

Update Information  
2012 Update Number 1

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
TOC	Table of Contents	Revised to incorporate new DCM E4 issued in 2011 Update Number 3.
E4	Label Placement (Call/Shelf Number; Item Barcode): Books	Revised to make minor corrections to wording.
Z1	Name and Series Authority Records	New and replacement sections to provide guidelines in applying data elements stimulated by RDA, some of which may also be applicable to AACR2 records.
Z1	Name and Series Authority Records	008/10 - Descriptive Cataloging Rules. New.
Z1	Name and Series Authority Records	008/11 - Subject Heading System/Thesaurus. Replace.
Z1	Name and Series Authority Records	008/15 - Heading Use--Subject Added Entry. Replace.
Z1	Name and Series Authority Records	008/32 - Undifferentiated Personal Name. Replace.
Z1	Name and Series Authority Records	040 - Cataloging Source. Replace.
Z1	Name and Series Authority Records	046 - Special Coded Dates. New.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	100 - Heading--Personal Name. New.
Z1	Name and Series Authority Records	336 - Content Type. New.
Z1	Name and Series Authority Records	370 - Associated Place. New.
Z1	Name and Series Authority Records	371 - Address. New.
Z1	Name and Series Authority Records	372 - Field of Activity. New.
Z1	Name and Series Authority Records	373 - Associated Group. New.
Z1	Name and Series Authority Records	374 - Occupation. New.
Z1	Name and Series Authority Records	375 - Gender. New.
Z1	Name and Series Authority Records	376 - Family Information. New.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	377 - Associated Language. New.
Z1	Name and Series Authority Records	380 - Form of Work. New.
Z1	Name and Series Authority Records	381 - Other Distinguishing Characteristics of Work or Expression. New.
Z1	Name and Series Authority Records	382 - Medium of Performance. New.
Z1	Name and Series Authority Records	383 - Numeric Designation of Musical Work. New.
Z1	Name and Series Authority Records	384 - Key. New.
Z1	Name and Series Authority Records	4XX Fields - Tracings and References--General Information. New.
Z1	Name and Series Authority Records	4XX - See From Tracings. Replace
Z1	Name and Series Authority Records	5XX Fields - Tracings and References--General Information. New

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	5XX - See Also From Tracings. Replace.
Z1	Name and Series Authority Records	500 - See Also From Tracing--Personal Name. New.
Z1	Name and Series Authority Records	510 - See Also From Tracing--Corporate Name. New.
Z1	Name and Series Authority Records	511 - See Also From Tracing--Meeting Name. New.
Z1	Name and Series Authority Records	530 - See Also From Tracing--Uniform Title. New.
Z1	Name and Series Authority Records	551 - See Also From Tracing--Geographic Name. New.
Z1	Name and Series Authority Records	678 - Biographical or Historical Note. New.

Supplement to the MARC 21  
Format for Authority Data

New and replacement sections to provide guidelines in applying data elements stimulated by RDA, some of which may be applicable to AACR2 records.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	008/10 - Descriptive Cataloging Rules	Replace.
Supplement to the MARC 21 Format for Authority Data	040 - Cataloging Source	Replace.
Supplement to the MARC 21 Format for Authority Data	046 - Special Coded Dates	New.
Supplement to the MARC 21 Format for Authority Data	100 - Heading--Personal Name	Replace.
Supplement to the MARC 21 Format for Authority Data	336 - Content Type	New.
Supplement to the MARC 21 Format for Authority Data	370 - Associated Place	New.
Supplement to the MARC 21 Format for Authority Data	371 - Address	New.
Supplement to the MARC 21 Format for Authority Data	372 - Field of Activity	New.
Supplement to the MARC 21 Format for Authority Data	373 - Associated Group	New.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	374 - Occupation	New.
Supplement to the MARC 21 Format for Authority Data	375 - Gender	New.
Supplement to the MARC 21 Format for Authority Data	376 - Family Information	New.
Supplement to the MARC 21 Format for Authority Data	377 - Associated Language	New.
Supplement to the MARC 21 Format for Authority Data	380 - Form of Work	New.
Supplement to the MARC 21 Format for Authority Data	381 - Other Distinguishing Characteristics of Work or Expression	New.
Supplement to the MARC 21 Format for Authority Data	382 - Medium of Performance	New.
Supplement to the MARC 21 Format for Authority Data	383 - Numeric Designation of Musical Work	New.
Supplement to the MARC 21 Format for Authority Data	384 - Key	New.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	4XX Fields - Tracings and References--General Information	Replace.
Supplement to the MARC 21 Format for Authority Data	400 - See From Tracing-- Personal Name	Replace.
Supplement to the MARC 21 Format for Authority Data	410 - See From Tracing-- Corporate Name	Replace.
Supplement to the MARC 21 Format for Authority Data	411 - See From Tracing--Meeting Name	Replace.
Supplement to the MARC 21 Format for Authority Data	430 - See From Tracing-- Uniform Title	Replace.
Supplement to the MARC 21 Format for Authority Data	451 - See From Tracing-- Geographic Name	Replace.
Supplement to the MARC 21 Format for Authority Data	5XX Fields - Tracings and References--General Information	Replace.
Supplement to the MARC 21 Format for Authority Data	500 - See Also From Tracing-- Personal Name	Replace.
Supplement to the MARC 21 Format for Authority Data	510 - See Also From Tracing-- Corporate Name	Replace.

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2012 Update Number 1

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	511 - See Also From Tracing-- Meeting Name	Replace.
Supplement to the MARC 21 Format for Authority Data	530 - See Also From Tracing-- Uniform Title	Replace.
Supplement to the MARC 21 Format for Authority Data	551 - See Also From Tracing-- Geographic Name	Replace.
Supplement to the MARC 21 Format for Authority Data	678 - Biographical or Historical Data	Replace.

