3 Basic Authority Control Procedures

WORK FLOW WHEN ESTABLISHING A HEADING

The Anglo-American Cataloguing Rules (AACR2) take the approach that every time a cataloger treats an item it is the first (and last) time any name associated with it will be encountered and does not hint that (1) works by or about some persons or bodies have been cataloged many times already, with the result that a heading for this person or body has already been used in existing records, and (2) authority files exist recording these heading decisions. Therefore, when the cataloger picks up a copy of the 1994 edition of *The Lion, the Witch, and the Wardrobe* and finds the author's name on the title page in the form "C. S. Lewis," he or she will not base a decision for the form of the name in the catalog record solely on what is found on the title page of *this book,* nor will he or she assume that the heading needs to be established. Instead, efficiency dictates that the cataloger check the library's authority file, and if the library uses it, the Name Authority File (NAF), to see if the name has already been established. If it has, this will be the heading the cataloger will use, even if it seems to contradict the application of AACR2 to the particular item in hand. As a matter of fact, the heading for this author in the NAF *is* based on the form "C. S. Lewis," and so it will not contradict the cataloger's finding on the title page of this edition. However, for example, the 1982 edition of *Elementary BASIC, as Chronicled by John H. Watson* has on its title page the name "Henry Ledgard" as one of the authors. Examination of the NAF for this author produces "Ledgard, Henry F., 1943- ." Even though the title page of the book in hand would under AACR2 produce a form without the middle initial, catalogers will still use the form as found in the NAF in the bibliographic record for this item.

Back to *The Lion, the Witch, and the Wardrobe,* if the cataloger discovers that C. S. Lewis has not yet been established in the library's authority file (or the NAF if the library uses it), the next step is *not* to take the

name as found on the item and use it as the basis for the heading in the bibliographic record. Rather, because most libraries do not have authority records for every single heading in their catalog, the next step is to search the library's catalog to see if the heading has already been used on a bibliographic record without having been established. If so, the cataloger should evaluate the heading(s) on existing bibliographic records to see if they are (1) consistent with each other and (2) conform to AACR2. If not on either count, all headings could be corrected at this point, and the name established in the authority file. Consultation of a larger database, such as RLIN (Research Libraries Information Network) or OCLC Online Computer Library Center (OCLC), for form and usage of the name is also helpful in this process. Only after this second step has been taken, and no evidence for the name has been found in the library's (or larger database's) catalog, is the cataloger ready to take the item in hand and use it as the basis for applying AACR2's rules for choice and form of heading.

NACO (Name Authority Cooperative Program) participants creating PCC (Program for Cooperative Cataloging)/BIBCO (Bibliographic Record Cooperative Program) records are required with few exceptions to create authority records, or ensure that authority records already exist, for every access point on any PCC/BIBCO record they create or update (for PCC, BIBCO, and NACO, see chapter 12). Subject terms used must exist in the Subject Authority File (SAF) or be submitted to the SACO (Subject Authority Cooperative Program) program for addition to the SAF, and subject term-subdivision strings must conform to *Subject Cataloging Manual* (SCM) rules (for SACO, see chapter 12; for SCM, see chapter 10). If a needed name heading is not found in the NAF, NACO catalogers are to search the utility database associated with their library (e.g., OCLC or RLIN) for information about the name, both as to choice of name and form. Evidence for preferred or "commonly known" usage of the name is found in 245 fields of bibliographic records, which represent, at least in AACR2 records, a transcription of the chief source. Under AACR2 this is considered prima facie evidence of the commonly known form. Other transcribed fields (such as "at head of title" notes and quoted notes) may also be taken into account. Catalog forms found in access points may *not* be used as evidence of usage, but these are also examined for other information that might be used as additions to the name, such as fuller forms and dates. The important point here is that the database searcher must distinguish between parts of the catalog record that have been *transcribed,* and thus represent the name *as it appeared on the publication,* and parts of the record that have been formulated by the application of cataloging rules, and thus do *not* necessarily represent the name in the form it appeared on the publication. Information gleaned from the database search will be used in creating the authority record in the NAF, and the heading will be established based on the usage found in the database as well as that

of the item in hand. If usage is inconsistent (as it invariably is with authors who have been published more than a few times), majority rules.[1]

NACO catalogers are not required to go beyond this search to establish most names, unless enough information is not gathered through the database search to differentiate the name from an otherwise identical name. In such cases, the cataloger may need to consult other reference sources.[2]

CHANGES TO ESTABLISHED HEADINGS

Each library must make its own policies regarding changes to headings. It was once the practice to add dates (or to "close" dates by adding a death date), qualifiers, and fuller forms to headings as these became known after the initial establishment of the heading. Because this involves not only changes to the authorized heading, but also changes throughout a library's bibliographic file, very few libraries will now make such changes, unless correcting an error of fact (such as an incorrect date). The philosophy behind this general change of policy seems to be a change of attitude toward the purpose of the authority form itself. The earlier practice apparently reflected a feeling that the catalog was a reference source and that librarians had a duty to give patrons, via the catalog, information such as birth and death dates and spelled out forms, if this information was known. There is no doubt that the catalog *is* used in this way; evidence of this may be seen in the constant reference queries about prominent people who have died but whose dates as given in the heading do not show it. Libraries were inundated with requests to add the death date, for example, when Frank Sinatra died in 1998. Nevertheless, under most libraries' policy, the singer's heading will remain "Sinatra, Frank, 1915- ." The philosophy underlying the policy not to change headings, presently in force at most libraries, is that the purpose of authority work and the production of authorized forms is not to provide a source of reference information about persons and corporate bodies, but instead to provide identifiers, which need to be consistent and unique; once that goal is reached, the forms do not need to go further and give other information about the name. The benefits of providing reference information to the public such as birth and death dates of persons are outweighed, in these libraries' view, by the sometimes overwhelming problems of database maintenance when headings are changed, particularly for names that may occur hundreds or even thousands of times in the catalog, all of which will need to be changed if the heading is changed. Such policies may become more flexible as the possibilities of global change become more readily available to libraries, but for the moment most libraries will not change a heading simply to add fuller information, particularly if such a change will mean using

a heading that does not match the heading in the NAF. Keeping the library's catalog consistent with the NAF is another reason a library might adopt a policy not to change authority headings once established. If a library changes headings by, for example, adding death dates when they become known, their headings will become different from those used in the NAF, the de facto standard. Although there is nothing intrinsically wrong with departing from the NAF, doing so does mean the library's copy cataloging operation will be complicated, because incoming records containing a heading that the library has changed to a form other than the NAF form will need to be corrected to conform to the library's local form. For these reasons most libraries try to conform to the NAF and do not change authorized heading forms without good reason.

The policies governing changes in headings in the NAF itself are controlled by NACO policy, which is even more inflexible than the policies of most libraries. Generally, NACO catalogers are not to change authorized headings in the NAF unless a factual error is found in the heading or AACR2 stipulates some sort of change. New information that is learned about a person or body, including information about birth and death dates, is instead added in a note. The thinking behind this policy is that with hundreds (and now perhaps even thousands) of libraries using headings from the NAF, any change to a heading can affect headings in bibliographic records in catalogs all over the world, and there is no notification procedure in place to inform users of the NAF that changes have been made. Additionally, the problem of an individual library's having to change headings in bibliographic records when it makes changes in its own authorized headings is multiplied exponentially when changes are made in the internationally shared NAF. There is a feeling of unwillingness to put this additional burden on already overworked cataloging operations and the feeling that this additional burden is not outweighed by the benefits additional reference-type information (such as fuller forms or additional dates) would give to patrons of the library.

The two philosophies—the authority file as a reference tool versus the authority file as a record of consistent and unique forms of headings—are not necessarily completely opposed. In fact, the idea that the authority file is a reference tool is completely compatible with the desire to have consistent and unique headings. However, given the constraints detailed above, the opposite is not necessarily the case—that is, it is perfectly possible to have consistent and unique headings without paying any heed to the notion that the forms themselves might give reference information to users. But these constraints may not always be an obstacle, given the directions library system technology might take. Already in some systems it is quite easy to link bibliographic headings to authority records, so that any change in the authority heading instantly makes changes in all associated bibliographic records. In such situations the reluctance to change headings

stemming from all the extra work involved in changing bibliographic headings evaporates. There remains, however, the problem of notification of user libraries of changes in the NAF. One could imagine a system in which all libraries using the NAF are linked to the file so that changes are automatically reflected in the libraries' local systems. Aside from the technological challenge of inventing such a system, however, this would require a much greater degree of commitment on local libraries' part to using the NAF as their own authority file than currently exists. Until such problems are solved, it seems unlikely that the policy discouraging altering headings will change much.

CREATION OF THE AUTHORITY RECORD

Once the name has been chosen and the heading has been formed, the cataloger is ready to create the authority record. The following is a summary of NACO procedures for creating authority records in the NAF, but they are based on universally applicable principles of good record management and can be adapted to any library's authority program. Although this chapter is meant to be general, the emphasis is on procedures for creating name authority records because this is the most common authority activity for most catalogers.

Name authority records may be made for any type of name. They are also used for uniform titles and series. They may not be made for heading types that have been designated as subjects (see chapter 4, under "Choice of Name: Name or Subject?"). Under NACO practice neither are they made for personal names that are represented by nonalphabetic and nonnumeric devices. This follows AACR2 21.5C, which instructs the cataloger not to make added entries under such devices (with the example: Angry thoughts / by *!*!*).

A full authority record contains the following elements:

1. The heading (1XX field)
2. A citation for the item being cataloged that generated the need for the heading (first 670 field) and additional citations as necessary (additional 670 fields)
3. Cross-references if needed and appropriate (4XX and 5XX fields)
4. Other fields as necessary
5. Certain fixed field values, including
   a. Leader/17 (Encoding Level)
   b. 008/10 (Descriptive Cataloging Rules)
   c. 008/32 (Undifferentiated Personal Name)
   d. 008/29 (Reference Evaluation)
   e. 008/33 (Level of Establishment)

At a minimum, therefore, the authority record will contain the required fixed field codes, a 1XX field for the heading, and one 670 field for the item being cataloged.

