-references and related fixed field codes in an existing authority record to bring them up to AACR standards.

RLG – Formerly known as the Research Libraries Group, one of the two major utilities by which NACO participants contribute records to the NACO database.

RLIN – Research Library Information Network, now called the RLG Union Catalog.

RLIN21 – The interface used to create, view, and export bibliographic records into or from the RLG Union Catalog.

RLG Union Catalog – Former name of the RLIN (Research Library Information Network)

SCM – Subject Cataloging Manual of the Library of Congress.

Surrogate documentation – Copies of the title page, other preliminary pages, and the colophon that are supplied to the Coop Team to aid in the review of certain non-roman language NARs.

Symbols:

\$ used in published documentation to depict the delimiter sign that separates subfields in MARC records

used in published documentation to depict a blank space in a MARC record

Tag – A numerical label for a defined field of information in a MARC record.

Undifferentiated personal name –See **Non-Unique Name**.

Usage – The form of name usually found in a statement of responsibility in the item-at-hand. Variant usages may also appear in other parts of the item, such as in the title proper or in a quoted note.

Variant – A form of the name not chosen as the authorized heading; generally appears in the NAR as a cross-reference.

W control subfield – Subfield used in certain references in name authority records to indicate relationships between headings; written as **\$w**.

“White pages” – See **MARC 21 Authority Format**.

Work cat. – Abbreviation often used on templates for authority records in the 670 field to indicate the work being cataloged, or the item in-hand.

WorldCat – See **OCLC**.

Xref – Shorthand used in NACO to denote cross-references.

“Yellow pages” – See **DCM Z1**.

Eligible Headings

Authority records are permanent records in machine-readable form that include the following elements: 1) the form of the name chosen for use in headings (1XX); 2) the sources for this form and variant forms (670); and 3) the cross-references leading to the heading from variant forms or from related headings (4XX and 5XX) if appropriate. Additional information may be recorded in fixed fields (008) and cataloger's notes (667, 663, 664, etc.). Control data and content designation are also included for proper identification and manipulation of the machine-readable data. The non-NACO form of name preferred by the appropriate national cataloging agency may be recorded in a linking reference (7XX).

Generally, a name authority record is made for any title, person, corporate, meeting, or geographic name heading that may be used as a main or added entry heading (including subject added entries) or in certain cross-references. NARs may also be made for headings used only in certain cross-references and for geographic or corporate names that are used as qualifiers in headings. NARs are not made for personal names when the only clue to the person's identity is a non-alphabetic or non-numeric device (See DCM Z1, Introduction), nor for entities that may be used only as subject entries, e.g., topical subject headings, fictional characters, animals, or geographic features.

NACO participants may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging. At LC an authority record for a uniform title is required only when one or more of the following conditions applies (See DCM Z1, Introduction):

- a) a reference must be traced on **that** authority record; or,
- b) special research done to establish the heading must be recorded; or,
- c) the heading is needed for a **related** work added or subject entry, and no bibliographic record for the item exists in the database; or,
- d) special information needs to be recorded, e.g., citation title for a law.

At LC these criteria are applied to each element of the full heading (main title, language, part, etc.) and a separate authority record is made for each element that meets the criteria.

Note that this means that authority records are **not** automatically created for each element of a uniform title heading.

Types of headings

All name headings are eligible for contribution to NACO, including:
personal name headings
corporate body headings

conference headings
uniform title headings
geographic name headings for jurisdictions

Libraries that have received training in music name-uniform title authority contributions as part of the NACO Music Project may contribute music name-uniform title NARs and make changes to established NARs.

If a NACO member is not sure whether a particular heading is eligible for NACO contribution, he should consult his PCC reviewer.

NACO Documentation

NACO authority work is based on the following documentation. Much of it is available in electronic form via the Web or on Cataloger's Desktop:

A. Required NACO Documentation

1. *Anglo-American Cataloguing Rules (AACR)*, latest revision.
2. *Library of Congress Rule Interpretations*, 1990- (LCRIs). Updates issued quarterly.
3. *MARC21 Format for Authority Data*, including the accompanying *LC Guidelines Supplement* and the *Descriptive Cataloging Manual (DCM) Section Z1*. Updates issued regularly.
4. *ALA-LC Romanization Tables*. For transcription of non-roman data in authority records.

B. RLIN21 Documentation

The RLIN21 Client is used to create NACO records. This client can be downloaded from the Web for free:

1. Order RLIN21 to Create Records in the RLG Union Catalog
http://www.rlg.org/en/page.php?Page_ID=644

Instructions on setup and use of the client for NACO input are included in help files within the client. Some information, including a comparison of user actions between RLIN and RLIN21 are also available on the Web.

2. From RLIN to RLIN21 Client: Comparing User Actions
http://www.rlg.org/en/page.php?Page_ID=20672
3. Creating Records in the LC/NACO Authority File using RLIN21
http://www.rlg.org/en/page.php?Page_ID=678

Searching notes for LC/NACO and LC/SACO Authority Files are available from with the client and also on the Web.

4. RLIN21 LC/NACO Authority File <http://rlin21.rlg.org/eureka2.prln/nafhelp.html>
5. RLIN21 LC/SACO Authority File <http://rlin21.rlg.org/eureka2.prln/safhelp.html>
6. RLIN21 Searching Guide to the Authority Files for RLIN Users
http://www.rlg.org/en/page.php?Page_ID=20655

C. OCLC Documentation

1. OCLC Authority User Guide, 3rd ed., 2003. Available via the Web in either HTML (<http://www.oclc.org/support/documentation/worldcat/authorities/userguide/default.htm>) or PDF format (http://www.oclc.org/support/documentation/pdf/AUG_fm.pdf).
2. Connexion Browser Documentation. Available via the Web at:
<http://www.oclc.org/support/documentation/connexion/browser/default.htm> .
3. Connexion Client Documentation. Available via the Web at:
<http://www.oclc.org/support/documentation/connexion/client/default.htm> .

Section I

New Authority Records

Workflow

Training Status

I. During the quality review period, new authority records are entered by the cataloger or lead cataloger into the bibliographic utility's Save or Review file. These are full authority records that include:

- A. values supplied for the fixed fields for **Descriptive Cataloging Rules** (008/10), **Undifferentiated Personal Name** (008/32), **Reference Evaluation** (008/29), and **Level of Establishment** (008/33) if warranted, as well as default values for other fixed fields.
- B. the new heading (1XX)
- C. 4XX and 5XX fields, if appropriate
- D. a 670 field for the work being cataloged
- E. additional 670 field(s), if necessary
- F. other fields (e.g., 675 or 667), if appropriate

II. The institutional lead cataloger then reviews all records before notifying the PCC reviewer. It is up to each institution to determine the most efficient workflow.

III. Remember that for languages requiring surrogates, the institution must mail or fax the relevant pages to the PCC reviewer. Please label the surrogates clearly with the record number(s) and the source of the information (e.g., "t.p.," "colophon," etc.).

IV. During the review process, participants may be required to submit surrogates of title pages (or source information in the case of manuscripts and archives) for headings in non-roman languages, except Cyrillic. (Surrogates should be clearly labeled with the name of the PCC reviewer. If the participant has a non-LC based reviewer, he should work with his reviewer to determine how the exchange of surrogates is best accomplished.)

If the NACO member has an LC-based reviewer, he should fax all surrogates to the reviewer on the Cooperative Cataloging Team at LC (fax number: 202-252-2082). Unfortunately, LC

can no longer accept mail sent via the United States Postal Service (USPS).

- V. If the NACO participant is a member of a funnel project, he should contact the funnel coordinator with all other questions. NACO members with liaisons on the Cooperative Cataloging Team may contact them via email. Members of funnel projects should contact their funnel coordinator by email.

Independent Status

Independent status is granted to the institution or funnel project after a formal quality review is conducted by the NACO member's PCC reviewer. During the quality review, a set number of new authority records are examined to determine accuracy. After independent status is granted, it is not necessary for future authority records to be reviewed by the PCC reviewer. The institution may want to set up a new workflow for contribution of NACO records. The institution's NACO coordinator may decide to continue to review and produce all records input by catalogers, or if he feels confident that catalogers have mastered NACO procedures, he may not review every record. The institution is responsible for maintaining an acceptable level of quality and quantity through internal workflow.

Note that libraries may wish to keep copies of individual records or lists of record numbers for internal record-keeping purposes. Program statistics are compiled on a monthly basis by LC staff and are posted on the PCC Web site at <http://www.loc.gov/catdir/pcc/stats/stats.html>.

Database Search Procedures

NACO participants create authority records when they find no heading established in the LC/NAF. However, they are not required to create authority records for every heading for which there is no match be submitted to the LC/NAF. Participating institutions are not obligated to contribute an authority record for each name heading not found in the LC/NAF, but they are encouraged to expand their contributions whenever possible. Please note: Qualifiers and some cross-references in corporate and geographic names must be established.

In order to create an original heading, participants need to follow NACO searching requirements covered in Day 1 of NACO training. These are generally limited to searching the LC/NAF, the RLIN21 and OCLC bibliographic files, and searches dictated by AACR and the LCRIs.

Authority File Searching

Search the LC/NAF, using RLIN21, OCLC, or the LC database. The LC database is accessed via the Internet at <http://authorities.loc.gov>. Use the bibliographic utility documentation to determine the most effective searching method. When searching, determine if the proposed heading already exists either in the form proposed or some variant.

This will require careful searching of both the proposed heading and cross-references to avoid conflicts and duplicates. Keep in mind that although searching the entire name is the most efficient method, it may not be an adequate search in NACO work because it will prevent the discovery of variants crucial to the formulation of the name authority record. (For example, a search on Smith, William Peter will not produce hits on W.P. Smith, William P. Smith, Will Smith, etc.).

Normalization and Authority File Searching

Remember that when searching for matches, what constitutes a match is governed in part by the rules for normalization. Two headings differentiated only by diacritics, special characters, or marks of punctuation may normalize to the same form and be in conflict. For further guidance, see the NACO normalization rules online at <http://www.loc.gov/catdir/pcc/naco/normrule.html> (See DCM Z1, Normalization).

Bibliographic Searching

There are two purposes for bibliographic record searching: (1) to locate information to form the heading or cross-references per LCRIs 22.17-20; and (2) to report BFM, as appropriate.

If the heading is not found, the cataloger may next search in RLIN21 or OCLC in order to find the predominant usage and any other relevant information. **Usage** refers to the form of name found in the 245 field of the bibliographic record, or transcription of the name from the work found in other fields, such as an "at head of title" note in the 246 field. Usage is **not** the form found in the 1XX, 6XX, or 7XX. Information found in 1XX, 6XX, or 7XX fields can be cited in the 670 and used in the heading (for example, dates of birth).

At the same time, note LC bibliographic records that need to be revised per the new heading. LC bibliographic records suitable for BFM are defined in RLIN21 and OCLC by memoranda found at the back of this manual as Appendices I and II. Use documentation for the specific bibliographic utility to determine the most efficient search strategy.

Searching the LC Database via the Internet

It is also possible to search the LC database directly via the Internet at <http://catalog.loc.gov/>

Having completed searching, proceed to create the authority record or revise the existing heading, as appropriate.

Fixed Fields

Most fixed fields in authority records are either constants or are system supplied. The only fixed fields catalogers will routinely need to determine are:

1. Descriptive Cataloging Code (008/10)

- code **a** for earlier rules (not used for newly created NARs)
- code **b** for AACR1 (not used for newly created NARs)
- code **c** for AACR2
- code **d** for AACR2-compatible headings (used only for a newly established NAR for a uniform title entered under a personal or corporate name that is already coded **d**, or for a subordinate unit entered under a corporate name already coded **d**)

2. Undifferentiated Personal Name (008/32)

- code **a** for a differentiated (i.e., representing one person) personal name or a name-title entered under a personal name
- code **b** for an undifferentiated (non-unique) personal name (i.e., a name heading that represents more than one person with the same name, according to AACR 22.20)
- code **n** otherwise (i.e., for a corporate, conference or geographic name)

3. Reference Evaluation (008/29)

- code **a** if the record includes cross-references (4XX or 5XX)
- code **b** for unevaluated references that must be revised if record is being updated; do not use in newly-created records
- code **n** if there are no cross-references

4. Level of Establishment (008/33)

- code **a** for full-level
- code **c** for provisional level
- code **d** for preliminary level

See Appendices I and II of this manual for examples of RLIN21 and OCLC worksheets, including fixed field values.

**043 Field
OPTIONAL**

The 043 field contains geographic area codes for geographic areas associated with the 1XX heading in an established heading record or a subdivision record. NACO participants may, at their discretion, supply the 043 in name authority records, following the guidelines in the *MARC Code List for Geographic Areas*.

If using a 043, do not add subfields **\$6** and **\$8**.