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E4.1 CALL/SHELF NUMBER LABEL PLACEMENT (summary guidelines)

E4.1.1 **Non-rare hardbound books** (Overseas Offices, Washington, and shelf-ready suppliers).

If the spine is 1 or more inches wide, affix the label (including an MLC label) on the spine. Center the label and position it preferably ½ inch from the bottom of the spine. If that position covers important information, adjust the position accordingly.

If the spine is less than 1 inch wide, with the spine to the left, affix the label (including an MLC label) on the upper left quadrant of the cover ½ inch to the right of the spine and ½ inch from the top. Use this position to insure consistent placement of the call/shelf number label regardless of the direction in which the text reads.

E4.1.2 **Non-rare paperbound books** (Overseas Offices, Washington, and shelf-ready suppliers).

With the spine to the left, affix the label (including an MLC label) on the upper left quadrant of the cover ½ inch to the right of the spine and ½ inch from the top in all cases even when there is room for the label on the spine.. This is so that for books that are bound, the label is still visible after binding **for the bindery to use in printing the call number on the spine.** Use this position to insure consistent placement of the call/shelf number label regardless of the direction in which the text reads.

E4.2 ITEM BARCODE LABEL PLACEMENT

The basic guidelines for item barcode placement are in a BCCD document entitled "Where to Place Item Barcodes on Books and How to Adhere Them" to be found at:

[http://www.loc.gov/staff/ils/user\\_tips/barcodes2.pdf](http://www.loc.gov/staff/ils/user_tips/barcodes2.pdf)

To quote from that document:

"It is very important that the placement of barcode labels is consistent Library-wide. They are placed right-side up on the **upper right quadrant** of the back cover of the book (see Attachment A-1), approximately **two inches left of the joint** or spine and **one-quarter inch below the top** of the volume. For barcoding, the back cover is the cover to the left of the spine, when the spine is facing you (see Attachment A-2)."

See the address given above for more details and for the attachments mentioned in the quotation.

**008/10 Descriptive Cataloging Rules***General*

When using 008/10 codes “c” (AACR2) and “z” (Other), LC and NACO catalogers will adhere to the *PCC Post RDA Test Guidelines* at: <http://www.loc.gov/catdir/pcc/PCC-Post-RDA-Test.html> and the LCPSs available in the RDA Toolkit and Cataloger’s Desktop.

As of November 1, 2011, LC catalogers participating in LC's RDA activity will use code "z" in NARs and SARs.

NACO institutions must notify LC’s Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to use code “z” in NARs to be contributed to the LC/NAF.

When older NARs using codes “a”, “b” or “d” are being otherwise modified, upgrade them to comply with either AACR2 or RDA and change the 008/10 code accordingly.

**008/11 Subject Heading System/Thesaurus**General

When applying RDA Chapter 10 for family names assure that the NAR 008/11 is set to “n.”

Corporate headings for high government and religious officials

Assign value “n” (Not applicable) to name authority records for corporate headings representing the office held for Heads of state, etc. (AACR2 rule 24.20B1), Heads of governments and of international intergovernmental bodies (AACR2 rule 24.20C), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value “b” in 008/15, and make a 667 note indicating the form **of the heading** used in subject cataloging.

*Examples of corporate headings not appropriate for use as subject headings:*

United States. President (1953-1961 : Eisenhower)  
Iran. Shah (1941-1979 : Mohammed Reza Pahlavi)  
Illinois. Governor (1973-1977 : Walker)  
Catholic Church. Pope (1958-1963 : John XXIII)  
Church of England. Diocese of London. Bishop (1675-1713 : Compton)

See also DCM Z1 008/15 and **the** DCM Z1 667 section “NARs and subject usage.”

Follow these guidelines for newly-created **NARs**. Correct existing records when making any other change to the records.

**008/15 Heading use – Subject Added Entry**General

When applying RDA Chapter 10 for family names, assure the NAR 008/15 code is set to “b.”

Corporate headings for high government and religious officials

**Background:** For Heads of state, etc., Heads of governments and of international intergovernmental bodies, Religious officials, and Popes, descriptive catalogers may be required to establish a corporate heading for the office as well as a personal name heading for the office holder. It is subject cataloging policy to assign only the personal name heading, not the corporate heading, as a subject access point. This policy was established for collocation purposes (cf. SCM H 430). For example, the heading:

United States. President (1789-1979 : Washington)

may be used in descriptive cataloging as an access point, but in subject cataloging only the personal heading:

Washington, George, 1732-1799

would be used as a subject access point.

Assign value “b” (Not appropriate) to name authority records for corporate headings representing the office held for Heads of state, etc. (AACR2 rule 24.20B1), Heads of governments and of international intergovernmental bodies (AACR2 rule 24.20C), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value “n” in 008/11, and make a 667 note indicating the form used in subject cataloging.

*Example:*

```
110 2# $a Catholic Church. $b Pope (1958-1963 : John XXIII)
008/11 = n
008/15 = b
667 ## $a SUBJECT USAGE: This heading is not valid for use
as a subject. Works about this person are entered
under John XXIII, Pope, 1881-1963.
```

See also DCM Z1 008/11 and **the** DCM Z1 667 section “NARs and subject usage.”

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

**008/32 Undifferentiated Personal Name**General

When creating an NAR for a family name assign value "n" in 008/32. |

Assign value "b" if the heading is for a personal name and is to be used for more than one person according to AACR 2 22.20. (See LCRI 22.17-22.20.) Do not change the 1XX field on an undifferentiated name authority record.

