Choice and Form of Access Points

Access Points: Two Aspects
1. Choice is decision about what access points are needed
2. Form is decision about the authorized form in which they will be made. Crucial aspect of authority control

AACR2R, part 2: Rules for Choice and Form of Entry
21. Choice
22. Headings for persons
23. Geographic names
24. Corporate bodies
25. Uniform titles
26. References

Choice of Access Points
• Chapter 21 of AACR2 is concerned with how to choose the elements of a description that will be made searchable – AKA “Access Points”
• General Rule
  – 21.1A -- Personal authorship -- enter works by one or more persons under the heading for personal author.
  – 21.1B2 -- Corporate Body -- may be chosen as the main entry for an item if it falls into one or more of 6 categories.

Choice of Access Points
• A large part of the bibliographic record is a description of the work. From titles to notes, the eight areas will be included (as applicable) in this description
• No matter how well this description is done, however, it will not by itself enable the library patron to find the item in the catalog or on the shelf.
• Access points (entries by which a patron can search the bibliographic record) must be used for that purpose
• The phrases “choice of access points” or “choice of entry” refer to the task of selecting the headings under which the bibliographic description is to be entered in a catalog. The process involves selecting one main entry and additional added entries for each bibliographic record

Main Entry/Added Entry
• The main entry is the primary access point to the bibliographic record. Generally speaking, the choice of main entry reflects who or what has primary responsibility for the intellectual or artistic content of the work cataloged
• All other name or title access points are referred to as added entries
• The main entry may be a personal name, a corporate body, a conference name, or a title
Current Main Entry Controversy

• In an OPAC, there is only one “card,” i.e., the record in the database, so in theory, we no longer need to distinguish main entry and added entries.
• However, author main entry continues to be convivial with print bibliographies and with the need for sorting and displaying retrieved records in an online catalog.
• RDA has reassessed

Definitions

• Personal author: Person chiefly responsible for the creation of the intellectual or artistic content of a work. A personal author is the person chiefly responsible for the creation of the intellectual or artistic content of the work. This includes writers of books, compilers of bibliographies, composers of music, etc. Artists and photographers are also considered to be the authors of the works they create. Persons responsible for compiling, collecting, editing or translating the work of others are not considered to be personal authors.

Definitions

• A corporate body is an organization or a group of people that is known by a particular name and that acts jointly. A corporate body can be responsible for the creation of the intellectual content of a work, and therefore can also be an author and chosen as the main entry for the work. Typical examples of corporate bodies are associations, institutions, business firms, nonprofit enterprises, governments, government agencies, projects, programs, religious bodies, local churches, and conferences.

Definitions

• Conference: A specific type of corporate body. Meetings of individuals or representatives of various bodies for the purpose of discussing and/or acting on topics of common interest.
• Uniform title: Particular title by which a work is cataloged

MARC Tags

• Main Entry
  • Personal Name 100
  • Corporate Name 110
  • Meeting Name 111
  • Uniform Title 130

• Added Entry
  • Personal Name 700
  • Corporate Name 710
  • Meeting Name 711
  • Uniform Title 730

Choice of Main Entry – Author

• Main entry for person or body responsible for the intellectual content
• Catalogers use the author as main entry for works by a single author.
• For works with unknown authorship: title main entry.
• For works by multiple authors with synchronous (i.e., the same kind of) responsibility for work, then employ “rule of three:”
  – Three or few authors: First author is main entry
  – Four or more authors: Title is main entry
Choice of Main Entry – Author (cont.)

- For works by multiple authors with asynchronous (i.e., different kinds of) responsibility for work. Examples:
  - Later editions of work may have different authors
  - With certain types of information packages there may be obvious differences in author contributions
- Main entry choices in asynchronous cases:
  - Use original author as main entry for new editions of works (except if new edition is changed significantly)
  - Use original author as main entry for translated works
  - Judgment call for artist/writer relationships:
    - Art book with captions – Artist’s name is main entry
    - Art accompanies text – writer’s name is main entry

Types of Responsibilities

- Author
- Editor
- Compiler
- Sponsor
- Translator
- Illustrator
- Other
- Persons
- Corporate Bodies
- Shared responsibility
- Mixed responsibility

Main Entry for Corporate Bodies

- Enter a work emanating from one or more corporate bodies under the heading for the appropriate corporate body (main entry) if it falls into one or more of the following categories. When in doubt do not make the corporate body a main entry.
- A work emanates from a corporate body if it is issued by that body or has been caused to be issued by that body. It must also fall into one of six categories articulated in AACR2 rule 21.1B2

21.1B2 Corporate Author Categories

- a) The work deals with the body itself, such as a financial report or operations report, staff listing, or a catalog of the body’s resources.
- b) Certain legal, governmental, or religious types of works listed in the rule:
  - laws; decrees of the chief executive that have force of law; administrative regulations; constitutions; court rules; treaties, etc.; court decisions; legislative hearings; religious laws (e.g. canon law); liturgical works
- c) Those that record the collective thought of the body
  - reports of commissions or committees, official position statements, etc.
- d) Those that report the collective activity of a conference (e.g.: proceedings, collected papers), an expedition (e.g.: results of exploration, investigation), or of an event falling within the definition of a corporate body -- provided that the conference, etc. is prominently named in the item
- e) Those that result from the collective activity of a performing group as a whole where the responsibility of the group goes beyond that of mere performance, execution, etc.
  - Includes sound recordings, films, videorecordings, and written records of performances.
- f) Cartographic materials emanating from a corporate body other than a body that is merely responsible for their distribution and publication
21.1B3

- If a work falls outside the categories, treat it as if no corporate body was involved.
- Added entries are made for prominently named corporate bodies.