053 Field

NACO participants may use the 053 field to record LC literature class numbers, other than children's literature, associated with a personal name heading for an author. Note that 053 fields are not assigned to undifferentiated personal name headings. LC classification numbers found on bibliographic records created and input by LC (040 = \$a DLC \$c DLC) can be added to authority records without further consultation. All other numbers require verification. Verification can be requested by using the Web form for 053 submissions, available via the Web at: <http://www.loc.gov/catdir/pcc/053/053prop.html>. This program will produce an automated response to the proposal accepted into the LC online shelflist. If there is a change in the proposed class number, a separate email is sent. It is the responsibility of the proposing institution to input the class number in the 053 field.

Variable Fields

1XX Field

Formulate the 1XX heading according to the latest revisions of AACR and the LCRIs. Supply tags, indicators, delimiters, subfield codes, and punctuation as appropriate.

All non-roman scripts must be romanized according to the *ALA-LC Romanization Tables*.

For all languages, provide diacritics as they appear in the language, except for cases in which LCRI 1.0G applies.

The nonfiling character indicator has been made obsolete in heading fields. However, it may still appear in some authority records that pre-date the change in coding.

Remember the role romanization plays in formulating unique headings and cross-references that do not conflict. For further guidance, see the NACO normalization rules online at <http://www.loc.gov/catdir/pcc/naco/normrule.html> (See DCM Z1, Normalization).

Personal Names

100 1 \$a Smith, John

100 1 \$a Smith, John, \$c of Walworth

100 1 \$a Smith, John, \$d b. 1648?

100 1 \$a Smith, John A.

100 1 \$a Smith, J. A. S. \$q (John Alec Sydney)

100 1 \$a Smith, John, \$d 1864-1905

100 1 \$a Chaput-Rolland, Solange

100 1 \$a Vaandrager, C. B. \$q (Cornelis Bastiaan), \$d 1935-

100 0 \$a Leonardo, \$c da Vinci, \$d 1452-1519

Corporate Names

- 110 1 \$a United States. \$b Internal Revenue Service
- 110 2 \$a Labour Party (Great Britain)
- 110 2 \$a Free Library of Philadelphia
- 110 1 \$a France. \$b Commission interministérielle "Loisirs des personnes handicapées"
- 110 1 \$a New York (N.Y.). \$b Street Dept.
- 110 2 \$a Grünen (Political party)
- 110 2 \$a Library of Congress

Please note: When establishing a subordinate unit of a corporate body, it is also necessary to establish the parent body as a separate entry, unless it is already in the LC/NAF. This applies to cross-reference structures as well. For example, the heading:

- 110 2 \$a Gewerkschaft der Polizei (Germany). \$b Landesbezirk Baden-Württemberg

cannot be established unless there is also an established heading for the parent body, Gewerkschaft der Polizei (Germany).

Conference Names

- 111 2 \$a International Conference on Adaptive Structures
- 111 2 \$a New England Governors Eastern Canadian Premiers Conference. \$e Committee on Sustainable Economic Development
- 111 2 \$a Conference on HDTV & Future Television
- 111 2 \$a NFU Conference
- 111 2 \$a Workshop on Statistics and Computing in Disease Clustering \$d (1992 : \$c Port Jefferson, N.Y.)
- 111 2 \$a Miss America Pageant
- 111 2 \$a Boston Marathon
- 111 2 \$a TOOLS Europe '92 \$d (1992 :\$c Dortmund, Germany)

Uniform Titles

- 130 0 \$a Bonn Convention \$d (1952)
- 130 0 \$a Talmud Yerushalmi. \$p Nezikin. \$l German. \$k Selections
- 130 0 \$a Treaty of Paris \$d (1947)
- 130 0 \$a Microsoft Office

Geographic Names

- 151 -- \$a France
- 151 -- \$a Kintire (Minn. : Township)
- 151 -- \$a Mountain View (Calif.)
- 151 -- \$a Germantown (Philadelphia, Pa.)
- 151 -- \$a Dublin (Ohio)
- 151 -- \$a Mexico City (Mexico)
- 151 -- \$a Shanghai (China)
- 151 -- \$a St. Ives (Cornwall, England)
- 151 -- \$a St. Ives (Cambridgeshire, England)
- 151 -- \$a Georgetown (Washington, D.C.)

4XX and 5XX Cross-references General Overview

I. Add required cross-references to the authority record, including tags, subfields, delimiters, and diacritics. Search all cross-references to insure they do not conflict with established headings (1XXs). (4XX references may conflict with 4XX on other records). Keep in mind that normalization may result in conflicts between 1XX and 4XX forms of the name.

II. For the basic procedures to be used in formulating cross-references see:

- A. AACR, Chapter 26, and parts of Chapters 22-25
- B. LCRIs for Chapter 26, and parts of Chapters 22-25
- C. DCM, section Z1
- D. MARC 21 Format for Authority Data, as necessary

III. This point bears repeating: When establishing a subordinate unit of a corporate body, it is also necessary to establish the parent body as a separate entry, unless it is already in the LC/NAF. This applies to cross-reference structures as well. For example, the heading:

110 2 \$a Gewerkschaft der Polizei (Germany). \$b Landesbezirk Baden-Württemberg

cannot be established unless there is also an established heading for the parent body, Gewerkschaft der Polizei (Germany).

Simple 4XX and 5XX Cross-references

- I. Apply the guidelines in AACR2, Chapter 26, and the associated LCRIs in formulating cross-references for 4XXs ("see" or "search under") and 5XXs ("see also" or "search also under").
- II. Do not trace a 4XX "see" reference that would normalize to the same form as the 1XX or to the same form as the 1XX or 5XX in another record. Note that 5XX "see also" references will normalize to the same form as established headings. (See DCM, Z1, Normalization)
- III. Formulate all references according to AACR and the LCRIs, i.e., in the form in which they would be constructed if chosen as the heading.
- IV. Do not end 4XX and 5XX fields with a period unless the heading ends with an initial or an abbreviation.
- V. See sections below for notes on:
 - A. Simple 4XX "See" Cross-references
 - B. Simple 5XX "See Also" Cross-references

Simple 4XX "See" Cross-references

- I. 4XXs should be justified by citation in the 670 or as required by AACR and the LCRIIs.
- II. NACO participants are no longer required to trace linking references from pre-AACR2 headings found on LC bibliographic records.
- III. References from *former* AACR2 heading

4XX \$w nne

This indicates that the cross-reference was formerly a fully established AACR2 heading. The 4XX must match the 1XX in the record for the former heading.

100 1- \$a Volcano, Del Lagrace, \$d 1957-

400 1- \$w nne \$a Grace, Della, \$d 1957-

151 -- \$a Moscow (Russia)

451 -- \$w nne \$a Moscow (R.S.F.S.R.)

4XX \$w nnea

This combination of codes in the **\$w** control field is used only in records converted from Wade-Giles to pinyin romanization of Chinese. The combination of values indicates that the cross-reference represents a form previously used as an AACR2 heading that is not appropriate as a reference in an AACR2 catalog.

Personal Names

- A. Trace a reference from each variant that affects the primary elements of the name (See LCRI 26.2). Generally, this means variations in all elements to the left of the comma and in the first element to the right of the comma.

Do not trace a reference that would normalize to the same form as the heading on the same record or to the same form as the heading on another record. (For further guidance, see the NACO normalization rules online at <http://www.loc.gov/catdir/pcc/naco/normrule.html>) Refer from other variants (i.e., those that do not affect the primary entry elements) when it is judged the access to the catalog would be improved, as in the case of differing search strategies in other databases. One frequently applicable factor is a rather common-sounding surname seen in the form found prominently.

- B. Generally make one reference from each possible entry element of the name chosen as

the heading.

- C. Generally make only one reference from each variant. Use judgment in determining whether to make references that are "variants of variants."
- D. In references with initials, generally include in parentheses the full form, if known. However, if the heading contains an initial without the full form being given there, make the reference "match" the heading.

Examples:

100 1 \$a Carroll-Spillecke, Maureen, \$d 1953-
400 1 \$a Spillecke, Maureen Carroll-, \$d 1953-
400 1 \$a Carroll, Phyllis Maureen, \$d 1953-
400 1 \$a Carroll-Spillecke, M. \$q (Maureen), \$d 1953-

100 1 \$a Hays, James D., \$d 1926-
400 1 \$a Hays, J. D. \$q (James D.), \$d 1926-
[not 400 1 \$a Hays, J. D. \$q (James Donald), \$d 1926-]

100 1 \$a Smith, John Samuel
400 1 \$a Smith, John S. \$q (John Samuel)
[In this case, since "John Smith" is a very common name, it is a good idea to trace this cross-reference even though the primary elements are the same in the 100 and 400 fields. See LCRI 26.2.]

100 0 \$a H. D. \$q (Hilda Doolittle), \$d 1886-1961
400 1 \$a Aldington, Hilda Doolittle, \$d 1886-1961
400 1 \$a D., H. \$q (Hilda Doolittle), \$d 1886-1961

100 1 \$a Williams, J. Llewellyn \$q (John Llewellyn)
400 1 \$a Williams, John Llewellyn

100 1 \$a Sword, Penelope Haley, \$d b. 1736
400 1 \$a Haley, Penelope, \$d b. 1736

Corporate Names

Include qualifiers in the reference if appropriate to the form of the reference. Qualifier(s) may be inappropriate in the heading and/or reference. For example, do not add a qualifier to a reference consisting solely of an initialism. For further guidance, see LCRIs 26.1 and 26.3.

Examples:

110 2 \$a Galleria nazionale d'arte moderna (Italy)

410 2 \$a National Gallery of Modern Art (Italy)

110 2 \$a International Business Machines Corporation

410 2 \$a IBM

110 2 \$a BANAS (Organization : Indonesia)

410 2 \$a B.A.N.A.S.

Simple 5XX "See Also" Cross-references

Personal Names

- A. When a contemporary author uses one or more pseudonyms, create name authority records for each name and link them with 500 "see also" references. Generally, LC practice prefers simple, individual "see also" references when only two names are involved, but explanatory references are required when there are three or more names (See LCRI 22.2B and LCRI 26.2D).

Examples:

100 1 \$a Lasky, Kathryn
500 1 \$a Knight, Kathryn Lasky

100 1 \$a Knight, Kathryn Lasky
500 1 \$a Lasky, Kathryn

- B. For personal names only, when the entire form in the reference and the entire form in an established heading are the same, attempt to resolve the conflict by additions to the name in the reference (See LCRI 22.17-22.20). If there are no data available to resolve the conflict, trace the variant as a 5XX reference rather than a 4XX reference. This applies whether the cross-reference already exists on an NAR or is being added to an NAR (See LCRI 26.2C).

Example:

100 1 \$a Jones, A. R. \$q (Albert R.)
500 1 \$a Jones, Albert R.

[Jones, Albert R. is already established as a 1XX; no data available to resolve the conflict]

- C. When the name of a performing or artistic group contains the name of one or more of its members, make a "see also" reference from the heading for each person to the heading for the group and from that group heading to the heading for each individual. (See LCRI 26.2C).

Examples:

110 2 \$a Peter, Paul, and Mary (Musical group)
500 1 \$a Yarrow, Peter, \$d 1938-
500 1 \$a Stookey, Paul, \$d 1937-

500 1 \$a Travers, Mary, \$d 1936-

100 1 \$a Yarrow, Peter, \$d 1938-

510 2 \$a Peter, Paul, and Mary (Musical group)

110 2 \$a Gilbert & George

410 2 \$a Gilbert and George

500 0 \$a Gilbert, \$d 1943-

500 0 \$a George, \$d 1942-

100 0 \$a Gilbert, \$d 1943-

510 2 \$a Gilbert & George

Corporate/Geographic Names

- A. When the relationship between two corporate/geographic names is not directly sequential or when information about the exact relationship is not known, make simple "see also" references between the related headings (as opposed to earlier/later cross-references) (See LCRI 26.3B-C).

Examples of Corporate Names:

110 1 \$a United States. \$b Office of Indian Affairs. \$b Washington Superintendency

510 1 \$a United States. \$b Office of Indian Affairs. \$b Oregon Superintendency

670 \$a Guide to records in the Nat. Archives of the U.S. relating to Am. Indians, 1981: \$b p. 145-146 (Washington Superintendency was est. 1853 with the organization of Washington Territory; the Indians in Washington previously had been assigned to the Oregon Superintendency; between 1857 and 1861 the Oregon and Washington Superintendencies were combined; reest. in 1861; abolished in 1874)

110 1 \$a United States. \$b Office of Indian Affairs. \$b Oregon Superintendency

510 1 \$a United States. \$b Office of Indian Affairs. \$b Washington Superintendency

Examples of Geographic Names:

151 -- \$a Kensington and Chelsea (London, England)

551 -- \$a Kensington (London, England)

551 -- \$a Chelsea (London, England)

670 \$a Foreign names information bulletin, July 31, 2001 \$b (former name: none; new name: Kensington and Chelsea [short form], Royal London Borough of ADM1, 51°30'N 00°13'W (UKG4))

151 -- \$a Kensington (London, England)
551 -- \$a Kensington and Chelsea (London, England)

151 -- \$a Chelsea (London, England)
551 -- \$a Kensington and Chelsea (London, England)

- B. Connect the heading for a head of state, ecclesiastical official, etc., to the corresponding official heading with a "see also" reference instead of the explanatory reference called for in AACR 21.4D2 and illustrated in 26.3C1 (See LCRI 26.3B-C).