From April 1988-mid-June 1990 LC policy for undifferentiated personal name authority records (formerly called non-unique name authority records) was to list up to three persons. If the heading represented four or more persons, the name authority record covered three persons and contained a 667 note "Record covers additional persons." The current LC policy is to list each person the heading represents without regard to the number of people using that name. Although the note "Record covers additional persons" has been discontinued for new records, it should be retained when found on existing records.

When information is found to distinguish a person included on an undifferentiated name record, always create a new name authority record for that person. Delete information pertaining to that person from the undifferentiated name record. Add a 667 note on the new record to identify the LCCN of the authority record on which information about that person had been recorded:

```
667 ## $a Formerly on undifferentiated name record: [LCCN of
undifferentiated name record]
```

When an undifferentiated personal name authority record is being revised to delete all but one name, change value "b" to "a." Delete all of the other data applying to the name(s) being deleted from the authority record. Also delete the bracketed caption for the one name remaining.

When an authority record for a single person is being revised to include another person, change the value from "a" to "b."

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

Prior to March 21, 1991, only value "n" was used in this field. Use value "a" or "b" if a new SAR is entered under a personal name heading. You may change this field if the value is incorrect when you are updating the SAR for another reason.

**040 Cataloging Source***Subfield \$b – Language of cataloging*

Add subfield \$b eng when otherwise modifying NARs or SARs that do not contain this subfield.

*Subfield \$d – Modifying agency*

Add subfield \$d [MARC 21 code] when modifying NARs or SARs unless your institution's is already the last MARC subfield \$d in the 040 field.

*Subfield \$e – Description conventions*

Use subfield \$e rda in NARs and SARs when fixed field 008/10 (Rules) is set to “z” (Other).

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to use 008/10 “z” and 040 subfield \$e rda.

**046 Special Coded Dates**General

When supplying dates in field 046, use ISO 8601 and supply dates using the pattern yyyy, yyyyymm, or yyyyymmdd. For complex dates, such as probable or approximate dates use the Extended Date Time Format (EDTF) schema. See date table in LCPS 9.3.1.3.

## Examples:

```
046 ## $f 18900101 $g 19850308
100 1# $a Ramdohr, Paul,$d 1890-1985
670 ## $a Wichtige neue Beobachtungen an Magnetit, Hämatit,
      Ilmennit und Rutil, 1939: $b t.p. (Paul Ramdohr)
      preface (b. Jan. 1, 1890; d. Mar. 8, 1985)

046 ## $s -0199~ $2edtf
100 0# $a Hellenicus $c (Grammarian),$d active
      approximately 200 B.C.
670 ## $a Brill's new Pauly online, Aug. 2, 2011 $b
      (Hellenicus; Alexandrian grammarian; ca. 200 BC)
```

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add 046s in NARs and SARs, and read the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf) for more information.

Subfield \$2 - Source of date scheme

When using the EDTF schema, add subfield \$2 edtf.

Note that the 046 field must be repeated when subfield \$2 does not apply to all dates.

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

## 100 Heading - Personal Name

### Family names

When following RDA Chapter 10, LC/NACO catalogers will use first indicator 3 when creating NARs and SARs for family names. 008/11 should be set to value “n” and 008/15 should be set to “b”.

Per LCPS 10.0, when creating family names add a 667 noting subject usage:

667##\$a SUBJECT USAGE: This heading is not valid for use as a subject; use a family name heading from LCSH.

### Subfield \$g – Miscellaneous Information

When giving the name of the prominent member of the family in subfield \$g, give the form for the person as found in the NAR for the person. Do not include any internal subfield coding in subfield \$g.

NACO institutions must notify LC’s Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to use first indicator 3.

### Fictitious and non-human entities

When applying LCPS 9.0 for fictitious entities and non-human entities assure that 008/11 is set to value “n” and that 008/15 is set to value “b”. Add a 667 noting subject usage:

667##\$a SUBJECT USAGE: This heading is not valid for use as a subject; use a fictitious character heading from LCSH.

### SARs

LC series practice: As of June 1, 2006, LC does not create or update SARs.

### 336 Content Type

#### General

Field 336 may only be used in NARs and SARs for expressions. 336 is always accompanied by a subfield \$2.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add 336 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

#### Subfield \$2 – Source of term

In subfield \$2 give “rdacontent.”

#### Subfield \$a – Content Type

Use terms from RDA 6.9. The list of terms is also available in the *Term and Code List for RDA Content Types* at: <http://www.loc.gov/standards/valuelist/rdacontent.html>

LC practice: Do not repeat subfield \$a; instead add new 336 fields as needed.

#### Subfield \$b – Content Type code

If giving subfield \$b instead of/or in addition to subfield \$a, use the code from the MARC format *Term and Code List for RDA Content Types* at: <http://www.loc.gov/standards/valuelist/rdacontent.html>

LC practice: Do not use \$b in NARs and SARs.

**370 Associated Place**General

Use the established form of the jurisdiction as found in the LC/NAF, with the same adjustments as when using the place name as a parenthetical qualifier.

- a) Omit the type of jurisdiction (see LCPS 11.3.1.30 or AACR2 24.4C1).
- b) Do not enclose a larger jurisdiction in parentheses; instead, separate it from the place name with a comma.

## Example:

```

Geographic name in LC/NAF:
    151 ## $a Shiner (Tex.)
Form of name in 370:
    370 ## $a Shiner, Tex.

```

If the jurisdiction name is not found in the LC/NAF, formulate it according to the current cataloging guidelines being used. It is not necessary to create a NAR for the name used in the 370.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 370 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

Subfield \$2 – Source of term

If the place is not a jurisdiction, indicate the source of the form of place in subfield \$2.

When using subfield \$2, repeat the 370 if subfield \$2 does not apply to all place names.