Conferences

- If work contains proceedings or papers from a conference and the conference is named anywhere in the item, give conference name as main entry
- Form of name for conference (24.7)
  111 2 $a Conference on Library Surveys $n (1st : $d 1999 : $c New York, NY)

Choice of Main Entry – Title

- For truly anonymous works.
- For works with more than three responsible authors with none having primary responsibility.
- For works by multiple authors that are compiled by an editor.
- For works by corporate authors.
- For works accepted as sacred scripture by a religious body

21.26 Spirit Communications

- Any guesses?

Added Entries for Titles

- Make added entry under title proper
- Make added entries for
  - Other titles on the item
    - Cover title
    - Spine title
    - Running title
    - Parallel title
  - Other edition titles
  - Titles of parts of the items
  - Series titles
  - Uniform titles
  - MARC tags 246, 730 and 740

Added Entries for Titles

- Abbreviations: make a title added entry when an abbreviation occurs as one of the first five words of the title. Use the corresponding spelled out form of the abbreviation in the added entry
- Signs and symbols, including ampersand. If a sign or symbol occurs as one of the first five words of the title proper, make an additional title added entry substituting the written form of the sign or symbol.
- Corrected titles [sic]: If the title proper has been corrected by [i.e. ...] or [sic], make an additional title added entry for the title in its corrected form. Also make an entry for the incorrect form without the [i.e. ...] or [sic].
Added Entries for Titles

- Letters and initialisms (acronyms): If a series of letters occurs as one of the first five words in a title proper and there is spacing or separating punctuation, make an additional title added entry without the spacing or punctuation.
- Numbers: When a number occurs as one of the first five words in a title proper, make an additional title added entry as follows:
  - Arabic numerals (excluding dates): Spell out the number in the language of the title proper, if it is thought that some users of the catalog might reasonably expect to search the catalog for the spelled out version.
  - Roman numerals (excluding dates): Make additional title added entries substituting arabic numerals for the roman numerals and for the spelled out form of the number in the language of the title proper.
  - Dates: Do not make additional title added entries in the spelled out form for dates representing a single year or span of years. EXCEPTION: If the dates are written in roman numerals, make a 246 substituting arabic numerals for the roman numerals.

Choice of Added Entries -- 7XX Fields

- Added entries provide access to the bibliographic description of a work supplementing the access provided by the main entry. Editors, collaborators, etc. which did not qualify as main entry, corporate sponsors and publishers are often given as added entries. Generally, an added entry is made for any person, corporate body, or title under which some users might logically think to look when trying to find the catalog record of a desired item. A list of guidelines is given below.

Choice of Added Entries : Corporate Bodies

- Make corporate added entries for the following situations:
  - Second (and third) named corporate body(s) when three corporate bodies share authorship.
  - First of four or more corporate bodies sharing authorship.
  - Non-commercial publisher when it is the only possible added entry, or when it is clear that body is involved in more than publishing the item. Do not make added entries for distributors, manufacturers or commercial publishing houses.
  - Any corporate body appearing prominently on the item that is clearly involved in the intellectual content of the work. Sponsors and corporate names at head of title are likely added entries.

Choice of Added Entries : Personal Co-authors and Other Collaborators

- Make added entries for the following situations:
  - Second (and third) personal name(s) sharing authorship.
  - One, two or three editors or the first of four or more editors.
  - One, two or three other collaborators (excluding translators) or first of four or more performing the same function.
  - One, two or three editors or compilers of a collection, or for the first of four or more.
  - First of four or more personal authors.

New Edition of a Previously Published Work

- Enter an edition that has been revised, enlarged, updated, etc., under the heading for the original edition if the person or body responsible for the original is named in a statement of responsibility or in the title. Make an added entry under the heading for the reviser, etc. In case of doubt, make the more prominent name the main entry.

- 100 1#Kroeger, Alice Bertha.
- 245 10Guide to the study and use of reference books /|cby Alice Bertha Kroeger.
- 250 3rd ed. /|brevised throughout and much enlarged by Isadore Gilbert Mudge.
- 700 1#Mudge, Isadore Gilbert.
- 100 1#Evelyn, John.
- 245 10John Evelyn's diary :|ba selection from the diary /|cedited by Philip Francis.
- 700 1#Francis, Philip.
New Edition of a Previously Published Work

- When the original author is no longer considered responsible, enter the work under the name of the person primarily responsible. Make an added entry for the original author (and title if known).
- 100 1#Mudge, Isadore Gilbert.
- 245 10Guide to reference books /|cby Isadore Gilbert Mudge.
- 250 4th ed.
- 700 1#Kroeger, Bertha.|tGuide to the study and use of reference books.

Series Added Entries

- Series “Untraced”
  - No series added entry
  - MARC tag 490 0
- Series “Traced the same” (OLD PRACTICE)
  - Series added entry in form in which the series have been transcribed in the series area
  - MARC tag 440
- Series “Traced differently” (OLD PRACTICE)
  - Series added entry is to be made, but not in form transcribed in the series area
  - MARC tag 490 1 and 8XX

Series Added Entries: New Practice

- All “traced” series now 490/8XX
- In many cases a 490 and an 830 (series title added entry) will be identical, but they serve different functions: the 490 is a descriptive field--the series as it appears on the item--and the 830 is an added entry in authorized form.

490 Indicators

- 0 Series not traced (no series added entry is desired for the series)
- 1 Series traced in 8XX field (the appropriate 800-830 field is included in the record to provide the series added entry)

Uniform Titles

- Uniform title provides the means for bringing all catalog entries for a work when various manifestations (e.g., editions, translations) of it have appeared under various titles
- Uniform titles are often used for:
  - Classic works, especially anonymous ones that appear in many editions and versions
  - Arabian nights
  - Shakespeare
  - Musical works which may have generic titles such as “Symphony,” or which may appear in different versions, some original and complete, others just arrangements or selections from the whole.
  - Religious works, such as the Bible, the Koran, or prayer books
  - Laws
  - Treaties
  - Works that have been translated into other languages

Forms of Headings: Persons

- Having decided on the choice of main/added entry, the cataloger must next settle on the accepted form of the heading under which the patron will search
- One purpose of the catalog is to bring together works by the same author under one uniform heading
- But authors change their names, take on pseudonyms, and have different spellings of their names in various languages (the composer Tchaikovsky may have over 50 spellings for his name).
- The cataloger may expect to find considerable variations in the forms in which an author’s name is given in different works, but will need to select only one for the heading
Form: Which Name?