Example:

100 1 \$a Coolidge, Calvin, \$d 1872-1933
400 1 \$a Coolidge, Calvin, \$c Pres. U.S., \$d 1872-1933
510 1 \$a United States. \$b President (1923-1929 : Coolidge)
510 1 \$a Massachusetts. \$b Governor (1919-1921 : Coolidge)

As of September 2005, the see also reference is reciprocal.

Earlier/Later References

- I. Earlier/later references are special types of "see also" (5XX) cross-references. They are used to record a sequential relationship between corporate headings.
- II. Earlier/later references are normally made only to connect immediately adjacent headings, thus creating a chain of "see also" references leading from one heading to another.
- III. Full information about earlier/later references may be found in the LCRI 26.3B-C, along with several pages of examples. Please refer to that section for a more complete explanation of earlier/later references.
- IV. All headings connected by these references must be represented by an NAR in the LC/NAF. All headings and references must be in correct AACR form. Establish any heading not yet in the LC/NAF, including those for which there are no bibliographic records.
- V. In source citations (670 or 675), generally cite only sources that deal with the immediately preceding and succeeding headings.
- VI. Always give the citation for the item being cataloged in a 670 field. Give other source citations as necessary.
- VII. If a source gives only a name not used in the heading or 4XX, cite the source in the 675 field.
- VIII. Justification of preceding and succeeding headings is not required for: (1) changes in a government heading because of an official language change; (2) changes involving only a parent body to which the body being established is subordinate.

Examples of a Chain of See Also References (i.e., Earlier/Later Headings):

110 2 \$a Dropsie College for Hebrew and Cognate Learning
510 2 \$w b \$a Dropsie University
670 \$a Essays on the occasion of the seventieth anniversary of the Dropsie University, 1909-1979, c1979 (a.e.): \$b t.p. (Dropsie University) verso t.p. (Dropsie Univ., Philadelphia) p. x (organized in 1907; chartered in 1909 as the Dropsie College for Hebrew and Cognate Learning; in 1969 the name was changed to Dropsie University)

110 2 \$a Dropsie University
510 2 \$w a \$a Dropsie College for Hebrew and Cognate Learning
510 2 \$w b \$a Annenberg Research Institute
670 \$a Essays on the occasion of the seventieth anniversary of the Dropsie University, 1909-1979, c1979 (a.e.): \$b t.p. (Dropsie University) verso t.p. (Dropsie Univ., Philadelphia) p. x (organized in 1907; chartered in 1909 as the Dropsie College for Hebrew and Cognate Learning; in 1969 the name was changed to Dropsie University)
670 \$a PPAAnR files, 4/27/2005 \$b (Dropsie University; formerly named Dropsie College for Hebrew and Cognate Learning; later changed name to Annenberg Research Institute)

110 2 \$a Annenberg Research Institute
510 2 \$w a \$a Dropsie University
510 2 \$w b \$a University of Pennsylvania. \$b Center for Judaic Studies
670 \$a Jewish quarterly review, July/Oct. 1987: \$b t.p. (Annenberg Research Institute)
670 \$a PPAAnR files, 4/27/2005 \$b (Annenberg Research Institute; formerly named Dropsie University; became University of Pennsylvania, Center for Judaic Studies in 1993; located in Philadelphia, Pa.)

110 2 \$a University of Pennsylvania. \$b Center for Judaic Studies
510 2 \$w a \$a Annenberg Research Institute
670 \$a Medoff, J. Collection, 1901-1919 \$b (collection located at University of Pennsylvania, Center for Judaic Studies)
670 \$a PPAAnR files, 4/27/2005 \$b (University of Pennsylvania, Center for Judaic Studies; new name for Annenberg Research Institute, 1993)

670 Field (Sources Found)

This section is organized as follows:

- I. Introduction and Basic Format
- II. Citing the Main Entry
- III. Citing the Title
- IV. Citing the Imprint or Other Date
- V. Citing Numeric/Chronological Designation
- VI. Citing Location of Data Found
- VII. Citing the Data
- VIII. Obsolete Conventions for Punctuation, Spacing, Abbreviations
- IX. Citing Bibliographic Records (LC and non-LC)
- X. Citing Reference Sources
- XI. Citing the National Union Catalog (NUC)
- XII. Citing In-House Files
- XIII. Citing the BGN and Other Reference Source for Place Names
- XIV. Citing Non-Bibliographic Sources
- XV. Citing Internet Resources

I. Introduction and Basic Format

The 670 field is used to justify the heading and the cross-references created. It may also contain further important information that is necessary to identify the person, corporate body, uniform title, or information that can be used to clarify relationships between the heading and other headings in the file.

At least one 670 field is required in each authority record. In most cases, it is necessary to create only a single 670 field, citing the work being cataloged and giving the form(s) of the name found therein.

In certain other cases, it will be necessary to create additional 670 fields, citing other sources where the name was found, such as bibliographic records in RLIN21, OCLC, and the Library and Archives of Canada, or in reference sources. It is not always necessary to include a 670 for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record.

A 670 is required to justify all elements of a heading and references. However, it is **not** necessary to add 670 fields to justify references in the following cases:

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

The 670 field for the work cataloged, normally the first 670 in the record, contains the following elements:

\$a Title proper, imprint or other date: \$b first location of data cited ([data found]) other

location ([data found])

The main entry, formerly given as the first element of the 670, is no longer required. However, if the title is generic in nature ("Minutes," "Report," etc.) or the cataloger feels that the main entry adds pertinent information to the record, it may be cited. In cases where automated tools are used to assist in the generation of authority records, main entries may be added to 670 fields algorithmically; such entries may be left in place in the interest of saving time, or deleted at the cataloger's discretion. The General Material Designation (GMD) is no longer cited in the 670. Note: Examples of past cataloging practices can be found in the LC/NAF.

Examples:

- 670 \$a Die kleine Rodung, 1978: \$b t.p. (Huguette Meier-David) p. 16 (Huguette Meyer-David; resident of Cologne)
- 670 \$a Milne, D. Guitar concerto, p1984: \$b label (The Chamber Music Players of London)
- 670 \$a Etude sur les codes précision ... 1987: \$b t.p. (Compagnie générale fiduciaire; C.G.F.; Dakar)

Examples for Archival Materials and Manuscripts:

If manuscripts or archival collections are being cataloged, no "location of data" is necessary. Normally, it will be necessary to cite the main entry, due to the generic nature of the "title":

- 670 \$a Austin, W.L. Papers, 1855-1932 \$b (Burnham, Parry, Williams & Co.)
- 670 \$a Johnston, A. Papers, 1865-1948 \$b (Bethlehem Iron Company; later became the Bethlehem Steel Corporation)
- 670 \$a Fowler, A.V. Papers, 1923-1970 \$b (Albert W. Fowler; Albert Wose Fowler; Quaker librarian & archivist; b. 1940, son of Albert V. & Helen W. Fowler)
- 670 \$a Oberlin College. Office of Business and Finance. Records, 1927-1988 \$b (Lewis R. Tower, appointed first business manager of Oberlin College in 1954; retired in 1971)

Examples for Publications Viewed Electronically:

In citations for publications viewed electronically, give information in **\$a** in the context of the publication rather than how it was viewed; in **\$b**, give location and information. For Internet resources used as reference sources, see section XV below.

- 670 \$a Dr. Bill's get your fill diet, 2003: \$b readme file (William P. McHugh, Ph.D.)
- 670 \$a Cambridge Lear CD-ROM, c2001: \$b title screen (Cambridge University Press) PDF file (University Printing House)
- 670 \$a WebTrends 5.0, c2002: \$b disc label (NetIQ Corporation) administrator's guide (Net IQ Corporation) jewel case (NIC)

II. Citing the Main Entry (Optional)

Supplying a main entry or a substitute (e.g., his, her, its, author's) is no longer a NACO practice.

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

Examples of any number of past citation practices can be found in the LC/NAF.

III. Citing the Title

- A. It is only necessary to cite the title proper; in most cases, other title information need not be given. However, if the title is relatively brief, cite it in full.
- B. If the title is long, shorten it by abbreviating words or by using the 3-dot mark of omission after the first four or five words.

When shortening the title, do not obscure the subject area of the work.

Example of a Whole Title:

110 2 \$a Bentley Historical Library
670 \$a Guide to manuscripts in the Bentley Historical Library, 1976.

[Note that in this example, it is not necessary to give the name of the library in parentheses, since it appears in its full form in the title of the work. This is the only case where the **\$b** and data in parentheses may be omitted; see **VII. Citing the Data, A.1.**]

Example of an Abbreviated Title:

670 \$a Obstetrical Soc. of Phila. Records, 1946-1993 \$b (Paul A. Bowers)

Example of a Mark of Omission:

670 \$a The moral and intellectual diversity of races ... 1856: \$b t.p. (H. Hotz)

IV. Citing the Imprint or Other Date

The format for citing the date in the 670 field is governed by how it appears in the bibliographic record for the work cataloged. Generally, they will be the same. The date in the authority record **does not include brackets** even when they are used on the bibliographic record. The following should also be included when citing the date:

- A. Other symbols used, including the copyright "c" or phonogram copyright "p," question marks, and hyphens.
- B. Multiple dates, if the bibliographic record has them.
- C. The Gregorian date only, if the bibliographic record has both Gregorian and non-Gregorian dates.

Examples:

Bibliographic record:

260 \$a London : \$b Macmillan, \$c **1986**.

Authority record:

670 \$a George Orwell, **1986**: \$b t.p. (Adrian Quine)

Bibliographic record:

260 \$a Kyoto : \$b Benrido, Taisho 15 [**1926**]

Authority record:

670 \$a Shina kachoga satsu, **1926**: \$b colophon (Tanaka Denzaburo [in rom.])

Bibliographic record:

260 \$a Washington : \$b NASA, \$c **c1974, distributed 1975**.

Authority record:

670 \$a Apollo to the moon, **c1974, distributed 1975**: \$b cover (Harry S. Galene)

V. Citing Numeric/Chronological Designation

- A. If the item cataloged is the first volume of a numbered multipart item, record the date of publication as an open date.
- B. Generally, use a chronological designation instead of a publication date when giving a 670 for a serial other than a monographic series. If there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a surrogate was used.
- C. Do not translate designation statements.
- D. Capitalize the first word or abbreviation used with the numeric designation.

Examples:

If the work being cataloged is:

The verdict, vol. 2, no. 1 (Feb. 1975)

cite as:

- | | | |
|------------|-----|---|
| | 670 | \$a The verdict, Feb. 1975: \$b t.p. ([data])
["Feb. 1975" is the designation date] |
| <i>Not</i> | 670 | \$a The verdict, vol. 2, no. 1 (Feb. 1975): \$b t.p. ([data]) |
| | 670 | \$a Studies in Confederate history, no. 1 (1966), surrogate: \$b t.p. ([data]) |
| <i>Not</i> | 670 | \$a Studies in Confederate history, 1966, surrogate: \$b t.p. ([data]) |
| | 670 | \$a A New image of man ... 1977- : \$b pt. 1, p. i (International Research Institute
for Man-Centered Environmental Sciences and Medicine) |

VI. Citing Location of Data Found

The 670 field for the work being cataloged specifies the form(s) of the heading found in the piece and indicates **where** in the piece the forms are found. In these cases, add **\$b** immediately after the date.

- A. Generally cite the chief source of information first, followed, if necessary, by other sources. Note that when the cover, or any other source, substitutes for the chief source it will be cited as "t.p.", "disc label", "container", etc. Use standard terms and abbreviations including, but not limited to:

t.p.
jkt.
cover
verso t.p.
label
colophon
map recto
p. 3 of cover
back cover
title screen
disc label
jewel case
sleeve
container
home page
HTML header

- B. If the information comes from a specific page of a print resource or digital reproduction of a print resource, cite the page. Omit brackets when citing unnumbered pages.
- C. If the information comes from the cover of a print resource or digital reproduction of a print resource, cite as:

cover
(for front cover)

p. 2 of cover
(for inside front cover)

p. 3 of cover
(for inside back cover)

p. 4 of cover

(for back cover)

- D. For numbered multipart print resources or digital reproductions of a multipart digital resource, include the volume number of the item with the specific location.
- E. The cataloger may use "etc." to avoid giving more than two locations or a sequence of locations on a print resource or digital reproduction of a print resource (e.g., "p. 316, etc.").