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

**371 Address**General

When supplying information in field 371, use only information that is readily and publicly available.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 371 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf) .

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

**372 Field of Activity**General

When supplying information in field 372, capitalize the first letter of the term used. Use a term for the discipline. The term for Occupation goes in field 374.

Example: 372 ## \$a Poetry \$a Education

Occupation used in 374: 374##\$a Poet \$a Educator

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 372 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf) .

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

**373 Associated Group**General

When supplying information in field 373, use the form of name as found in the resource being cataloged. Romanize non-Latin script as necessary.

## Example:

Name as found in the LC/NAF:

110 1# \$a Mexico. \$b Ejército Constitucional

Information as found in resource:

"miembro del Ejército constitucional"

Name used in 373:

373 ## \$a Ejército constitucional

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 373 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

### 374 Occupation

#### General

When supplying the term for an occupation, capitalize the first letter of the term used. Generally use terms that represent a specific occupation such as Poet or Swimmer, as opposed to a general term such as Writer or Athlete.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 374 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

#### Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

**375 Gender***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 375 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

## 376 Family Information

### General

Family names cannot be contributed to the LC/NAF using AACR2 (008/10 set to "c"); therefore, field 376 may only be used with NARs coded for RDA (008/10 set to "z" and 040 contains subfield \$e rda).

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 376 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

### Subfield \$b – Name of Prominent Member

When giving the name of the prominent member of the family in 376 subfield \$b, give the form for the person as found in subfield \$g of the 100 field of the NAR for the family. Do not include any internal subfield coding in subfield \$b.

### Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

### 377 Associated Language

#### General

Use the language codes from the *MARC Code List for Languages* available at: <http://www.loc.gov/marc/languages/langhome.html> as the source for language codes. Generally supply the language code based on the language(s) a person, family or corporate body uses for writing or communication; use also for the language in which a work is expressed. A 377 field is not needed for persons, families or corporate bodies that work in a non-verbal context.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 377 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

#### Subfield \$2 – Source of the code

Subfield \$2 is not required when the *MARC Code List for Languages* is used as the language source code (second indicator value “#”). NACO institutions may supply an additional 377 field from another language code list by using second indicator value “7,” with subfield \$2 containing a code for a language source list taken from the list of MARC-registered language lists in *Language code and term source codes*: <http://www.loc.gov/standards/sourcelist/language.html>

For example:

377 ## \$a myn

377 #7 \$a acr \$2 iso639-3

(ISO 639-3 code for Achi (acr); assigned a collective code (myn) for Mayan languages in the MARC Code List for Languages)

**380 Form of Work***General*

Capitalize the first letter of the term used.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 380 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

**381 Other Distinguishing Characteristics of Work or Expression***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 381 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

*Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information*

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

**382 Medium of Performance***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 382 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

**383 Numeric Designation of Musical Work***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 383 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

**384 Key**General

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 384 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/catdir/pcc/RDA%20in%20NARs-SARs_PCC.pdf)

**Tracings and References – General Information – 4XX Fields**General

Do not use subfield \$i and subfield \$w code “r” in 4XX fields.

When otherwise modifying NARs or SARs that contain obsolete codes such as subfield \$w position zero (0) code “d,” LC/NACO catalogers should upgrade the NAR to either AACR2 or RDA as appropriate.

**4XX See From Tracings**

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

General

NARs: Consult AACR2 Chapters 22-26 and its rule interpretations for guidelines on which 4XX references to make. **Consult RDA chapters 9-16 for guidelines for possible variants for persons, families, and corporate bodies.**

SARs: Consult LCRI 26.5A for guidelines on making 4XX references.

When modifying an authority record for another reason, delete any final mark of punctuation in a 4XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Not all 4XX references require justification; see the section "Justifying references" in the 670 yellow pages for those categories.

See the section "NACO normalization" in the Introduction pages.

Subfield \$w (control subfield)

Follow the conventions in the authority format for use of subfield \$w. Do not supply subfield \$w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield \$w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

- \$w nna = to indicate a pre-AACR2 form of heading
- \$w nnaa = to indicate a pre-AACR2 form of heading that is not appropriate as a reference in an AACR2 catalog
- \$w nne = to indicate a form previously used as an AACR2 heading
- \$w nnea = to indicate a form previously used as an AACR2 heading that is not appropriate as a reference in an AACR2 catalog. Used only in records converted from Wade-Giles to pinyin romanization of Chinese.

Linking references for NARs and SARs

If the AACR2 choice or form of entry differs from the pre-AACR2 choice or form, *optionally*, make a linking reference from that form. Note: the addition of a qualifier is considered a change in form. For SARs, give the linking reference regardless of whether the series was previously traced or untraced, analyzed or not analyzed. However, do not give such a linking reference if:

- (1) the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record. Instead, give the form in a 667 field: "Old catalog heading: \_\_\_\_\_;"
- (2) there is no one-to-one correspondence between the pre-AACR2 heading and the AACR 2 heading, i.e., two or more pre-AACR2 headings will be treated as one heading under AACR2, or one pre-AACR2 heading will be split under AACR2. Instead, in a 667 field give the appropriate information. For the former, use "Includes the old catalog headings: \_\_\_\_\_; and, \_\_\_\_\_." For the latter, use "Previous to AACR2 covered by the heading: \_\_\_\_\_;"
- (3) for SARs, the series was previously untraced and it is not clear what form should be considered the old catalog heading.

If the heading on an existing NAR or SAR is changed, give a reference from the replaced AACR2 heading only if that form of reference would otherwise be given.

### SARs

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some references may duplicate added entries on the bibliographic record for the collected set.

