NACO Training

Prepared by
the PCC Standing Committee on Training
RDA NACO Program Training Workshop Task Group

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by Linda Woodcock, Technical Services Librarian
Kwantlen Polytechnic University

Developed by the SCT RDA NACO Program Training Workshop Task Group:

– Lori Robare, Chair
– Michael Colby
– Joanna Dyla
– Paul Frank
– Fang Gao
– Robert Maxwell
– Mark Scharff
– Adam Schiff
NACO Foundations

Module 1

Learning Objectives (1)

• At the end of the course, participants will be able to:

  – Consult and use MARC 21 Authority Format, LC Guidelines Supplement, and LC Descriptive Cataloging Manual, Section Z1 (DCM Z1)

  – Create and revise NARs according to RDA and the LC-PCC Policy Statements
Learning Objectives (2)

• Apply content designation in accordance with the MARC 21 Authority Format
• Evaluate, update, and modify existing name authority records
• Determine if a named entity is established through NACO or SACO
• Understand NACO administrative details

Day 1: NACO Foundations

• Authorities in a Shared Database
• PCC NACO Principles and Parameters
• Searching/BFM
• Normalization
• FRBR and FRAD
• MARC 21 Authority Format
Day 2: Describing Persons

- RDA Chapters 8 and 9
- Review LC-PCC PSs
- Practicum and exercises

Day 3: Describing Families Describing Corporate Bodies

- Families: RDA Chapters 8 and 10
- Corporate bodies: RDA Chapters 8 and 11
- Review LC-PCC PSs
- Practicum and exercises
Day 4: Describing Places
Describing Works and Expressions

• Places: RDA Chapter 16 (in conjunction with Chapter 11)
• Works and Expressions: RDA Chapters 5 and 6 (in conjunction with Chapters 8-11)
• Review LC-PCC PSs
• Practicum and exercises

Day 5: Making Changes to Existing NARs and NACO Administration

• Changes to NARs (DCM Z1)
• Review LC-PCC PSs & DCM Z1
• Practicum and exercises
• NACO administrative details
Day 1: NACO Foundations

This module is designed to introduce NACO participants to:

- The shared database environment
- PCC NACO principles and parameters
- MARC 21 Authority Format
- LC Guidelines Supplement to MARC 21
- DCM Z1

NACO Principles:
Authorities in a Shared Database
Standards in Card Catalogs

“The Card Division” in the early 1900s

Standards Today

• We have moved away from limitations of card catalogs
• LC is a member of PCC and must meet the same standards as any NACO library
Name Authority Cooperative Program (NACO)

- Over 950 NACO members
  - Full-level members
  - NACO funnel projects
- Funnels may be based on geography, specialization (art, music), or language
- NACO partners contribute name authority records to LC database via utilities
Exchanging Records

• More standardization required
• Local systems/utilities are different
• Earlier MARC formats were diverse (US MARC, CanMARC, UK MARC)
• MARC 21 is more universal

MARC 21 to BIBFRAME

• Efforts are underway to transition from MARC 21 to a new bibliographic framework
• Collaborative process
• Focus: translate the MARC 21 format to a linked data model
  – While retaining as much as possible the robust and beneficial aspects of MARC
• Proposed model: BIBFRAME
  – http://bibframe.org/
Authority Record Creation and Distribution

Utilities (such as OCLC and SkyRiver) and the British Library contribute authority records, which are then sent to LC.

Each morning all contributed authority records, including LC’s, are redistributed to the BL, the utilities, and all CDS customers.

High Value – Low Effort

NACO’s goal:

• To build a name authority file
• For the greatest good of all
• With the least amount of effort by participants
Dynamic File

- The LC/NACO Authority File is a dynamic file, changing every 24 hours
- Any record may be changed by another NACO participant for *appropriate* reasons

The Catalog Serves the Users

According to the Statement of International Cataloging Principles:

- Controlled access points should be provided for the authorized and variant forms of names
- Controlled access points provide the consistency needed for collocating the bibliographic records for sets of resources
NARs and the NAF

- Name authority record (NAR) shows authorized access point and variant access points, and describes the entity using RDA elements
- LC/NACO Authority File (NAF) includes all NARs
- Libraries choose levels of authority control
- DCM Z1 Introduction describes LC’s policies for when to create a name authority record

Cataloger’s Judgment

- Use judgment when applying many instructions
- A different choice isn’t always an error, so respect the judgment of your colleagues
- *Leave a correct, unique authorized access point alone*
Specific Practices

• A practice may not apply equally to all parts of NACO work
  e.g., Geographic names *always* require research, but personal names *seldom* do

Focus on Work in Hand

• Focus on records related to an item being cataloged

• NACO (including LC) catalogers are discouraged from cruising the database to find errors
Go To the Source

• Ask the other library’s NACO contact if you notice problems in an authority record

• NACO liaisons:
  http://www.loc.gov/aba/pcc/naco/pccliaisons.html

NACO Parameters

• Documentation
• Contribution guidelines—PCC
• Changes to existing NARs
• Cancellation of NARs
• Bibliographic File Maintenance (BFM)
• Searching (why, how, and when)
• Normalization rules
NACO Parameter: Documentation

- RDA Toolkit
- LC-PCC PSs
- MARC 21 Authority Format
- LC Guidelines Supplement to the MARC 21 Authority Format
- Descriptive Cataloging Manual (DCM Z1)

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Use Both RDA and LC-PCC PSs

- **RDA** gives the basic instructions
- **LC-PCC PSs** give further explanations, additional applications, and examples
- **LC-PCC PSs** tell which RDA options and alternatives to apply

**LC-PCC PSs take precedence over RDA**

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LC Guidelines Supplement to MARC 21 Authority Format

• Instructions for LC, NACO, SACO, series, subjects practices

• Many have the statement “Do not use this field/subfield”
Descriptive Cataloging Manual (DCM Z1):
Name and Series Authority Records

- Instructions on handling NAR and SAR practices
- LC & PCC practices where they differ
- NACO normalization
- Examples
Module 1. Foundations

Tag Links: LC Guidelines and DCM Z1

Links to additional documentation
LC Guidelines: 053

Module 1. Foundations

DCM Z1: 053

Cataloger's Desktop

General

This field is used in NARs for persons to record classification numbers for individual literary authors. This field is also used in NARs for persons and corporate bodies to record biography entries in fields ML1-4, 420.

Full information on the assignment of literary author numbers and their inclusion in NARs can be found in the Classification and Shelf-Mark Manual (CSSM), instruction sheet F-132.

Class PBRN numbers should not be added to NAR Z1. For the use of these numbers in NARs, see DCMZ1, 981 section. A NAR for a Canadian literary author may contain both Class F (05) and Class Z1.

Note: NAACZ1 participants may use this field only in the following situations: to record LC classification numbers associated with personal career headings for authors who have written literary works, other than juvenile literature. Their main entry classification number must be in complete bibliographic records in the LC OPAC so they may add uncataloged classification numbers (see Verification of LC classification numbers for literary authors).

LC exclusive catalogers are strongly encouraged to add Z1 fields to NARs for authors who have written literary works, other than juvenile literature. LC exclusive catalogers and PBD may add Z1 fields to NARs in the open DE-450-499, and indexed biographies, screening individuals and performance groups.