Examples:

- 670 \$a Conflict and cooperation in police labour relations, c1980: \$b t.p. (Richard L. Jackson) p. 239 (Professor Rick Jackson, School of Business, Queen's Univ.)
- 670....\$a Grunts, 1976: \$b v. 1-3, t.p. (Charles R. Anderson) v. 2, p. 316, etc. (ex-Marine; b. Elgin, Ill.; teaches English in Japan)
- 670 \$a CommerceTrends 3.0, c2002: \$b disc label (WebTrends Corp.) user's guide t.p. (Web Trends Corp.)
- 670 \$a Harry Potter and the Chamber of Secrets, 2002: \$b title screen (Chris Columbus) credits (Christopher Columbus)

VII. Citing the Data

A. General Information

1. Give the name as it appears in full in the source being cited (including the work being cataloged. If the entire heading (1XX) appears exactly the same in the title of the work cited, it is not necessary to repeat the heading in parentheses. This is the **only** case where the parenthetical statement may be omitted. (See **III. Citing the Title**: example.)
2. Automated authority record generation programs may supply additional information from the bibliographic record from which the authority record is being made, e.g., complete statements of responsibility. In order to maintain the cost effectiveness of these programs, use judgment in deciding what information can remain in the **\$b** and what is really extraneous to the record being created and should be deleted.
3. If the name or information about the name appears in the same form in different locations in a single source, do not repeat this information.
4. If the name cited is not in the nominative case, it is not necessary to amplify the citation to "explain" this, although a mark of omission may be used to indicate that surrounding words have been omitted.
5. All data must be given in standard romanized form. It is understood that any romanization transcribed is the cataloger's romanization. When transcribing a romanized form found in a non-roman item, add after it the bracketed phrase: **[in rom.]**. In such languages as Arabic and Hebrew, vowels are commonly omitted from the orthography of texts, and the cataloger supplies the missing vowels in transcribing data. When transcribing text that does include the vowels, add after it in brackets **[voc.]** or **[part voc.]** to note vocalization, as appropriate.
6. Data other than names should be given in as brief a form as possible. Abbreviate liberally. Generally translate data in foreign languages into English, paraphrasing or summarizing where possible. However, **do not** translate names and titles, or other distinguishing terms that could be used in the 1XX field to break a conflict.
7. To facilitate international contribution and use of records in the authority file, when giving dates use the abbreviated forms for months given in AACR Appendix B.15.

B. Personal Names

1. Record all forms of the name found on the chief source of the item being cataloged. Be selective about citing forms of the name not on the chief source. Record only those judged to add important information about the name (such as a fuller form) or those that justify cross-references.
2. Cite birth and death dates explicitly whenever they appear in sources. Use abbreviated forms for months.
3. Do not translate distinguishing terms such as titles of address or office that appear with personal names in conjunction with the name in statements of responsibility or in reference sources that potentially could be used as part of the heading or in a reference. Distinguishing terms may be needed to resolve a conflict. Transcribe the terms as they appear.

Examples of Titles of Address:

kand. biol. nauk
Ph.D.
Rev.
Dr.
Prof. Dr.

Examples:

- 670 \$a Acid rain and waterfowl, 1987: \$b t.p. (Paul Hansen; Upper Miss. Reg. Repr., Izaak Walton League of Amer.) cover (Dr. Paul W. Hansen)
- 670 \$a A History of Iowa, 1937: \$b t.p. (Samuel S. Gribble) p. 105 (Rev. Gribble; b. July 7, 1861; d. Aug. 23, 1943)
- 670 \$a A scuola da Bettina, 1986: \$b t.p. (M. Elisabetta Mazza) p. 15 (Maria Elisabetta Mazza; family name, Bettina; b. Jan. 21, 1886) p. 206 (d. Aug. 29, 1950)

C. Corporate Names and Conference Names

1. In establishing corporate headings, when elements of a hierarchy not included in the heading appear in a source found, include in the data cited all the hierarchy required to justify needed cross-references.

Each element of hierarchy in a heading or its cross-references is established separately.

Examples:

110 2 \$a San Francisco Widget Research Institute. \$b Employee Benefits Division
410 2 \$a San Francisco Widget Research Institute. \$b Personnel Dept. \$b Employee Benefits Division
670 \$a Top U.S. widget executives benefit packages, 1986: \$b t.p. (San Francisco Widget Research Institute, Personnel Department, Employee Benefits Division)

110 2 \$a San Francisco Widget Research Institute. \$b Personnel Dept.
670 \$a Top U.S. widget executives benefit packages, 1986: \$b t.p. (San Francisco Widget Research Institute, Personnel Department)

2. For conferences, generally record the place and date of the meeting, even if the qualifiers are not included in the heading being established.

Example:

111 2 \$a Congreso Internacional de Tribunales de Cuentas
670 \$a Memoria del Primer Congreso Internacional de Tribunales de Cuentas, 1954: \$b t.p. (2. Congreso Internacional de Tribunales de Cuentas; held in Havana, 2-9 Nov. 1953)

VIII. Obsolete Conventions for Punctuation, Spacing, Abbreviations

Note: These guidelines are retained as historical information and for understanding information already present in 670 fields. Style and punctuation are no longer prescribed as of the 1996 revised DCM Z1.

- A. Follow the date or edition statement of the source with a colon if the next element is the first unit of location. The date is followed by no punctuation if the next element is in parentheses. If an open date ending with a hyphen is being transcribed, follow it by a single space before the colon (e.g., 1909- :).
- B. Do not use brackets around numbers for unnumbered pages, volumes, etc.
- C. Information cited from the source as cited in the 670 in enclosed within parentheses.
- D. Use a single space and no punctuation to separate the various locations and data. Exception: use a semicolon to separate information cited from different issues of a serial.
- E. Give citations of the name in full, but abbreviate other words liberally whenever the context makes the meaning clear.

Examples:

- 670 \$a Looking at America's canyons, c1983: \$b t.p. (P. Jonathan Phillips) cover p. 4 (Geology Dept. Chair, Univ. of British Columbia)
- 670 \$a Police administration statistics, 1972: \$b t.p. (Statistics Canada, Judicial Division); 1973/74: t.p. (Statistics Canada, Judicial Statistics Division)
- 670 \$a RLIN, Aug. 31, 2000 \$b (hdg.: Calisch, Edward Nathaniel, 1865-1946; usage: Edward N. Calisch)
- 670 \$a The History of the Dakota Presbytery of the Presbyterian Church in the United States of America, 1892: \$b t.p. (Presbytery of Dakota) p. 3 (org. 1844)
- 670 \$a OCLC, Sept. 24, 2001 \$b (hdg.: Harris, John Lowrey, 1953- ; usage: John Lowrey Harris)
- 670 \$a Telephone call to author, June 12, 2005 \$b (Christopher C.L. Murphy, b. Aug. 19, 1948)

IX. Citing Bibliographic Records in RLIN21 and OCLC

A. Full-level LC Bibliographic Records

If a search of the RLIN21 and/or OCLC bibliographic files retrieved any instances of pre-AACR2 usage of the heading on Library of Congress records input by LC (i.e., not transcribed by another library—see Appendices I & II on Identifying LC Bibliographic Records in RLIN21 and OCLC), record this in a 670 field. (For LC minimal level cataloging (MLC) records retrieved, see section IX, B.)

The information found in these records may be used, as appropriate, in formulating the heading.

The format for the 670 field citing LC in RLIN21 or OCLC is:

```
670 $a RLIN21, [date of search] $b (hdg.: [data]; usage: [data])
670 $a OCLC, [date of search] $b (hdg.: [data]; usage: [data])
670 $a LC database, [date of search] $b (hdg.: [data]; usage: [data])
```

(The last format is used if the library has accessed LC's catalog through the Internet.)

1. If the **heading** on the LC bibliographic record(s) match(es) the **usage** on the work being cataloged, generally consider the heading on the LC record to be AACR and do not examine or record the usage from the LC record. Use the heading from the LC record as the NACO heading.

NOTE: **Usage** on bibliographic records refers to literal transcriptions of the forms of name usually found in the statement of responsibility on a bibliographic record. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure to transcribe the name **as it appeared on the publication** and not as it was formulated because of cataloging rules. **Variant** refers to forms of the name other than usage.

Examples:

```
100 1 $a Grant, James, $d 1771 or 2-1833
670 $a The narrative of a voyage of discovery, 1803: $b t.p. (James Grant,
lieutenant in the Royal Navy)
670 $a RLIN, Aug. 23, 1993 $b (hdg.: Grant, James, 1771 or 2-1833)
```

110 2 \$a Asesoramiento y Gestión Económica, S.A.
 410 2 \$a AGECO
 670 \$a Datos básicos sobre la evolución, 1972: \$b cover (Asesoramiento y Gestión Económica, S.A.) t.p. verso (AGECO)
 670 \$a OCLC, Feb. 19, 1993 \$b (hdg.: Asesoramiento y Gestión Económica, S.A.)

2. If the heading on the LC bibliographic record(s) does **not** match the usage on the work being cataloged, consider the usage(s) on the LC records and on the item to determine the AACR heading. Often the pre-AACR2 forms will contain fuller forms of forenames or dates to be used as additions. Record both the LC heading **and** any usage(s) found. Use a semicolon to separate the heading from the usage.

Examples:

100 1 \$a Guillermin, Gilbert
 400 1 \$w nna \$a Guillermin de Montpinay, Gilbert
 670 \$a Journal historique de la révolution de la partie de l'est de Saint-Domingue, 1810: \$b t.p. (Gilbert Guillermin, chef d'escadron attaché à l'Etat-major de l'armée de Saint-Domingue)
 670 \$a RLIN, Aug. 24, 1993 \$b (hdg.: Guillermin de Montpinay, Gilbert; usage: Gilbert Guillermin)

Do not code the **w** control subfield to show that the tracing refers to a pre-AACR2 heading, if the database being searched is OCLC.

100 1 \$a Phelps, Reginald H. \$q (Reginald Henry)
 400 1 \$a Phelps, Reginald Henry
 670 \$a The German scientific heritage, 1962: \$b t.p. (Reginald H. Phelps)
 670 \$a OCLC, Jan. 29, 1993 \$b (hdg.: Phelps, Reginald Henry; usage: Reginald H. Phelps)

In this example, the cross-reference is optional because the primary elements are not affected. See LCRI 26.2.

3. If a new heading would be the same as another one on pre-AACR2 records, try to resolve the conflict. For instance, add dates or qualifiers to the newly established heading if possible. If the conflict cannot be resolved, a non-unique name record will be needed.

B. Minimal-level LC Cataloging (MLC) Records and Less Than Fully Authenticated Serial Records

Authority work normally has not been done for headings used (1) in minimal level cataloging records which are indicated by a value of **7** in Leader/17 fixed field and (2) in serial records where the authentication field 042 does not contain either **lc**, **lcd**, or **nlc**. Headings in LC MLC records or less than fully authenticated serial records may or may not be properly established AACR forms. These headings should be verified to ensure that they conform to AACR and the LCRIs.

1. In preparing authority records, ignore MLC records and less than fully authenticated serial records unless the heading, usage, or statement of responsibility provides important information not found on the piece or in full-level, pre-AACR2 records.
2. Statements of responsibility found in these records should be taken into account as usage. However, these headings do not have equal status with those found on full-level, pre-AACR2 records, even when the statements of responsibility provide additional information.

For example, if the piece does not contain the author's birth date and there is both a full-level, pre-AACR2 heading on an LC bibliographic record without a birth date and an LC MLC record with a date, the AACR heading will **not** include the date (See LCRI 22.17). The MLC heading with the date will be cited in the 670 field for informational purposes only.

However, if there is no existing full-level, pre-AACR2 bibliographic record and there is an LC MLC record with the date, the date will appear in the heading.

Format for MLC headings :

670 \$a RLIN21, [date of search] \$b (MLC hdg.: [data]; MLC usage: [data])

670 \$a OCLC, [date of search] \$b (MLC hdg.: [data]; MLC usage: [data])

Format for a combination of an MLC heading and a full-level heading in the same 670:

670 \$a RLIN21, [date of search] \$b (hdg.: [data]; MLC hdg.: [data]; MLC usage: [data])

670 \$a OCLC, [date of search] \$b (hdg.: [data]; MLC hdg.: [data]; MLC usage: [data])

Format for less than fully authenticated serial heading:

670 \$a RLIN21, [date of search] \$b (Less than fully authenticated serial hdg.: [data])

670 \$a OCLC, [date of search] \$b (Less than fully authenticated serial hdg.: [data])

Examples:

100 1 \$a Charles, Lloyd, \$d 1945-

670 \$a Housing construction in Jamaica, 1988: \$b t.p. (Lloyd Charles)

670 \$a RLIN, May 27, 2002 \$b (MLC hdg.: Charles, Lloyd, 1945-)

100 1 \$a Houlihan, Diane, \$d 1937-

670 \$a United States foreign relations with China, 1987: \$b t.p. (Diane Houlihan)

670 \$a OCLC, Sept. 7, 1993 \$b (Less than fully authenticated serial hdg.: Houlihan, Diane, 1937-)

110 2 \$a Barrington & Wilder

410 2 \$a Barrington and Wilder

670 \$a Barrington & Wilder Records, 1875-1910 \$b (Barrington & Wilder)

670 \$a OCLC, July 20, 2001 \$b (MLC hdg.: Barrington and Wilder; MLC usage: Barrington & Wilder)

C. Non-LC Bibliographic Records

Note: In constructing headings and references, and recording information, NACO participants may make use of all bibliographic records in the file against which the searching and cataloging is being done.