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

**Tracing and References – General Information – 5XX fields**General

NACO catalogers may use subfield \$i (Relationship information) in either AACR2 or RDA NARs to provide relationship information between authorized access points.

As of November 1, 2011, LC catalogers applying RDA instructions may use \$i to provide relationship information in either AACR2 or RDA NARs, except for pseudonymous relationships and corporate name earlier/later relationships.

Reciprocal 5XXs may not be needed for all relationships, such as when relating an employee (personal name) to an employer (corporate entity).

Subfield \$w code “r” in the zero (0) position must be present when subfield \$i is used.

When otherwise modifying a NAR that contain obsolete codes such as subfield \$w position zero (0) code “d” or “f,” LC/PCC catalogers should upgrade the NAR to either AACR2 or RDA as appropriate.

**5XX See Also From Tracings**General

NACO catalogers applying RDA instructions may use subfield \$i in conjunction with subfield \$w code "r" for relationship designators. When applying RDA relationship designators in 5XXs supply terms from Appendix J or K; capitalize the initial letter of the term and follow the term with a colon.

As of November 1, 2011, some LC catalogers will apply RDA instructions and may use subfield \$i in conjunction with subfield \$w code "r" for relationship designators.

LC catalogers will continue to use subfield \$w values defined for earlier/later non conference corporate names and pseudonyms in lieu of subfield \$i relationship designators.

Subfield \$w (control subfield)

Follow the conventions in the authority format for use of subfield \$w. Do not supply subfield \$w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield \$w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

\$w a = to indicate a reference from an earlier heading

\$w b = to indicate a reference from a later heading

\$w r = to indicate that a subfield \$i or subfield \$2 is used to denote relationship information

\$w nnc = to indicate a see also reference for multiple pseudonyms (record also contains a

663 field)

NARs

Consult either AACR 2 Chapters 22-26 and rule interpretations or RDA Chapters 9-16 and any corresponding LCPSs for guidelines on which 5XX references to make.

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

*PCC series practice:* Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

**500 See Also From Tracing - Personal Name**General

Until further notice LC catalogers should not use subfield \$i and code “r” in subfield \$w when recording pseudonymous relationships for personal names. When recording multiple pseudonyms continue to follow the guidance provided in the *FAQ – LC/NACO AACR2 Practice for Creating NARs for Persons Who Use Pseudonyms* available at: <http://www.loc.gov/catdir/cps/pseud.pdf>

LC/NACO catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between a personal name and the name of another person, family, or corporate body. When using a term from Appendix K in subfield \$i, use a capital letter for the first letter of the term and follow the term with a colon.

NACO institutions must notify LC’s Cooperative Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to use subfield \$i with subfield \$w code r.

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

**510 See Also From Tracing - Corporate Name**General

NACO catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between corporate entities and the names of other persons, families or corporate bodies. In subfield \$i use a capital letter for the first letter of the term and follow the term with a colon.

As of November 1, 2011, LC catalogers using RDA will continue to use codes "a" and "b" in subfield \$w to provide earlier/later relationship links between corporate entities

Catalogers should use judgment in making reciprocal 5XXs, for instance in the case of employer to employee relationship it is only necessary to add the 510 see also from tracing to the NAR for the personal name NAR (100) and not add a 500 see also tracing to the NAR for the corporate name (110).

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to use subfield \$i with subfield \$w code "r."

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

**511 See Also From Tracing - Meeting Name**General

NACO catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between corporate entities. In subfield \$i use a capital letter for the first letter of the term and follow the term with a colon.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to use subfield \$i with subfield \$w code "r."

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

**530 See Also from Tracing – Uniform title**General

NACO catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between authorized access points for works or expressions. When supplying Appendix J terms in subfield \$i use a capital letter for the first letter of the term and follow the term with a colon.

As of November 1, 2011, LC catalogers using RDA will continue to use codes "a" and "b" in subfield \$w to provide earlier/later relationship links.

NACO institutions must notify LC's Cooperative Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to use subfield \$i with subfield \$w code "r."

SARs

*LC series practice:* As of June 1, 2006, LC does not create or update SARs.

**551 See Also From Tracing – Geographic Name**

Do not use subfield \$i or subfield \$w codes until relationship designators for places are developed. (Currently RDA has a placeholder for Appendix L).

**678 Biographical or Historical Note**General

When supplying biographical or historical data in a 678 note field, construct the note in concise but complete sentences, keeping in mind that the information will be used in public displays.

## Example:

```
678 ## $a Joseph Smith, Jr. (1805-1844) was a Mormon prophet  
and founder of the Church of Jesus Christ of Latter-  
day Saints.
```

The 678 field was previously used to preserve useful biographical/historical information pertaining to the 1XX heading when manual NARs and SARs were converted to machine-readable form. When adding biographical or historical information to NARs, the 678 note field should be upgraded to contain full sentences.

## 008/10 Descriptive Cataloging Rules

### NACO:

Code z or c may be used.

#### Do not use codes:

a, b d, n, or the fill character

### SACO:

Always use code n.

---

### LC:

#### NAMES/SERIES:

##### Do not use codes:

a, b, d, or the fill character. When otherwise being modified, older records with codes a, b or d should be upgraded to comply with either AACR2 or RDA as appropriate.

LC catalogers participating in LC's RDA activity will use code z in NARs.

LC uses code n (Not applicable) in traced reference records (008/09, code c).

Use code n in traced reference records (008/09, Kind of record, code c). Also use code n for special situations, such as when AACR 2 is not applicable to the established form of a name or title heading.

#### SUBJECTS:

Always use code n.