Example:

300 $a 9780525940890

Z1 0520-$a 449499

010 $a 0525940894 (Main entry)

Verification of LC classification numbers for literary authors

Only “LC-controlled” when numbers have been assigned to an LC classification number for a literary author. An LC class number for a literary author is considered “LC-controlled” if it has been assigned to a complete LC bibliographic record before being added to the NAR. Completed bibliographic records may be identified by this NAACZ1 coding.
Other Documentation

• Alphabetic List of Ambiguous Entities
  – DCM Z1: Headings for Ambiguous Entities
  – Subject Headings Manual (SHM) H 405

• ALA-LC Romanization Tables

• Policy announcements, FAQs, guidelines, etc. from PCC/NACO and LC

Division of the World: Name vs. Subject file

Is the entity a name or a subject?

- Name Authority File
- Subject Authority File
- Ambiguous Entities

SHM H 405
Romanization Tables

- [http://www.loc.gov/catdir/cpso/roman.html](http://www.loc.gov/catdir/cpso/roman.html)
Source of Latest Changes

- PCC listserv (http://www.loc.gov/aba/pcc/discussion.html)

- LC Cataloging & Acquisitions Home (http://www.loc.gov/aba/)

NACO Parameter: Contribution Guidelines for PCC

- NACO libraries decide which NARs to contribute

- Series and music work or expression NARs may be contributed only after completing additional training

- When creating certain types of NARs, other related NARs must be established
1. Parent-Subordinate Hierarchies

For this NAR:

1XX  Parent body. $b Subordinate body

Another NAR is needed for:

1XX  Parent body

1b. Parent-Subordinate Hierarchies

For this NAR:

110 2 _ Universidad Complutense de Madrid. $b Biblioteca

Another NAR is needed for:

110 2 _ Universidad Complutense de Madrid
1c. Parent-Subordinate Hierarchies

For this NAR:

1XX Parent body. $b Subordinate body. $b Subordinate body

NARs are needed for:

1XX Parent body
1XX Parent body. $b Subordinate body

1d. Parent-Subordinate Hierarchies

For this NAR:

110 2 _ Universidad Complutense de Madrid. $b Colegio Mayor de San Pablo. $b Centro de Estudios Universitarios

NARs are needed for:

110 2 _ Universidad Complutense de Madrid
110 2 _ Universidad Complutense de Madrid. $b Colegio Mayor de San Pablo
1e. Parent-Subordinate Hierarchies in Variant Access Points

For this NAR:

1XX Subordinate body
4XX Parent body. $b Subordinate body

Another NAR is needed for:

1XX Parent body

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1f. Parent-Subordinate Hierarchies in Variant Access Points

For this NAR:

110 2 _ Apple Industrial Design Group
410 2 _ Apple Computer, Inc. $b Apple Industrial Design Group

Another NAR is needed for:

110 2 _ Apple Computer, Inc.
2. Bodies in Variant Access Points

For this NAR:

1XX Government agency
4XX Jurisdiction. $b Government agency

Another NAR is needed:

1XX Jurisdiction

2b. Bodies in Variant Access Points

For this NAR:

110 2 _ Seattle Municipal Archives
410 1 _ Seattle (Wash.). $b Municipal Archives

Another NAR is needed:

151 _ _ Seattle (Wash.)
2c. Bodies in Variant Access Points

For this NAR:

110 1 _  British Columbia. $b School Facilities Planning
410 1 _  British Columbia. $b Ministry of Education. $b School Facilities Planning

Another NAR is needed:

110 1 _  British Columbia. $b Ministry of Education

2d. Bodies in Variant Access Points

For this NAR:

1XX  Place within city (City)
4XX  City. $b Place within city

Another NAR is needed:

1XX  City
2e. Bodies in Variant Access Points

For this NAR:

151 _ _  Koreatown (Los Angeles, Calif.)
410 1 _  Los Angeles (Calif.). $b Koreatown

Another NAR is needed:

151 _ _  Los Angeles (Calif.)

3. Related Entities (5XX)

- In many cases, it is useful to create access points for related entities (5XX)
- Every entity in a 5XX must be established
- Reciprocal access points for related entities are not generally required, but are required in four situations:
  - Persons with different identities (pseudonyms)
  - Earlier and later forms of a corporate name or a family
  - Sequential relationships between series or serials
  - Government and religious officials
3b. Related Entities (5XX)

1XX Current name of entity

5XX $w r $i Predecessor:
$a Earlier name of entity

1XX Earlier name of entity

5XX $w r $i Successor:
$a Current name of entity

3c. Related Entities (5XX)

110 2 _ International Business Machines Corporation

510 2_ $w r $i Predecessor:
$a Computing-Tabulating-Recording Company

110 2 _ Computing-Tabulating-Recording Company

510 2_ $w r $i Successor:
$a International Business Machines Corporation
3d. Related Entities (5XX):
Previous practice

1XX Current name of entity
5XX $w a $a Earlier name of entity

1XX Earlier name of entity
5XX $w b $a Current name of entity

3e. Related Entities (5XX)

• It is not always useful to make reciprocal access points for related entities

100 1_ Kimball, Edward L., $d 1930-2016

510 2_ $w r $i Employer: $a University of Wisconsin
3f. Related Entities (5XX)

100 1_ Lennon, John, $d 1940-1980

510 2_ $w r $i Corporate body: $a Beatles

3g. Related Entities (5XX)

• When not required, use judgment! When are reciprocal access points useful?

110 2_ Beatles
500 1_ $w r $i Member: $a Lennon, John, $d 1940-1980
500 1_ $w r $i Member: $a McCartney, Paul
500 1_ $w r $i Member: $a Harrison, George, $d 1943-2001
500 1_ $w r $i Member: $a Starr, Ringo
Mandatory Match 5XX-1XX

5XX **MUST** match 1XX on another NAR in the same authority file

- 110 2 _ Dallas/Fort Worth International Airport
- 510 2 _ $w r $i Predecessor: $a Dallas/Fort Worth Regional Airport
- 110 2 _ Dallas/Fort Worth Regional Airport
- 510 2 _ $w r $i Successor: $a Dallas/Fort Worth International Airport

Module 1. Foundations

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4. Creator/Work Access Points

For this NAR:

1XX Creator. $t Work

*This NAR is needed:*

1XX Creator
4b. Creator/Work Access Points

For this NAR:
1XX Creator. $t Work. $l
Language ...

This NAR is needed:
1XX Creator

4c. Creator/Work Access Points

For this NAR:
100 1_ Le Guin, Ursula, $d 1929-2018. $t Earthsea. $l Chinese

This NAR is needed:
100 1_ Le Guin, Ursula, $d 1929-2018
4d. Creator/Work Access Points

For this NAR:
1XX Creator. $t Work. $k
Selections

This NAR is needed:
1XX Creator

4e. Creator/Work Access Points

For this NAR:
100 1_ McDougall, Christopher, $d 1962- $t
Born to run. $k Selections

This NAR is needed:
100 1_ McDougall, Christopher, $d 1962-
Place name in qualifier

• If a place name is used in a qualifier, it must be established

110 2_ Galleria d'arte contemporanea (Turin, Italy)
   151 Turin (Italy)

130 _0 Financial chronicle (Hyderabad, India)
   151 Hyderabad (India)

151 ___ Wrigleyville (Chicago, Ill.)
   151 Chicago (Ill.)

Must be established!