• Overriding principle is to use the form that is commonly known to the library's users
  – Name by which a person is commonly known
    – Guiding principle from Panizzi forward, viewed differently in each application.
    – From Cutter through ALA 1949 determined to be name as found in reference sources
    – In AACR2 determined to be name as found on chief sources
  – Thus:
    – Jimmy Carter not James Earl Carter
    – E. E. Cummings not Edward Estlin Cummings

Forms of Headings: Persons

• Samuel Clemens --- Mark Twain
  – Samuel Clemens wrote most of his work under the pseudonym Mark Twain (and a couple of works under Quintus Curtius Snodgrass)
• Cassius Clay --- Muhammad Ali
  – Cassius Clay legally changed his name to Muhammad Ali
• Cherilyn Sarkisian --- Cher
  – Cherilyn Sarkisian is commonly known to millions as Cher
• Bob Dylan --- Blind Boy Grant
  – Blind Boy Grant was a pseudonym used by Bob Dylan in his early days

Forms of Headings: Persons

• AAA, chapter 22 supplies the cataloger with rules for selecting the proper form of a personal or corporate name
  – In general, choose the name by which the author is commonly known
    – Jimmy Carter, not James Earl Carter
  – If a person has changed his or her name, in general choose the latest name
    – Muhammad Ali, not Cassius Clay
  – If all the works by a person appear under that person's pseudonym, choose the pseudonym
    – Woody Allen, not Allen Stewart Konigsberg

Forms of Headings: Persons

• If a contemporary author (all living authors and any author who has died since December 31, 1900) publishes under more than one name and one (or more) of the names is a pseudonym, a separate heading is established for each of the names.
• If the works appear under more than one name, including at least one pseudonym, consider whether the different works show separate bibliographic identities for the author because the works can be divided into clearly differentiated types (e.g., one name for boy's sport stories and another name for works on nuclear physics). If a clear differentiation based on this criterion is possible, create a different heading for each name. In case of doubt, do not consider that there are such separate bibliographic identities for the author and instead create a single heading for him/her
• Entry element: surname
  – Compound surnames
  – Surnames with separately written prefixes
  – Names without surnames

Forms of Headings: Persons

• Additions to names
  – Properly identify the person
    – Title of nobility (Duke, Baron)
    – Religious designation (Saint, Pope)
    – Title of royalty (Prince, King)
  – Distinguish one name from another in case of identical names
    – Birth and death dates
    – Fuller form of the name
    – Other distinguishing terms
FORM: WHICH FORM OF NAME?

- General rule: if a person’s name consists of several parts, select as the entry element that part of the name under which the person would normally be listed in authoritative alphabetic lists in his or her language or country of residence.

Entry element: Surname

- Compound surnames
- Hyphenated surnames
- Other compound surnames
- Nature uncertain
- Surnames with prefixes
  - Different rules for different languages/nationalities

Entry Element: Surname

- Structure of personal name heading is usually family name (surname) followed by forenames usually followed by DOB/DOD.
- Heading should be structured as it would appear in the telephone directory of the person’s home country:
  - In Brazil, the last name of a compound surname is used
  - In Argentina, the first name of a compound surname is used

Forms of Headings: Persons

- Single Surname
  - Enter a name that contains a single surname (last name) under that surname; that is, input the name by placing the surname first.
  - 100 1#Carter, Jimmy.
  - 700 1#Griffith, D. W.
- Compound Surnames
  - A personal name is called a “compound surname” when the last name consists of two or more proper names. If the two (or more) sections of the compound name are hyphenated, the hyphenated name should always be considered a compound surname regardless of the language.
  - 100 1#Day-Lewis, Cecil.
  - 700 1#Henry-Bordeaux, Paul.
- Specific Rules by Language
  - If the parts of the compound name are not hyphenated, the language of the name affects the way it is formulated, i.e., which part of the name is considered the surname.
  - 100 1#Moses, Grandma.
  - 700 1#Read, Miss.
  - 700 1#Seuss, Dr.

Forms of Headings: Persons

- Initials, Letters
  - Enter a name consisting of initials or separate letters under those initials or letters in the order and the form in which they appear in the item.
  - 100 0#H. D.
- Entry Under a Surname Only
  - If the name by which a person is known consists only of a surname, add the word or phrase that appears with the name in the item if available.
  - 100 1#Moore, Grandma.
  - 100 1#Read, Miss.
  - 700 1#Seuss, Dr.
Forms of Headings: Persons

- **Entry Under Forename Only**
  - If the name by which a person is known consists only of a forename or a forename preceded by a term of address or title, enter under the forename. Treat other words as additions to the forenames (c).
  - 100 0#Aristoteles.
  - 100 0#Plato.
  - source Chef Pierre
  - 700 0#Pierre,|cChef.
  - source Cousin Fannie
  - 100 0#Fannie,|cCousin.

- **Entry Under a Phrase**
  - Enter in direct order a name consisting of a phrase that does not contain a real name.
  - 100 0#Dr. X.
  - 100 0#Father Time.
  - Also enter in direct order a phrase that consists of a forename or forenames preceded by words other than a term of address.
  - 100 0#Poor Richard.
  - 700 0#Boy George.
  - 100 0#Calamity Jane.