## 040 Cataloging Source

### NACO:

Use subfield \$e rda when 008/10 = z. |

Do not use subfields:

\$f, \$6 or \$8 |

### SACO:

Do not use subfield \$e. |

---

### LC:

#### NAMES/SERIES:

Do not use subfields:

\$f, \$6, or \$8 |

LC catalogers participating in the RDA cataloging activity will use subfield \$e rda when 008/10 = z. |

#### SUBJECTS:

Do not use subfield \$e. |

LC began using subfield \$b in 1998.

## **046 Special Coded Dates**

### **NACO:**

046 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:

\$6 or \$8

### **SACO:**

Contact LC's Policy and Standards Division ([policy@loc.gov](mailto:policy@loc.gov)) before using field 046.

---

### **LC:**

#### **NAMES/SERIES:**

046 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:

\$6 or \$8

#### **SUBJECTS:**

Contact the Policy and Standards Office ([policy@loc.gov](mailto:policy@loc.gov)) before using field 046.

**100 Heading - Personal Name**

**NACO:**

Use first indicator value 3 in NARs and SARs when creating RDA authorized access points for family names.

Do not use subfields:

\$e, \$h, \$j, \$v, \$x, \$y, \$z, \$6, \$8

**SACO:**

Do not use subfields:

\$e, \$g, \$h, \$j, \$6, \$8

---

**LC:**

**NAMES/SERIES:**

LC catalogers participating in the RDA activity will use value 3 in RDA NARs and SARs when providing authorized access points for family names.

Do not use subfields:

\$e, \$h, \$j, \$v, \$x, \$y, \$z, \$6, \$8

**SUBJECTS:**

**Do not use subfields:**

\$e, \$g, \$h, \$j, \$6, \$8

**336 Content Type**

**NACO:**

336 may be supplied in NARs or SARs coded 008/10 c or z.

Do not use subfields:

\$3, \$6 or \$8

**SACO:**

Do not use 336.

---

**LC:**

**NAMES/SERIES:**

336 may be supplied in NARs or SARs coded 008/10 c or z.

Do not use subfields:

\$3, \$6 or \$8

**SUBJECTS:**

Do not use 336.

**370 Associated Place**

**NACO:**

370 may be supplied in NARs or SARs coded 008/10 c or z.

**Do not use subfields:**

\$0, \$6 or \$8

**SACO:**

Do not use 370.

---

**LC:**

**NAMES/SERIES:**

370 may be supplied in NARs or SARs coded 008/10 c or z.

**Do not use subfields:**

\$0, \$6 or \$8

**SUBJECTS:**

Do not use 370.

**371 Address**

**NACO:**

371 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:

\$4, \$6 or \$8

**SACO:**

Do not use 371.

---

**LC:**

**NAMES/SERIES:**

371 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:

\$4, \$6 or \$8

**SUBJECTS:**

Do not use 371.

**372 Field of Activity**

**NACO:**

372 may be supplied in NARs for persons or corporate bodies coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SACO:**

Do not use 372.

---

**LC:**

**NAMES/SERIES:**

372 may be supplied in NARs for persons or corporate bodies coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SUBJECTS:**

Do not use 372.

**373 Associated Group**

**NACO:**

373 may be supplied in NARs for persons or corporate bodies coded 008/10 c or z

Do not use subfields:

\$0, \$2, \$6 or \$8

**SACO:**

Do not use 373.

---

**LC:**

**NAMES/SERIES:**

373 may be supplied in NARs for persons or corporate bodies coded 008/10 c or z.

Do not use subfields:

\$0, \$2, \$6 or \$8

**SUBJECTS:**

Do not use 373.

## **374 Occupation**

### **NACO:**

374 may be supplied in NARs for persons coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

### **SACO:**

Do not use 374.

---

### **LC:**

### **NAMES/SERIES:**

374 may be supplied in NARs for persons coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

### **SUBJECTS:**

Do not use 374.

**375 Gender**

**NACO:**

375 may be supplied in NARs for persons coded 008/10 c or z.

Do not use subfields:  
    \$6 or \$8

**SACO:**

Do not use 375.

---

**LC:**

**NAMES/SERIES:**

375 may be supplied in NARs for persons coded 008/10 c or z.

Do not use subfields:  
    \$6 or \$8

**SUBJECTS:**

Do not use 375.

## **376 Family Information**

### **NACO:**

376 may be supplied in a name authority record coded 008/10 z.

Do not use subfields:

\$0, \$6 or \$8

### **SACO:**

Do not use 376.

---

### **LC:**

#### **NAMES/SERIES:**

376 may be supplied in a name authority record coded 008/10 z.

Do not use subfields:

\$0, \$6 or \$8

#### **SUBJECTS:**

Do not use 376.

**377 Associated Language**

**NACO:**

377 may be supplied in NARs for persons, families, and corporate bodies coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SACO:**

Do not use 377.

---

**LC:**

**NAMES/SERIES:**

377 may be supplied in NARs for persons, families, and corporate bodies coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SUBJECTS:**

Do not use 377.

**380 Form of Work**

**NACO:**

380 may be supplied in NARs or SARs coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SACO:**

Do not use 380.

---

**LC:**

**NAMES/SERIES:**

380 may be supplied in NARS or SARs coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SUBJECTS:**

Do not use 380.

**381 Other Distinguishing Characteristics of Work or Expression**

**NACO:**

381 may be supplied in NARs and SARs coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SACO:**

Do not use 381.

---

**LC:**

**NAMES/SERIES:**

381 may be supplied in NARs and SARs coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SUBJECTS:**

Do not use 381.

**382 Medium of Performance**

**NACO:**

382 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SACO:**

Do not use 382.

---

**LC:**

**NAMES/SERIES:**

382 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SUBJECTS:**

Do not use 382.

