

Summary of Programmatic Changes to the LC/NACO Authority File: What LC-PCC RDA Catalogers need to know

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Work to prepare the LC/NACO Authority File for use under RDA will be performed in two phases. A principle underlying the work of this project is that a given authority record will only be issued once; this means that an authority record that could be changed in both Phase 1 and Phase 2 will receive all of its changes in Phase 2.

The changes described in this document are based on the recommendations of the PCC Acceptable Headings Implementation Task Group (AHITG); more detailed information and specifications are available on the task group’s website (<http://files.library.northwestern.edu/public/pccahitg>).

PHASE 1 CHANGES TO LC/NACO AUTHORITY FILE

Phase 1 of the modification of the LC/NACO Authority File for use under RDA involves the identification of records that are known or likely to be incompatible with RDA. A program will add a 667 field to authority records whose 1XX fields are, or are likely to be, incompatible with RDA. Records with this 667 field must be reviewed or updated before the 1XX field may be used in an RDA record. Phase 1 involves *only* the addition of this 667 field to certain authority records. **During Phase 1, no change will be made to the 1XX, 4XX or 5XX fields in any authority record.** The 667 field will have the following text:

THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD
HAS BEEN REVIEWED AND/OR UPDATED

RDA-trained PCC catalogers encountering a name authority record (NAR) with this 667 field should evaluate the 1XX field, and the remainder of the authority record. If the evaluation determines that the existing 1XX field can be used under RDA as given, the cataloger should remove the 667 field, add any additional non-heading fields, and re-code the record to RDA. If the evaluation determines that the existing 1XX needs to be updated to be made acceptable for use under RDA, the cataloger should revise the heading, make a reference from the former heading when applicable, remove the 667 field, add any additional non-heading fields of their choosing, and re-code the record to RDA.

In summary:

1. Pre-AACR2 authority records (including AACR2-compatible authority records): thoroughly evaluate the contents of the authority record. If the 1XX field is, or can be made, acceptable for use under RDA, re-code the entire authority record to RDA and remove the 667.
2. AACR2 authority records: If the 1XX field is acceptable for use under RDA as given, remove the 667 field; re-code the authority record to RDA. If the 1XX field can be made acceptable for use under RDA, upgrade the 1XX field and other parts of the record, re-code the record to RDA, and remove the 667 field. If the 1XX field is not and cannot be made acceptable for use under RDA, leave the existing record alone and consider other possibilities.
3. AACR2 authority records: If the NAR does not contain a 667 note with the notice that it cannot be used under RDA unless reviewed and the 1XX is acceptable under RDA instructions, catalogers may re-code the NAR to RDA. If the 1XX is not acceptable under RDA and would need to be modified to conform to RDA instructions do not re-code per the PCC policy at:

<http://www.loc.gov/aba/pcc/rda/PCC%20Post%20RDA%20Test%20Guidelines.html>

In the interval between Phase 1 and Phase 2, those creating PCC **AACR2** bibliographic records can continue to use headings from AACR2 NARs marked with the 667 field.

Not all records whose 1XX is not suitable for use under RDA will receive a 667 field during Phase 1. Records that are susceptible to the mechanical changes defined for Phase 2 will only be modified during phase 2. Any authority record whose 1XX field is not suitable for use under RDA that receives a modification during Phase 2 will have its 667 field added during phase 2. *This means that between Phase 1 and Phase 2, catalogers must carefully evaluate authority records that do not yet contain the 667 field.*

Pre-AACR2 and AACR2-compatible records

(date of AHITG report: 20120514)

All records that represent pre-AACR2 records (008/10 a or b) and AACR2-compatible records (008/10 d) will be marked with a 667 field during phase 1, **except** for those records that will also be eligible for another ‘mechanical’ change in phase 2. The exception includes mechanical changes such as spelling out abbreviations (such as b., d., ca., cent., arr., Dept.), 100\$c changes (such as \$c guitarist to \$c (Guitarist)), \$t that begins “Selections” and other mechanical changes.