Additions to names

- Titles of nobility or Honor
- Saints
- Royalty
- Popes, Bishops, etc.
- Dates
- Distinguishing terms

Forms of Headings: Corporate Bodies

- **Direct entry order**
  - Most corporate body headings established in direct entry order (e.g. Time-Life Films)
- **Indirect entry order**
  - Six types of non-government body names to be established in indirect order as a subheading of the name of the corporate body to which they are subordinate or related (24.13A)

Forms of Headings: Corporate Bodies

- **Enter a corporate body directly under the name by which it is commonly identified,** except when the rules that follow provide for entering it under the name of a higher or related body (see 24.13) or under the name of a government
- **If the name of a corporate body consists of or contains initials, omit or include full stops and other marks of punctuation according to the predominant usage of the body.**
- **If the name of a corporate body has changed (including change from one language to another), establish a new heading under the new name for items appearing under that name.** Refer from the old heading to the new and from the new heading to the old

Subordinate and related bodies

- **Enter subordinate bodies directly under their own name unless its name is one of the following types**
  - A name containing a term that by definition implies that the body is part of another
  - A name containing a word that normally implies administrative subordination, provided that the name of the higher body is required to identify it.
  - A name that is general in nature or that does no more than indicate a geographic, chronological or numbered or lettered subdivision of the parent body
  - A name that does not convey the idea of a corporate body
  - A name of a university faculty, school etc that simply indicates a field of study
  - A name that includes the entire name of higher body
Forms of Headings: Corporate Bodies

- A subordinate body is a corporate body that is a part of a larger unit to which it holds an inferior hierarchical rank (e.g., the “Library” is a subordinate body of “Yale University”). The lower body is entered as a subordinate body (|b) under the name of the parent body.
- When more than one hierarchical level is involved, the first element given in X10 fields is the main body with each administratively subordinate body ranked after it in successive |b subfields. Sometimes the corporate name is not given in hierarchical order on the source. When this is the case it is necessary to rearrange the hierarchy to put the highest body first and successively lower bodies after it.

Forms of Headings: Corporate Bodies

- Enter a subordinate body under the full corporate hierarchy as it appears on the piece. The first element should be the parent body, with each administratively subordinate body ranked under it.
- 710 2#International Council on Social Welfare.|bCanadian Committee.
- 710 2#Syracuse University.|bCollege of Liberal Arts.|bGeography Dept.

Forms of Headings: Corporate Bodies

- A body should be entered as a subordinate body if any of the following conditions are met:
  - The hierarchy is printed on separate lines but is still in a “group” on the item and there is no additional information to indicate that the bodies are separate and distinct.
- The hierarchy is printed on one line with a comma or possessive.
  - source: Texas Tech University, Learning Center-or- Texas Tech University’s Learning Center-or- The Learning Center of Texas Tech University
  - 710 2#Texas Tech University.|bLearning Center.

Forms of Headings: Corporate Bodies

- The subordinate body contains a word that implies administrative subordination. The following words are commonly found in the names of subordinate bodies:
  - Administration
  - Advisory
  - Agency
  - Authority
  - Branch
  - Bureau
  - College (of a university)
  - Commission
  - Committee
  - Department
  - Division
  - Group (e.g., working group)
  - Office
  - Panel
  - School (of a college or university)
  - Secretariat
  - Section
  - Service
  - Task Force
  - Working party
  - NOT
  - Council
  - Program
  - Project

Forms of Names for Corporate Bodies (French)

- Administration
- Agence
- Bureau
- Cabinet
- Comite
- Commissariat
- Commission
- Delegation
- Direction
- Groupe de …
- Inspection
- Mission
- Office
- Secretariat
- Service
Forms of Names for Corporate Bodies (Spanish)

- Administracion
- Agencia
- Asesoria
- Comision
- Comite
- Coordinacion
- Delegacion
- Diputacion
- Direccion
- Directoria
- Fiscalia

- Gabinete
- Gerencia
- Grupo de …
- Junta
- Negociado
- Oficina
- Secretaria
- Secretariado
- Servicio
- Superintendencia

Forms of Headings: Corporate Bodies

- Enter a body created or controlled by a government under the name of the government. The conventional name of a government is the geographic name of the area (e.g., country, province, state, county, municipality) over which the government exercises jurisdiction. When a place name is used as the |a subfield, indicator one is set to 1.
  - 110 1#Vermont.|bDept. of Water Resources.
  - 110 1#United States.|bNational Aeronautics and Space Administration.

Forms of Geographic Names

- Qualify a geographic heading by placing the name of the appropriate jurisdiction within a single set of parentheses. Abbreviate the qualifier as instructed in the Subject Cataloging Manual.
- Qualify subject headings representing geographic entities by the name of the country or countries in which they are located, except for the following:

<table>
<thead>
<tr>
<th>Country</th>
<th>Level of Qualification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australia</td>
<td>State</td>
</tr>
<tr>
<td>Canada</td>
<td>Province</td>
</tr>
<tr>
<td>Great Britain</td>
<td>Constituent country</td>
</tr>
<tr>
<td>United States</td>
<td>State</td>
</tr>
</tbody>
</table>

- Use as a geographic qualifier, only the latest form of the name of the jurisdiction.
  - Authority records often give the history of the place name and tell which name to use.
    - 651 0 Berlin (Germany)
    - 651 0 St. Petersburg (Russia)
- LCRI 23.2 states which reference sources should be used when establishing names not already in the authority file.
  - For names in the United States, base the heading on the form found in the Geographic Names Information System. http://geonames.usgs.gov/

Examples of Geographic names with qualifiers

- 651; 0;a Madrid (Spain)
- 651; 0;a Rome (Italy)
- 651; 0;a Sydney (N.S.W.)
- 651; 0;a Montreal (Quebec)
- 651; 0;a London (England)
- 651; 0;a Edinburgh (Scotland)
- 651; 0;a Edwardsville (Ill.)
Forms of Geographic Names

- If an entity is in two jurisdictions, qualify by both jurisdictions.
  - Usually put the names of the two jurisdictions in alphabetical order. But, if the entity is located primarily in one of the two, put the name of that jurisdiction first.
  - 651 0 Hoover Dam (Ariz. And Nev.)
  - 651 0 Everest, Mount (China and Nepal)

Forms of Headings: Uniform Titles

- Uniform titles can be used for different purposes. They provide the means:
  - for bringing together all catalogue entries for a work when various manifestations (e.g., editions, translations) of it have appeared under various titles;
  - for identifying a work when the title by which it is known differs from the title proper of the item being catalogued;
  - for differentiating between two or more works published under identical titles properly;
  - for organizing the file.