NACO Parameter:
Changes to existing NARs

*All authorized access points in the NAF are eligible to be changed by all NACO participants*
NACO Parameter:
Deletion of NARs

• Only LC catalogers can delete NARs in the NAF

• NACO libraries notify LC to delete NARs

• LC/NACO database is redistributed daily to the utilities

NACO Parameter:
Bibliographic File Maintenance (BFM)

LC bibliographic records (as distributed by CDS) must remain in synch with the NAF

http://www.loc.gov/aba/pcc/naco/bfmguide.html

*NACO partners must notify LC when certain types of changes to NARs affect authorized access points used on LC bibliographic records*
BFM : Examples

• BFM NOT required: changes to authorized access points
  – e.g., revised authorized access point including a death date
  – Reports are generated by bibliographic utilities

• BFM required: new NAR is created for a person previously on an undifferentiated NAR (and LC bib records are affected)

NACO Parameter :
Searching

Catalogers keep the database clean by searching for related records before contributing an authority record to the LC/NACO Authority File
Why Search? (1)

To prevent duplicate NARs
  • Authorized access point for entity already established?
  • OCLC de-dupe detection and validation programs need to be run
  • Report deletions to Cooperative Programs Section

Why Search? (2)

  • To avoid conflict in *authorized access points* and *variant access points*
    – Information on normalization rules coming up

  • To gather information from existing *bibliographic* records
Why Search? (3)

- To identify existing records that may need to be evaluated and re-coded for RDA
  - Presence of 667 note:
    THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED
- To identify and re-code an existing RDA-acceptable AACR2 NAR to RDA
- More information on changes to the LC/NAF:
  ✓ Summary of Programmatic Changes to the LC/NACO Authority File (Phases 1 and 2)
  ✓ Report of the Phase 3 Task Group

Why search? (4)

- To identify bibliographic records that will need BFM
- To revise an existing NAR
  ✓ Personal name changes
  ✓ Corporate earlier-later
  ✓ Other revisions
Searching: How?

- Search **bibliographic** and **authority** files
- Maybe even **subject** headings in bibliographic and authority records
- Search more than one form, e.g.:
  - Fowler, Esther Miller
  - Fowler, E.
  - Miller, E.
  - Miller, Esther
  - Miller, E. Anne
- Search both the **authorized access point** and the **variant access points**
Searching : When?

• Don’t leave authority records in the save file too long
• Search again if 24 hours pass to:
  ✓ Avoid conflicts
  ✓ Avoid duplicates

Remember:
24 Hour Rule to Avoid Duplicate Access Points
NACO Normalization

- Normalization is the conversion of a text string to a normalized form
- Text strings that normalize to the same form are considered to be duplicates and must be differentiated from each other
- The goal of normalization is to ensure that each authorized access point is unique

Normalization: Documentation

- DCM Z1: Introduction

The process of normalization removes all combining diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters and subfield codes are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

<table>
<thead>
<tr>
<th>Catalog form:</th>
<th>Ile-de-Montréal (Québec)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Normalized form:</td>
<td>ILE DE MONTREAL QUEBEC</td>
</tr>
</tbody>
</table>

Only normalized forms of headings and references are compared in the check
Normalization: Documentation

• Linked from NACO Documentation & Updates

Impact of Normalization

• Until early in 2013, “non-unique” or “undifferentiated” personal name NARs were sometimes created due to normalization

• Beginning in January 2013, NACO catalogers were asked to avoid creating new undifferentiated personal name authority records (or adding to existing ones)
NACO Normalization

- OCLC and SkyRiver run databases against a computer program using NACO Normalization rules

- Error reports on duplicates and conflicts come to LC
  - Coop catalogers handle them

What happens in the Normalization process?

- All letters are converted to upper case
- Modified letters are converted to unmodified letters
- All diacritics are removed
What happens in the Normalization process?

• Most punctuation is removed.
  – Exceptions: first comma in subfield a
• Subfield delimiters and subfield codes are retained and considered
• The contents of 1XX, 4XX, and 5XX fields are compared

Tags Are Not Compared

• MARC 21 tags are NOT considered when the computer compares access points for uniqueness
  – Subfield codes ARE considered

• Different MARC tags (100, 110, 111, 151, 130) do not make an authorized access point unique
What happens to the symbols?

- Deleted with no space remaining: 
  
  `[] ′`  
  apostrophe

- Replaced by a blank space: 
  
  `@ ? / \ () = “ ′ -` 
  Comma after first one

- Unchanged: 
  
  `& ′ + # ′ b` 
  quotation mark
  musical sharp
  musical flat
  hyphen

What is Compared?

Line of characters that are part of the tagged field (character “string”)

100 1 _ Le Bret, $c Monsieur $q (Alexis-Jean), $d 1693-1772?

NORMALIZES AS: LE BRET, $c MONSIEUR $q ALEXIS JEAN $d 1693 1772
Normalized Authorized Access Point

• Catalog form:
  151 __ Île-de-Montréal (Québec)

• Normalized form:
  151 __ ILE DE MONTREAL QUEBEC

Conflicts and Duplicates
What is a conflict?

Normalized match between
• 1XX vs. 1XXs
• 4XX vs. 1XXs & 5XXs
• 4XX vs. 4XX in same record

But
• 5XX must normalize to 1XXs
• 4XX to 4XX is fine in different records

1XX Duplicates

A 1XX may NOT normalize to the same string as another 1XX

100 1 _ Smith-Jones, Barb
100 1 _ Smith Jones, Barb

(This is a duplicate)
1XX-4XX Conflict

A 4XX may NOT normalize to the same string as a 1XX or 5XX

100 1 _ O’Brien, John
400 1 _ O’Brien, Jack

100 1 _ O’Brien, Jack
400 1 _ O’Brien, J. (Jack)

(This is a conflict)

Conflict Within a Record

A 4XX may NOT normalize to the same string as another string in the same NAR

110 2 _ Winston-Salem Sunrise Hiking Club
410 2 _ Winston-Salem Hiking Club
410 2 _ Winston/Salem Hiking Club

(This is a conflict)
No Conflict Between Records

A 4XX MAY normalize to the same string as a 4XX in another NAR

100 1 _ Potter, Harold
400 1 _ Potter, Harry

100 1 _ Potter, Henry
400 1 _ Potter, Harry

(No conflicts here!)

Normalization Exercises

Look at each record and decide if any of the variant access points would normalize to the authorized access point
Exercise 1

151 T'bilisi (Georgia)
451 Tiflis (Georgia)
451 Tbilisi (Georgia)
451 $w nnaa $a Tiflis
451 $w nne $a Tbilisi (Georgian S.S.R.)
451 T'blisi (Georgia)

Exercise 2

110 2 _ Ballard-Carlisle Historical & Genealogical Society
410 2 _ Ballard-Carlisle Historical and Genealogical Society
410 2 _ Ballard-Carlisle Historical-Genealogical Society
Exercise 3

110 1 _ United States. $b Office of the Under Secretary of Defense, Acquisition
410 1 _ United States. $b Office of the Under Secretary of Defense for Acquisition
410 1 _ United States. $b Under Secretary of Defense, Acquisition
410 1 _ United States. $b Office of the Under Secretary of Defense (Acquisition)

Exercise 4

100 1 _ Torrealba Ramos, Isabel
400 1 _ Ramos, Isabel Torrealba
400 1 _ Torrealba-Ramos, Isabel
400 1 _ Torrealba-Ramos, Isabel Teresa
Exercise 5

151 _ _ San Jose (Calif.)
451 _ _ San José (Calif.)
451 _ _ City of San José (Calif.)
451 _ _ City of San Jose (Calif.)

FRBR

Text available in print or at:

FRAD & FRSAD

Text available in print.
http://www.ifla.org/publications/ifla-series-on-bibliographic-control-34

FRSAD Final Report:

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FRBR

- A conceptual model of the bibliographic universe
- Based on the entity-relationship model developed for databases
Entity-Relationship Model

- **Entity**: Something that can be distinctly identified.
- **Relationship**: An association between two or more entities.
- **Attribute**: A characteristic that may identify instances of entities or relationships.