The Heading

The most important aspect of the authority record is the heading itself, recording the authorized form. In the MARC (Machine-Readable Cataloging) authority record, the heading is recorded in the 1XX field; for names, this means the 100, 110, 111, or 151 field. Authorized forms of subject terms are recorded in the 150 field; those of genre/form terms are recorded in the 155 field.

The heading recorded in the 1XX field should match the heading in the bibliographic record in every respect except final punctuation. Unlike the corresponding field in the bibliographic record, there is no punctuation (such as a period) at the end of the 1XX field in the authority record unless it is a part of the heading itself (as an abbreviation ending with a period, or a qualifier ending with a parenthesis). This punctuation practice is also followed for 4XX and 5XX fields and most other fields in the authority record. For examples of 1XX headings in authority records, see figures 3-1 and 3-2.

Sources

THE 670 FIELD

Just as the author of a scholarly paper justifies his or her assertions by citing sources (usually in footnotes), so the creator of an authority record

FIGURE 3-1 Authorized heading (personal name)

053	ǂa PR4870 ǂb PR4874
100 1	ǂa Landor, Walter Savage, ǂd 1775-1864
400 1	ǂa Landor, Savagius, ǂd 1775-1864
670	ǂa The complete Latin poetry of Walter Savage Landor, 1999
670	ǂa RLIN, June 12, 2000 ǂb (hdg.: Landor, Walter Savage, 1775-1864; usage: Walter Savage Landor, Savagius Landor)
670	ǂa British authors of the 19th cent., 1936: ǂb p. 362 (Landor, Walter Savage; British poet and essayist, b. Jan. 30, 1775, d. Jan. 30, 1775)

FIGURE 3-2 Authorized heading (geographic name)

151	ǂa Fayette (Iowa)
670	ǂa Pictorial souvenir album of the City of Fayette, Iowa, U.S.A., 1898
670	ǂa BGN, June 16, 2000 ǂb (Fayette, Iowa, 425031N 0914807W)

must justify headings and cross-references by citing where the information came from. In MARC authority work, this is done using the 670 field.

There is no prescribed format for style or punctuation within the field, but there has arisen a customary practice among NACO catalogers that is described here; there is usually no reason to depart from this practice. Subfield ‡a contains the title proper of the work cited. If the title proper is very general (such as "Complete works"), it may be preceded by an abbreviated form of the main entry.[3] If the title is very long, it may be shortened either by abbreviating or by omitting words after the first four or five. The title is followed by the publication or copyright date, exactly as found in the 260 field of the bibliographic record for the cited source. A colon customarily closes this subfield if a specific location within the source is cited in subfield ‡b. Subfield ‡b begins with this location and then contains the information found in the source. This information is contained within parentheses. Although ‡b is not repeated, several sets of parentheses may be found in this section if information from more than one place in the work is cited. To summarize, the customary format for the 670 field is as follows:

670 ‡a Title proper, publication/copyright date: ‡b location of data (data) location of other data (data)

For example:

670 ‡a Child of the dark, c1962: ‡b t.p. (Carolina Maria de Jesus) p. 9 (b. 1913, Sacramento, Minas Gerais, Brazil)

The first 670 field in the record must cite the work being cataloged that generated the need for the heading. If no other sources give additional information about the heading, this may be the only 670 field in the record. Subfield ‡b of the 670 field contains the name exactly as given in the work. See figure 3-3. If the name is not found in the source, subfield ‡b contains "(name not given)."

If the name is given in a language that uses case (e.g., Latin, Greek, German), cite it exactly as given. Do not convert it (in subfield ‡b of the 670 field) to the nominative case, although the heading itself and all references should be formed in the nominative case. In figure 3-4, for example, the source contained the form "Monasterii Sancti Petri in Castello." This is transcribed in the 670 field exactly as it appeared in the item, in the genitive case ("monasterii"); however, when it is used as a reference in a 410 field, it is converted to the nominative case ("monasterium"), and no reference is given from the genitive form.

FIGURE 3-3 670 field citing work being cataloged

100 1 ‡a Zubieta, Alberto
670 ‡a Carmen, mi barrio, 1997: ‡b t.p. (Alberto Zubieta)

FIGURE 3-4 Name in language using case

```
110 2  ‡a Kastl (Abbey : Kastl, Oberpfalz, Germany)
410 2  ‡a Abbey of Kastl (Kastl, Oberpfalz, Germany)
410 2  ‡a Kloster Kastl (Kastl, Oberpfalz, Germany)
410 2  ‡a Kloster Kastl in der Oberpfalz (Kastl, Oberpfalz, Germany)
410 2  ‡a Monasterium Sancti Petri in Castello (Kastl, Oberpfalz, Germany)
410 2  ‡a Castl (Abbey : Kastl, Oberpfalz, Germany)
410 2  ‡a Castellum (Abbey : Kastl, Oberpfalz, Germany)
410 2  ‡a Castelbergensis (Abbey : Kastl, Oberpfalz, Germany)
670    ‡a Consuetudines Castellenses, 1996- : ‡b v. 1, p. x (Kloster Kastl in der Oberpfalz;
       Kloster Kastl) p. xlv (Monasterii Sancti Petri in Castello)
670    ‡a New Cath. enc. ‡b (Kastl, Abbey of; Kastl, Castl, Castellum, Castelbergensis;
       Benedictine foundation in diocese of Eichstädt, Upper Palatinate, between Amberg
       and Neumarkt; founded in 1098, finally suppressed in 1808)
```

Additional 670 fields may be necessary if more information is needed than that found in the work being cataloged to form the heading. This happens, for instance, when it is necessary to distinguish the name from an identical heading for a different person or entity already in the authority file. Additional 670 fields show where the information was found. Figure 3-5, for example, shows where the cataloger learned that this Samuel Johnson was born in 1649 and died in 1703.

Figure 3-5 also shows several other customary citation practices:

1. The first 670 field has no subfield ‡b. Subfield ‡b is unnecessary in this instance because the form of the name used to create the heading was found in the title proper itself.
2. A title, particularly one citing additional research, may be abbreviated, sometimes severely as seen in the second 670 field of this example. "DNB" here stands for *The Dictionary of National Biography,* a much-used source of information about British persons. For an example of a less severely abbreviated citation, see the authority record for Walter Savage Landor, figure 3-1. The work abbreviated in the third 670 field as "British authors of the 19th cent." is actually titled *British Authors of the Nineteenth Century.* This citation could have been truncated even further, to "Brit. authors 19th cent." There are no particular rules for this. The citation must, in the cataloger's judgment, be clear enough that a later user of the record will be able to tell what is cited in case the work needs to be consulted again.
3. If the 670 field cites a reference source that lists names in alphabetical order, no location need be given in ‡b, and in such cases it is customary not to follow the title proper with a colon. In other

FIGURE 3-5 670 field citing additional research

```
100 1   ‡a Johnson, Samuel, ‡d 1649-1703
670     ‡a An account of the proceedings against Samuel Johnson, 1686
670     ‡a DNB ‡b (Johnson, Samuel, 1649-1703; political divine)
```

cases, the location in the source must be cited. Normally this is by page number or a customary term or abbreviation. Some examples of these follow: "t.p.," "t.p. verso," "jkt.," "colophon." Citations to the cover use the following wordings: "cover" means the front cover; "p. 2 of cover" means the inside of the front cover; "p. 3 of cover" means the inside of the back cover; and "p. 4 of cover" means the back cover.

In recording data in subfield ‡b of 670, it is probably better to err on the side of too much rather than too little. Names are recorded exactly as found in the source, as are birth and death dates. Include, and do not abbreviate or translate, titles or other terms associated with the name. Even though these may not be needed to form the heading, they may come in handy later on if an otherwise identical name needs to be added to the authority file and something is needed to break the conflict. Likewise, when recording information about subordinate corporate bodies, record the entire hierarchy as found in the source, including all intermediate elements, even though they might not be used in the heading at this time. For continuing meeting names, record information about location and date of the meeting, even though it may not be used in the authority heading.

NACO catalogers are required to search their utility, e.g., RLIN or OCLC, for information about the heading. If information is found, and if it adds to the information already cited in the 670 citation for the work being cataloged, it should be recorded in an additional 670 field. The format is as follows:

```
670     ‡a RLIN, [date consulted] ‡b (hdg.: [data]; usage: [data])
or
670     ‡a OCLC, [date consulted] ‡b (hdg.: [data]; usage: [data])
```

For example, cataloging the book *Nascita di Cristo: poema*, by Pellegrino Gaudenzi, the cataloger must establish the heading for the author. The 670 field for the work cataloged will be as follows:

```
670     ‡a Nascita di Cristo, 1797: ‡b t.p. (Pellegrino Gaudenzi)
```

Searching RLIN, the cataloger discovers three records for this author, two with the heading "Pellegrino, Gaudenzi" and one with the heading "Pellegrino, Gaudenzi, 1749-1784." Only one of the records shows usage

of the name in a 245 field: "Gaudenzi Pellegrino." The 670 citation for the RLIN information will appear:

670 ‡a RLIN, June 23, 2000 ‡b (hdg.: Gaudenzi, Pellegrino, 1749-1784; usage: Pellegrino Gaudenzi)

If the cataloger is employed by an OCLC library, he or she will search OCLC instead and will find three records, all of which have the heading "Gaudenzi, Pellegrino, 1749-1784." No record in OCLC shows usage. The 670 citation for the OCLC information will appear:

670 ‡a OCLC, June 23, 2000 ‡b (hdg.: Gaudenzi, Pellegrino, 1749-1784; no usage)

NACO catalogers are not required to go beyond searching their database to find information in most cases, unless it is necessary to break a conflict. In the case of Pellegrino Gaudenzi, an OCLC NACO cataloger would have arrived at the same heading as an RLIN NACO cataloger. However, because different databases are involved, containing different records and thus different information, a NACO cataloger at an OCLC library might in certain cases arrive at a different heading than a NACO cataloger at an RLIN library. This is to be expected and is permissible under the current policies of the NAF.