What an RDA cataloger should do: Pre-AACR2 and AACR2-compatible records are candidates for change to AACR2 or RDA at any time between Phase 1 and Phase 2. If a 667 indicating review/update is necessary for RDA was added in Phase 1, remove that 667 as you update the record and convert to a modern set of rules.

More details: introduction at

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Exclusions.doc

AACR2 records that will be marked with a 667 field in Phase 1 to indicate that a record needs review or changing before being used under RDA

(date of AHITG report: 20120514)

Several categories of AACR2 authority records will be marked with a 667 field in phase 1 as needing to be reviewed or updated because they are a) known to be incompatible with RDA but not susceptible to a mechanical change, b) are possibly incompatible with RDA but an algorithm alone is not able to determine this. *Note:* Some records in these categories will not be candidates for marking with a 667 in phase 1 because they *will* get mechanical changes in phase 2 (such as, a conference heading with “Dept.”).

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Exclusions.doc

1. Conference headings: any AACR2 authority record with a 111 field, and any authority record with a 110 field containing subfield \$b whose text is present in a list of terms that mean "conference" in some fashion, will be labeled with a 667 field indicating that the 11X field must be reviewed before it can be used under RDA.

What an RDA cataloger should do: Catalogers should check to see if a frequency word should be used in the naming of the conference (such words as "Annual" were omitted under AACR2) by examining 670 citations, 4XXs, etc. Remove 667 if the construction would be the same under RDA and recode to RDA. Catalogers should also check to see if the conference represents an "acronym with date" construction (e.g., ASM 2003) and reformulate as an RDA record (omitting the date portion from \$a and adding an "Other distinguishing characteristic of a corporate body" qualifier if necessary); remove 667 field after re-formulation to RDA and re-code the record.

2. Authority records with 1XX fields that contain Polyglot in subfield \$I: any AACR2 authority record with polyglot in \$I will be labeled with a 667 field as needing review under RDA (fewer than 700 authority records).

What an RDA cataloger should do: If an authority record with \$I Polyglot is encountered, and the cataloger *can* determine which languages were covered by the 'polyglot' designation, create substitute RDA authority records for each required language expression covered by the 'polyglot' authority record *if they don't already exist* (they often will) and report the authority record with \$I Polyglot for deletion. If the cataloger can't determine all of the languages covered by the 'polyglot' record, they should create only as many records as they need for the resource they are cataloging, if they don't already exist. In this case, don't report the original 'polyglot' record for deletion or remove the 667 field.

3. Authority records with 1XX fields that contain an ampersand in \$I: any AACR2 authority record with an ampersand in \$I will be labeled with a 667 field as needing review under RDA (about 13,000 authority records).

What an RDA cataloger should do: If an authority record with an ampersand in \$I is encountered, create substitute RDA records for each language expression represented in \$I *if they don't already exist* (they often will) and report the authority record with the ampersand for deletion. *Do not* use 're-use' the authority record with an ampersand for a single language expression.

4. Authority records for personal names with subfield \$c: Depending on the values in \$c (based on a list of values), AACR2 records with \$c values judged not applicable under RDA will be labeled with a 667 field as needing review under RDA in Phase 1. Those that are valid under RDA will not be changed, and those that could be made usable under RDA (e.g., by enclosing \$c in parentheses) will be adjusted in Phase 2.

What an RDA cataloger should do: If a 667 field was added to an authority record, review the \$c to see if it is valid under RDA. Re-code as RDA if the \$c is valid, or revise the heading if the \$c is not valid and re-code as RDA. It may be necessary to supply other additions to break conflicts if \$c is removed. Remove the 667 after either remedy.

5. Authority records with 1XX subfield \$s beginning “libretto” or “text”: AACR2 records with \$s beginning “libretto” or “text” will be labeled with a 667 indicating that the heading needs to be reviewed by a cataloger to see if the name of the creator of the libretto is correct (librettos were named by the composer of the musical work under AACR2).