Non-LC libraries' records in RLIN21 and OCLC may be cited in 670 fields, and usage found in these records may be used in formulating the AACR heading.

The format for citing these records is the same as for full-level LC bibliographic records (see section A).

X. Citing Reference Sources

In certain cases AACR and the LCRIs require the cataloger to search reference sources beyond the work in hand. Examples: Headings for persons, LCRI 22.3B2 (Names in vernacular and Greek or Latin forms), 22.3C ("well established in English-language reference sources"), and 22.13B (saints); and geographic names, LCRI 23.2.

Further research is also needed to resolve conflicts. This will be especially important for common names and geographic names.

A. When doing extra research, record the information in a 670 field and take the information into account when formulating the heading.

B. Use abbreviations when citing standard reference sources, including a year of publication or edition. Include location of data found **unless** the reference source is a strictly alphabetized source, such as the *Dictionary of American Biography*, *Who Was Who*, or an encyclopedia. When using abbreviations, make sure they are understandable.

Examples:

- 670 \$a Nat. fac. dir., 1987 \$b (Elizabeth Jackson Hall; Loyola University Chicago, Ph.D., 1976; philosophy prof., Loyola University Chicago)
- 670 \$a Brockhaus, 1974: \$b Bd. 19, p. 823 (under Walkenried: Zisterzienserabtei W.; founded 1127)
- 670 \$a New Cath. enc. \$b (Guibert of Gembloux; Benedictine abbot; b. ca. 1125; d. Feb. 22, 1213; became abbot of Gembloux, 1193)
- 670 \$a DAB \$b (Adolph Papageorge Falcón; b. Mar. 16, 1963, Corpus Christi, Tex.; A.B., Yale Univ., 1985; M.P.P., Harvard Univ., 1987)
- 670 \$a Martindale-Hubbell, 1992: \$b v. 6, p. IL311P (Bruce, Joseph J.; b. 1952)
- 670 \$a Baker, 8th ed. \$b (Loewengard, Max Julius; b. Oct. 2, 1860, Frankfurt am Main; d. Nov. 19, 1915, Hamburg; German writer on music, teacher, and composer)

XI. Citing the National Union Catalog (NUC)

Catalogers may need to consult the NUC when seeking additional information about a heading. Note that headings found in the NUC are **not** considered authoritative pre-AACR2 headings. If, however, the NACO member has genuine cause to search the NUC or NUC pre-1956 (primarily for resolving a conflict) and finds useful additional information, he should record the information found in a 670 field and in the 1XX, if appropriate.

Examples:

100 1 \$a Hunt, John, \$d 1775-1848
670 \$a Report of the proceedings on an information filed ex officio ... 1811: \$b t.p.
(John Hunt)
670 \$a NUC pre-56 \$b (Hunt, John, 1775-1848)

100 1 \$a Cater, Katherine, \$d 1945-
670 \$a Legal research for librarians, 1968: \$b t.p. (Katherine Cater)
670 \$a NUC 1968-72 \$b (Cater, Katherine, 1945-)

XII. Citing In-House Files

It is possible to cite in-house (usually manual) files in a 670 field. Do not add full histories or biographies.

It is suggested that the NACO member use his institution's MARC organization symbol, followed by the word "files," **\$b** and data. It is not necessary to identify the type of file consulted. Do not give local call numbers or classification schemes in the citation.

Examples:

- 100 1 \$a Freeman, Constant, \$d 1757-1824
400 1 \$a Freeman, Const. \$q (Constant), \$d 1757-1824
670 \$a Letter from the secretary of the Navy, transmitting a statement of the expenditures and application of the moneys drawn from the treasury on account of the Navy, 1821: \$b folded leaf (Const. Freeman, fourth auditor)
670 \$a MWA/NAIP files, Dec. 12, 1995 \$b (hdg.: Freeman, Constant, 1757-1824; note: joined U.S. Army, 1st Lt., Nov. 9, 1776; reached rank of col.; hon. disch., June 15, 1815; auditor of the U.S. Navy Dept.)
- 100 1 \$a Meeker, George H. \$q (George Herbert), \$d b. 1871
670 \$a Biographical memoir of Edgar Fahs Smith, 1936: \$b t.p. (George H. Meeker)
670 \$a PU-Ar files, Jan. 21, 2000 \$b (George Herbert Meeker; b. 1871)
- 100 1 \$a Wallace, Robert J. \$q (Robert John), \$d 1846-1909
670 \$a Trevor's taxes on succession, 1881: \$b t.p. (Robert J. Wallace, of the Legacy and Succession Duty Office)
670 \$a MoSU-L/NLT files, June 5, 1992 \$b (hdg.: Wallace, Robert John, 1846-1909)
- 100 1 \$a Richardson, Hannah White, \$d 1811?-1882
670 \$a White, J. Papers, 1796-1906 \$b (Hannah White Richardson)
670 \$a PHC files, May 15, 1999 \$b (Hannah White Richardson; b. 1811?; d. 1882; Quaker author of spiritual works and founder and benefactor of Medical College of Pennsylvania)

XIII. Citing the BGN and Other Reference Sources for Place Names

Apply the following for current place names:

1. For names in the United States, base the heading on the form found in the Geographic Names Information System (GNIS) (<http://geonames.usgs.gov/index.html>). A recent edition of the *Rand McNally Commercial Atlas and Marketing Guide* may also be used when access to the World Wide Web is not available.
2. For names in Australia and New Zealand, base the heading on the form found on the GONet Names Server (GNS) (<http://164.214.2.59/gns/html/index.html>). A gazetteer published within the last two years may also be used when access to the World Wide Web is not available.
3. For names in Canada, use the heading provided by the Library and Archives of Canada (LAC). Search the AMICUS Web site (<http://www.collectionscanada.ca/amicus/>), if available, or further consult DCM Z1, Appendix for Canadian Headings.
4. For names in Great Britain, base the name on a recent edition of the Ordnance Survey Gazetteer of Great Britain. This resource is available online at <http://www.ordsvy.gov.uk/>. Select "Place name gazetteer" to begin a search.
5. For other names, base the heading on the form found in the work being cataloged together with consideration of the form found on GNS (or an appropriate gazetteer if access to the World Wide Web is not available).
6. For geographic names established on the basis of information from the United States Board of Geographic Names (BGN), convey a designated short form of name by adding within brackets immediately after the appropriate element the statement "[short form]." Repeat the short form if needed for clarity. (Do this even if the long form is chosen for the heading.) Retain the phrases "[conventional]," "[language]," etc. when used by BGN. Give the date of the search in the online file and include the feature designation (e.g. ADM1, PPL), coordinates, and variants. If searching the latest available gazetteer because online access is not available, do not include the date but do include the feature designation and coordinates. Note: In published gazetteers the short form is shown with the use of boldface type.

Examples:

- 670 \$a BGN, May 13, 1989 \$b (Coast [short form] Province; ADM1, 3°00'S 39°30'E)
- 670 \$a BGN, July 7, 1992 \$b (Varese [short form], Provincia di; PROV, 45°48'N 8°48'E)
- 670 \$a GONet Oct. 7, 2003 \$b (Macetown, PPL, NZ; 44°52'00'S, 168°58'00'E)

XIV. Citing Non-Bibliographic Sources

Occasionally, the name of a personal author or a corporate body may be verified by telephone or other means. In such cases, record the information in a 670 field.

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

Examples:

- 670 \$a Phone call to Timber Mgt., May 12, 1993 \$b (not same as United States, Forest Service, Timber Management Research; Timber Mgt. is subord. to National Forest System, a branch of Forest Serv.; Timber Mgt. Res. was subord. to Forest Serv. Research, a different branch of Forest Serv., and became Forest Management Research ca. 1991)
- 670 \$a Personal communication from author, Sept. 1, 1993 \$b (rare book cataloguer; b. Deborah J. Jackson on 26 July 1958)
- 670 \$a Phone call to H. Jones, Jan. 31, 1992 \$b (Harry Jones is the real name of Lionel James)
- 670 \$a Information from publ., Feb. 6, 1991 \$b (James Allan's middle name is Stephen, not Steven)
- 670 \$a Email from U. Tex. at Arlington, Jan. 30, 1996 \$b (James Edwin Thayer; Ph.D. in linguistics from Ind. U. 1973; M.S. in materials sci. from U. Tex. at Arlington in 1987)

XV. Citing Internet Resources

Give the title or name of the Internet resource, an indication of the delivery mechanism, and the date it was consulted in **\$a**. Titles or names should be taken from resource or constructed by the cataloger to best represent the site (see section VI). In **\$b**, give the location, if appropriate, and the information found.

One of the three following constructions should generally be used to cite Web pages:

[Title or name] WWW site, [date of search]: \$b [location] ([information])

[Title or name], via WWW, [date of search]: \$b [location] ([information])

[Title or name] WWW home page, [date of search]: \$b ([information])

In the above patterns, punctuation is not prescribed.

Examples:

670 \$a British Oceanographic Data Centre WWW home page, Sept. 6, 2000 \$b (BODC, est. Apr. 1989)

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, Utah; married Joseph Smith 27, Jul 1842 Nauvoo, Ill.; married Heber Chase Kimball 17 Mar 1845, Nauvoo, Ill.)

670 \$a Centre for AIDS Development, Research and Evaluation WWW site, Dec. 14, 2004: \$b contact us page (Kevin Kelly, research director)

670 \$a Free on-line dictionary of computing, via WWW, Jan. 31, 2005 \$b (Bill Gates; William Henry Gates III, CEO of Microsoft)

670 \$a Advisory Committee on Gulf War Veterans' Illnesses WWW site, July 2, 2003: \$b HTML header (RAC-GWVI)

Using URLs is not preferred since addresses often change. Citing the URL is allowed in very rare cases when a title or name cannot be sufficiently determined or constructed.

The following construction is generally used to cite a Web page by its URL:

Internet, URL: [URL address],[date of search] \$b ([information])

If a URL is given that includes a spacing tilde or a spacing underscore, replace the character with its corresponding hex code, preceded by a percent sign: %7E for spacing tilde %5F for spacing underscore.

675 Field (Sources Not Found)

The 675 field records (1) variant information about a heading that is used to substantiate earlier/later references, and (2) a reasonable source where the heading is not found. It is not always necessary to include in the 675 every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent record.

- I. The 675 field is not repeatable. Cite all sources in one continuous paragraph. Abbreviate source citations and separate them with a semicolon. Use **\$a** before each separate source.

Examples:

675 \$a DAB; \$a WWasWAm; \$a Enc. Brit., 15th ed.

675 \$a WW in sci. in Europe, 1985; \$a Cur. contents add. dir., Sci & Tech., 1985; \$a DNB; \$a Boase; \$a Aust. dict. of biog.

- II. When using the 675 to document earlier or later names not found in the work cataloged, do not use **\$b** to separate the bibliographic data from the heading data. Subfield **b** is not valid for the 675 field.

Examples:

110 2 \$a American Enterprise Association

510 2 \$w b \$a American Enterprise Institute for Public Policy Research

670 \$a Who gets the money? 1940: \$b t.p. (American Enterprise Association)

675 \$a Nuclear energy, a reassessment, c1980: t.p. (American Enterprise Institute for Public Policy Research)

110 2 \$a American Enterprise Institute for Public Policy Research

410 2 \$a American Enterprise Institute

510 2 \$w a \$a American Enterprise Association

670 \$a Nuclear energy, a reassessment, c1980: \$b t.p. (the American Enterprise Institute for Public Policy Research) cover (American Enterprise Institute)

675 \$a Who gets the money? 1940: t.p. (American Enterprise Association)

663/664 Fields (Complex See Also and See References)

NACO participants may use the 663 field in conjunction with the see also reference structure (5XX) for bibliographic pseudonyms.

The **663** field contains the explanatory text and the headings referred to that are required when relationships exist between an established name and other established names that cannot be adequately conveyed by one or more simple cross-references generated from the 5XX fields. (See also LCRI 22.2B and LCRI 26.2D.) These are often used in the case of authors using two or more pseudonyms or joint pseudonyms. 5XX references should contain the \$w with the 4th position set to c (reference not displayed, field 663 used). Subfield b is used to list the related established headings to which the heading in field 1XX of the record refers.