Libraries in general and catalog departments in particular tend to keep in-house files of information about local persons and entities that is recorded nowhere else. This information may be cited in authority records in the following format:

670 ‡a [MARC symbol for the library] files ‡b (data)

Catalogers often get information directly from the author or someone close to the author, such as a publisher. This information is cited in a 670 field with the wording "Letter from …, [date]," "Phone call to …, [date]," "E-mail correspondence with …, [date of the exchange]," etc.

The recent rise of online sources of data has brought about a revolution in ways of finding information about names. Catalogers now have at their fingertips the ability to find out birth and death dates and a host of other useful information. One example of this is the Internet sources that are required citation in creating geographic names. In the United States, the form of name established by the Geographic Names Information System must be cited, from <http://www-nmd.usgs.gov/www/gnis/gnisform.html>. The citation should appear as follows:

670 ‡a BGN, [date consulted] ‡b (data)

BGN stands for Board of Geographic Names. For an example, see figure 3-2. Records for geographic names outside the United States, Canada, and Great Britain must cite the GEOnet Names Server (GNS) <http://164.214.2.53/gns/html/index.html>; the citation appears as follows:

670 ‡a GEOnet, [date consulted] ‡b (data)

It will be noticed that in neither of these cases is the Uniform Resource Locator (URL) (the Internet address) cited in the 670 field. This is the case in citing all Internet resources. Though the URL is without a doubt useful information, because URLs change so frequently it is thought to be counterproductive to include them in 670 citations. Any Internet page can be cited, however, if information is found about the heading from one. The suggested form is:

670 ‡a Name of the page (etc.), via WWW, [date consulted] ‡b [location within the page if appropriate] (data)

Because the URL is not cited it is good practice to give enough information here that the site can easily be found again using an Internet search engine. For example, see figure 3-6.

The 670 field(s) will contain all the information found when the cataloger was doing the authority work, including information that may go beyond that needed to form the heading. This is often important, because later users of the authority record will use this information to decide if the heading in the authority record is the same as that needed for the new bibliographic record. For example, the cataloger who receives a work on plants in New Zealand by Ann Phillips will find in the NAF three persons by this exact name, with the forms "Phillips, Ann," "Phillips, Ann, 1930- ," and "Phillips, Ann, 1941- " (see figure 3-7).

The fact that the person represented by the first authority record is a former research scientist and member of the New Zealand Tree Crops Association, or that the person on the second record was born and raised in England, is completely irrelevant to the formation of the heading itself. Strictly speaking, all that was necessary to create the authority record was the citation of the usage in the work, "Ann Phillips," and citations justifying the addition of date of birth to the second and third headings. However, the creators of the first two records included supplemental information, perhaps sensing that this was a common name likely to cause problems of identification later. Because of this foresight, the cataloger of the book on plants in New Zealand knows that the correct heading is "Phillips, Ann," and not one of the others.

FIGURE 3-6 Citing an Internet page

100 1 ‡a Schialvino, G. ‡q (Gianfranco)
400 1 ‡a Schialvino, Gianfranco
670 ‡a Luca Pacioli da'l Borgo San Sepolcro, 1999: ‡b p. [102] (G. Schialvino)
670 ‡a Quotazioni delle opere degli incisori italiani, via WWW, July 25, 2000 ‡b (Gianfranco Schialvino)

FIGURE 3-7 Authority records containing supplemental information

100 1	ǂa Phillips, Ann
670	ǂa Make money from woodturning, 1994: ǂb t.p. (Ann Phillips) p. 155 (former research scientist; member New Zealand Tree Crops Assoc.)
675	ǂa NZ nat. bibl., 1981-82; ǂa NZ BIP, 1986-94; ǂa WW in NZ, 1978

100 1	ǂa Phillips, Ann, ǂd 1930-
670	ǂa The multiplying glass, 1981: ǂb t.p. (Ann Phillips)
670	ǂa A haunted year, c1994: ǂb t.p. (Ann Phillips) jkt. (b. and raised in England)
670	ǂa Brit. nat. bibl., 1992 ǂb (Phillips, Ann, 1930- [entry for A haunted year])

100 1	ǂa Phillips, Ann, ǂd 1941-
670	ǂa Literature on the move, 1993: ǂb t.p. (Ann Phillips)
670	ǂa Phone call to pub. 10-08-92 ǂb (b. 12-29-1941)

Supplemental information about the person or entity used for identification rather than formulation of the heading should be given as briefly as possible in English, even if the original source gives the information in another language. See, for example, figure 3-8. The entry for Lanskoy in the *Dictionnaire de biographie française* reads "LANSKOY (ANDRÉ), peintre [Moscou 31 mars 1902–Paris 22 août 1976] . . ." In the 670 citation in the authority record, the name is copied exactly as given, but all other information is translated into English.

THE 675 FIELD

In addition to citing information found in various sources that contributed to the heading in 670 fields, it is sometimes useful to cite works that were checked in which information was *not* found. The obvious reason for this is to save the next cataloger the trouble of checking those sources again in the future in the case of needing to break a conflict. Figure 3-7, the Ann Phillips case, is a good example. Of the three headings, a check of the

FIGURE 3-8 Supplemental information given in English

100 1	ǂa Lanskoy, André, ǂd 1902-1976
670	ǂa André Lanskoy, 1960
670	ǂa Dict. de biog. française, 1933- : ǂb fasc. 122, p. 803 (Lanskoy, André; painter, b. Moscow March 31, d. Paris Aug. 22, 1976)

dates the records were created in the NAF reveals that the heading without dates was the last created. Because the same name, "Phillips, Ann," was already in use by at least two persons other than the author of *Make Money from Woodturning,* the cataloger clearly wanted to find more information about this Ann Phillips and so checked a number of sources to try to find qualifiers or birth/death dates. This being a fairly common name, it seems likely that a fourth Ann will appear at some time, bringing the necessity of distinguishing *her* from the other three. But because the cataloger who established the heading for the New Zealander, Ann Phillips number 3, was unable to find any qualifying data for the name, this heading, "Phillips, Ann," will be the heading that Ann Phillips number 4 (and others!) will have to be distinguished from. Further research is likely to concentrate on getting more information about Ann Phillips number 3 if no dates or other qualifying information can be found for Ann Phillips number 4. Therefore, the creator of the NAF for Ann Phillips number 3 included a 675 field citing every reference source he or she checked in trying to find more information about the author so that the future cataloger who must distinguish number 3 from number 4 won't waste time looking in the same sources.

The 675 field is used to record such information. The cataloger should use judgment in adding 675 fields to authority records; it is not necessary to include one for every source consulted. The format of this nonrepeatable field is as follows:

675 ‡a Source, date; ‡a Source, date; ‡a Source, date [etc.]

The sources are often severely abbreviated, as in the Ann Phillips example.

The 675 field is also used in a series of successive corporate headings to justify cross-references to earlier and later headings, as figure 3-9 illustrates. In this case, the format is

675 ‡a Source, date: location in source (data); ‡a Source, date: location in source (data); ‡a Source, date: location in source (data); [etc.]

The "data" cited in these 675 fields are data that do *not* pertain to the 1XX heading in the record but rather to that in the 5XX reference.

In this example, Burroughs Adding Machine Company changed its name to Burroughs Corporation, necessitating separate entries (cf. AACR2 24.1C). The 510 fields in the records refer the library user to the earlier or later heading. Sometimes the cataloger is able to find documentation detailing the change, e.g., an annual report for the year of the change. If so, the information would be included in a 670 field. This is the case with the record for the later heading, Burroughs Corporation. The source documenting its later merger with Sperry does in fact give a form

FIGURE 3-9 Use of 675 in successive entries

110 2	‡a Burroughs Adding Machine Company
510 2	‡w b ‡a Burroughs Corporation
670	‡a Handbook of instruction for operators of Burroughs adding and listing machines, 1911: ‡b t.p. (Burroughs Adding Machine Company)
675	‡a Annual report, 1965: cover (Burroughs Corporation)

110 2	‡a Burroughs Corporation
410 2	‡a Burroughs (Firm)
510 2	‡w a ‡a Burroughs Adding Machine Company
510 2	‡w b ‡a Unisys Corporation
670	‡a Annual report, 1965: ‡b cover (Burroughs Corporation)
670	‡a Unisys Corporation, c1988: ‡b t.p. (Unisys Corporation) p. i (Burroughs-Sperry merger) p. iii (1986 merger)
675	‡a Handbook of instruction for operators of Burroughs adding and listing machines, 1911: t.p. (Burroughs Adding Machine Company)

of the corporate name, and so this is recorded in a 670 field. It is unusual for the cataloger to have such explicit information, however, and in these cases the 510 fields are justified by 675 fields. Though this is somewhat confusing, there is a certain logic behind it. In the record for Burroughs Adding Machine Company, the 1965 annual report for the Burroughs Corporation does not mention the name "Burroughs Adding Machine Company," and thus the 675 field, "Source data not found," is used to record the information. As in the case with this pair of records, there is frequently a mirror imaging: the 670 field in the first record becomes the 675 field in the second, and vice versa. The "mirrored" 675 is formed exactly like its corresponding 670, except it lacks subfield ‡b (this subfield is not authorized for the 675 field).

References

GENERAL PRINCIPLES

One of the fundamental justifications for authority work is the fact that by nature names and terms change or appear in different forms. Catalog librarians follow standard rules to choose the heading that will be used in a bibliographic record. However, the average library user does not know these rules and so is likely to attempt catalog searches using forms that were not chosen or forms related to the person, body, or term (e.g., different pseudonyms, later or earlier headings for a corporate body, or broader and narrower subject terms). The mechanism that exists to guide users to the correct heading is the reference structure of the authority record.

There are basically two types of references: (1) those from unused forms and (2) those from other related forms, which themselves are authorized. The first type is recorded in 4XX fields; the second, in 5XX fields. The first type results in "See . . ." or "Search under . . ." displays to the catalog user; the second type usually displays "See also . . ." or "Search also under . . ."