### **383 Numeric Designation of Musical Work**

#### **NACO:**

383 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:  
\$6 or \$8

#### **SACO:**

Do not use 383.

---

#### **LC:**

#### **NAMES/SERIES:**

383 may be supplied in a name authority record coded 008/10 c or z.

Do not use subfields:  
\$6 or \$8

#### **SUBJECTS:**

Do not use 383.

**384 Key**

**NACO:**

384 may be supplied in a name authority record coded 008/10 c or z.

*Do not use subfields:*

\$6 or \$8

**SACO:**

Do not use 384.

---

**LC:**

**NAMES/SERIES:**

384 may be supplied in a name authority record coded 008/10 c or z.

**Do not use subfields:**

\$6 or \$8

**SUBJECTS:**

Do not use 384.

**Tracings and References – General Information – 4XX Fields**

**NACO:**

**Subfield Codes**

Do not use subfield \$i or subfield \$w code r in 4XX fields.

**\$w - Control subfield in 4XX See From Tracing**

\_\_\_\_/0 Special relationship

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

\_\_\_\_/1 Tracing use restriction

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

\_\_\_\_/2 Earlier form of heading

Use code n (Not applicable) when neither code a nor e applies and a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

\_\_\_\_/3 Reference display

Code n (Not applicable) allows the generation of a cross reference display and need not be coded in subfield \$w/3. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

**SACO:**

SACO participants should follow the LC Subject usage guidelines that follow.

**LC:**

**Subfield Codes:**

Do not use subfield \$i or subfield \$w code r in 4XX fields.

**NAMES/SERIES**

**\$w - Control subfield in 4XX See From Tracing fields**

\_\_\_\_/0 Special relationship

Do not use the following codes:

a - Earlier heading

b - Later heading

d - Acronym

g - Broader term

h - Narrower term

i - Reference instruction phrase in subfield \$i

f - Musical composition      r – Relationship information  
t - Immediate parent body

Code d may occur in LC records created before 1981.

—/1 Tracing use restriction

Do not use the following codes:

a - Name reference structure only	e - Name and series reference structures
b - Subject reference structure only	f - Subject and series reference structures
c - Series reference structure only	g - Name, subject, and series reference structures
d - Name and subject reference structures	

—/2 Earlier form of heading

Do not use the following code:

o - Earlier established form of heading (other authority file)

Use code a (Pre-AACR 2 form of heading (national name authority file)) when the tracing is for a linking reference from a pre-AACR 2 heading.

Use code e (Earlier established form of heading (national authority file)) in the **LC/NAF** primarily when a reference from the former heading is appropriate under normal AACR 2 reference practice, and the former heading is not covered by code a. This includes former headings where code c (AACR 2) or code d (Non-AACR 2 form used with AACR 2) were used. Do not automatically make a reference from the former heading in order to supply code e.

The following obsolete codes may appear in LC records created before the adoption of AACR 2 in January 1981 until these records have been evaluated (008/29, Reference evaluation is changed to code a) and the authority record updated.

b - AACR 1 [OBSOLETE]  
c - AACR 2 [OBSOLETE]  
d - Non-AACR 2 form used with AACR 2 [OBSOLETE]

—/3 Reference display

Do not use the following codes:

c - Reference not displayed, field 663 or 360 used  
d - Reference not displayed, field 665 used

LC has not used field 665 since mid-February 1981. Use code a (Reference not displayed) or b (Reference not displayed, field 664 used) when appropriate for suppressing a cross reference display.

**SUBJECTS:**

**\$w - Control subfield in 4XX See From Tracing fields**

—/0 Special relationship

Use code n (Not applicable) in this position.

——/1 Tracing use restriction

Use code n (Not applicable) in this position.

——/2 Earlier form of heading

Use code e (Earlier established form of heading (national authority file), or code n (Not applicable) in this position.

——/3 Reference display

Use code n (Not applicable) in this position.

**400 See From Tracing – Personal Name**

**NACO:**

Use first indicator value 3 in RDA NARs and SARs when providing variant forms of family names.

Do not use subfields:

\$e, \$h, \$i, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

**SACO :**

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

**LC:**

**NAMES/SERIES:**

As of November 1, 2011, LC catalogers applying RDA instructions will use value 3 in RDA NAR and SARs when providing variant forms of family names.

Do not use subfields:

\$e, \$h, \$i, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**SUBJECTS:**

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

## 410 See From Tracing – Corporate Name

### NACO

Do not use subfields  
\$e, \$h, \$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

### SACO:

Do not use subfields:  
\$e, \$h, \$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

### LC:

#### NAMES/SERIES:

Do not use subfields  
\$e, \$h, \$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

#### SUBJECTS:

Do not use subfields:  
\$e, \$h, \$i, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

## 411 See From Tracing – Meeting Name

### NACO

Do not use subfields  
\$h, \$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

### SACO:

Do not use subfields:  
\$h, \$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

### LC:

#### NAMES/SERIES:

Do not use subfields  
\$h, \$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

#### SUBJECTS:

Do not use subfields:  
\$h, \$i, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

### 430 See From Tracing – Uniform Title

#### NACO

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields

\$h, \$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

#### SACO:

Do not use subfields:

\$h, \$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

#### LC:

##### NAMES/SERIES:

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields

\$h, \$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

#### SACO:

Do not use subfields:

\$h, \$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**451 See From Tracing – Geographic Name**

**NACO**

Do not use subfields  
\$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

**SACO:**

Do not use subfields:  
\$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

**LC:**

**NAMES/SERIES:**

Do not use subfields  
\$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

**SUBJECTS:**

Do not use subfields:  
\$i, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**Tracing and References – General Information – 5XX fields**

**NACO:**

**Subfield Code:**

**\$ i – Relationship information may be used in either AACR2 or RDA NARs to indicate relationships between authorized access points.**

**\$w - Control subfield in 5XX See Also Tracing fields**

—/0 Special relationship

Use code n (Not applicable) when neither code a nor b applies and a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

—/1 Tracing use restriction

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

—/2 Earlier form of heading

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

—/3 Reference display

Code n (Not applicable) allows the generation of a cross reference and need not be coded in subfield \$w/3. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

**SACO:**

All SACO participants should follow the LC Subject guidelines which follow.