663 Examples:

```
100 1 $a Rich, Barbara
500 1 $w nnc $a Jackson, Laura (Riding), $d 1901-
500 1 $w nnc $a Graves, Robert, $d 1895-
663 $a Joint pseudonym of Laura (Riding) Jackson and Robert Graves. For works
of these authors written under their own names, as well as a listing of other
names used by Laura (Riding) Jackson, search also under: $b Graves, Robert,
1895- $b Jackson, Laura (Riding), 1901-

100 1 $a Graves, Robert, $d 1895-
500 10 $w nnc $a Rich, Barbara
663 $a For works of this author written in collaboration with Laura (Riding) Jackson,
search also under: $b Rich, Barbara

100 1 $a Jackson, Laura (Riding), $d 1901-
500 1 $w nnc $a Rich, Barbara
500 1 $w nnc $a Riding, Laura, $d 1901-
500 1 $w nnc $a Vara, Madeleine, $d 1901-
500 1 $w nnc $a Outcome, Lilith, $d 1901-
500 1 $w nnc $a Reiter, Lilian, $d 1901-
500 0 $w nnc $a L. R., $d 1901-
663 $a For works of this author written under other names, search also under: $b
Riding, Laura, 1901- $b Vara, Madeleine, 1901- $b Outcome, Lilith, 1901- $b
Reiter, Lilian, 1901- $b L. R., 1901- $a For works written in collaboration with
Robert Graves, search also under: $b Rich, Barbara
```

The **664** field contains the explanatory text and the headings referred to that are required when relationships exist between a name not established and one or more established names that cannot be adequately conveyed by simple cross-references generated from 4XX fields in the established heading records.

664 fields are rarely used. Prefer simple cross-references (663s) over complex cross-references (664s). Consult LC's Cooperative Cataloging Team before using field 664 in Name/Series authority records (See *MARC 21 Authority Format: LC Guidelines*, 664 Complex See Reference—Name).

667 Field (Nonpublic General Note)

The 667 field is used to give information of permanent value and general interest to catalogers. Separate 667 fields may be given in any order.

In current practice, the 667 field mainly records practical information about the use or status of the heading. The record number of an undifferentiated NAR that previously covered the heading appears here. Policy specialists, especially those working with series authorities, in the CPSO, Library of Congress, frequently include “message notes” in this field in order to record the work they are doing with the record. A final use is to record a former heading, whether or not it is AACR, that is not suitable for use as a reference on the NAR.

Examples:

667 \$a Formerly on undifferentiated name record: nr 94007007

667 \$a MESSAGE: Being updated; treatment being changed to collected, not analyzed after Feb. 2, 1992. [code and date]

667 \$a Old catalog heading: Jones, John Paul, d. 1792

Another purpose is to give instructions on the subject usage of the heading. Certain types of headings, such as those established under AACR 24.20C, are not suitable for use as a subject entry. Geographic headings (151), however, are the main topic for these notes. Headings for city sections bear a 667 telling the cataloger that the heading is not suitable for use as a geographic subdivision. Name authority records for older forms of place names bear a 667 telling the cataloger of the correct form of heading to use in subject practice.

Examples:

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

667 \$a SUBJECT USAGE: This heading is not valid for use as a subject. Works about this place are entered under Hong Kong (China).

Catalogers have gradually changed the application of the 667 field over time. Records in the database show any number of examples. A large number of these uses have been shifted to the 670 or 675 fields. A past practice that should be used sparingly—if at all—is to reassure other catalogers that the new record is not a duplicate.

It should be evident from the 670s and 675s on each NAR that the two headings represent two different entities. If two or more headings are similar enough to cause confusion in assigning them to bibliographic records, construct a 667 note.

Examples:

667 \$a Not the same as: [data]

667 \$a Cannot identify with: [data]

Information may be found in DCM Z1, 667 section.

7XX Heading Linking Entries

The use of this field in name or series authority records is to record the authorized form of name from a national file, whether or not the heading differs from the heading and reference fields in the NACO authority record. The use of this field is limited to a National Bibliography Agency (NBA) or its authorized deputy.

NACO members should not add this field to authority records in the LC/NAF without first obtaining authorization from their NBA, informing their LC liaison of their intention to do so, and receiving an appropriate source code through the LC Network Development and MARC Standards Office (NDMSO).

NACO members should not revise nor delete this field from authority records without proper authorization.

Pattern:

1XX __ \$a [NACO AACR heading]

670 ## \$a[Citation]: \$b t.p. ([usage for 1XX])

7XX 17 \$a [Alternate authorized form] \$2 [source code]

At this time, NBA-produced authority records are those of the Library and Archives of Canada (LAC) and the National Library of South Africa. The 7XX serves as a means for the LAC to link the English and French versions of their authority records. The British Library and the Library of Congress have both announced that they will not, at this time, create nor maintain such links.

781 Subdivision Linking Entry Geographic Subdivision (OPTIONAL)

The 781 field is an optional field that NACO participants may provide in name authority records for geographic headings (151). The 781 field indicates the correct form and MARC21 coding for a geographic heading when it is used as a geographic subdivision in a subject heading on a bibliographic record.

NACO members wishing to use this field should consult DCM Z1 and SCM instruction sheets H 830 and H 835.

The code used in the second indicator of the 781 field is **0** (Library of Congress Subject Headings) and the only subfield assignment allowed is **z** (geographic subdivision)

Examples:

151 \$a Westfield (N.Y.)
781 0 \$z New York (State) \$z Westfield

151 \$a Westfield (N.Y. : Town)
781 0 \$z New York (State) \$z Westfield (Town)

Not all geographic headings in the LC/NAF are suitable for use as geographic subdivisions. Subject practice does not subdivide geographically below the city level.

For headings that represent geographic entities within cities, such as city sections, a 667 subject usage note should be added with the wording: "This heading is not valid for use as a geographic subdivision."

Examples:

151 \$a Chelsea (London, England)
667 ## \$a SUBJECT USAGE: This heading is not valid for use as a geographic subdivision.

151 \$a Hong Kong
667 ## \$a SUBJECT USAGE: This heading is not valid for use as a subject. Works about this place are entered under Hong Kong (China).

151 \$a Hong Kong (China)
781 #0 \$z China \$z Hong Kong

Subject practice differs from descriptive practice in using only the heading that represents the latest name or status of a jurisdiction that has changed its name or status regardless of time

period covered. Such headings are coded “b” in fixed field 008/15 and have a 667 subject usage note. NACO participants should not add 781 fields to these records.

Provisional Authority Records

Provisional authority records (PARs) are identified in fixed fields by the presence of code **c** in fixed field 008/33.

NACO participants usually create provisional authority records in the following instance:

If the contributing library does not have the language expertise to establish the heading as a fully established authority record; this includes situations where the library lacks adequate reference sources for research, the cataloger is not confident of his ability to determine the correct grammatical form of heading, or correct romanization is lacking (e.g., Cambridge University has a music score by a Russian composer, but the only form of the name on the work is in French).

NACO participants usually create provisional authority records for headings that conflict with already established headings. This includes headings that normalize to the same form. The NACO member should consult his LC liaison for guidance on language and other areas of expertise, so that such headings and references can be fully established at the time they are contributed.

Preliminary Authority Records

Preliminary authority records can be identified by the presence of code **d** in fixed field 008/33 (Level of establishment). NACO participants may create preliminary records, but they should consult with their PCC reviewer before contributing them.

Communications with the Library of Congress

Communications with LC are sent by the institution's NACO liaison or funnel coordinator via electronic mail. There are two general categories of queries:

1. Reporting Bibliographic File Maintenance (BFM). If a newly created heading applies to LC bibliographic records, the NACO liaison or funnel coordinator communicates this via email. As of December 2003, routine changes to existing name headings do not require BFM notification. Guidelines for BFM reporting requirements are available online at: <http://www.loc.gov/catdir/pcc/naco/bfmguide.html>.

If BFM is required, the text of the electronic mail will be as follows:

The following new NARs will require BFM at LC:

010 \$a nr 93018463
100 1 \$a Kim, Chong-man

010 \$a nr 93018472
100 1 \$a Kaush, Muhammad

010 \$a no 93002846
100 1 \$a Aghaiev, Einulla

010 \$a no 93002857
100 1 \$a Hubbes, Harald

The following updated NAR will require BFM at LC:

010 \$a n 85018375
100 1 \$a Marti, F. \$q (Felix)

2. Report duplicates (e.g., duplicate LCCNs)
Include both authority record numbers in the email to your NACO liaison.

3. Other communications include:

a. LAC—asking LC to verify a Canadian corporate heading with the National Library and Archives of Canada; per DCM Z1, Appendix: Canadian Headings, NACO members contact their LC liaison in certain situations.

b. Questions arising out of the general course of business.

c. Update contact information (e.g., changes in contact information and email addresses, or additions to the PCC list).

Section II

Additions and Changes to Authority Records

General Information

The need to alter a record already in the LC/NAF is almost as common as the need to create a new authority 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, or uniform title, change the authority record; add the published source after the CIP source in a separate 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.

Not all authority records in the LC/NAF have been coded **c** (AACR2) or **d** (AACR2-compatible) in Descriptive Cataloging Rules 008/10. These headings must be coded for AACR at the first instance of use.

Generally, do not add or take away any information to authority headings (1XXs) coded AACR2 or AACR2-compatible (descriptive cataloging rules fixed field 008/10 will be coded **c** or **d**) unless there is a clear error or the addition/removal is called for by the rules (e.g., if birth dates become available for a heading with "flourished" dates (See LCRI 22.1)). Though this may seem counterintuitive, the purpose of this practice is to minimize the amount of bibliographic file maintenance that would need to be done in library catalogs worldwide if headings were routinely changed.

While information may not generally be added to the established 1XX, the cataloger may add references as justified by the rules and additional 670 fields to record new or updated information. The most common situation under this policy of not adding information to or removing it from authority headings (1XXs) is the wish of catalogers to add the death dates of deceased persons to their authorized headings.

An example is the NAR for Katharine Hepburn. When adding a new 670 with the actress's

death date and other data, the cataloger realized that Hepburn's forename had been misspelled. In correcting that error, the cataloger applied LCRI 22.17 and added the death date. The old heading, **Hepburn, Katherine, 1907—** accordingly became **Hepburn, Katharine, 1907—2003.**

Additions and changes are governed by the same guidelines used for creating original authority records, i.e., AACR, the LCRIs, and the DCM.

Workflow

Training Status

- I. If the member is in training status, changes are reviewed by the reviser just as they are for newly created NARS.
- II. NACO participants are required to revise the **entire record** so that it reflects current practice. This includes examining and making necessary adjustments to the fixed fields (008/10 Descriptive Cataloging Rules, 008/29 Reference Evaluation, 008/33 Level of Establishment), and the 1XX, 4XX, 5XX, 667, 663/664, 670, and 675 fields.

Independent Status

After independent status is granted, updated records do not have to be approved.

Fixed Fields

Most fixed fields in authority records are either constants or are system-supplied. However, certain fixed fields must be examined and adjusted when making additions and changes to LC/NAF records.

These fixed fields are listed and briefly annotated below. For complete information on authority record fixed fields, see DCM Z1 and *MARC 21 Format for Authority Data with Blue Pages*.

=====
Encoding Level Leader/17

code n complete authority record

code o incomplete authority record (i.e., early notice record)

=====
Level of Establishment 008/33

code a fully established heading

code b memorandum

code c provisional heading

code d preliminary heading

=====
Record Update in Process 008/31

code a record can be used

code b record is being updated

=====
Descriptive Cataloging Rules 008/10

code a Earlier rules

code b AACR1

code c AACR2

code d AACR2- compatible

=====
Undifferentiated personal name **008/32**

- code a differentiated personal name
- code b undifferentiated personal name
- code n not applicable, i.e., not a personal name

=====
Reference evaluation **008/29**

- code a cross-references have been evaluated and are consistent with the heading
 - code b cross-references are not necessarily consistent with the heading, i.e., the references have not been evaluated for AACR2
 - code n record does not contain cross-references
- =====

Pre-AACR2 Headings in the LC/NAF

Evaluating Form of Name in the 1XX

If a heading is found in the LC/NAF that is not coded AACR2 (Descriptive cataloging rules fixed field 008/10 = **c**) or AACR2-compatible (Descriptive cataloging rules fixed field 008/10 = **d**), reevaluate the heading based on the work-in-hand and other sources. Determine the AACR2 heading and which of the following cases applies:

- I. AACR2 heading would match the pre-AACR2 heading:
 - A. If the AACR2 heading would be the same as the pre-AACR2 heading, make changes in the record so that it is fully in accord with current policy.
 - B. Change the Descriptive cataloging rules fixed field 008/10 appropriately.
- II. AACR2 heading would not match the pre-AACR2 heading:
 - A. Enter the AACR2 heading in the 1XX field.
 - B. Make necessary changes to the record.
 - C. Change the tags and other codes as necessary. Change the Descriptive cataloging rules fixed field 008/10 appropriately. Evaluate and adjust the cross-references to reflect AACR2 practice, and code the Reference evaluation fixed field 008/29 appropriately.