Entity-Relationship Diagramming

- **Entities**
- **Relationships**
- **Attributes**
Entity-Relationship Diagramming

Entity 1
  Attribute 1
  Attribute 2
  Relationship
  Attribute 1
  Attribute 2
Entity 2

FRBR Diagramming

Work
  is realized through
Expression
  is embodied in
Manifestation
  is exemplified by
Item
FRBR Diagramming

• \( cb_1 \) Kelmscott Press
   is the producer of →
   ← has a producer
     o \( m_1 \) the 1891 publication of *Poems by the Way* by William Morris
     o \( m_2 \) the 1892 publication of *The Recuyell of the Historyes of Troye* by Raoul Lefevre.
     o \( m_3 \) the 1896 publication of *The Works of Geoffrey Chaucer*

FRBR Entities

• Group 1: The products of intellectual or artistic endeavor. Sometimes called “the primary entities.”
  – **Work**: a distinct intellectual or artistic creation
  – **Expression**: the intellectual or artistic realization of a work in some form (e.g. alpha-numeric, musical notation)
  – **Manifestation**: the physical embodiment of an expression (e.g. a print publication)
  – **Item**: a copy of a manifestation
FRBR Entities

• Group 1 ("Primary entities")
  – Work
    • Gone with the wind
  – Expression
    • Original English text of Gone with the wind
    • German translation of Gone with the wind
  – Manifestation
    • 1936 publication by Macmillan
    • 2006 publication by Scribner
    • 1937 publication of German translation by Bertelsmann
  – Item
    • 1 of five Library copies of 1936 publication (barcode 31197011774061)
    • Library copy of 2006 publication (barcode 31197226590575)
    • Library copy of 1937 publication (barcode 31197222656115)

FRBR Relationships (Group 1)

Work
  realized through
  Expression
    embodied in
  Manifestation
      exemplified by
  Item
FRBR Relationships

Work-to-work relationships

Derivative relationship

Work: Gone with the wind (Novel) — adapted as / adaptation of — Work: Gone with the wind (Movie)

Descriptive relationships

Work: Vanity Fair — described in / description of — Work: Vanity fair and Gone with the wind: a critical comparison

FRBR/FRAD Entities

• Group 2: entities responsible for Group 1 entities
  – Person
  – Family
  – Corporate body
FRBR Entities

- **Group 2**
  - **Person**
    - Margaret Mitchell
    - Claude Debussy
    - George W. Bush
  - **Corporate body**
    - British Library
    - Ikea A/S
  - **Family**
    - Jin (Dynasty: 265-420)
    - Peale (Family: Peale, Norman Vincent, 1898-1993)
    - Yan (Family: China)
    - Yan (Family: Philippines)

FRBR Relationships (Groups 1-2)

- **Work: Gone with the wind**
  - created by
  - realized through
- **Expression: 1st English Expression**
  - has a translation
- **Expression: 1st German expression**
- **Person: Margaret Mitchell**
  - translated by
- **Person: Martin Beheim-Schwarzbach**
FRBR Entities

• Group 3: entities that can be subjects of works
  – Any group 1 or group 2 entity, and
  – Concept
  – Object
  – Event
  – Place

FRBR Entities

• Group 3 (subjects)
  – All entities in Groups 1 and 2
  – Concept
  – Object
  – Event
  – Place

  - Stone age
  - Granite
  - French language
  - Horses
  - Vesuvius (Italy) — Eruption, 79
  - Olympic Games (29th : 2008 : Beijing, China)
  - Salt Lake City (Utah)
  - Biscay, Bay of (France and Spain)
FRBR Group 3 Relationships

Work: Gone with the wind

created by
Person: Margaret Mitchell

has a subject

has a genre

Concept: Georgia—History—Civil War, 1861-1865—Fiction

Person: O'Hara, Scarlett — Fiction

Concept: War stories

Concept: Historical fiction

FRBR/RDA Attributes

• FRBR, a *model*, defines attributes, but does not tell us how to record the data
• RDA, a *cataloging code*, defines attributes and does tell us how to record the data
Attributes of Person in RDA

Person Entity Attributes

Person (Margaret Mitchell)

- Preferred name: Mitchell, Margaret
- Fuller form of (fore)name: Margaret Munnerlyn
- Variant name: Marsh, John Robert, Mrs.
- Date of birth: 1900 November 8
- Date of death: 1949 August 16
- Gender: Females
- Place of birth: Atlanta, Ga.
- Language of the person: English
Person Entity Attributes (MARC)

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>046</td>
<td>$f 1900-11-08 $g 1949-08-16 $2 edtf</td>
</tr>
<tr>
<td>100</td>
<td>1_ Mitchell, Margaret, $d 1900-1949</td>
</tr>
<tr>
<td>400</td>
<td>1_ Marsh, John Robert, $c Mrs., $d 1900-1949</td>
</tr>
<tr>
<td>370</td>
<td>Atlanta (Ga.) $2 naf</td>
</tr>
<tr>
<td>375</td>
<td>Females $2 lcidgt</td>
</tr>
<tr>
<td>377</td>
<td>eng</td>
</tr>
<tr>
<td>378</td>
<td>$q Margaret Munnerlyn</td>
</tr>
</tbody>
</table>

Attributes of Work in RDA
Work Entity Attributes

Work (Gone with the wind)

- Preferred title: Gone with the wind
- Variant title: GWTW
- Form of work: Novel; Romance fiction
- Date of work: 1936
- History of the work: Gone with the wind is a romance novel by Margaret Mitchell first published in May 1936; it won the Pulitzer Prize in 1937.

Work Entity Attributes (Current MARC Practice)

046 $k 1936 $2 edtf
100 1_ ... $t Gone with the wind
380 Novels $a Romance fiction $a Historical fiction $2 lcgft
678 Gone with the wind is a romance novel by Margaret Mitchell first published in May 1936; it won the Pulitzer Prize in 1937.
Entity-Relationship Linking

Work: Gone with the wind created by Person: Margaret Mitchell

Linking in MARC

Authority Record for the Work Entity
046 $h 1936 $2 edtf
100 1_ Mitchell, Margaret, $d 1900-1949. $t Gone with the wind
380 Novels $a Romance fiction $a Historical fiction $2 lcgft
678 Gone with the wind is a romance novel by Margaret Mitchell first published in May 1936; it won the Pulitzer Prize in 1937.