**LC:**

**\$ i – LC catalogers applying RDA instructions may use \$i to provide relationship information in either AACR2 or RDA NARs to indicate relationships between authorized access points.**

**NAMES/SERIES**

**\$w - Control subfield in 5XX See Also from Tracing fields**

—/0 Special relationship  
r – must be used when subfield \$i or \$4 are used in NARs.

Do not use the following codes:

- d - Acronym
- f - Musical composition
- h - Narrower term
- i - Reference instruction phrase in subfield \$i
- t - Immediate parent body

Codes d and f may occur in LC records created before 1981.

Use code a (Earlier heading) or b (Later heading) when appropriate for a 1XX/5XX relationship.

—/1 Tracing use restriction

Do not use the following codes:

- |   |  |
|---|--|
| a - Name reference structure only         | e - Name and series reference structures           |
| b - Subject reference structure only      | f - Subject and series reference structures        |
| c - Series reference structure only       | g - Name, subject, and series reference structures |
| d - Name and subject reference structures |  |

Code b may occur in LC records created before 1988.

—/2 Earlier form of heading

Do not use the following codes:

- a - Pre-AACR 2 form of heading (national name authority file)
- e - Earlier established form of heading (national authority file)
- o - Earlier established form of heading (other authority file)

—/3 Reference display

Do not use the following codes:

- b - Reference not displayed, field 664 used
- d - Reference not displayed, field 665 used

LC has not used field 665 since mid-Feb. 1981. Records created before that time may contain code d in subfield \$w/3.

Use code a (Reference not displayed) or c (Reference not displayed, field 663 used) when appropriate for suppressing a cross reference display.

## **SUBJECTS:**

—/0 Special relationship

Use code g (Broader term) or code n (Related term).

—/1 Tracing use restriction

Use code n in this position.

——/2 Earlier form of heading  
Use code n in this position.

——/3 Reference display  
Use code n in this position.

**500 See Also From Tracing – Personal Name**

**NACO:**

Use first indicator value 3 in RDA NARs and SARs when providing relationship links to and from family names.

Do not use subfields:

\$e, \$h, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative **Projects Section** before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**SACO :**

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

**LC**

**NAMES/SERIES:**

As of November 1, 2011 LC catalogers applying RDA guidelines will use first indicator value 3 in RDA NARs and SARs when providing relationship links to and from family names.

Do not use subfields:

\$e, \$h, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Use subfield \$0 only in records imported from the **Library and Archives** Canada.

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**SUBJECTS:**

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**510 See Also From Tracing – Corporate Name**

**NACO:**

Do not use subfields:

\$e, \$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative **Projects** Section before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**SACO:**

Do not use subfields:

\$e, \$h, \$i, \$0, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

**LC:**

**NAMES/SERIES:**

Do not use subfields:

\$e, \$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

**LC will only use \$w codes a and b to show earlier/later relationships for non-conference corporate names.**

Use subfield \$0 only in records imported from the **Library and Archives** Canada.

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**SUBJECTS:**

Do not use subfields:

\$e, \$h, \$i, \$0, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**511 See Also From Tracing – Meeting Name**

**NACO:**

Do not use subfields:

\$h, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative **Projects Section** before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**SACO:**

Do not use subfields:

\$h, \$i, \$0, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

**LC:**

**NAMES/SERIES:**

Do not use subfields:

\$h, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**SUBJECTS:**

Do not use subfields:

\$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

### 530 See Also From Tracing – Uniform Title

#### NACO:

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative [Projects Section](#) before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

#### SACO:

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$h, \$i, \$0, \$5, \$4, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

---

#### LC:

##### NAMES/SERIES:

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Use subfield \$0 only in records imported from the [Library and Archives](#) Canada.

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

##### SUBJECTS:

Do not use subfields:

\$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

**551 See Also From Tracing – Geographic Name**

**NACO:**

Do not use subfields:

\$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative **Projects Section** before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for Tracings and References.

**SACO:**

Do not use subfields:

\$i, \$0, \$4, \$5, \$6, \$8.

SACO usage for subfield \$w is given in the LC Guidelines section for Tracings and References.

---

**LC:**

**NAMES/SERIES:**

Do not use subfields:

\$i, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8.

Use subfield \$0 only in records imported from the **Library and Archives** Canada.

Usage for subfield \$w is given in the LC Guidelines section for Tracings and References.

**SUBJECTS:**

Do not use subfields:

\$i, \$0, \$5, \$4, \$6, \$8.

Usage for subfield \$w is given in the LC Guidelines section for Tracings and References.

## 678 Biographical or Historical Data

### NACO:

May be supplied in a NAR coded 008/10 c or z.

Do not use subfields:

\$6 or \$8

### SACO:

Do not use this field.

---

### LC:

### NAMES/SERIES:

678 may be supplied in a NAR coded 008/10 c or z.

The 678 field was previously used as originally defined to preserve useful biographical/historical information pertaining to the 1XX heading when manual NARs and SARs were converted to machine-readable form. Value blank was used in the First indicator position. Subfields \$b, \$u, \$6, \$8 were not used.

Do not use subfields:

\$6 or \$8

### SUBJECTS:

Do not use this field.