

JULAC Bibliographic Services Committee
General Guidelines for Name Authority Work

1. Sources of Reference

- 1.1. RDA Section 3: Recording Attributes of Agents
 - 8: General Guidelines on Recording Attributes of Agents
 - 9: Identifying Persons
 - 10: Identifying Families
 - 11: Identifying Corporate Bodies
- 1.2. [MARC 21 Encoding to Accommodate New RDA Elements 046 and 3XX in NARs and SARs](#)
- 1.3. [LC/NACO Practice for Creating NARs for Persons Who Use Pseudonyms](#)
- 1.4. [DCM Z1 and LC Guidelines Supplement to MARC 21 Format for Authorities Data](#)
- 1.5. [NACO Participants' Manual](#) 3rd ed. (Contains examples showing older policies and practices and should not be used for RDA NACO cataloging.)

2. General Principles

- 2.1. Create an authority record when –
 - 2.1.1. There is no authority record for the name available in LC Authority File, and variant name or alternative name is found in the resource being cataloged;
 - 2.1.2. The name heading conflicts with existing heading in authority or bibliographic record;
 - 2.1.3. An authority record is found in LC Authority File for the CJK heading to be used (in such a case, copy the record to HKCAN and make necessary modifications, such as, change the 4XX to 1XX for the CJK heading, add “\$9 hani”, “\$9 jpan” or “\$9kore” to 1XX and 4XX, etc. as appropriate).
- 2.2. Modify an authority record when:
 - 2.2.1. Error(s) is/are found in the authority record;

- 2.2.2. A variant form of the heading is found in the resource being cataloged;
- 2.2.3. A 4XX or 5XX field needs to be deleted or modified;
- 2.2.4. Death date is available for the heading with birth date;
- 2.2.5. There is a need to solve the conflict with the heading in a newly created authority record;
- 2.2.6. The person or corporate body represented by the existing heading requests a heading change.

3. MARC Fields: Special Instructions

Fields	Special Instructions
008	<p>Pay attention to the use of these codes:</p> <ul style="list-style-type: none"> ▪ 008/10 (Descriptive cataloging rules): z <i>For RDA.</i> ▪ 008/29 (Reference evaluation): b <i>For records with non-Latin script references (4XX) until guidelines for evaluating non-Latin script references are developed. Assure that a 667 note "Non-Latin script reference not evaluated" is also present.</i> ▪ 008/33 (Level of establishment): c <i>Provisional. The heading cannot be formulated satisfactorily because of inadequate information. For Hong Kong government bodies after 1997.</i> [Government body in Hong Kong (memo on Aug. 15, 2002 from former CPSO): <i>Because there is uncertainty about English remaining an official language, all government bodies of Hong Kong (China) will be established provisionally (Auth status 008/33 = value c).]</i>
024 <i>[updated 27 Jan 2021]</i>	<ul style="list-style-type: none"> ▪ Adding of 024 to HKCAN records is optional ▪ Refer to the latest version <i>NACO 024 Best Practices Guidelines</i> (https://www.loc.gov/aba/pcc/naco/documents/NACO-024-Best-Practices.pdf) when add field 024. ▪ May add URIs to authority records for staff of member's own institution

Fields	Special Instructions
	<ul style="list-style-type: none"> ▪ Add 024 with first indicator = 8 and with no subfield \$2. Generally, the source of URI can be identified by the URI value itself ▪ Add up to five 024 fields ▪ For downloaded authority records, keep the 024 fields as they are. <p><i>Example:</i></p> <p>024 8# \$1 https://orcid.org/0000-0002-1726-573X (ORCID ID)</p>
040	<ul style="list-style-type: none"> ▪ Enter the MARC organization code of your library in \$a and \$c in the records created by your library. ▪ Enter the MARC organization code of your library in \$d in the records modified by your library. ▪ "\$b eng" should be present in all records. ▪ For RDA record, enter "\$e rda" after "\$b eng".
046	<ul style="list-style-type: none"> ▪ Use the Extended Date Time Format schema in all cases except for centuries. Add "\$2 edtf" except after a century. <p><i>Examples:</i></p> <p>046 ## \$f 1884-10-11 \$g 1962-11-07 \$2 edtf 046 ## \$s -0199~ \$2 edtf 046 ## \$f 1946-06 \$2 edtf 046 ## \$f 1960 \$2 edtf</p> <ul style="list-style-type: none"> ▪ When recording a century, use the first two digits of the hundred year span (e.g., use "19" to represent the 20th century, 1900–1999). Do not record an approximate century (e.g., active approximately 12th century). <p><i>Examples:</i></p> <p>046 ## \$s 00 (1st century A.D.)</p> <p>046 ## \$s 19</p>