Cancellation of Authority Headings in the LC/NAF

Cancellation of an Established Authority Record

Occasionally, a record in the LC/NAF should be deleted. Most commonly an authority record is canceled because it is found to be a duplicate. If a record is found to be a duplicate, send the LC liaison the following information:

\$a [LCCN]: deleted

\$a [LCCN]: retained

The cancellation itself can only be done by LC.

Deletion of a Record in the RLIN21 Save File or the OCLC Review Files

It may also be necessary to delete records input into the RLIN21 Save file or OCLC Review files if duplicates are found for these headings. For instructions on how to delete records from these files, consult the documentation provided by each of the utilities. Do not report records deleted from the save or review files to the LC liaison.

Undifferentiated Personal Name Authority Records

Sometimes a personal name heading being created will conflict with or normalize to match another heading in the LC/NAF. (See DCM Z1, Introduction, for more information and examples.) In those cases, modify the existing authority record to represent more than one person with the same name in the form of undifferentiated personal name authority record

Procedure:

- I. If the heading being created will exactly match or normalize to exactly match another heading in the LC/NAF, examine the record to see if it is for a differentiated personal name (Differentiated personal name fixed field 008/32 = **a**) or for an undifferentiated personal name (Undifferentiated personal name fixed field 008/32 = **b**). If it is the latter, skip to section IV below.
- II. If the authority record is for a differentiated personal name, try to resolve the conflict for either the heading being created or the heading already in the LC/NAF. (See AACR2 22.17-19 and consult appropriate reference sources to do so.)
- III. If the conflict cannot be resolved, it will be necessary to change the existing LC/NAF record into a heading for an undifferentiated personal name per AACR2 22.20 and DCM Z1.
 - A. Change the Undifferentiated personal name fixed field to **b**.
 - B. For each person represented by the NAR, supply **two** 670 citations for the name on the work-in-hand. The first, enclosed in brackets, will supply the title of the work cataloged and the person's relationship to that work. The second will be a standard 670 note.

Example:

670 \$a [Author of A history of witchcraft]
670 \$a A history of witchcraft, 1981: \$b t.p. (Jean Mason)

- C. List the reference sources consulted in trying to break the conflict in a 675 (sources not found) field as appropriate.
- D. Add a bracketed 670 field for the first person already listed in the authority record, per step III. B. above. This will be the **first** 670 field for that person.

IV. If the LC/NAF record being changed is already coded as an undifferentiated personal name (Undifferentiated personal name fixed field 008/32 = **b**), add the citations to the record, following steps III B-C above.

Example:

100 1 \$a Stewart, John
670 \$a [Editor of The Best of Tracks]
670 \$a The Best of Tracks, 1975 (a.e.) \$b cover (John Stewart, editor)
670 \$a [Author of Of no fixed abode]
670 \$a Of no fixed abode, 1975: \$b t.p. (John Stewart) jkt. (lecturer in soc. admin., Univ. of Lancaster)
670 \$a [Author of Ulster D.V.]
670 \$a Ulster D.V., 1972: \$b t.p. (John Stewart) introd. (former missionary; pastor, Woodvale Meth. Church, Belfast)
670 \$a [Subject of The missionary power]
670 \$a The missionary power, 1827 (subj.) \$b t.p. (John Stewart)
670 \$a [Editor of Made for television]
670 \$a Made for television, 1985: \$b t.p. (John Stewart) p. iv (Television access officer at the British Film Institute)
675 \$a WW Aus, 1975; \$a Allibone; \$a Lanman, C. Biog. annals of civil govt. of U.S., 1876; \$a Hough; \$a Drake; \$a WwasW in Amer., 1607-1968; \$a Academic WW, 1973-74; \$a Commonwealth univ. yrbk., 1974; \$a WW, 1970,
75

4XX and 5XX Fields

4XX and 5XX fields on existing LC/NAF records may be added, deleted, and/or modified for various reasons, including:

1. deleting a 4XX/5XX field because it is no longer appropriate
2. modifying a 4XX/5XX field in order to reflect new information or make a correction
3. adding a new 4XX/5XX field because a variant form of the heading has been encountered

I. For guidelines on how and when to add or modify 4XX/5XX fields, see:

- A. AACR2, chapter 26
- B. LCRIs for chapter 26
- C. DCM, section Z1

II. Many modifications to 4XX/5XX fields will also necessitate the addition of 670 and/or 675 fields.

III. When adding or adjusting 4XX/5XX fields on an authority record, remember that the whole record must be brought up-to-date. Examine and, if necessary, adjust all 4XX/5XX fields in the record. Code the Reference evaluation fixed field 008/29 appropriately.

IV. Do not delete or change linking references in existing authority records except in cases of conflicts that cannot be resolved by additions to the other heading.

670 Field

Supply 670 citations to an existing authority record in the following two situations:

1. Additions or changes have been made to the record, and the changes must be justified.
2. Important new information is found about a heading that warrants inclusion

Procedure:

- I. Apply the principles in the section **New Authority Records—670 Field** in formulating additional 670 citations.
- II. Generally do not change the order of the existing 670 fields already cited in the record. New 670 fields will simply be listed after those already given.
- III. Do not routinely delete 670 fields already cited when the addition of new 670 fields makes the earlier ones irrelevant.
- IV. For undifferentiated personal name authority records, follow the guidelines in this manual.

675 Field

If research is done in order to make additions or changes to an authority record and sources are searched that do not provide information about the heading, cite them in a 675 field.

If the authority record being modified already contains a 675 field, add newly searched source(s) at the end. If it does not, formulate one listing source(s) searched.

The 675 field may also be added to an existing authority record in order to justify earlier/later headings (5XXs).

663/664 Fields

It may be necessary to add, change, or delete 663 or 664 fields and/or add or change control subfields (**\$w**) to cross-references on existing authority records.

1. Conversion from Complex Reference to Regular Reference

Change the record on which the complex reference is traced by changing the **\$w** control subfield and correcting the tag, if necessary.

For a see reference, search the database for the record with the 664 field. If found, cancel it following the normal procedures for record cancellation. If not found, assume that the complex reference has already been cancelled. For see also references recorded in 663 fields, also delete the 663 field from the record for the heading referred from.

2. Conversion from Regular Reference to Complex See or See Also Reference

Change the **\$w** control subfield for the reference by adding a value **b** or **c** in the 4th position. Correct the tag if necessary. For see also references, also change the record for the heading referred from, and add the 663 field to it.

3. Change to an Existing Complex Reference

If the reference is, and will remain, a "see" (664) reference, and if the change is to the refer-to or refer-from lines, change the name authority record(s) on which the complex reference is traced.

If the reference is, and will remain a "see also" (663) reference, adjust the text of the reference as necessary. If the change is to the refer-to or refer-from lines, also change the name authority records on which the reference is traced.

665 Field

Do not use this field. Refer to *MARC 21 Authority Format*, 665 History Reference, LC Guidelines.

667 Field

- I. When adding a "Not the same as" or "Cannot identify with" 667 note to a new authority record, it may be helpful to add a corresponding 667 to the existing record.

Example:

(new record being added):

```
100 1 $a Thomas, Edward, $c printer, of London
400 1 $a Thomas, E. $q (Edward), $c printer, of London
667 $a Cannot identify with: Thomas, Edward, printer
670 $a The interesting history, of little King Pippin, 1820: $b p. 40 (E. Thomas;
printer, Golden Lane, Barbican, London)
670 $a Todd, W.B. Directory of printers ... London & vicinity 1800-1840, 1972 $b
(Thomas, Edward; printer in London, active 1808-1837)
```

(existing record in the LC/NAF, 667 added):

```
100 1 $a Thomas, Edward, $c printer
667 $a Cannot identify with: Thomas, Edward, printer, of London
670 $a Little Tommy, 1858: $b t.p. (Edward Thomas; printer, Chester, England)
```

Note that this information is better reflected in 670 notes.

- II. If a linking reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record, add an "Old catalog heading" 667 note. It may also be necessary to use this 667 note if the linking reference method of tracing a pre-AACR2 LC heading is not appropriate (See DCM Z1, Introduction).

```
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
```

Preliminary Authority Records in the LC/NAF

The LC/NAF contains headings designated "preliminary" which may be identified by Level of Establishment fixed field 008/33 d; usually the 670 field will begin with a control number.

Although NACO participants do not generally create preliminary records, they are permitted to upgrade them to fully-established records, especially when they are making another change to the NAR.

Provisional Authority Records in the LC/NAF

Background:

The LC/NAF contains headings designated "provisional" which may be identified by Level of Establishment fixed field 008/33 c.

Generally, these are authority records that could not be fully established according to the rules because of inadequate information about the person, corporate body, etc. Frequently, this is because the language of a parent body and a subordinate body differ, or because the cataloger who established the heading did not have the language expertise necessary to establish it as a full-level record.

NACO members are expected to upgrade these records whenever possible.

British Library (BL) Name Authority Records

In October 1996, the British Library (BL) began to contribute NARs online. These records can be identified by the prefix "nb" in the 010 of the record as well as the code "Uk" in both subfields of the 040.

The BL must be informed of any changes to the 1XX field on any record with the code "Uk" in **\$a** of the 040. Send an email message to BL Authority Control staff at nal-queries@bl.uk or through the BL NACO liaison giving the LCCN of the record and a brief explanation for the proposed change.

English Short Title (ESTC) Records

Authority records for names established by the British Library in connection with the English Short Title Catalogue project. Since these headings are being provided by a national library, they may not be changed without special permission. Proposed changes should be referred to the BL Authority Control staff at nal-queries@bl.uk.

ESTC records can be identified by the following elements:

1. The 040 field contains either UK/ESTC-NA or UK/LU-ECT.
2. The first 670 citation is supplied by project staff and might not represent the publication that caused the heading to be established. The parenthetical statement of the title page form may not include all elements in the heading or may reflect a variant form.
3. Cross-references might not be justified by information cited in 670 fields.
4. The record will contain a 667 note field reading: Data provided by ESTC/BL.

Example:

```
040 $a UK/LU-ECT $c DLC
100 1 $a Bramston, James, $ d1694?-1744
400 0 $a Author of the Art of politicks, $d 1694?-1744
400 1 $a Art of politicks, Author of, $d 1694?-1744
400 0 $a Ambi-dexter ignoramus, $d 1694?-1744
667 $a Data provided by ESTC/BL
670 $a The man of taste, 1733: $b t.p. (the author of the Art of politicks)
670 $a RLIN, Mar. 19, 1985 $b (Bramston, James, 1694?-1744)
```

National Library of Medicine (NLM) Records

National Library of Medicine (NLM) catalogers take into account headings and usage in the NLM bibliographic and authority files when preparing new AACR headings. They also change AACR headings already formulated by LC when the NLM files support a different heading. For headings used by NLM, the NLM heading has precedence over the LC heading when:

1. The LC heading has not yet been coded for AACR2, and the NLM heading has already been established as AACR2
2. The LC heading has been coded as AACR2-compatible (Descriptive cataloging rules fixed field 008/10 = **d**) and NLM has established the heading as "pure" AACR2 (Descriptive cataloging rules fixed field 008/10 = **c**)
3. Both libraries have headings already coded as "pure" AACR2 and NLM has a greater number of bibliographic records in support of its heading than LC has in support of its heading. (If the number is equal, the better heading is chosen, basing the decision on judgment)

Pattern:

670 \$a NLM files, [date viewed] \$b (hdg.: [data]; usage: [data])

670 \$a NLM/LC files, [date viewed] \$b (hdg.: [data]; usage: [data])

Full NLM Record:

040 \$a DNLM \$c DLC \$d DLC

100 1 \$a Fuller, R.

400 1 \$w nnaa \$a Fuller, Roy, \$d 1933-

400 1 \$a Fuller, Roy

670 \$a Probiotics, c1992: \$b t.p. (Roy Fuller) list of contrib. p. (Fuller, R., Intestinal Microecology Consultant, Russet House, Ryeish Green, Three Mile Cross, Reading, UK)

670 \$a LC database, Jan. 29, 1992 \$b (hdg.: Fuller, Roy, 1933- ; usage: R. Fuller)

670 \$a NLM files, Jan. 29, 1992 \$b (hdg.: Fuller, R.; usage: R. Fuller, Roy Fuller)

[NLM AACR2 heading has precedence over LC heading]

Early Notice Records (ENR)

Early Notice Records (ENRs) may be identified by the Encoding Level fixed field Leader/17 o (i.e., lowercase letter "o"). Some ENRs may not have any cross-references, or may have an incomplete 670 field. Although the records are incomplete, the headings themselves should be considered valid and available for use.

NACO members should not create ENRs. They are created by LC during training and as part of projects. When a NACO participant encounters an ENR that is more than several months old, he should notify the Coop Team liaison.