Authority record for the Person Entity
046 $f 1900-11-08 $g 1949-08-16 $2 edtf
100 1_ Mitchell, Margaret, $d 1900-1949
400 1_ Marsh, John Robert, $c Mrs., $d 1900-1949
370 Atlanta (Ga.) $2 naf
375 Females $2 lddt
377 eng
378 $q Margaret Munnerlyn
FRBR/FRAD User Tasks

- Find
- Identify
- Select
- Obtain
- Contextualize
- Justify

The MARC Authority Format

In NACO practice descriptions of persons, families, corporate bodies, works, and expressions are created in the MARC Authority Format.
MARC Authority Structure

• Fields
  – Fields are divisions of the record
  – Tag
    • 3-digit number naming the field
  – Indicators
    • Two characters giving handling instructions for the field
  – Subfields
    • Division of the field into different types of data

MARC Authority Structure

• 0XX – control fields, standard numbers, etc.
• 1XX – the authorized access point (only one allowed)
• 3XX – where most of the RDA entity attributes are recorded
• 4XX – variant access points
• 5XX – links to related entities
• 6XX – notes and series treatment
MARC Authority Structure

- X00 – Persons and Families
  - Also works or expressions with a person or family as creator
- X10 – Corporate bodies
  - Also works or expressions with a corporate body as creator
- X11 – Meetings, events, expeditions, etc.
  - Also works or expressions with a meeting (etc.) as creator
- X30 – Works or expressions without an explicit creator
- X51 – Geographic entities

MARC Authority Structure: Quiz

___ = authorized access point for a person
___ = variant access point for a corporate body
___ = link to a related meeting (etc.)
___ = variant access point (lacking an explicit creator) for a work or expression
___ = authorized access point for a geographic entity
MARC Authority Structure: Quiz

- authorized access point for a person
- variant access point for a corporate body
- link to a related meeting (etc.)
- variant access point (lacking an explicit creator) for a work or expression
- authorized access point for a geographic entity

00X : Control Fields

- 008/09 (OCLC Auth/Ref) – “Kind of Record”
  - a = “established heading”
  - b and c = “reference record”
- NACO catalogers will almost always code this “a”
00X : Control Fields

- 008/10 (OCLC Rules) – “Descriptive Cataloging Rules”
  - a-d = earlier rules, including AACR2
  - z = “other”
- Use “z”
00X : Control Fields

- **008/12 (OCLC Series)** — “Type of series”
  - a = Monographic series
  - b = Multipart item
  - c = Series-like phrase
  - n = Not applicable

- **008/13 (OCLC Ser num)** — “Numbered or unnumbered series”
  - a = Numbered
  - b = Unnumbered
  - c = Numbering varies
  - n = Not applicable

- **008/16 (OCLC Ser use)** — “Heading use – series added entry”
  - a = Appropriate
  - b = Not appropriate
00X : Control Fields

- **008/14 (OCLC Name use)** – “Heading use – main or added entry” (1XX/7XX in bib record)
  - a = Appropriate
  - b = Not appropriate

- **008/15 (OCLC Subj use)** – “Heading use – subject added entry” (6XX in bib record)
  - a = Appropriate
  - b = Not appropriate
00X : Control Fields

- **008/29 (OCLC Ref status)** – “Reference evaluation”
  - a = 4XX or 5XX fields present in the record
  - b = Includes 4XX fields that are not “evaluated”
  - n = no 4XX or 5XX fields present in the record

- Because guidelines for evaluation of non-Roman script references have not yet been established, use “b” if non-Latin script 4XX fields are present
00X : Control Fields

- 008/32 (OCLC Name) – “Undifferentiated personal name”
  - a = Differentiated personal name
  - b = Undifferentiated personal name
  - n = Not applicable
<table>
<thead>
<tr>
<th>Type</th>
<th>z</th>
<th>Upd status</th>
<th>a</th>
<th>Enc lvl</th>
<th>n</th>
<th>Source</th>
</tr>
</thead>
<tbody>
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<td>b</td>
<td>Mod rec</td>
<td>n</td>
<td>Name use</td>
</tr>
<tr>
<td>Gov/t ag</td>
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<td>a</td>
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<td>a</td>
<td>Geo subd</td>
<td>n</td>
<td>Ser use</td>
</tr>
<tr>
<td>Ser num</td>
<td>n</td>
<td>Name</td>
<td>b</td>
<td>Subd tp</td>
<td>n</td>
<td>Rules</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Type</th>
<th>z</th>
<th>Upd status</th>
<th>a</th>
<th>Enc lvl</th>
<th>n</th>
<th>Source</th>
</tr>
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<tbody>
<tr>
<td>Roman</td>
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<td>Mod rec</td>
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<td>Name use</td>
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<td>Subj</td>
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<td>n</td>
<td>Auth ref</td>
<td>a</td>
<td>Geo subd</td>
<td>n</td>
<td>Ser use</td>
</tr>
<tr>
<td>Ser num</td>
<td>n</td>
<td>Name</td>
<td>b</td>
<td>Subd tp</td>
<td>n</td>
<td>Rules</td>
</tr>
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</table>

- Module 1. Foundations

<table>
<thead>
<tr>
<th>Date</th>
<th>1/17/2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Page</td>
<td>78</td>
</tr>
</tbody>
</table>

- Module 1. Foundations
00X : Control Fields

- 008/33 (OCLC Auth status) – “Level of establishment”
  - a = Fully established
  - c = Provisional
<table>
<thead>
<tr>
<th>Record</th>
<th>Entered</th>
<th>Replaced</th>
</tr>
</thead>
<tbody>
<tr>
<td>Module 1. Foundations</td>
<td>159</td>
<td></td>
</tr>
<tr>
<td>Type</td>
<td>Used status</td>
<td>Entry n</td>
</tr>
<tr>
<td>Type</td>
<td>Used status</td>
<td>Entry n</td>
</tr>
<tr>
<td>Context</td>
<td>Auth status</td>
<td>Subj a</td>
</tr>
<tr>
<td>Sense</td>
<td>Auth status</td>
<td>Gen subj n</td>
</tr>
<tr>
<td>Term</td>
<td>Name</td>
<td>Subj v a</td>
</tr>
<tr>
<td>Sense</td>
<td>Auth status</td>
<td>Rules z</td>
</tr>
</tbody>
</table>

**Record 1**
- 010: n 81647097
- 040: DLC-ON.0.4-0.4
- 048: "1999-04-26" 2015-03-12 2e ed
- 052: 0 PRB065.R24
- 060: t Preach, Terry
- 369: ed 9th
- 368: en English #2 lodgt
- 370: Beacon (England) #6 Broad Chalk (England) #6 England #6 Great Britain #6 Salisbury (England) #2 nef
- 372: Fantasy fiction #6 Science fiction #6 Humorous fiction #2 Igt
- 374: Authors #6 lodgt
- 375: Males #2 lodgt
- 377: eng

**Record 2**
- 010: no2001007615
- 040: DLC-ON.0.4-0.4
- 110: 1 Mongolia: #6 Ministry of Infrastructure
- 369: 4 Executive departments #2 Igt
- 370: en Mongolia #2 nef
- 372: Infrastructure (Economical) #6 Mongolia #2 Igt
- 410: 1 Mongolia: #6 Infrastructure, Ministry of
- 667: Coded provisional because unable to establish in the vernacular.
- 670: Mongolia in the steppes of Genghis Khan. 1939: #6 cover (Ministry of Infrastructure, Mongolia)
00X : Control Fields

- 008/39 (OCLC Source) – “Cataloging source”
  - blank = National bibliographic agency
  - c = Cooperative cataloging program
- Most NACO catalogers will code this “c”
01X-09X : Code Fields

- 010 – Library of Congress Control Number
  - added automatically in OCLC
- 024 – Other standard identifier
  - moratorium on adding at the present time
- 040 – Cataloging source
  - always include “$e rda” immediately after “$b eng”
01X-09X : Code Fields

• 024 – Other standard identifier

  First indicator:
  7 - Source specified in subfield $2
  8 - Unspecified type of standard number or code

  Subfields:
  $a - Standard number or code (NR)
  $0 - Authority record control number or standard number (NR)
  $1 - Real World Object URI (NR)
  $2 - Source (NR)

  – Code $2 from Standard Identifier Source Codes
  – Consult DCM Z1 024 for guidance and instructions
  – Currently moratorium on adding this field
### 01X-09X : Code Fields