Before adding any of these fields, the authority file must be searched for all possible forms to avoid conflict with existing established (1XX) headings.[4] A 4XX cross-reference cannot conflict with an existing 1XX heading. If a proposed 4XX form would conflict with an existing heading, it must be qualified in some way. For example, one of the editors of *Beyond ANOVA* is commonly known as Byron Wm. Brown, but is also called Bill Brown, as we learn from p. vii. Therefore, a reference is needed for "Brown, Bill." However, there is already an established heading "Brown, Bill" in the NAF. Therefore, the 400 field in the new authority record must be qualified. In this case, the reference form will be qualified by the forenames from the established form, because no other useful information is known about the name.

If a 4XX reference is needed and no qualifier is possible, a 5XX reference must be used instead (see below in the discussion of 5XX fields, with figure 3-16).

4XX references *may,* on the other hand, "conflict" with other 4XX fields. If this happens, the user will be referred to more than one heading, and he or she will have to decide which one is wanted. See figure 3-10 for an example of conflicting 4XX references. In this example, all three corporate bodies use the acronym IBM (the form of the Polish firm is normalized to a form without periods under LCRI 26.3B-C). The user who searches using "IBM" will be presented with a display similar to the following:

IBM
search under
Instituto de Biologia Marítima (Portugal)
Instytut Budownictwa Mieszkaniowego (Poland)
International Business Machines Corporation

This display is generated from the 410 fields in the three authority records of figure 3-10.

All proposed 5XX "see also" forms must also be searched against the authority file. The purpose of this search is twofold: first, it verifies that a record with a corresponding 1XX field exists; and second, it verifies that the form about to be added to the 5XX field in the record being created matches the heading in the other record. If no record exists for the proposed 5XX heading, it should be created at the same time as the record containing the 5XX field. For examples of "paired" records connected by 5XX fields, see figure 3-9.

FIGURE 3-10 Headings producing conflicting cross-references

110 2	‡a International Business Machines Corporation
410 2	‡a IBM
670	‡a Moody's, 1983 ‡b (International Business Machines Corporation)
670	‡a IBM, via WWW, July 14, 2000

110 2	‡a Instituto de Biologia Marítima (Portugal)
410 2	‡a IBM
670	‡a Notas e estudos do Instituto de Biologia Marítima, abril 1952: ‡b t.p. (Instituto de Biologia Marâitima; Lisboa; IBM)

110 2	‡a Instytut Budownictwa Mieszkaniowego (Poland)
410 2	‡a I.B.M.
410 2	‡a IBM
670	‡a Informacje techniczno-ekonomiczne, Nr. 6-7 (1957): ‡b p. 100 (I.B.M.); Nr 29 (1969): t.p. (Instytut Gospodarki Mieszkaniowej, dawniej Instytut Budownictwa Mieszkaniowego)

If the user searches in the catalog for "Cross, Amanda," he or she will be given a list of items owned by the library cataloged under that heading. The following message will also appear:

> Cross, Amanda, 1926-
> *search also under*
> Heilbrun, Carolyn G., 1926-

This message is generated from the 500 field in the authority record for Heilbrun. The following message will appear to the user who performs the search "Heilbrun, Carolyn," in addition to a list of items accessible through the library by Heilbrun:

> Heilbrun, Carolyn G., 1926-
> *search also under*
> Cross, Amanda, 1926-

This message is generated from the 500 field in the authority record for Cross.

4XX FIELDS

When working with personal names, add a reference for every variant that affects the "primary elements" of the name. The primary elements are all elements to the left of the first comma and the first element to the right.

In figure 3-11, the primary elements are Pierson and Chesley. Because the variant form "Pierson, Chesley Nels" does not affect the primary elements of the name, no cross-reference will be made for that form. The purpose of this rule is clear. In the case of figure 3-11, if the reference were made, a catalog display such as the following would appear when the library user did an index search on Pierson, Chesley:

1. Pierson, Abraham, 1608-1678
2. Pierson, Alan, 1974-
3. Pierson, Caleb, 1738-1801
4. Pierson, Charles F., 1920-
5. Pierson, Chesley N. (Chesley Nels), 1928-
6. Pierson, Chesley Nels, 1928-
   search under Pierson, Chesley N. (Chesley Nels), 1928-
7. Pierson, Chris
8. Pierson College (Yale University)

Because the reference in number 6 of the display refers to the heading in number 5, immediately above it, it is not thought to be an extremely useful reference and in fact may be confusing to the average user.[5] The primary elements rule, however, is actually more of a guideline than a strict rule. If in the cataloger's judgment access to the catalog would be improved by making the reference, it should be made. Such a decision might be made, for example, in the case of extremely common names where the heading and cross-reference would file far from each other, as in figure 3-12. In this case, the heading "Johnson, Charles Alfred" will likely file several headings after the heading "Johnson, Charles A.," and the user searching the Charles Alfred form will probably miss the correct form unless the cross-reference is given.

FIGURE 3-11 Primary elements of the name

```
100 1   ‡a Pierson, Chesley N. ‡q  (Chesley Nels), ‡d 1928-
670     ‡a Chesley N. Pierson oral history, 1975-1976: ‡b t.p. (Chesley N. Pierson) preface
        ("Chesley Nels Pierson was born 22 January 1928 in Lethbridge, Alberta")
```

FIGURE 3-12 Primary elements rule disregarded

```
100 1   ‡a Johnson, Charles A. ‡q  (Charles Alfred), ‡d 1922-
400 1   ‡a Johnson, Charles Alfred, ‡d 1922-
670     ‡a Denver's Mayor Speer, 1970: ‡b t.p. (Charles A. Johnson)
670     ‡a RLIN, Feb. 25, 1998 ‡b (hdg.: Johnson, Charles A. (Charles Alfred), 1922- ;
        Johnson, Charles Alfred, 1922- ; usage: Charles A. Johnson)
```

Aside from the primary elements rule, however, make a reference in a 4XX field for each variant of the name established in the 1XX field.[6] Variants are found in many places. The item being cataloged is the first source of variants and should be examined carefully. Frequently, the form of the name found in the chief source (e.g., the title page, for books) will be different from that found in other parts of the item. Sometimes the cataloger will find spelled out forms, for example, in a preface. Reference sources frequently list different forms of names. The cataloger may have personal knowledge of forms of personal or corporate names gained through telephone or e-mail contacts. The large collective databases (e.g., RLIN or OCLC) are rich mines for variants, both from data transcribed in records and from cataloged forms of the names. All these sources should be tapped, and variants that do not run counter to the primary elements rule or AACR2 should be added to the authority record as references.

Each variant should be formulated according to AACR2 practices as though it had been chosen for the heading. Under AACR2 24.10B, for example, we are instructed to qualify the name of a local church with the name of the place in which it is located. In figure 3-13, the form "Church of the Good Shepherd" was chosen as the authorized heading, and it is qualified by place name as instructed. The variant found in the work cataloged "Good Shepherd Church" is also qualified because it would have been qualified by place name if it had been chosen as the heading.

The record for Dorothy Wellesley is an example of this practice for a personal name. Wellesley became a British noblewoman, but she usually did not use her title in her writing, although the form "Dorothy Wellesley Wellington" was used occasionally. Hence, under cataloging theory she was not "commonly known" by her title and she is entered under her surname, Wellesley (cf. AACR2 22.6). However, her title is a variant form of her name and must be recorded as a reference in the authority record. The variant form will be formulated exactly as instructed in AACR2 22.6: title, proper name in direct order, term of rank.

All possible entry points of the heading itself should be given as references. For example, a name with a separately written prefix will always have a reference for the portion(s) of the name not chosen as the heading (see figure 3-14); similarly, compound surnames will always have a reference for the unused portion.

FIGURE 3-13 Variant formulated according to AACR2 practice (Church)

110 2	‡a Church of the Good Shepherd (Punta Gorda, Fla.)
410 2	‡a Good Shepherd Church (Punta Gorda, Fla.)
670	‡a Church of the Good Shepherd, Punta Gorda, Florida, c1996: ‡b p. 5, etc. (Good Shepherd Church; founded 1896)

FIGURE 3-14 Surname with separately written prefix

```
100 1   ‡a La Chapelle, Ariane de
400 1   ‡a De La Chapelle, Ariane
400 1   ‡a Chapelle, Ariane de La
670     ‡a Les relevés de filigranes, c1996: ‡b t.p. (Ariane de La Chapelle)
```

In addition to references for unused entry points in the heading, the authority record may contain as many other variants as found. However, the cataloger should not generally make references for "variants of variants"; in other words, normally make only one reference for each variant form of the name, which would be the form chosen according to AACR2 if the variant had been chosen as the heading, as explained above. For example, the first name of Gustave Le Bon, an author who has been translated many times, varies according to the language. The authorized form of his name is "Le Bon, Gustave, 1841-1931." As a name with a separately written prefix, its authority record will contain a reference from "Bon, Gustave Le, 1841-1931," an unused entry point from the heading itself. It will also contain references for the variant forms of the first name, all of which will begin with the prefix "Le" because the author is French (cf. AACR2 22.5D1, French). For example, for the Spanish version, the record will contain a reference from the form "Le Bon, Gustavo, 1841-1931." It will *not,* however, contain a reference from "Bon, Gustavo Le, 1841-1931," as this would be a variant of a variant.

Qualifiers should be used as appropriate in 4XX cross-references. This has already been seen with records for corporate bodies (see figures 3-9 and 3-13). Qualifiers in references for personal names should "match" the form chosen in the heading. For example, the heading established by the Library of Congress (LC) for the author of this book is "Maxwell, Robert L., 1957- ." Suppose a future cataloger receives an item by "R. L. Maxwell," whose book jacket states that R. L. Maxwell is Robert LeGrand Maxwell, and he was born in 1957. The cataloger would be justified in concluding that this is the same person as "Maxwell, Robert L., 1957- ." However, because a new form has now appeared, a cross-reference is needed. The cross-reference will be qualified, but the qualifier will, under current NACO policies, match the form chosen for the heading: "Maxwell, R. L. (Robert L.), 1957- , " not "Maxwell, R. L. (Robert LeGrand), 1957- ."