Forms of Headings: Uniform Titles

- For works before 1501, the title found in reference sources:
  - Beowulf
  - Nibelungenlied
  - Homer. [Iliad]
- For works after 1500, the title as now known in modern editions in the original language:
  - Shakespeare, William ... [Hamlet] (not The tragical historie of Hamlet, Prince of Denmark)
  - Tchaikovsky, Peter Ilich ... Spiashchaia krasavitsa (not Sleeping beauty)

Forms of Headings: Uniform Titles

- Collective titles
  - Maugham, W. Somerset
  - Works
  - Complete works
- Selections
  - Maugham, W. Somerset
  - Selections
  - Wit and wisdom of Somerset Maugham
- Works in a single form
  - Maugham, W. Somerset
  - Plays
  - Collected plays
- Translations
  - Maugham, W. Somerset
  - Works, Spanish
  - Obras completas

Forms of Headings: Uniform Titles

- Sacred works
  - Bible
  - Koran
- Laws and treaties
  - United States
  - Code
- Music
  - Beethoven
  - Symphonies
  - Symphony no. 9

More Uniform Title Examples

- If a work is entered under title, the uniform title will be coded as a 130.
  - 130 0 a Mother Goose
  - 245 12 a A book of nursery songs and rhymes / Sc edited by Alice Marks.
- A work by Dickens with the title The adventures of Oliver Twist:
  - Dickens, Charles, 1812-1870.
  - 100 1 a Oliver Twist
  - 245 14 a The adventures of Oliver Twist / Sc Charles Dickens.
- A graphic novel based on Oliver Twist:
  - 100 1 a Arthur, John.
  - 245 14 a The adventures of Oliver Twist : Sh based on the original work by Charles Dickens / Sc by John Arthur.
  - 700 1 a Dickens, Charles. 1812-1870. 1 Oliver Twist.
More Uniform Title Examples

• An adaptation of Arabian nights.
  – 100; 1 a Hogan, Mary.
  – 245; 10 a Aladdin and his magic lamp / $c adapted by Mary Hogan.
  – 730; 0 a Arabian nights.
• Laws
  – 110; 1 a United States.
  – 240;10 a Laws, etc. (U.S. code : 1982 ed.)
  – 245;10 a United States code : $b containing …
  – 110; 1 a United States.
  – 240;10 a Laws, etc. (U.S. code annotated)
  – 245;10 a United States code annotated.

More Uniform Title Examples

• Radio and television programs
  – Add the qualifier (Radio program) or (Television program) to the title of a radio or television program whenever the program is needed in a secondary entry and the title is the same as a Library of Congress subject heading or the title has been used as the title of another work.
  – Teletubbies (Television program)
• Bible. [O.T. or N.T.] [individual book or group of books]. [language]. [version]. [year].
  – 130; 0 a Bible. Sp O.T. Sp Song of Solomon. $l Spanish. $f 1998

And more ..

• A work by Dickens with the title The adventures of Oliver Twist:
  – 100; 1 a Dickens, Charles, $d 1812-1870.
  – 240; 1 a Oliver Twist
  – 245; 14 a The adventures of Oliver Twist / $c Charles Dickens
• Bible. [O.T. or N.T.] [individual book or group of books]. [language]. [version]. [year].
  – 130; 0 a Bible. Sp O.T. Sp Song of Solomon. $l Spanish. $f 1998

Series

• Definition from AACR2R:
  A group of separate items related to one another by the fact that each item bears in addition to its own title proper, a collective title applying to the group as a whole. The individual items may or may not be numbered.
  Definition from Wynar’s introduction to cataloging and classification:
  A number of separate works, usually related in subject or form, that are issued successively. They are usually issued by the same publisher, distributor, etc. and in uniform style, with a collective title.

Prescribed sources of information per AACR2R for series

• Books: Series title page, monograph title page, cover, rest of publication
  Cartographic materials: Item itself and its container or case, etc., accompanying material
  Sound recordings: Item itself and label, accompanying textual material, container
  Motion pictures and videorecordings: Item itself and its container, accompanying material
  Graphic materials: Item itself and label, container, accompanying material

Series

• Per LCRI 1.6: If the series statement appears only in CIP in the item or in a bibliography, do not transcribe this information in the series area.
  Per LCRI 1.6A2: If the series statement appears on a label or is stamped on the item, transcribe the series statement without brackets. If the series statement appears on the jacket, transcribe the series statement within brackets. Record in a note the source of the series statement.
  490;0 a [Color art series]
  500; a Series statement on jacket
Series

- Form of the series statement
  1. Transcribe exactly as to order, wording, and spelling, following the same rules that govern transcription of the title of the work (AACR2R 1.1B), except do not include initial articles.
  2. Capitalize following the rules for capitalizing a main entry.
  3. If differing forms of the series title appear, choose the title given in the first of the prescribed sources for the series area; that is, if a book, the series title page.

MARC Coding for Series

- All “traced” series now 490/8XX
- In many cases a 490 and an 830 (series title added entry) will be identical, but they serve different functions: the 490 is a descriptive field—the series as it appears on the item—and the 830 is an added entry in authorized form.