Fields	Special Instructions
	<p>(20th century A.D.)</p> <p>046 ## \$s -04 (5th century B.C.)</p> <p>Not</p> <p>046 ## \$s 11~</p> <ul style="list-style-type: none"> ▪ Until further notice do not use subfield \$q or \$r. Use subfield \$s and subfield \$t for start and end periods for corporate bodies.
375	<p>Supply this field if information is available. Gender information does not necessarily need to be supported by 670 and \$v (e.g., known by photo or other source than resource being cataloged).</p>
377	<p>Enter multiple languages for a person or corporate body only if more than one language is used for publication, communication, etc.</p>
1XX	<ul style="list-style-type: none"> ▪ Establish the heading based on the form found in the resource being cataloged, or the choice of the person or corporate body (publication, Web page, e-mail, communications, etc.). ▪ The usage must be recorded in 670. ▪ If conflict exists between the new heading and an existing heading, break the conflict by add addition (date, full name, title, qualifier, location, etc.) to the new heading, or to the existing heading, depending on which is more reasonable and appropriate. ▪ Do not enter a punctuation at the end of the field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging instructions (e.g., a parenthetical qualifier). ▪ Do not make unnecessary change to 1XX (e.g., add addition when no conflict needs to break). ▪ For such kind of personal names, we should use the Chinese form as highlighted for 100: <ul style="list-style-type: none"> ○ <i>From HKCAN record: 9811105415303406</i>

Fields	Special Instructions
	<ul style="list-style-type: none"> ○ 100 0_ a Daoyuan, c shi ○ 100 0_ a 道原, c 釋 9 hani ○ 400 0_ a 道原, c shi 9 hani
4XX	<ul style="list-style-type: none"> ▪ Do not enter a pen name in 400 field, a new authority record should be created for it and use 500 field to link two authority records if a resource is published under the pen name. Otherwise, just record the pen name in 670, and list the unestablished pen names in a 667 field. ▪ Add an addition (date, fuller form of name, title, qualifier, location, etc.) when conflicts with an authorized access point (1XX). (<i>Note:</i> Addition can be added to 1XX if no addition can be added to 4XX.) ▪ Create additional records for the authorized access points needed to support elements used in 4XX variant access points (e.g., parent body associated with subordinate body being established). ▪ If a form found on the resource being cataloged includes a variant form of a component of a 4XX variant access point, that form may be used in its entirety as an additional 4XX variant access point, do not divide it into its component parts by using subfield. <p><i>Example:</i></p> <p>110 2# \$a Beijing da xue. \$b Di 3 yi yuan 110 2# \$a 北京大学. \$b 第三医院 410 2# \$a 北京大学. \$b 第3 医院 410 2# \$a Beijing da xue. \$b Di san yi yuan 410 2# \$a Beijing da xue. \$b Third Hospital 410 2# \$a Peking University Third Hospital</p> <p><i>not</i></p> <p>410 2# \$a Peking University. \$b Third Hospital</p> <ul style="list-style-type: none"> ▪ It is allowed to conflict with 4XX of other records, but should not conflict with another 4XX on the same record.
5XX	<p>Make sure that the corresponding authorized access point is established, i.e. an authority record for the name in 5XX has been created.</p>

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667	<ul style="list-style-type: none"> ▪ Give information of permanent value and general interest here. <p><i>Examples:</i></p> <p>667 ## \$a Date of birth removed from all fields per author request, [date updated].</p> <p>667 ## \$a Pseudonyms not found on published works: Chang Xiu, Fang Fei.</p> <ul style="list-style-type: none"> ▪ Add “Non-Latin script reference not evaluated” or “Non-Latin script references not evaluated” if non-Latin 4XX is/are present.
670	<ul style="list-style-type: none"> ▪ Generally, use “etc.” to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for sequence p. 316-325, 329-331). <p><i>Example:</i></p> <p>670 ## \$a Jieting wen ji [in Xu xiu si ku quan shu, v. 1453], 2002: #b t.p. (江濬源 = Jiang Junyuan, of Qing dyn.) p. 488, etc. (native of Anqing Fu Huaining Xian; b. Yongzheng 13 nian [i.e. 1735]; d. Jiaqing 13 nian [i.e. 1808]; zi: 楸[chen] = Maochen, 岷雨 = Minyu; hao: 介亭 = Jieting)</p> <ul style="list-style-type: none"> ▪ When giving dates (e.g. a person’s birth or death date or the date an online resource was viewed), spell out or abbreviate the names of months (e.g., January or Jan.). <p><i>Examples:</i></p> <p>June 5, 2017 31 Oct. 1954</p> <p><i>not</i></p> <p>1/5/14</p> <ul style="list-style-type: none"> ▪ URL may be given in \$u if the webpage being cited contains significant information related to the established access point that cannot be cited succinctly.

Fields	Special Instructions
675	Use only for the citation of a consulted source in which no information is found for the entity represented by the authority record or related entities (5XX). However, it is not necessary to use this field to record every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent record.

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