A parallel situation arises in corporate names with respect to the presence or absence in cross-references of terms of incorporation. If they are present in the heading, they should be used in cross-references; if not, they are not used in cross-references. For example, in figure 3-15, the heading for Clarian Health does not contain the term of incorporation; therefore, the cross-reference from the variant form does not contain it either, even though it is used with the form in the company's literature.

FIGURE 3-15 Term of incorporation not given in cross-reference

```
110 2   ‡a Clarian Health (Firm)
410 2   ‡a Clarian Health Partners
670     ‡a The Clarian, Mar. 6, 2000: ‡b t.p. (Clarian Health)
670     ‡a Clarian Health WWW Home page, June 26, 2000 ‡b (Clarian Health; Clarian
        Health Partners Inc.)
```

5XX FIELDS

Pseudonyms. 4XX fields lead the user of the catalog from an unauthorized heading to an authorized heading. In contrast, 5XX fields lead the user from one authorized heading to another related authorized heading. There are a variety of reasons why the cataloger might want to create such references. A contemporary author may use more than one pseudonym, for example. If so, under AACR2 practice, each pseudonym is a legitimate heading (cf. AACR2 22.2B3) and as such will have its own authority record. Persons studying such an author, however, would want to know all the headings the author's work might be found under. Therefore, the cataloger will make reciprocal 5XX references. For further discussion of pseudonyms in authority records, see below on the 663 field.

References that conflict with established headings. It was noted above that 4XX fields must never conflict with 1XX fields, and if a potential conflict arises, one or the other must be qualified to avoid it. Because of extreme reluctance to change already-established 1XX headings, this will almost always mean that the 4XX field will be qualified. However, in some cases no qualifier (e.g., fuller forms of names or birth and death dates) is available. In these cases, a 5XX "search also under" reference is made instead of a 4XX reference. For example, A. R. Jones, author of *God in Prison,* was established with the heading "Jones, A. R. ‡q (Albert R.)." The record included the required cross-reference "Jones, Albert R." in a 400 field. A catalog user searching for this form would be given the message:

> Jones, Albert R.
> *search under*
> Jones, A. R. (Albert R.)

Later, another author using the name "Albert R. Jones" was established: "Jones, Albert R." Unfortunately, this heading conflicted with the 400 field in the earlier record. If this had been allowed to stand, the catalog user doing the same search would now be given a confusing search result similar to the following:

Jones, Albert R.
search under
Jones, A. R. (Albert R.)
[list of works by Albert R. Jones]

Because nothing more was known about either name to further qualify, the 400 field in the earlier record was changed to a 500 field to avoid a conflict (see figure 3-16). Now the search result will appear as follows:

Jones, Albert R.
search also under
Jones, A. R. (Albert R.)
[list of works by Albert R. Jones]

Related corporate names and subfield ‡w. Perhaps the most frequent use of 5XX fields in name authority records is to link related, usually successive, corporate names. Under cataloging theory, when a corporate body changes its name, the earlier body ceases to exist and a new entity is born. Cataloging theory may be logical, but it is probably not intuitive for most library users. A name change may or may not signal a major change in emphasis to a corporate body, but generally speaking the body continues to occupy the same premises, employ the same workers, and perform more or less the same functions. Therefore, the average library user needs to be guided between the headings through the use of 5XX fields. Because the relationship between the entities is generally a chronological one, the headings are linked successively. For an example, see figure 3-9. There are four corporate bodies involved in that figure. The body began its life as the Burroughs Adding Machine Company, then became Burroughs Corporation, and finally, merging with Sperry Corporation, became Unisys Corporation. In contrast to the practice with pseudonyms, where all the

FIGURE 3-16 5XX field used instead of 4XX to avoid conflict

100 1	‡a Jones, A. R. ‡q (Albert R.)
500 1	‡a Jones, Albert R. [Note: this was originally a 400 field]
670	‡a God in prison, 1977: ‡b t.p. (A.R. Jones)
670	‡a Data from Nat. Lib. of Australia ‡b (Jones, Albert R.)

100 1	‡a Jones, Albert R.
500 1	‡a Jones, A. R ‡q (Albert R.)
670	‡a Inventory and classification of streams in the Kentucky River Drainage, 1973: ‡b t.p. (Albert R. Jones; biologist with the Kentucky Dept. of Fish and Wildlife Resources)

headings are listed on the basic record, generally corporate headings only link to the immediately preceding or succeeding entity. Thus, the record for Burroughs Adding Machine Company has only one 510 field, for its immediate successor, Burroughs Corporation. Burroughs Corporation has two 510 fields, one for its predecessor Burroughs Adding Machine Company, and one for its successor, Unisys Corporation. The exact relationship between the headings is made clear by the control subfield ‡w in the 510 fields. Subfield ‡w, always the first element in the field, contains up to four characters, each with a specific meaning that may control the public display of the record. Subfield ‡w can become very complex, but for purposes of the subfield in 510 fields, generally only the first position, which indicates the relationship between the 1XX heading and the 5XX field, is needed. For corporate name relationships, the two most common values are "a," for the earlier heading, and "b," for the later heading. Thus, the 510 field referring to Burroughs Corporation in the record for Burroughs Adding Machine Company begins "‡w b," meaning that Burroughs Corporation is the later heading. Conversely, the record for Burroughs Corporation contains a 510 field for Burroughs Adding Machine Company beginning "‡w a," indicating that it is the earlier name, and a 510 field for Unisys Corporation beginning "‡w b," indicating that it is the immediate successor to Burroughs Corporation. The authority record for Unisys Corporation will also contain a 510 field "‡w a ‡a Burroughs Corporation," indicating that this heading is Unisys's immediate predecessor. With these records in the library's catalog, the user will be presented (in addition to a list of the library's holdings under each heading) with the following (or similar) displays when searching (1) under Burroughs Adding Machine Company:

Burroughs Adding Machine Company
search also under the later heading Burroughs Corporation

(2) under Burroughs Corporation:

Burroughs Corporation
search also under the earlier heading Burroughs Adding Machine Company
search also under the later heading Unisys Corporation

(3) under Unisys Corporation:

Unisys Corporation
search also under the earlier heading Burroughs Corporation
search also under the earlier heading Sperry Corporation

These displays, somewhat more complex than simple "search also under" displays, are all generated by the coding of ‡w in the various 510 fields.

When the relationship between corporate bodies is not known, is not sequential, or is too complex, the cataloger may make a simple 5XX reference without ‡w. See figure 3-17.

A similar technique using subfield ‡w is used to link broader and narrower subject and genre/form terms. For details, see chapter 9 under "Hierarchical Relationships."

Performing groups. In most cases, name authority records containing 5XX fields are "paired," i.e., if authority record *A* refers to the heading in authority record *B*, authority record *B* will have a corresponding reference back to authority record *A*, as in the American Indian College Fund/ American Indian Higher Education Consortium example (see figure 3-17). In a few cases, however, the cataloger will not do this. One example of this is the treatment of performing groups containing the names of the persons in the group. The LC policy in this situation is to make a 500 reference from the name of the person(s) to the group but not from the group to the person (LCRI 26.2C). The group "Donny & Marie" is an example (see figure 3-18). The record for the corporate name contains 500 fields for the two principal singers; however, the authority records for their personal

FIGURE 3-17 Bodies not sequentially related

110 2	‡a American Indian Higher Education Consortium
410 2	‡a AIHE Consortium
410 2	‡a AIHEC
510 2	‡a American Indian College Fund
670	‡a AIHE Consortium research project to strengthen local economic and human resource development through Indian community colleges in the Old West region, 1979 ‡b verso t.p. (American Indian Higher Education Consortium, Inc., Denver, Colo.) t.p. (AIHE Consortium) p. v (American Indian Higher Education Consortium (AIHEC))
670	‡a The American Indian College Fund, 1987-1990, 1991?: ‡b p. 1 (est. 1987 to raise funds to assist the American Indian Higher Education Consortium)

110 2	‡a American Indian College Fund
510 2	‡a American Indian Higher Education Consortium
670	‡a Annual report, 1993: ‡b t.p. (American Indian College Fund) t.p. verso (non-profit est. 1989, located in New York, N.Y.)
670	‡a The American Indian College Fund, 1987-1990, 1991?: ‡b p. 1 (located in New York, N.Y., non-profit est. 1987 to raise funds to assist the American Indian Higher Education Consortium)

FIGURE 3-18 Performing group containing the names of performers

110 2	‡a Donny & Marie
410 2	‡a Donny and Marie
500 1	‡a Osmond, Donny
500 1	‡a Osmond, Marie, ‡d 1959-
670	‡a The all-time greatest hits of the Osmond family, p2000: ‡b label (Donny & Marie) booklet (Donny Osmond, Marie Osmond)

100 1	‡a Osmond, Donny
400 1	‡a Osmond, Donald Clark
670	‡a Life is just what you make it, c1999: ‡b t.p. (Donny Osmond)
670	‡a New Rolling Stone enc. of rock & roll: ‡b p. 735 (Donny Osmond; b. Donald Clark Osmond, 9 Dec. 1957, Ogden, Utah)

100 1	‡a Osmond, Marie, ‡d 1959-
400 1	‡a Osmond, Olive Marie, ‡d 1959-
670	‡a Marie Osmond's Guide to beauty, health, and style, c1980
670	‡a The insider's country music handbook, c1993: ‡b p. 249 (Marie Osmond; b. Olive Marie Osmond, 13 Oct. 1959, Ogden, Utah)

names do not contain a reciprocal 510 field referring back to the group. The result is that when the library user looks up, e.g., "Osmond, Donny," he or she will be presented the following display:

Osmond, Donny
search also under
Donny & Marie
[list of works containing the heading Osmond, Donny]