- **046** – Special Coded Dates
  - $f$ Birth date
  - $g$ Death date
  - $k$ Beginning or single date created
  - $l$ Ending date created
  - $o$ Single or starting date for aggregated content
  - $p$ Ending date for aggregated content
  - $q$ Establishment date  
    - [PCC has not yet implemented]
  - $r$ Termination date  
    - [PCC has not yet implemented]
  - $s$ Start period
  - $t$ End period
  - $u$ Uniform Resource Identifier
  - $v$ Source of information
  - $2$ Source of date scheme
## 01X-09X : Code Fields

### 046 – Special Coded Dates

- Record dates using Extended Date/Time Format (EDTF) in all cases except for century dates.
- See: [https://www.loc.gov/standards/datetime/](https://www.loc.gov/standards/datetime/)
- Use pattern yyyy or yyyy-mm or yyyy-mm-dd
- Include $2 edtf

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012 $2 edtf</td>
<td>2012</td>
</tr>
<tr>
<td>2012-01 $2 edtf</td>
<td>2012 January</td>
</tr>
<tr>
<td>2012-01-13 $2 edtf</td>
<td>2012 January 13</td>
</tr>
<tr>
<td>1855? $2 edtf</td>
<td>probably 1855</td>
</tr>
<tr>
<td>[1930,1931] $2 edtf</td>
<td>1930 or 1931</td>
</tr>
<tr>
<td>1957~ $2 edtf</td>
<td>approximately 1957</td>
</tr>
</tbody>
</table>

---

### Dates earlier than 1000 A.D. (except for centuries):
- Record year as four digits (use leading zeros as needed)
- Precede B.C. dates with a minus sign and subtract one year (because there was no “Year Zero”)

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0951 $2 edtf</td>
<td>951 A.D.</td>
</tr>
<tr>
<td>0031~ $2 edtf</td>
<td>approximately 31 A.D.</td>
</tr>
<tr>
<td>0006 $2 edtf</td>
<td>6 A.D.</td>
</tr>
<tr>
<td>-0360 $2 edtf</td>
<td>361 B.C.</td>
</tr>
<tr>
<td>-0035? $2 edtf</td>
<td>probably 36 B.C.</td>
</tr>
</tbody>
</table>
01X-09X : Code Fields

- **046 – Special Coded Dates**
  - Century dates:
    - Follow the ISO 8601 standard (not EDTF)
    - Record century as two digits following this pattern:
      - 19 = all “19XX” years = 20th century
    - Use leading zeros as needed
    - Precede a B.C. century date with a minus sign
    - Do not include a $2 source code

<table>
<thead>
<tr>
<th>Century</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>1st century</td>
</tr>
<tr>
<td>09</td>
<td>10th century</td>
</tr>
<tr>
<td>20</td>
<td>21st century</td>
</tr>
<tr>
<td>-00</td>
<td>1st century B.C.</td>
</tr>
<tr>
<td>-04</td>
<td>5th century B.C.</td>
</tr>
</tbody>
</table>

Module 1. Foundations 173

| Rec. stat | 01X-09X : Code Fields | 173 | Module 1. Foundations 174 | 1/17/2020 | 87 |
053: Local Classification Number

• NACO libraries may add local classification numbers for literary authors classified in PA-PT that do not use successive cutter numbers

• Do not add for literary authors:
  – Whose name has changed significantly due to changes in cataloging rules, marital status, etc.
  – Born before 1925
  – Who have pseudonyms or joint pseudonyms, regardless of date of birth

• Use second indicator “4” with MARC institution code in subfield $5
  053 _4 [number] $5 [MARC institution code]

  *Example:*
  053 _4 PS3556.O554 $5 NNC
  100 1_ Fontenot, Scott Michael, $d 1968-

• No limit to the number of local assigned numbers

• Field 053 is repeatable for authors who write in more than one language
Record with 053s

<table>
<thead>
<tr>
<th>010</th>
<th>S 81816312</th>
</tr>
</thead>
<tbody>
<tr>
<td>020</td>
<td>DLC / eng</td>
</tr>
<tr>
<td>003</td>
<td>0</td>
</tr>
<tr>
<td>003</td>
<td>0</td>
</tr>
<tr>
<td>100</td>
<td>Nabokov, Vladimir Vladimirovich b: 1899-1977</td>
</tr>
<tr>
<td>400</td>
<td>Silin, Vladimir, td 1899-1977</td>
</tr>
<tr>
<td>400</td>
<td>Silin, Vitalii Ivanovich b: 1899-1977</td>
</tr>
<tr>
<td>400</td>
<td>Silin, V. Ivanovich b: 1899-1977</td>
</tr>
<tr>
<td>400</td>
<td>Nabokov-Silin, Vladimir, td 1899-1977</td>
</tr>
<tr>
<td>400</td>
<td>Silin, Vladimir Nabokov, td 1899-1977</td>
</tr>
<tr>
<td>500</td>
<td>Godunov-Cherdyntsev’s, Fedor</td>
</tr>
<tr>
<td>670</td>
<td>Authors: (1) Czerniak, Stanislaw; (2) Czerniak, Stanislaw; (3) Czerniak, Stanislaw</td>
</tr>
<tr>
<td>670</td>
<td>His Lectures on Don Quixote, 1964, c.1965; in CIF tp. (Vladimir Nabokov)</td>
</tr>
<tr>
<td>670</td>
<td>His Silin, 1994; 4b cover (Fedor Godunov-Cherdyntsev’s)</td>
</tr>
</tbody>
</table>

065: Other Classification Number

- May be used by Canadian agencies for class PS8000 numbers for Canadian literary authors
- Use $2 fcps to indicate the source of the number
- Use $5 to indicate the institution to which the field applies
- Example: 065 ## PS8603.A593 $2 fcps $5 CaQMG
- An NAR for a Canadian literary author may contain both 053 and 065 fields
1XX: Authorized Access Point

- 100 1_ = Surname formatted in inverted order (Surname, Forename) or a name without forename(s) which is known to be a surname
- 100 0_ = Forename or a name consisting of words, phrases, initials, separate letters, or numerals that are formatted in direct order
- 100 3_ = Family
- 110 1_ = Corporate body (jurisdiction)
- 110 2_ = Corporate body (non-jurisdiction)
- 111 2_ = Meeting (etc.)
- 130 _0 = Work/Expression with no explicit creator
- 151 = Geographical entity

At a minimum, includes the preferred name of the entity
May also include cataloger-added elements, such as dates, qualifiers
3XX: RDA Elements

- 370 – Associated Place
  - $a – Place of birth
  - $b – Place of death
  - $c – Associated country
  - $e – Place of residence/headquarters
  - $f – Other associated place
  - $g – Place of origin of work or expression
  - $i – Relationship information
  - $s – Start period
  - $t – End period
  - $2 – Source of term
  - $3 – Materials specified
  - $4 – Relationship
Recording the Place Attribute
(1XX, 4XX, 5XX)

• The form of the place name is governed by RDA Chapter 16.

• Authorized access points for jurisdictional place names are generally formed as in AACR2, e.g. “Paris (France)” However:

  • 16.2.2.4. Precede the name of the larger place by a comma when the place name is used as a place associated with an entity -- e.g. “Paris, France”

• But, following PCC policy, record the authorized access point in 370, not the 16.2.2.4 form

Recording the Place Attribute (370)

• Use authorized access point form if already exists

• Do not use the abbreviated form for place names found in the Appendix B.11 (Names of Certain Countries, States, Provinces, Territories, Etc.)

• Retain terms of jurisdiction or other designations

  Russia (Federation) not Russia
  Korea (South) not Korea
  Buenos Aires (Argentina : Province) not Buenos Aires, Argentina
  Prussia (Duchy) not Prussia
  Prussia (Kingdom) not Prussia
Exercise: Recording the Place Attribute (370)

• These RDA forms are all found in the authority file. What form would you use to record the attribute?