What an RDA cataloger should do: If a 667 was added to an authority record, remove the 667 if it is clear that the creator of the libretto is correctly named and re-code the record to RDA. If the creator needs to be changed, update the record, re-code as RDA, and remove the 667 field.

6. Authority records for treaties: All AACR2 authority records for treaties (e.g., 110 with \$t Treaties, etc., 130 field with \$d date of treaty signing) will be labeled with a 667 field indicating that the heading needs to be reviewed by a cataloger to evaluate the choice of creator.

What an RDA cataloger should do: Evaluate the formulation of the heading as appropriate under RDA and change the heading if necessary. Remove the 667 and re-code as RDA.

7. Authority records for works performed by certain musical ensembles: AACR2 records with specified text in \$m (brasses, plucked instruments, keyboard instruments, and instrumental ensemble) on an AACR2 authority record will be labeled with a 667 field indicating that the heading needs to be reviewed by a cataloger. The same label will be given to \$m containing “strings,” “woodwinds,” or “winds” if the subfield \$t in that heading *does not* contain “trio,” “quartet,” or “quintet” (or their plural forms).

What an RDA cataloger should do: Evaluate the formulation of the heading as appropriate under RDA and change the heading if necessary. Remove the 667 and re-code as RDA.

Supplemental Enhancements to Records Being Changed in Phase 1

Any record changed by program during Phase 1 is a candidate for the addition of RDA-related elements. For records that will not be changed in phase 1, a cataloger may add these elements at any time. If the records are not changed in phase 1 for another reason, but will be changed in phase 2 (e.g., candidates for mechanical changes), they will be enhanced at that time. These changes are made to all suitable records, regardless of the cataloging code under which the records were created.

Enhancement: Adding field 046 for personal names

(date of AHITG report: 20120514)

If revising a record for another reason in phase 1, the program will attempt to add field 046 (Special coded dates) for personal names (but not family or name/title records) if there is not already an 046 field in the record. The date used will come from the first occurring of these elements already in the record: 100 subfield \$d, \$d from 700 field with second indicator '4', 400 subfield \$d (it will not consider a 400 field for a former heading (with a non-'n' code in \$w/2) or a 400 field that contains non-Latin script data).

The 046 field generated by program will conform to ISO 8601 with modifications specified in the draft extended date/time specification available at <http://www.loc.gov/standards/datetime/spec.html>. If the extended date/time specifications are applied, the 046 field will contain subfield \$2 with the code "edtf".

What an RDA cataloger should do: Because Phase 1 does not include conversion of 1XX fields, non-RDA style dates (e.g., with abbreviations ca., cent., b., d.) that are subject to machine manipulation will be addressed in Phase 2. A cataloger should not convert such a record to RDA until after Phase 2, unless the heading needs to be changed for another reason (i.e., it fits another category for the addition of a 667 field in Phase 1).

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.046.doc

Enhancement: Creation of field 378 from 100 subfield \$q

(date of AHITG report: 20120514)

If revising a record for another reason in phase 1, the program will attempt to add a 378 field for personal names (but not family or name/title records) if there is not already a 378 field in the record. The data used will come from 100 subfield \$q, unless \$q is immediately preceded by subfield \$c containing "Mrs." or otherwise incorrectly formulated.

What an RDA cataloger should do: If the 100\$q was too garbled, the program would not have been able to construct a 378 field; a cataloger may, optionally, add a 378 field (and should look at the 100\$q to see if it reflects any curiosities that need repair).

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.378.doc

Enhancement: Automatic generation of the 382, 383, and 384 fields

(date of AHITG report: 20120514)

The Music Library Association has asked that fields 382 (medium of performance), 383 (numeric designation of a musical work), and 384 (key) be added by program if they don't exist, when it is possible to extract the data from the 1XX field. The fields will only be added in Phase 1 if the record is being changed for another reason. There will be no attempt to provide these fields in certain situations (when \$k form subheading is present, for arranged music, or when the authority record represents a part/section of a work). The 382 (medium of performance) may not be provided if certain data is present: brasses, plucked instruments, or keyboard instruments; and will not be given if the 1XX \$m contains strings, woodwinds, or winds, and the \$t of the 1XX does not contain "trio," "quartet," or "quintet."