This same user, however, will not be given a display referring back to "Osmond, Donny" or "Osmond, Marie, 1959- " when the search "Donny & Marie" is entered. This LC policy is exactly the opposite of that for heads of state, explained next, and seems counterproductive: under most music cataloging policies, the catalog record for a CD of the group Donny & Marie would contain both the heading "Donny & Marie" and headings for the individual performers, including "Osmond, Donny." Therefore, the user searching "Osmond, Donny" would find all the records of the group under that heading, and a reference to "Donny & Marie," implying that there is more there, is misleading and a waste of the user's time. On the other hand, a reference from the group to the individual *would* be useful, because the library user searching under "Donny & Marie" very likely is also interested in other recordings by the performers.[7]

Heads of state, etc. Another case where 5XX fields are not paired is that of heads of state and religious bodies. In this case (unlike the case with musical groups) AACR2 gives explicit instructions. Rule 21.4D1a-b tells us to enter certain "official communications" of heads of state, other high government officials, popes, and other high ecclesiastical officials under the corporate heading for the official. The rule also instructs us to make an added entry *(in the bibliographic record)* for the personal heading for the person. Conversely, rule 21.4D2 makes entry for any other work by such a person under his or her personal heading; the cataloger is instructed to "make an explanatory reference from the corporate heading to the personal heading." In other words, works entered under this person's corporate heading will always contain, in addition to the corporate main entry, an added entry for the personal heading; but works entered under this person's personal heading will *not* contain an added entry for the corporate heading. This means that the authority treatment for the two headings will be slightly different. Take the case of Thomas Jefferson. Because (assuming the rules were followed correctly) every type of work authored by Jefferson, whether official or not, will contain either a main or added entry for his personal heading (Jefferson, Thomas, 1743-1826), there is no need for the user who issues the search "Jefferson, Thomas" also to be directed to the corporate heading for the president (United States. President (1801-1809 : Jefferson)) or to the heading for Jefferson as governor of Virginia (Virginia. Governor (1779-1781 : Jefferson)), because all works will be gathered under the heading "Jefferson, Thomas, 1743-1826." On the other hand, the library user who begins with one of the corporate headings will *not* find all the works of Jefferson gathered under that heading, but only the official communications emanating from the office of the president or governor. Therefore, the user needs also to be referred to the personal heading. Thus, Jefferson will have three authority records: one as a personal name, one as president of the United States, and one as governor of Virginia. The authority record for the personal name will contain 510 fields for the corporate forms. See figure 3-19.

The authority record for Jefferson's personal name contains a 510 field for each of his official (corporate) positions; the authority records for those corporate entities do not, however, contain a reciprocal 500 field for the personal name. The result of this for the user is as follows:

1. For the search "Jefferson, Thomas, 1743-1826," no cross-references display: they are not needed.
2. For "United States. President (1801-1809 : Jefferson)," the following (or similar) display appears:

   United States. President (1801-1809 : Jefferson)
   search also under
   Jefferson, Thomas, 1743-1826

FIGURE 3-19 Government official

100 1	‡a Jefferson, Thomas, ‡d 1743-1826
510 1	‡a United States. ‡b President (1801-1809 : Jefferson)
510 1	‡a Virginia. ‡b Governor (1779-1781 : Jefferson)
670	‡a Speech of Thomas Jefferson, president of the United States, delivered at his instalment, March 4, 1801, at the city of Washington, 1801?
670	‡a By His Excellency Thomas Jefferson, Esq., governour of the Commonwealth of Virginia : a proclamation, 1781
670	‡a Enc. of world biog., 1998: ‡b 8:238-241 (Thomas Jefferson; b. Shadwell, Va., 17 Apr. 1743; d. Monticello, Va., 4 July 1826; Va. gov. June 1779-1781; U.S. pres. 4 March 1801, reelected 1804)

110 1	‡a United States. ‡b President (1801-1809 : Jefferson)
670	‡a Speech of Thomas Jefferson, president of the United States, delivered at his instalment, March 4, 1801, at the city of Washington, 1801?
670	‡a Enc. of world biog., 1998: ‡b 8:238-241 (Thomas Jefferson; U.S. pres. 4 March 1801, reelected 1804)

110 1	‡a Virginia. ‡b Governor (1779-1781 : Jefferson)
670	‡a By His Excellency Thomas Jefferson, Esq., governour of the Commonwealth of Virginia : a proclamation, 1781
670	‡a Enc. of world biog., 1998: ‡b 8:238-241 (Thomas Jefferson; Va. gov. June 1779-1781)

3. For "Virginia. Governor (1779-1781 : Jefferson)," the following (or similar) display appears:

   Virginia. Governor (1779-1781 : Jefferson)
   search also under
   Jefferson, Thomas, 1743-1826

Many systems on the market today contain a "feature" that checks for reciprocal 5XX fields in authority records and "corrects" them if a supposed mistake is found. This may be a good feature in many cases, but when the system overrides the deliberate construction of the authority file in this particular case it is contravening a feature of the cataloging rules. In such systems if a search is made under "Jefferson, Thomas, 1743-1846," the user will also be referred back to the two corporate forms of the name, even though no new records will be found if the user performs a new search using the corporate names. This seems at best a waste of the user's time.

THE 663 FIELD

Heads of state, etc. In the case of heads of state, etc., AACR2 21.4D2 and 26.3C1a call for a somewhat different authority record than that described immediately above, requiring instead of a simple cross-reference an "explanatory reference" from the corporate heading to the personal heading, meaning an explanatory reference in the authority record for the corporate heading, giving as an example of a user display:

> Iran. Shah (1941-1979 : Mohammed Reza Pahlavi)
> Here are entered works of the Shah acting in his official capacity. For other works, see
> Mohammed Reza Pahlavi, Shah of Iran

"For reasons of economy" LC will not make these explanatory references and in fact actively removes them from the NAF when its catalogers find them (LCRI 26.3B-C). Therefore, NACO catalogers should not make these references either, instead connecting the headings with a simple "see also" reference in a 510 field, as shown in figure 3-19. However, if an individual library wished to have this rather useful reference display to its users, the authority records for the shah's corporate and personal headings would be formed as in figure 3-20.[8] The differences from standard practice are (1) a 663 field is added to the record for the corporate name, which triggers the message; and (2) the 510 field in the record for the personal name is coded "‡w nnnc" at the beginning of the string, which suppresses the display of the reference (if the display were not suppressed, the user would see both the message generated by the 663 field in the corporate name record and the "see also" message generated by the 510 field in the personal name record).

FIGURE 3-20 Explanatory reference for head of state (non-LC practice)

```
110 1    ‡a Iran. ‡b Shah (1941-1979 : Mohammed Reza Pahlavi)
663      ‡a Here are entered works of the Shah acting in his official capacity. For other works,
         see ‡b Mohammed Reza Pahlavi, Shah of Iran
[670s omitted]
```

```
100 1    ‡a Mohammed Reza Pahlavi, ‡c Shah of Iran
510 1    ‡w nnnc ‡a Iran. ‡b Shah (1941-1979 : Mohammed Reza Pahlavi)
[670s omitted]
```

Pseudonyms. Although LC practice is to omit explanatory references from authority records for corporate and geographic names, this is not the case with personal names. The main situation where a 663 field is used to generate an explanatory reference for a personal name occurs with pseudonyms, and because there are two ways of treating pseudonyms under AACR2 (depending on if the author is "contemporary" or, if not, if he or she has established separate "bibliographic identities"), there are two types of explanatory references that might be made.

First, however, as a reminder, there are two situations involving pseudonyms where no explanatory references are needed. The simplest situation is that of a person who uses only a pseudonym and not his or her real name. In this case, a single authority record is made, with a cross-reference in a 400 field from the person's real name if it is known (see figure 3-21). The second situation is that of a contemporary author who uses only two names (either his or her own name plus a pseudonym, or two pseudonyms). In this case, the pair of authority records will be connected by simple 500 "see also" fields, and no explanatory reference is needed (see AACR2 26.2C1).

The heading for a work of a contemporary author using pseudonyms is whatever name appears with it (AACR2 22.2B3). An authority record is set up for each pseudonym (and the real name, if it is used), and all are authorized for use as headings in bibliographic records. 22.2B3 then instructs the cataloger to "make references to connect the names." If more than two names are involved, explanatory references are used to connect the names (see AACR2 26.2D1). The language of 26.2D1 indicates that each authority record should have an explanatory reference guiding the user to all the other possible headings, and a library that wished to do this could certainly do so in their local catalog. However, LC policy, followed by NACO catalogers, departs slightly from this procedure (see LCRI 22.2B). First, the cataloger is instructed to choose the predominant form as the "basic" heading. The record for this heading will include 500 fields for all the other forms, but they are coded "‡w nnnc" to suppress their display. It will also contain a 663 field with the text "For works of this author entered under other names, search also under [list names]." All

FIGURE 3-21 Pseudonym only used

100 1	‡a Wayne, John, ‡d 1907-1979
400 1	‡a Morrison, Marion Michael, ‡d 1907-1979
400 1	‡a Wayne, Duke, ‡d 1907-1979
670	‡a The films of John Wayne, 1970
670	‡a Enc. Britannica, 1992 ‡b (Wayne, John; byname Duke, original name Marian Michael Morrison; b. May 26, 1907; d. June 11, 1979)

other authority records created for the person will contain a single 500 field for the basic heading, again coded "‡w nnnc," and a 663 field with the text "Works by this author are entered under the name used in the item. For a listing of other names used by this author, search also under [basic heading]." The result of this procedure will be that the user who searches for the basic heading will be provided with a list of all the names; the user searching for one of the other headings will not be given all the names, but will instead be directed to the basic heading for the list. The purpose of this departure from AACR2 is simplification of authority database maintenance. Under the LC procedure, whenever a new pseudonym is used by an author, a new authority record will be created for the heading, with a 500 and a 663 field pointing to the basic heading, and the record for the basic heading will be modified by the addition of the new name to its 663 field and one new 500 field. The AACR2 procedure, in contrast, would require modification of all the headings established for the author. This can become quite complex, and the LC procedure, although somewhat less helpful to the catalog user, is sensible and less prone to error on the part of the cataloger. An example of such an author is Orson Scott Card, who writes principally under his real name, but also uses several pseudonyms. Figure 3-22 gives the authority records necessary for this complex situation.