London (England) Mexico City (Mexico)
Austin (Tex.) Ontario (Calif.)
Arizona Washington (D.C.)
United States Auckland (N.Z.)
France Puerto Rico
Brentwood (Los Angeles, Calif.)

Recording the Place Attribute (370): Jurisdictions

370 London (England) $2 naf [birthplace]
370 $b Mexico City (Mexico) $2 naf [death place]
370 $e Austin (Tex.) $2 naf [place of headquarters]
370 $f Ontario (Calif.) $2 naf [other associated place]
370 Arizona $2 naf [birthplace]
370 $b Washington (D.C.) $2 naf [death place]
370 $b United States $2 naf [death place]
370 Auckland (N.Z.) $b Puerto Rico $c France $2 naf
    [birthplace, death place, associated country]
370 $e Brentwood (Los Angeles, Calif.) [place of residence]
Recording the Place Attribute (370): Non-jurisdictions

For non-jurisdictions, prefer names from an authorized vocabulary such as LCSH. Record them exactly as established and include $2 for the source of the term(s).

370 Cache Valley (Utah and Idaho) $2 lcsh [birthplace]
370 $b Pompeii (Extinct city) $2 lcsh [death place]
370 $f Tahoe, Lake (Calif. and Nev.) $2 lcsh [other associated place]
370 $e Southeastern United States $2 mesh [place of residence]
370 $e California--Santa Catalina Island $2 fast [place of residence]

Do not mix NAF terms and terms from other sources in the same 370 field. If you need to use both, record them in separate fields.

370 Long Island (N.Y.) $2 lcsh [birthplace]
370 $e New York (N.Y.) $2 naf [place of residence]
3XX: RDA Elements

- 377 – Associated language
  - $a Language code
  - $l Language term
  - $2 Source of code (not required if a MARC language code is used; required if a different code list is used)

- NACO: Use the MARC language code
  
  http://www.loc.gov/marc/languages/langhome.html

  377 eng

  - In addition, may supply an additional 377 field from another language code list (most useful when MARC only has a collective code for a language group and another list has a specific code)

- Do not record a language term ($l) unless the code is a collective code

377 nic $l Abidji

<table>
<thead>
<tr>
<th>Rec Code</th>
<th>c</th>
<th>Entered</th>
<th>Replaced</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>610</td>
<td>n</td>
<td>81047837</td>
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<td></td>
</tr>
</tbody>
</table>
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4XX: Variant Access Point

- **400 1_** = Surname formatted in inverted order (Surname, Forename) or a name without forename(s) which is known to be a surname
- **400 0_** = Forename or a name consisting of words, phrases, initials, separate letters, or numerals that are formatted in direct order
- **400 3_** = Family
- **410 1_** = Corporate body (jurisdiction)
- **410 2_** = Corporate body (non-jurisdiction)
- **411 2_** = Meeting (etc.)
- **430 _0** = Work/Expression with no explicit creator
- **451** = Geographical entity
4XX: Variant Access Point

- At a minimum, includes a name of the entity
- May also include cataloger-added elements, such as dates, qualifiers
- In NACO practice, variant access points may conflict with variant access points in other name authority records. They may not conflict with any authorized access point.
4XX or 5XX Subfield $w

- Subfield $w is a control subfield that may be used with 4XX or 5XX to indicate some special instruction about the field
- It includes four positions (numbered 0-3), each with a particular meaning and available codes
- The meaning is dependent on character position. If a position is coded, all preceding positions must be coded as well (if only with “n” for not applicable). Succeeding positions, if not needed, do not need to be coded.
- Subfield $w comes at the very beginning of the field.

4XX or 5XX Subfield $w

- Coding information is found in MARC 21 Format for Authority Data
4XX Subfield $w

• The third and fourth positions (positions “2” and “3”) may be used with 4XX
• Position 2 indicates that the form in 4XX is a previously authorized form, either pre-AACR2 (coded “a”) or AACR2 or RDA (coded “e”)
• Because positions 0 and 1 are not used, they are coded “n”

100 1_ Jenner, Caitlyn, $d 1949-
400 1_ $w nne $a Jenner, Bruce, $d 1949-

Form previously authorized under RDA remains an appropriate variant access point

100 1_ Joad, C. E. M. $q (Cyril Edwin Mitchinson), $d 1891-1953
400 1_ $w nna $a Joad, Cyril Edwin Mitchinson, $d 1891-1953

Form previously authorized before AACR2 based on 1949 ALA cataloging rules remains appropriate as an RDA variant access point.
4XX Subfield $w

• Position 3 indicates that the form in 4XX should not display

100 1_ Previn, André, $d 1929-2019. $t Quintets, $m clarinet, violins (2), viola, cello

400 1_ $w nnea $a Previn, André, $d 1929- $t Quintet, $m clarinet, violins, viola, violoncello

- The previously-authorized AACR2 form (“nnea”) is coded not to display (“nnea”) because the medium of performance terms are not appropriate in RDA

- Note that the previous form is not changed in any way, including the addition of the death date to the authorized access point for Previn, which was not part of the access point when previously authorized.

4XX Subfield $w

• Position 3 indicates that the form in 4XX should not display

110 2_ E.I. du Pont de Nemours & Company

410 0_ $w nnaa $a Du Pont de Nemours (E. I.) and Company

- The previously-authorized pre-AACR2 form (“nna”) is coded not to display (“nna”) because the inverted form is not based on usage and is not appropriate in RDA.

- Note that the previous form is not changed in any way, including the coding of the first indicator 0 for inverted name, a coding that has never been used in AACR2 or RDA.
5XX : Links to Related Entities

- 500 1_ = Surname formatted in inverted order (Surname, Forename) or a name without forename(s) which is known to be a surname
- 500 0_ = Forename or a name consisting of words, phrases, initials, separate letters, or numerals that are formatted in direct order
- 500 3_ = Family
- 510 1_ = Corporate body (jurisdiction)
- 510 2_ = Corporate body (non-jurisdiction)
- 511 2_ = Meeting (etc.)
- 530 _0 = Work/Expression with no explicit creator
- 551 = Geographical entity

5XX Subfield $w

- Subfield $w is used in 5XX in two situations
  - To encode relationships (position 0)
  - To suppress related entity access points (position 3)
5XX Subfield $w (Relationships)

- Subfield $w position 0
  a = earlier heading
  b = later heading
  r = relationship indicated in subfield $i

- Most NACO authority work codes this position “r” but “a” or “b” are still used to indicate relationship between earlier and later names of jurisdictional places, and earlier and later names of families.

5XX Subfield $w (Relationships)

- Family – use code “a” or “b” for earlier/later
  100 3_ Mountbatten (Family : $d 1917- : $c Great Britain)
  500 3_ $w a $a Battenberg (Family : $d -1917 : $c Great Britain)

- Place – use code “a” or “b” for earlier/later
  151 Eswatini
  551 $w a $a Swaziland

- All other entity relationships – use code “r”+relationship designator in subfield $i
  130 _0 Annie Hall (Motion picture)
  500 1_ $w r $i Film director: $a Allen, Woody, $d 1935-
5XX Subfield $w (Suppression)

- Subfield $w position 3
  - Used when more than two bibliographic identities are linked
  - Code “c” = reference not displayed, field 663 used instead to explain the relationship. This is intended to suppress the 500 fields from display in the index.