What an RDA cataloger should do: RDA trained catalogers may revise the program-added fields if necessary, or may add the fields in those cases that the program did not.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.382%20383%20384%20fields.doc

PHASE 2 CHANGES TO THE LC/NACO AUTHORITY FILE

Changes to the LC/NACO authority file under phase 2 will have a more significant impact on the headings and heading structure of the existing authority file, but will not be made until 2013. Many headings will be changed to expand abbreviations that are no longer valid under RDA, or other policy/practice changes. In addition, 4XX references will be added when appropriate (following the Authority File Comparison Rules (NACO Normalization)). Some references will be revised, recoded (\$w positions) or deleted. Records that are being changed for another reason in phase 2 will also be enhanced with 046, 378, 382, 383, and 384 fields described earlier in this document.

More details:

References:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.PreservationOf4xxIntent.doc

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.RemoveRedundant4XXFields.doc

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Suppression.doc

Punctuation:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.PunctuationInserted.doc

Expanding the abbreviations 'arr.', 'acc.' and unacc.'

Headings with certain abbreviations no longer valid under RDA will be updated to spell out the abbreviations, such as arr. (arranged), acc. (accompaniment), unacc. (unaccompanied).

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.ArrAccUnacc.doc

Modify 'Bible' headings

Authority records for parts of the Bible containing the abbreviations "O.T." or "N.T." will be modified to spell out the abbreviations "Old Testament" or "New Testament" unless the heading represents an individual book of the Bible (when "Old Testament" or "New Testament" will be omitted under RDA). The change will apply to the sacred work itself, and relevant parts, not titles that merely refer to the Bible.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Bible.doc

Modify 'violoncello' headings

Authority records using 'violoncello' in conventional collective titles or as a medium of performance will be updated to replace the term 'violoncello' with 'cello' following RDA, where appropriate.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Cello.doc

The handling of the abbreviation 'Dept.'

While abbreviating the word 'Dept.' was not AACR2 practice (but national practice under the LCRIs), the shift to RDA provides an opportunity to convert existing headings that contain the abbreviation 'Dept.' to represent the full form of the word in headings and appropriate references.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Dept.doc

Modify 'Koran' headings

The conversion to RDA provides the opportunity to use the more commonly transliterated form "Qur'an" in headings referring to this sacred work itself, not titles that merely contain the word Koran.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Koran.doc

Modify 'Selections' uniform titles

'Selections' as a conventional collective title will no longer be valid under RDA as the preferred title for a work, only as the preferred title for parts of a work. The program will identify headings that use 'Selections' and change to 'Works. Selections' as appropriate.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Selections.doc

Handling of X00 \$c

Because there is not a one-to-one correspondence between text strings in 100 \$c under AACR2 and RDA, special processing will be done to programmatically identify when the \$c is valid as is under RDA, when it would be invalid under RDA, and when it can be made acceptable under RDA by program. Headings that will be invalid under RDA or will need human review will be marked with a 667 in phase 1. Headings that can be revised programmatically will be changed in phase 2.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Subfield_c.doc

Handling of date subfields

Date subfields in various types of headings (mostly \$d in personal name headings and treaties) contain abbreviations that are to be spelled out under RDA. Examples include abbreviations for 'century' and months of the year. Some abbreviations found in pre-RDA records will be replaced with words (for example, 'approximately' for 'ca.' and 'active' for 'fl.'). A hyphen before or after the date will be used instead of the abbreviations 'b.' and 'd.'.

More details:

http://files.library.northwestern.edu/public/pccahitg/RDA_conversion.Subfield_d_and_f.doc