Change Messages

Authority records in the LC/NAF that are in the process of being updated sometimes contain "change messages." Change messages usually relate to LC workflow where they serve as a temporary indicator of what changes will be made to an authority record. NACO participants do not normally create change messages; NACO participants may encounter these records when searching LC/NAF.

These records are identified by the Record Update in Process fixed field 008/31 **b** and a capitalized term "MESSAGE" in the 667 field followed by information regarding how the record will be updated.

When NACO participants encounter a record with a change message that is more than several months old, they should notify the LC liaison.

Communications with the Library of Congress

The same basic procedure for queries regarding new authority records is used for queries on updating authority records.

NACO participants are asked to research problems as fully as possible before referring them to the LC liaison. Queries may include:

- a. LAC—asking the Coop Team to verify a Canadian heading with the Library and Archives of Canada.
- b. NLM—asking the LC liaison to verify a heading with the National Library of Medicine.

(Both LAC and NLM are considered to be equivalents to LC, and permission must be granted before their headings are changed.)

- c. Queries regarding other libraries or foreign institutions.
- d. Request for the LC liaison to check changes to an authority record for errors. After independent status is granted, NACO participants may ask the LC liaison to check individual headings when necessary.
- e. Request to delete an authority record.
- f. Questions about series authority records or other NARs, such as music uniform titles, that are not within scope for many NACO libraries.

Section III
Appendices

Appendix I Identifying LC Bibliographic Records in RLIN21

The information in this appendix was provided by the Cataloging Policy and Support Office, Library of Congress in December 2003.

GENERAL

When doing authority work, NACO libraries are asked to notify LC of any BFM stimulated by certain categories of authority work (See the guidelines at <http://www.loc.gov/catdir/pcc/naco/bfmguid.html>). Since the LC bibliographic records are not being observed directly in the catalog at LC but instead indirectly through other databases, it is necessary to provide guidance to NACO libraries on how to identify LC bibliographic records that are candidates for BFM. These include both "current" records (LC bibliographic records that have been input/imported and issued by LC) and retrospective records (LC bibliographic records that have been input by libraries other than LC). The phrase "LC cataloging" is used to refer to the following categories of cataloging:

- 1) cataloging done by LC itself (original cataloging);
- 2) cataloging done by LC that has been input by libraries other than LC;
- 3) cataloging done by other agencies at the "LC level" and issued/distributed by LC (some done under the Program for Cooperative Cataloging; that done under the National Coordinated Cataloging Program; older cooperative cataloging; CONSER (certain levels of authentication));
- 4) LC copy cataloging (LC use of cataloging done by other libraries).

The keys to identifying records that have either been added to RLIN21 files from LC distribution services or that have been input directly by LC staff are the relevant library identifiers. In addition, for monographs, it is also necessary to take into account the values in the encoding level since LC "in process" records (encoding level = **5**) are not candidates for BFM. For serials, the key is in the codes in the 042 field and the code for language of cataloging in **\$b** of field 040.

MONOGRAPHS

Records with RLIN21 Library Identifiers (LI) of DCLC, DCLP, DCLH, and DCLN are candidates for BFM except those with encoding level 5.

SERIALS

All records with an 042 field are candidates for BFM except

- 1) those containing solely an "x" code in 042 (e.g., "xlc");
- 2) those with 040 **\$b** = fre

Appendix II Identifying LC Bibliographic Records in OCLC

The information in this appendix was provided by the Cataloging Policy and Support Office, Library of Congress in December 2003.

GENERAL

When doing authority work, NACO libraries are asked to notify LC of any BFM stimulated by certain categories of authority work (See the guidelines at <http://www.loc.gov/catdir/pcc/naco/bfmguide.html>). Since the LC bibliographic records are not being observed directly in the catalog at LC but instead indirectly through other databases, it is necessary to provide guidance to NACO libraries on how to identify LC bibliographic records that are candidates for BFM. These include both "current" records (LC bibliographic records that have been input/imported and issued by LC) and retrospective records (LC bibliographic records that have been input by libraries other than LC). The phrase "LC cataloging" is used to refer to the following categories of cataloging:

- 1) cataloging done by LC itself (original cataloging);
- 2) cataloging done by LC that has been input by libraries other than LC;
- 3) cataloging done by other agencies at the "LC level" and issued/distributed by LC (some done under the Program for Cooperative Cataloging; that done under the National Coordinated Cataloging Program; older cooperative cataloging; CONSER (certain levels of authentication));
- 4) LC copy cataloging (LC use of cataloging done by other libraries).

Note that because of OCLC's merge process, the iteration of a record for LC cataloging residing in the OCLC database may not equate, data element for data element, to the iteration of the same record residing in the LC catalog. For example, the former may contain call numbers and subject headings from classification and subject heading systems not used by LC.

Over the years LC has engaged in many cataloging programs, and it is thus impossible to define the LC catalog by a succinct and easily followed formula. In defining that catalog as a subset of the OCLC database, different approaches for monographs and serials are required. For monographs, it is necessary to key on the values in the cataloging source (MARC 21 008/39). For serials, the key is in the codes in the 042 field and the code for language of cataloging in **\$b** of field 040.

MONOGRAPHS

The cataloging source fixed field contains four values indicating cataloging source as follows:

- National bibliographic agency
- c - Cooperative cataloging program
- d - Other
- u - Unknown

When the cataloging source is “#,” other clues are needed to distinguish LC cataloging from that of other national bibliographic agencies. When the cataloging source is “c,” cataloging done up until 1996 can be assumed to be LC-related cataloging, i.e., there are records in LC’s catalog that are candidates for BFM. Beginning in 1996, cataloging done with cataloging source “c” requires other clues to determine if the record resides in LC’s catalog. When the cataloging source is “d,” other clues are needed to determine if the record resides in LC’s catalog. Ignore records containing cataloging source “u.”

a. Cataloging source is “#.” When cataloging source is “#,” any record containing “DLC” or any of its permutations (slash, hyphen) in any subfield of field 040, either alone or in combination with another library’s MARC Organization code¹, is a candidate for BFM. Some examples:

```
040 $a DLC
040 $a DLC-R [code used for input via RLIN21]
040 $a DLC/ICU
040 $a IU/DLC
040 $a DNLM/DLC [beginning summer of 2000- ]
```

b. Cataloging source is “c.” When cataloging source is “c,” cataloging done prior to 1996 is LC-related and the record is a candidate for BFM. Older cataloging contains the name of a library or the name of a library followed by “/ICU” in \$a of field 040. LC had cooperative programs with both the National Library of Medicine and the Government Printing Office that used cataloging source “c.” From 1983 through 1987 LC had various collaborative programs with Harvard, the University of Chicago, and the University of Illinois. 040 \$a illustrates these conditions as follows:

```
040 $a [Name of library]
040 $a [Name of library]/ICU
040 $a DNLM/DLC [until summer of 2000]
040 $a DGPO/DLC [until December 2002]
```

¹ The MARC Code List for Organizations is maintained by the Library of Congress Network Development and MARC Standards Office at: <http://www.loc.gov/marc/organizations>

040 \$a MH
 040 \$a ICU
 040 \$a IU
 040 \$a IU/DLC

In 1988-1996 cataloging source value “c” was used to indicate records created through the National Coordinated Cataloging Program. The libraries in that program worked directly in LC’s system; therefore, those records reside in LC’s catalog regardless of whether LC has used them or not, and they are candidates for BFM. In December of 1991 the 042 code “lcncpp” began to be used to identify the records in this program. 040 the a subfields containing MARC Organization codes for these libraries are as follows:

040 \$a CtY [Yale]
 040 \$a CU [University of California at Berkeley]
 040 \$a ICU [University of Chicago]
 040 \$a InU [Indiana University]
 040 \$a IU [University of Illinois]
 040 \$a MH [Harvard]
 040 \$a MiU [University of Michigan]
 040 \$a MoSU-L [Saint Louis University School of Law]
 040 \$a TxU [University of Texas]
 040 \$a DLC/UPL [NCCP library working in LC system upgrades LC in-process or MLC record; “UPL” = code of upgrading library]

The Program for Cooperative Cataloging began in 1996. These records can be identified by the code “pcc” in field 042. LC use of these records is indicated by the presence of DLC in a \$d in field 040; these LC-used records are candidates for BFM.

040 \$a [MARC code] \$c [MARC code] \$d DLC [Library of Congress]
 042 \$a pcc

c. *Cataloging source is “d.”* LC use of records created by other libraries is indicated by codes in field 042 as follows; these LC-used records are candidates for BFM:

040 \$a [MARC code] \$c [MARC code] \$d DLC [Library of Congress]
 042 \$a lccopycat
 042 \$a lccopycat-nm
 042 \$a lcderive

Note that multiple codes can appear in this field, e.g:

042 \$a lcode \$a lccopycat

SERIALS

All records with an 042 field are candidates for BFM except

- a) those containing solely an "x" code in 042 (e.g., "xlc");
- b) b) those with 040 **\$b** = fre.

Appendix III Joining the NACO Program

Libraries who wish to contribute authority records to the LC/NAF are welcome to apply for membership in the Program for Cooperative Cataloging (PCC). The steps below outline the typical sequence of events leading to NACO membership. Procedures for forming a funnel project or joining an existing funnel project are similar. For additional information about membership in the PCC and its component parts, including NACO, consult: <http://www.loc.gov/catdir/pcc/>

Initial contact:

- Prospective library expresses interest in NACO training.
- A Coop NACO training coordinator discusses NACO program with library and sends links to pertinent online documents and the PCC application.
- LC Coop Team sends cost estimate if travel is involved.

Approval by PCC:

- Library submits Web application for PCC membership and NACO training.
- LC Coop Team forwards application to PCC Steering Committee for approval.
- PCC Steering Committee grants approval for provisional membership and NACO training.
- Library director is asked to sign letter to commit to appropriate contribution goals.

Further discussions:

- Coop NACO training coordinator converses with NACO library again to begin scheduling, etc.
- Coop NACO training coordinator matches prospective trainer and library.
- Coop NACO training coordinator sends URL link to library to give access to training materials, including "Preparations for NACO Training," cataloging documentation, and training manuals.

Training costs and contractual obligations:

- There is no fee for the services of the NACO trainer and reviewer.
- The library receiving training covers the travel expenses of the trainer.
- Library receiving training and library sending trainer may need to establish contract for trainer's travel expenses, accommodations, and meals. For travel involving LC staff or involving funding from PCC, a signed contract must be on file at LC before travel plans can be completed.

Connecting the library to various services:

- LC Coop Team adds library to appropriate databases and mailing lists.
- Coop NACO training coordinator notifies:
 1. Bibliographic utility of library's eligibility to receive NACO authorization.
 2. LC Network Development and MARC Standards Office to add library's MARC organization code to Linked Systems Project (LSP) table so records can be loaded from utility and counted.
 3. Cataloging Distribution Services to order free NACO subscriptions if applicable.
 4. PCC Listserv manager to subscribe NACO contact to PCCList.

At least four weeks before training:

- Coop NACO training coordinator sends Web link for training materials to NACO library.
- Trainer discusses "Preparations for NACO Training" checklist with NACO library.
- Library/trainer informs Coop NACO training coordinator about dates and other details of training.
- Library requests MARC organization code from LC Network Development and MARC Standards Office: <http://www.loc.gov/marc/organizations/>
- Note: Library requests NACO authorization as needed directly from the utility, not from a network (using OCLC's online form, <https://www3.oclc.org/app/sysacc/header.pl> or by contacting RLG at bl.ric@rlg.org)
- Library notifies staff of training plans and asks them to begin collecting names for afternoon hands-on sessions. Library is expected to train its staff in using RLIN/OCLC ahead of training (both searching and inputting): the NACO trainer does not cover utility searching and inputting.

Two or three weeks before training:

- NACO library prints training documents from Web and makes photocopies as needed.
- Library sends samples of local name authority records and information about background of NACO trainees to trainer.

One week before training:

- NACO library checks NACO authorization account and password to see if it works.
- Trainer shares basic itinerary with home institution and NACO trainee institution in case of emergency.

Training week:

- Library provides classroom training space and access to utility terminals for hands-on sessions.
- Coop NACO training coordinator assigns a NACO reviewer if trainer is unable to review new library.
- Coop NACO training coordinator assigns an LC liaison to receive duplicates and bibliographic file maintenance reports if reviewer is not LC staff.
- Trainees submit Web NACO training evaluation forms on final day.

The week after training:

- Trainer submits expenses to appropriate source for reimbursement.
- PCC Web page manager adds NACO library and contact to list of NACO liaisons.
- Coop NACO training coordinator subscribes additional new trainees to PCClist at request of new library's NACO contact.

The months following training:

- Library submits records to reviewer and reviewer returns constructive comments.
- Reviewer grants NACO independence to library (often in stages).
- Library earns full PCC membership (1) by achieving independence in cataloging and (2) meeting the contribution goals within one year of NACO training.