Series

- Traced series that appears in the authorized form
  This is used when the series appears on the piece in the same form as in the authority record
  490;1 ;a Rebels with a cause
  830; 0;a Rebels with a cause

- Traced series that does not appear in the authorized form
  This is used when the series on the piece is not in the same form as that in the authority record
  490; 1 ;a Zebra books
  830; 0 ;a Zebra book.
  490; 1 ;a Redfeather book
  830; 0 ;a Redfeather books

Series

- Personal name series
  This is used when every item in the series is written by the same person.
  490; 1 ;a Double Diamond Dude Ranch ; $v #2
  800; 1 ;a Ladd, Louis. $t Double Diamond Dude Ranch ; $v #2.

- Series not traced
  This is used when the Library of Congress has decided that a series should not be traced.
  490; 0 ;a Blackwell’s French texts

Series

- Series-like phrase
  This is used when the Library of Congress decides this phrase is not really a series statement, but should be noted in the bibliographic record.
  500; ;a “A Yearling book”—Cover.
  500; ;a “Apple paperback.”

Qualified series

- Other words are added to series to make them unique, or to separate out those done by a particular publisher
  130; 0 ;a Reading rainbow book – notated in record as 440
  130; 0 ;a Reading rainbow book (Puffin books)-notated in record as 490/830
  490;1 ;a Reading rainbow book
  830; 0 ;a Reading rainbow book
  490; 1 ;a Reading rainbow book (Puffin books)
  830; 0 ;a Reading rainbow book (Puffin books)

References

- How does the cataloger handle the situation in which an author has several names by which the patron might reasonably search?
  - Make a reference from a name that is different to the name used in the uniform heading for that person This is known as a see reference
    - Munro, Hector Hugh
  - See: Saki (he wrote under the pseudonym Saki)

- A see also reference directs the patron to a related name or entry. This will be used when a person is listed under two or more different names
  - Carroll, Lewis
    - See also: Dodgson, Charles Lutwidge [name under which his books on mathematics were published]
Steps in Descriptive Cataloging

• Describe the item such that it can be recognized and distinguished from other similar items
• Choose responsibility and title entries
• Do authority work for those headings

Access

• Choice of Entry
  – What is the main entry for the item?
  – What are the added entries for the item?
• Form of Entry
  – For each entry:
    • What is the form of name?
    • What cross references are needed?

Bibliographic vs. Authority Record

• Bibliographic record
  • Contains the description of an item
  • Contains the entries in their official form
• Authority record
  • Records the official form used for an entry
  • Records alternative and unused forms (cross-references)
  • Records source of form decisions

What are Authorities?

• Authority Control governs usage of a controlled vocabulary. This is managed with
• Authority Files, that consist of
• Authority Records, each of which records a term and its variants as well as evidence. They are created using
• Authority Work, bibliographic detective work usually.

Authority Control

• Choosing an “official form” or an entry
• Making an “authority record” that records that form
• Choosing cross-references to the chosen form
• Adding those references to the “authority record”

SYNDE蒂C STRUCTURE

• Means “Connective” and is derived from classical Greek
• Conceived by Charles Cutter who defined syntetic catalog as “that kind of dictionary catalog which binds its entries together by means of cross-references so as to form a whole.”
• Great cocktail party term
Authority Control

• In order for the online catalog to be used to retrieve all items by a given author or on a given subject, the access points must be normalized and standardized. Authority control is the process of determining:
  – The form of a name, title, or subject concept that will be used as a heading in a bibliographic record
  – The cross references needed for that form
  – The relationships between the heading and other authoritative headings.

Authority Work

• Authority work is documented in an authority record and stored in an authority file. An example of an authority file is the Name Authority File in OCLC.
• Authority files represent records of decisions made about the manner in which cataloging rules have been interpreted. Authority headings are defined by organizations that provide “officially” approved terms for headings that may be used in bibliographic records.
  – In the United States the Library of Congress serves as the organization that provides name and subject authority headings.
• Authority Records
  – An author’s name, or a subject is “established” when used for the first time, and the decision is recorded in a record called the authority record. Authority records serve two purposes:
    • Reference source for an established heading
    • Provides guidance for the creation of a new heading

Authority Records

• Authority records are created for names, subjects, uniform titles and series.
• Some authority records are created for unapproved or unestablished terms. These terms can not be used in bibliographic records but may display cross references or reference information.
• Authority records not only give guidance on the form of the name or subject, they provide a way to put cross references in your catalog.
• Each bibliographic record in the catalog represents one physical item. Each authority record refers to a person, corporate body, uniform title, series, or subject that may appear in many bibliographic records.
• Authority records are always type “z”

Name Authority Records

• Contains form of name used in entries
• Cross-references
• Explanatory notes
  – for catalogers
  – for the public

Constructing Authority Records

• General rules
• Use the form of the name under which the person or corporate body is most commonly known
• Make the first element how you would look it up in a reference book
• Make cross-references from “variant” forms

Examples

• What is the relationship between Stephen King and Richard Bachman?
• They are the same person.
• Who is Charles Lutwidge Dodgson?
• He wrote Alice in Wonderland under the name Lewis Carrol.
Authority Work Steps

• Decide on the name to be used as a heading
• Consult the appropriate rules in AACR2 and their LCRIs to understand exactly how the heading will be constructed
• Search OCLC or RLIN to find examples of how the name appears when transcribed as statements of responsibility
• Choose the appropriate form under the rules
• Search the LC/NACO NAF on OCLC or RLIN to see whether there is an LC authority record; if there is, record the form used as the heading
• Construct your heading
• Construct any references (AACR2 chpt. 26)
• Construct the authority record