Persons using more than one pseudonym (or a real name and one or more pseudonyms) and who are not "contemporary" (defined in LCRI 22.2B as having died before January 1, 1901) are normally entered under the name by which they have come to be identified, i.e., the "commonly known" principle at the basis of most of the AACR2 rules for headings. However, if such a person has "separate bibliographic identities," i.e., he or she writes one type of work under one name and another type under another name, separate headings are used, necessitating separate authority records. These are connected by explanatory references. One such author is Lewis Carroll, who wrote fiction under that name, but wrote mathematical works under his real name, Charles Dodgson. The text of the explanatory reference will depend on the situation, but will be similar to that found in the 663 fields of the records for Dodgson/Carroll, figure 3-23.

Other Parts of the Record

THE 010 FIELD

The 010 field records the LC Control Number assigned to the record. No longer strictly speaking LC's control number in name authority records, it is might better now be called something like the Authority File Control Number, because records contributed to the file from other sources are also assigned numbers in this field. These are distinguishable by their prefix: records originally contributed by the LC begin with the prefix "n";

FIGURE 3-22 Contemporary author writing under more than two names

a. The basic record

053 ‡a PS3553.A655
100 1 ‡a Card, Orson Scott
500 1 ‡w nnnc ‡a Bliss, Frederick
500 1 ‡w nnnc ‡a Green, Bryan
500 1 ‡w nnnc ‡a Gump, P. Q.
500 1 ‡w nnnc ‡a Walley, Byron
663 ‡a For works of this author entered under other names, search also under ‡b Bliss, Frederick, ‡b Green, Bryan, ‡b Gump, P. Q., ‡b Walley, Byron
670 ‡a A storyteller in Zion, 1993: ‡b t.p. (Orson Scott Card)
670 ‡a Sunstone, v.20, no.1 (Apr. 1997): ‡b p. 18 (Frederick Bliss and P.Q. Gump are pseudonyms used by Orson Scott Card in Sunstone)
675 ‡a Friend, Oct. 1977: p. 38 (Byron Walley) ‡a The rag mission, 1979 (Bryan Green)

b. The other records

100 1 ‡a Bliss, Frederick
500 1 ‡w nnnc ‡a Card, Orson Scott
663 ‡a Works by this author are entered under the name used in the item. For a listing of other names used by this author, search also under ‡b Card, Orson Scott
670 ‡a Sunstone, v.20, no.1 (Apr. 1997): ‡b p. 18 (Frederick Bliss and P.Q. Gump are pseudonyms used by Orson Scott Card in Sunstone)

100 1 ‡a Green, Bryan
500 1 ‡w nnnc ‡a Card, Orson Scott
663 ‡a Works by this author are entered under the name used in the item. For a listing of other names used by this author, search also under ‡b Card, Orson Scott
670 ‡a The rag mission, 1979 ‡b (Bryan Green; pseud. used by Orson Scott Card)

100 1 ‡a Gump, P. Q.
500 1 ‡w nnnc ‡a Card, Orson Scott
663 ‡a Works by this author are entered under the name used in the item. For a listing of other names used by this author, search also under ‡b Card, Orson Scott
670 ‡a Sunstone, v.20, no.1 (Apr. 1997): ‡b p. 18 (Frederick Bliss and P.Q. Gump are pseudonyms used by Orson Scott Card in Sunstone)

100 1 ‡a Walley, Byron
500 1 ‡w nnnc ‡a Card, Orson Scott
663 ‡a Works by this author are entered under the name used in the item. For a listing of other names used by this author, search also under ‡b Card, Orson Scott
670 ‡a Friend, Oct. 1977: ‡b p. 38 (Byron Walley; pseud. used by Orson Scott Card)

FIGURE 3-23 Separate bibliographic identities

```
100 1   ‡a Dodgson, Charles Lutwidge, ‡d 1832-1898
400 1   ‡a Dodgson, C. L. ‡q (Charles Lutwidge), ‡d 1832-1898
400 0   ‡a D. C. L., ‡d 1832-1898
500 1   ‡w nnnc ‡a Carroll, Lewis, ‡d 1832-1898
663     ‡a For literary works of this author, search also under ‡b Carroll, Lewis, 1832-1898
667     ‡a SUBJECT USAGE: This heading not valid for use as a subject. Works about this
        person are entered under Carroll, Lewis, 1832-1898.
670     ‡a Euclid and his modern rivals, 1879: ‡b t.p. (Charles L. Dodgson)
670     ‡a The new belfry of Christ Church, Oxford, 1872: ‡b t.p. (D.C.L.)
670     ‡a RLIN, 4/25/96 ‡b (hdg.: Carroll, Lewis, 1832-1898; Dodgson, Charles Lutwidge,
        1832-1898; usage: Charles Lutwidge Dodgson, C.L. Dodgson, Charles L. Dodgson,
        D.C.L.)
```

```
053     ‡a PR4611 ‡b PR4612
100 1   ‡a Carroll, Lewis, ‡d 1832-1898
500 1   ‡w nnnc ‡a Dodgson, Charles Lutwidge, ‡d 1832-1898
663     ‡a For mathematical works of this author, search also under ‡b Dodgson, Charles
        Lutwidge, 1832-1898
670     ‡a Lewis Carroll and Alice, 1832-1982, 1982: ‡b t.p. (Lewis Carroll) verso t.p. and
        text (C.L. Dodgson)
```

those originating in OCLC begin "no"; those from RLIN begin "nr"; those from WLN (Western Library Network) begin "nw"; and those from the British Library begin "nb." LC subject authority records begin with the prefix "sh." The contents of the field are automatically generated when records are contributed to the NAF. For an example of a 010 field in a record originating in RLIN, see figure 3-24. Because the creator of authority records never adds or manipulates this field, other figures in this book do not include an 010 field.

FIGURE 3-24 010 field

```
010     ‡a nr 97036483
100 1   ‡a Vittet, Judith
670     ‡a La cité des enfants perdus, 1995: ‡b credits (Judith Vittet)
670     ‡a Internet movie database, via WWW, Sept. 15, 2000 ‡b (Judith Vittet, French
        actress; b. 1986)
```

THE 040 FIELD

The 040 field contains the MARC symbols for the library that created the record (subfields ‡a and ‡c) and any subsequent library that modified the record (subfield ‡d). NAF records created in 1999 or later will also contain subfield ‡b in this field, which contains the MARC language code for the language of the cataloging agency or the language of the catalog for which the record is intended. This code denotes the language of the textual portions of the entry, *not* the language or country of origin of the person or entity for whom the record was created. All English-speaking libraries creating NAF records will use "eng" in this portion of the field. French-speaking libraries in Canada would use "fre." Because every library's symbol is different, in this chapter only figure 3-25 contains an 040 field; however, all authority records in the NAF contain an 040 field. The 040 field of figure 3-25 contains the MARC symbol "UPB," the Harold B. Lee Library at Brigham Young University's symbol.

THE 053 FIELD

Name headings for literary authors and headings for anonymous literary works may contain an 053 field giving the LC classification number that has been assigned to that author or work (053 is also used to show the LC classification number that has been assigned to subject areas and thus frequently appears in subject authority records). Currently, only LC assigns and inputs these in the NAF, but NACO libraries and others may request that LC assign a classification number for a literary author or work and may also suggest the number to LC. To do this the library is first required to consult LC's shelflist to make sure that the suggested number is appropriate to the author or work. Full instructions for this procedure are given at the PCC website, <http://lcweb.loc.gov/catdir/pcc/litauthno.html>. A form at the same site is used for requesting 053 fields: <http://lcweb.loc.gov/catdir/pcc/053/053prop.html>. LC anticipates allowing NACO libraries to input 053 fields directly in name authority records in the near future, but until procedures are worked out for this, LC will continue to input them itself.

Apart from procedures for inclusion of 053 fields in NAF records, all libraries are naturally free to input them as they like in their own local

FIGURE 3-25 040 field

```
040     ‡a UPB ‡b eng ‡c UPB
100 1   ‡a Smith, William, ‡d 1813-1893
670     ‡a A concise dictionary of the Bible, 1880: ‡b t.p. (William Smith)
670     ‡a RLIN, Sept. 15, 2000 ‡b (hdg.: Smith, William, 1813-1893; usage: William Smith)
```

authority records. The first indicator of the field is undefined. According to MARC 21, the second is coded either "0," meaning LC assigned the number, or "4," meaning another library assigned it. LC currently codes 053 fields it enters in the NAF and SAF with a blank second indicator (a practice followed in this book), presumably on the theory that it is the only library allowed to enter 053 fields in authority records, and so identification of the assigning library is unnecessary. A library inputting 053 fields in its local file, however, would be wise to use "4," because this would indicate to its catalogers that the number in the field was not assigned by LC. Alternatively, the field 090 is also available for locally assigned call numbers.

The classification number itself is contained in subfield ‡a. Note that for a literary author, the classification number only, not a book number, is given here. This is because this number is meant to apply to all of an author's works, not an individual title. See figure 3-26.

Subfield ‡b is used to show the end of a span of numbers (with ‡a being the beginning). Many literary authors have been assigned a span of numbers in the LC classification scheme. For example, Robert Browning's works may be classified within a range of forty-nine numbers. See figure 3-27.

FIGURE 3-26 053 field showing the LC classification number for a literary author

053	‡a PS3513.E2
100 1	‡a Seuss, ‡c Dr.
400 0	‡a Dr. Seuss
500 1	‡w nnnc ‡a Geisel, Theodor Seuss, ‡d 1904-
500 1	‡w nnnc ‡a LeSieg, Theo., ‡d 1904-
500 1	‡w nnnc ‡a Stone, Rosetta
663	‡a For works of this author written in collaboration with Michael K. Frith, search also under ‡b Stone, Rosetta. ‡a For works of this author entered under other names, search also under ‡b Geisel, Theodor Seuss, 1904- , ‡b LeSieg, Theo., 1904-
670	‡a The cat in the hat, c1957: ‡b t.p. (Dr. Seuss)
670	‡a Contemp. auth., new rev. ser., v. 13 ‡b (Geisel, Theodor Seuss; b. Mar. 2, 1904)
670	‡a Washington Post, Sept. 26, 1991 ‡b (Theodor Seuss Geisel, who wrote as Dr. Seuss; d. 09-24-91, La Jolla, Calif.)