- 100 1_ Carr, John Dickson, $d 1906-1977
- 500 1_ $w nnnc $a Dickson, Carter, $d 1906-1977
- 500 1_ $w nnnc $a Dickson, Carr, $d 1906-1977
- 500 1_ $w nnnc $a Fairbairn, Roger, $d 1906-1977
- 663 For works of this author entered under other names, search also under $b Dickson, Carr, 1906-1977 $b Dickson, Carter, 1906-1977 $b Fairbairn, Roger, 1906-1977

For full information about dealing with multiple bibliographic identities, see “Related Persons” in Module 2.

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PCC Guidelines

PCC Guidelines for the Application of Relationship Designators in NAAC Authority Records

created by
The Joint PCC Standing Committee on Standards and Standing Committee on Training
Task Group on Guidelines for Relationship Designators in Authority Records

Chai Nauier Chew
Kelley McGrath
George Prager
Isabel Quintana
Adam Schiff
Robert Manville, chair

November 2018

https://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/Post-RDA-Implementation-Guidelines.html

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The link is created by recording the exact form of the authorized access point of another entity.

An authority record for the other entity must exist in the LC/NACO Authority File.

A corresponding link may or may not exist in the other record.

Because there are many different kinds of possible relationships, the use of relationship designators to specify the nature of the relationship is encouraged.

If the exact nature of the relationship is unknown or no relationship designator is available to describe it, a simple see also reference may be made (5XX with no $w or $i).

Record the designator in subfield $i, before the authorized access point.

Include subfield $w r.

Capitalize the designator and follow with a colon.

511 2_ $w r $i Corporate body: $a Lewis and Clark Expedition $d (1804-1806)
[related entity to the person named Meriwether Lewis]
5XX : Links to Related Entities
Relationship Designators

• Designators for relationships between persons/families/corporate bodies and other persons/families/corporate bodies are drawn from RDA Appendix K
• Designators for relationships between works/expressions and other works/expressions are drawn from RDA Appendix J
• Designators for relationships between persons/families/corporate bodies and works/expressions are drawn from RDA Appendix I
• Designators for relationships between works and subjects are drawn from RDA Appendix M2.2-M 2.3.
• PCC policy: relationships of any kind, including subject relationships, may only be made to entities within the LC/NACO Authority File
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100 1 Alden, Isabella MacDonald, "MRS. G. R. Alden", c. 1841.
100 0 Provenance: Altemani identity + Parry, c. 1841-1850

670 2 Alden, G. R., c. 1841-1850, references from Alden, Isabella MacDonald, c. 1841-1850, and from Alden, G. R., c. 1841-1850

670 2 Alden, Isabella MacDonald, "MRS. G. R. Alden", c. 1841-

670 2 Alden, Isabella MacDonald, "MRS. G. R. Alden", November 3, 1841-August 5, 1930, was an American author, writing under the pseudonym of Parry, born in Rochester, New York, her husband, Reverend Gustaous Rosenberg Alden, from 1865 to 1869, Alden
<table>
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<th>Entered</th>
<th>Replaced</th>
<th>Type</th>
<th>Udp status</th>
<th>Rmnr</th>
<th>Fld</th>
<th>Auth status</th>
<th>Source</th>
<th>Ser num</th>
<th>Name use</th>
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<tbody>
<tr>
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<td>207164560</td>
<td>Z</td>
<td>a</td>
<td>c</td>
<td>n</td>
<td>a</td>
<td>c</td>
<td>a</td>
<td>a</td>
<td>a</td>
<td>a</td>
<td>z</td>
</tr>
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<td>040</td>
<td>1924-1926</td>
<td>1924-1926</td>
<td>3/20</td>
<td>United States</td>
<td>a</td>
<td>n</td>
<td>Natchez (Miss.)</td>
<td>a</td>
<td>2021/2/2/5/19</td>
<td>207164560</td>
<td>Z</td>
<td>a</td>
<td>c</td>
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<tr>
<td>100</td>
<td>1924-1926</td>
<td>1924-1926</td>
<td>3/30</td>
<td>Marge Baroni</td>
<td>Ruching</td>
<td>Ruching</td>
<td>Family</td>
<td>Natchez, Miss.</td>
<td>a</td>
<td>1924-1926</td>
<td>1924-1926</td>
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<td>a</td>
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**Module 1. Foundations**

108
<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
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</thead>
<tbody>
<tr>
<td>Title</td>
<td>Gone with the Wind</td>
</tr>
<tr>
<td>Type</td>
<td>Motion picture adaptation of work</td>
</tr>
<tr>
<td>Author</td>
<td>Mitchell, Margaret</td>
</tr>
<tr>
<td>Date</td>
<td>1939</td>
</tr>
</tbody>
</table>

*Note: The page contains a table and a text box, but the content of these is not directly transcribed into plain text.*
6XX: Notes

• 667: Cataloguer’s note (RDA 5.9, 8.13)
• Intended for other catalogers, not for the public
• Free text, no required format, although there are some commonly used phrases
• DCM Z1 has a selection of representative examples
6XX: Notes

- 670: Source consulted (RDA 5.8, 8.12)
- Records sources of information used to record other elements in the description
- Use one 670 per source
- In NACO practice the first is generally the resource being cataloged when the authority record is first created
- Suggested format:

  670 Title proper, date: $b location within source (data found)
6XX: Notes

• Alternately, 3XX $u / $v can be used to record the Source Consulted element. However:
  • In PCC practice, information used to create the authorized access point (1XX) or variant access points (4XX) must be recorded in 670(s).
  • $v may be used alone; $u must always be preceded by $v

100 1 _  Antonelli, Lou, $d 1957-
370  Medford (Mass.) $e Mount Pleasant (Tex.) $2 naf
$ v Lou Antonelli website, viewed March 19, 2015
$ u http://www.louantonelli.blogspot.com/

6XX: Notes

• 675 – Source data not found
  – Citation for a consulted source in which no information is found related in any manner to the entity represented by the authority record or related entities
  – Always cite the resource being cataloged if it provides no information related to the entity when the authority record is first created
  – Use with discretion – it is not necessary to cite every source you searched. Use as a time saver for others by citing sources you think other catalogers might attempt to search
6XX: Notes

• 675 – Source data not found
  – Not repeatable
  – Only subfield $a$ available
  – Repeat subfield $a$ for each source
  – Separate each subfield $a$ by a semicolon

675  $a$ GNIS, 2 February 2013; $a$ The Columbia gazetteer of the world, 1998
6XX: Notes

- 672 – Title Related to the Entity
  - Subfield $a = Title$
  - Subfield $b = Remainder of title$
  - Subfield $f = Date$
  - Subfield $w = Bibliographic record control number

- 673 – Title Not Related to the Entity

- Optional, but useful when there might be confusion about who is the creator of similar works by authors with the same name

- See MARC 21 and DCM Z1 for detailed guidance
6XX: Notes

• 678 – Biographical or Historical Data (RDA 6.7, 9.17, 10.8, 11.11)
  – Record a brief statement about the person, family, corporate body, or work. This is entirely free text, in your own words, based on all the sources you have consulted
  – Intended to be read by the public
  – Recommended format
    • [Entity’s name in direct order] ([dates if available]) was/is a … [describe the entity]
Woolsey Hole Mill is a papermaker in Somerset, England. It has been in operation since the early 1000s.

The Last Supper is a mural painting depicting the Last Supper as told in the Gospel of John. It was begun about 1495 and completed in 1499 by Leonardo da Vinci in the monastery of Santa Maria delle Grazie in Milan, Italy.
Module 1: NACO Foundations

Questions?