Authority Work Procedures: Verifying and Establishing Headings

• Search the LC/NACO authority file in OCLC. If you find:
  – Single authority record:
    – Heading that appears correct and is coded AACR2 or AACR2-compatible (Rules c or d):
      – Accept the heading.
    – Heading that appears problematic, including a non-AACR2 heading:
      – E.g. Your piece:
        • Marco Aurelio Bosco Méndez
      – LC/NACO authority record, for author writing on same topics (based on 670):
        • 100 1 $a Bosco Méndez, Marco M.
      – Problem: middle initial conflict.
  – E.g. Your piece:
    – Issued at some time or another by the Duchy of Grand Fenwick,
    – Department of Hopeless Confusion
  – LC/NACO authority record:
    – 700 1 $a Grand Fenwick (Duchy). $b Dept. of Utter Confusion
    – Problem: Possible name change

• Multiple authority records: Continue searching
  – E.g. Sweetman, P. David (n 87904718)
  • 670: Archaeological inventory of County Monaghan [Ireland]
  – Sweetman, David (n 96068805)
  • 670: Irish castles and fortified houses ... (David Sweetman ... archaeologist)
  – No authority record: Continue searching

• Examine any bib records in OCLC. Use derived “43” author search
  – E.g. hark,mar,
  • unless it would result in an unmanageable number of headings. If you have a birth date available, you may limit the search chronologically by adding up to 20 years to the birth date.
  – E.g. Marvin Harkness was born in 1948. [imaginary]
  • If a derived search is still not manageable, use “fn au” keyword search, repeating “and au” before second and third elements of name.
  – E.g. fn au harkness and au marvin
  • Keyword searches can include date qualifiers, to narrow searches involving more common names.
  – E.g. Martin Harper was born in 1954.
  • OCLC search key: fn au martin and au harper and yr 1974-
Authority Work Procedures: 
Verifying and Establishing Headings

- Authority records: If you previously found either:
  - Problematic LC/NACO record
  - Multiple LC/NACO records
- Examine any information that you have found in the OCLC database.
- Acceptable heading: If you can confirm that the authority record heading is acceptable, or in the case of multiple authority records, you can confirm the correct heading:
  - Print out or otherwise note any useful information, particularly information that helps you to resolve the problem.
  - Accept the appropriate heading. Make sure that your bib record heading matches the authority record form (e.g., by copying and pasting).
  - Problematic heading(s): Print out or otherwise note any information found and continue searching.
- No authority record: Print out or otherwise note any information found and continue searching.

Authority Work Procedures: 
Verifying and Establishing Headings

- Perform additional research for categories of headings for which AACR2/LCRI rules require research, including:
  - Research will be necessary or helpful
  - Research required by rules
- Consider whether further research will be necessary or helpful
- Examine any bib records in OPAC.
  - Level of copy
  - Usage
- At this point, you will often be able to stop searching and select or accept a heading form. If you are confident, keeping AACR2/LCRI rules in mind, that you have found:
  - Sufficient information to establish the heading – i.e., no research in offline or external Web resources is required by AACR2/LCRI rules
  - Consistent information apart from possible variations in degree of fullness – i.e., no conflicting information regarding dates or other information affecting the heading form, such as language or nationality if relevant to establishing the heading
  - Go on to establish an AACR2 heading. Please note: The majority of headings that we establish fall into this fairly straightforward category.
Authority Work Procedures: Verifying and Establishing Headings

Verifying and Establishing Headings

- Uniform titles (AACR2 25.3-25.4); in practice, do research for works that are:
  - Early (prior to 1801)
    - E.g. Enfances Vivien -- part of a cycle of medieval French epic poetry
    - E.g. Arbaute, the anatomy of fortune; by Robert Greene (1587-1592)
  - or
  - Issued in multiple editions by fairly well-known authors
    - E.g. Proust, Marcel, 1871-1922. Sur la lecture
      - Published in 1979 under title: Hautes et fines enclaves du passé

Authority Work Procedures: Verifying and Establishing Headings

- Generally focus on reference sources issued in the person’s language or country of nationality or residence -- except for early, pre-1500 authors, for whom English-language sources are preferred. If none are available, you may use other reference sources. (The LCRI do not provide for this extension, but in practice LC/NACO authority records frequently cite reference sources not in the person’s language.)
- Once you have performed additional research as required, go on to establish an AACR2 heading
  - Research not required by rules
    - For other categories of headings, use judgment and restraint. Keep in mind that your piece will often be the most thorough and authoritative source of information for your heading

Authority Work Procedures: Verifying and Establishing Headings

- Birth or death dates
  - E.g. Gumersindo Pacheco: Records in OCLC had headings [since cleaned up]:
    - Pacheco, Gumersindo, $d 1952-
    - Pacheco Sosa, Sindo, $d 1956-

Authority Work Procedures: Verifying and Establishing Headings

- Conflicts and other problems if you have found conflicting information, you suspect an error, or you have other outstanding questions regarding:
  - Possible non-unique heading: A person for whom you do not have enough information to establish a unique heading. (The NACO rules require you to check outside sources and provide either a 670 or 675 before adding a person to a non-unique heading.)
    - E.g. Aidan Clarke -- your author wrote in 1990 about 17th-century Irish constitutional history.
    - Your piece gives no clues as to middle initial or birthdate.
    - There is an OCLC record with the heading “Clarke, Aidan” and usage “Aidan Clarke” for an author who wrote poetry published in England in 1927.