FIGURE 3-27 053 field showing a span of numbers

053	‡a PR4200 ‡b PR4248
100 1	‡a Browning, Robert, ‡d 1812-1889
670	‡a Select poems of Robert Browning, 1905
670	‡a RLIN, June 10, 2000 ‡b (hdg.: Browning, Robert, 1812-1889; usage: Robert Browning)

LC's current practice is not to give 053 fields in records for uniform titles of anonymous works, but there is no reason why a library should not use this field in its local system to record the call number used for such works, particularly because LC frequently does assign numbers to these works in its classification schedules. An example of how this would be recorded is found in figure 3-28.

THE 083 FIELD

Not currently being used in NACO cataloging, the 083 field records a Dewey classification number. It may be used locally by a library using the Dewey system to record its classification decisions in exactly the same way as the 053 field records an LC classification number. The first indicator shows if the number comes from the full edition (0) or the abridged edition (1); second indicator value "0" means LC assigned the number; "4" means another library assigned it. As with 053, subfield ‡a contains the classification number (local implementation might usefully include the Cutter number here), and ‡b indicates that the following number is the end of a span of numbers. Subfield ‡2 contains the Dewey edition number. For an example of how this might look in an authority record, see figure 3-29.

THE 667 FIELD

The 667 field is used for an explanatory note about the record that does not cite data. It is normally addressed to other catalogers, to explain something that might not otherwise be understood. For example, a contempo-

FIGURE 3-28 053 field for anonymous work

```
053      ‡a PR1580 ‡b PR1588
130   0  ‡a Beowulf
670      ‡a Beowulf, 1998
670      ‡a Resources for studying Beowulf, via WWW, June 13, 2000 ‡b (Old English poem
         existing in a single manuscript of about A.D. 1000)
```

FIGURE 3-29 083 field for literary author

```
083 04   ‡a 882.01 So66 ‡2 21
100 0    ‡a Sophocles
670      ‡a Oedipus tyrannus, c2000: ‡b t.p. (Sophocles)
670      ‡a Oxford classical dict., 1996: ‡b p. 1422 (Sophocles; Athenian tragic playwright,
         5th c. B.C.)
```

rary author may have used several pseudonyms, but not all of them have been used in bibliographic records. The 667 field for the basic record might contain a list of the unused pseudonyms (cf. LCRI 22.2B). Another common use of the field in LC name authority records is to give instructions about subject use, because most, but not all, names can be used as subject headings (for an example, see figure 3-23).

Catalogers are called upon to make judgments about the identity of persons they are dealing with. Even if the cataloger is not sure, he or she must make a decision about whether to identify a particular name on the item being cataloged with the same name in other bibliographic records. If the cataloger simply cannot decide, a note to this effect can be made in the authority record. The most common wording of this note is "Cannot identify with . . ." For example, in figure 3-30, the cataloger of *Sensibility: A Poem* (Edinburgh, 1789) could not decide whether the Thomas Hall named on the title page was the same person as "Hall, Thomas, 18th/19th cent.," whose name had already been established in the authority file and who also wrote poetry. Therefore, he or she made a new heading for the author of *Sensibility* but left in the 667 field the possibility that they might, after all, be the same person.

The cataloger of the recording *Gambler's Life* including trombonist Al Hall was unsure that this was the same Al Hall who also played bass but concluded in the end that they were identical. Because he or she was not entirely sure, however, a 667 field was put in the record to show the cataloger's thinking process. See figure 3-31.

FIGURE 3-30 "Cannot identify with" note

100 1	ǂa Hall, Thomas, ǂd fl. 1789
667	ǂa Cannot identify with Hall, Thomas, 18th/19th cent.
670	ǂa Sensibility : a poem, 1789: ǂb t.p. (Thomas Hall, author of Benevolence and other poems)

FIGURE 3-31 Tentative identification (personal name)

100 1	ǂa Hall, Al, ǂd 1915-1988
667	ǂa Bassist and trombonist judged to be the same person.
670	ǂa Mr. Wilson [SR], 1955?: ǂb container (Al Hall, bass)
670	ǂa Reclams Jazzführer, 1990 ǂb (Hall, Al (Alfred Wesley); b. Mar. 18, 1915, Jacksonville, Fla.; d. Jan. 18, 1988, New York; bassist; raised in Philadelphia; played cello and tuba, starting on bass in 1932)
670	ǂa Gambler's life, p1974: ǂb container (Al Hall, trombone)

A variant on this note, for situations where the cataloger is certain of the facts of the situation, is worded "Not the same as: _____." Such a note should be used sparingly and only when there is a real possibility of confusion. If separate authority records have been created, it is assumed they are for separate persons or entities, and so adding a note to one stating that it does not represent the same person or entity as another is somewhat redundant.

Such notes can be made for tentative identification of corporate bodies as well. For an example, see figure 3-32. In this case the 667 field is added to explain the decision to include the 510 field.

Figure 3-33 shows a 667 note that NAF users may encounter but will never make themselves. There have been various large projects by LC to populate the NAF with the contents of its manual authority files, and frequently this has involved machine generation of records with little direct human intervention. These records are identified by the 667 note "Machine-derived authority record." Once in the file they may be manipulated and updated just like any other authority record.

There are numerous other uses for this field, but nearly all record either instructions or information about the record. One use not permit-

FIGURE 3-32 Tentative identification (corporate body)

110 2	‡a Balé da Cidade de São Paulo
410 1	‡a São Paulo (Brazil). ‡b Secretaria Municipal de Cultura. ‡b Balé da Cidade de São Paulo
410 1	‡a São Paulo (Brazil). ‡b Balé
510 1	‡w a ‡a São Paulo (Brazil). ‡b Corpo de Baile Municipal
667	‡a Appears to be later name of: Corpo de Baile Municipal (São Paulo, Brazil)
670	‡a Bolero, 1982: ‡b t.p. (Balé da Cidade de São Paulo) p. 3 (Corpo de Baile Municipal; established 1968; restructured under Lei 9,168, 12/4/80 [not clear whether name changed under the provisions of the law]) p. 29 (Balé da Cidade de São Paulo, Prefeitura do Município de São Paulo, Secretaria Municipal de Cultura; diretor: Klauss Vianna)
675	‡a Corpo de Baile Municipal, 1980: t.p. (Corpo de Baile Municipal)

FIGURE 3-33 Machine-derived authority record

100 1	‡a Prescott, John
667	‡a Machine-derived authority record
670	‡a LCCN 92-760047: Prescott, J. Sonata for tuba and piano opus 23, 1990?: ‡b (usage: John Prescott)

ted in NACO records, but that might be appropriate in a library's local file, would be to record the creator/reviser of a record's name or initials in order to track who has manipulated the record more specifically than is possible using the library identifiers in the 040 field.

Fixed-Length Data

A lengthy discussion of fixed-length data is found at the end of chapter 2, including two tables summarizing all the positions in the MARC 21 authorities format leader and 008 field.

NOTES

1. LCRI 22.3A admonishes catalogers needing to choose between forms of name when the fullness of the name differs in database searches to "do it quickly and use common sense." If more than fifteen records are found, the calculation is to be made on the basis of a sampling of the records. This sensible guideline should apply to all searches looking for usage, not just ones dealing with the fullness of a name.
2. There are a few cases in AACR2 where further searches in reference works are required. These include names in vernacular Latin and Greek forms (AACR2 22.3B2), the names of persons who use a given name only (no surname) (AACR2 22.3B3 and 22.3C1), saints' names (LCRI 22.13B), and names of persons not primarily known as authors (AACR2 22.1B).
3. Under older authority practice, a form of the main entry was always included in the 670 field before the title proper, so the cataloger will encounter early records with 670 fields formed in this way.
4. "Conflict" refers to a heading that normalizes to the same form as another. When headings are compared for normalization, all diacritics (accents) and punctuation (dashes, parentheses, etc.) except the first comma in subfield ‡a are removed, and all the letters are converted to upper case. Thus, "Lévy, Jean" (male French name, with acute accent) conflicts with "Levy, Jean" (female American name, without acute accent) because both normalize to LEVY, JEAN. Similarly, "L'Amour, Charles" conflicts with "Lamour, Charles." On the other hand, "Marie, Antoine" (surname, forename) does not conflict with "Marie-Antoine" (name consisting solely of forenames) because the first normalizes to MARIE, ANTOINE and the second to MARIE ANTOINE. To summarize, headings that differ only in diacritics, punctuation (except first comma in subfield ‡a), or capitalization are considered to conflict because they normalize to the same form and must be qualified in some way to differentiate them from one another. For further details, cf. *Descriptive Cataloging Manual: Z1, Name and Series Authority Records,* available on *Cataloger's Desktop,* under "NACO Normalization."
5. The rule has been criticized, however, because of another use of the authority record: machine correction of the bibliographic file. Automated correction mechanisms usually look at cross-references in authority records to spot mistakes in bibliographic records and will sometimes "flip" the heading, replacing the form found in the cross-reference with that found in the 1XX field of the authority record. Thus, if the heading "Pierson, Chesley Nels, 1928- " had been, for

example, an older pre-AACR2 heading on existing bibliographic records, some automated correction procedures would need the form in a 4XX field to make the change. This automated procedure is not, of course, above criticism itself. Because of the fact that 4XX fields may conflict with each other, there is a real possibility that the machine would have more than one possible 1XX authority form to choose from when making the "flip" and could therefore "correct" the heading to the wrong form.

6. Note that the primary elements rule only applies to personal names, not to corporate or geographic names or uniform titles or series.
7. A proposed change to LCRI 26.2C correcting this situation was under discussion at the time of publication of this book. Catalogers should consult the latest edition of the LCRIs for current practice.
8. The headings are formulated as in AACR2. The actual headings currently in the NAF are Iran. Shah (1941- : Mohammed Reza Pahlavi) and Mohammed Reza Pahlavi, Shah of Iran, 1919- .