Authority Work Procedures: Verifying and Establishing Headings

- Language or nationality of person, when the language or nationality would have bearing on choice of name or entry element
  - E.g. Björn Magnusson [imaginary] -- You have found usages:
    - Björn Magnusson (book published in Reykjavík, Iceland, in Icelandic)
  - Piece, written in French: l’Université du Pays de Galles, Swansea
    - Since Swansea is in Wales, and the name translates in English as “University of Wales, Swansea,” the correct heading is likely to be in English or Welsh (the official languages of

Authority Work Procedures: Verifying and Establishing Headings

- Uncertainty whether difference in corporate body names represents a variant form, a name change, or a different body:
  - E.g. On your piece: Fundación Centroamericana para el Desarrollo Humano Sostenible
    - [These are actually 2 different, unrelated bodies, but only a Web site that was checked could confirm the distinction]

Authority Work Procedures: Verifying and Establishing Headings

- Language of corporate body; for example, a corporate body with a name in a language that is not likely to be its official language and is not an official language of the country in which it is located. (AACR2/ LCRI 24.3A)
  - E.g. Piece, written in French: l’Université du Pays de Galles, Swansea
    - Since Swansea is in Wales, and the name translates in English as “University of Wales, Swansea,” the correct heading is

Authority Work Procedures: Verifying and Establishing Headings

- Other matters that would affect the form of heading, such as middle initials, spelling variations not covered by orthographic changes or romanization standards, etc.
  - E.g. I.P. Sheldon-Williams -- headings in OCLC:
    - Sheldon-Williams, Inglis Patric,
  - Without a usage spelling out the middle name, you cannot be sure whether its correct spelling should be “Patrick” or “Patric.”
Authority Work Procedures: Verifying and Establishing Headings

- No conflict
- If you have found no conflicting information regarding dates or other information affecting the heading form, such as language or nationality if relevant to establishing the heading: Go on to establish an AACR2 heading

Establish AACR2 heading. Note: If the established heading requires a geographic or corporate body qualifier, you will also need to perform authority work on that qualifier. For geographic headings, refer when necessary to AACR2 Chapter 23, LC’s Subject Cataloging Manual, and our local documents.

Additional information collected
- Apply AACR2/LCRI rules to your collected data to establish the heading. If you found problematic authority records, this establishment may involve either reconfirming or altering a previously established heading.
- You may accept dates and fuller forms of names for $q$ subfields from headings in OCLC or OPAC records (unless you suspect that they are in error).
- Go on to create or edit an authority record

No additional information collected
- Use the appropriate form on the piece for the heading, constructing the heading according to AACR2/LCRI rules.
- Go on to create an authority record

MARC Authority Records: Name Authorities

- Personal names (x00)
- Corporate names (x10)
- Conference names (x11)

Controlled by cataloging rules – the fixed field will tell you which version
- May be used as main or added entries or subjects as appropriate

MARC Authority Records: Geographic Authorities

- Subfield “a” formulated by cataloging rules:
  - AACR2 Chapter 23 for non-jurisdictional headings and their qualifiers
  - AACR2 Chapter 24 for jurisdictional headings and their qualifiers
- Remaining subdivisions covered by LCH when used as a geographic subject heading
- Subject cataloging practice changed to conform with AACR2 in 1981
- LC no longer enters duplicate name and subject authority records for the same entity

MARC Authority Records: Subject Authorities

- Topical subject headings (x50)
- Subject subdivisions (x80)

Controlled by the body creating the subject headings

MARC Authority Records: Title Authorities

- Series authorities
  - These are uniform titles relating to series
  - The tag in the authority record is always 130
  - The tag in the bibliographic record depends on whether the series is present in the piece in the authorized form (440) or whether the series has to be transcribed from the piece (490) and traced differently (830)
- Uniform titles
  - Tagged 130, used for anonymous classics and religious works
  - May also be used as subjects or added entries in bibliographic records (630 or 730)
  - Also controlled by cataloging rules
MARC Authority Records: Name/Title Authorities

- Authority file has the authorized name in the 1xx field and the title associated with it in a $t
- Bibliographic record may use these in a 1xx/240 combination if the name is the main entry
  - OR
- May be used in a 6xx, 7xx, or 8xx entry with $a and $t combination for a subject entry, added entry or name/series entry as appropriate

MARC Authority Records: What’s Important

- MARC authority format designed to cover important information for all types of authorities
- Certain fixed fields are important to read for all authorities
- Other crucial fixed fields will vary depending on what type of authority you are looking at
- Variable fields 1xx, 4xx, and 5xx are important to read for all authorities
- Other variable fields will vary depending on type of authority record

Important Fixed Fields (All records)

- ARN: Authority Record Number
- Auth/Ref: Kind of record code
- Auth status: Level of establishment
- Ref status: Reference evaluation code
- Rules: Rules used to establish the heading
- UpdStatus: Record update in process code

Variable Field Pattern (All records)

- 1xx Established heading or valid subdivision
- 4xx $x from reference
- 5xx $x also from reference
- s00 Personal name
- s10 Corporate name
- s11 Conference name
- s30 Uniform title
- s50 Topical subject
- s51 Geographic name
- s55 Genre/Form term
- s80 General subdivision
- s81 Geographic subdivision
- s82 Chronological subdiv.
- s83 Form subdivision

Specialized Fields

- Name authority records:
  - Name: Undifferentiated personal name code
  - Rules: Rules used to establish the heading
- Subject authority records (or names to be used as subjects):
  - Geo subd: Direct/indirect geographic subdivision code
  - Subj: Subject heading system
  - Subj use: Heading use code – subject added entry

Specialized Series Fields

**Fixed Fields**

- Rules: Rules used to establish the heading
- Ser name: Numbered or unnumbered series
- Series: Type of series code

**Variable Fields**

- 640 Series dates of publication and/or volume designation
- 641 Series numbering peculiarities
- 642 Series numbering example
- 643 Series place and publisher/issuing body
- 644 Series analysis practice
- 645 Series tracing practice
- 646 Series classification practice
Subfield W

• Special subfield after 4xx and 5xx to record relationships of the *see from* or *see also from* reference to the established heading in the 1xx
• Detailed coding information in the handout

Relationship to the Bibliographic Record

• Authority records control the information in most of the access fields of the bibliographic record
  – 1xx Main entry field
  – 240 Uniform title (if 1xx present)
  – 6xx Subject headings (except 690)
  – 7xx Added entries (700-730)
  – 8xx Series added entries (800-830)