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**GUIDELINES FOR AUTHORITY RECORDS AND  
REFERENCES**

**Second Edition  
Revised by the  
IFLA Working Group on GARE Revision**

**Formerly Guidelines for Authority and Reference Entries / Recommended by the  
Working Group on an International Authority System  
Approved by the Standing Committees of the  
IFLA Section on Cataloguing  
and the IFLA Section on Information Technology**

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## FOREWORD TO THE SECOND EDITION

As put forward in the programme for Universal Bibliographic Control at the Unesco Intergovernmental Conference in 1974, the national bibliographic agency remains responsible “for establishing the authoritative form of name for its country’s authors, both personal and corporate, and authoritative lists of its country’s authors, personal and corporate.”<sup>1</sup>

What has changed in the interim has been increased cooperation among national bibliographic agencies and between libraries, within an individual country, as well as within libraries world-wide in order to reduce costs. Libraries today are involved in an ever wider range of cooperative activities. Most libraries operate in an environment of widespread, sophisticated, automated technologies to process the considerable number of documents issued in an increasing variety of formats and media.

During the IFLA Conference held in Copenhagen in 1997, the IFLA Section on Cataloguing stated its goal to “develop approaches, standards, rules, lists for information that provide access to bibliographic data in all languages and in all scripts.” In its Action Plan for 1998-1999 the Section intended to finalise the review and publish the *Guidelines for Authority and Reference Entries*. A Working Group was formed with eleven members from seven countries. This Working Group continued the work already initiated by Tom Delsey and Inger Cathrine Spangen and completed this revision of the first edition of the *Guidelines*.

The work has been brought up to date with particular attention to the fact that the new edition of the *Guidelines* should cover all types of authorship and all kinds of works and materials, including serials, in all media. To suit this purpose, provisions and examples have accordingly been added, modified and integrated in this edition.

The preliminary work began immediately with the drafting of a text incorporating all changes suggested in “Strategy A” by Spangen and Delsey. For the second edition, the Introduction was revised and updated by Barbara B. Tillett with the help of the entire Working Group. The present edition adds provisions and examples for music. The Working Group has followed the recommendations of the MLAR and ISADN Working Group and has as well worked together with the Permanent UNIMARC Committee for a consistent parallel update of data in UNIMARC/Authorities. Liaisons from both the Working Groups were in fact participants in the GARE revision work.

The Glossary has been compared and updated with concepts and definitions contained both in the *Mandatory Data Elements for Internationally Shared Resource Authority Records*<sup>2</sup> of the IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN; and in the IFLA *Functional Requirements for Bibliographic Records*.<sup>3</sup> The *Guidelines* use concepts and definitions derived from FRBR. “Entity”, due to the particular domain of application, consequently always refers to a bibliographic entity, with no need of further specification. The terminology, in respect to the above mentioned references, is resulting in some case as developed from original more synthetic forms to a more complex and integrated ones, in order to better meet specific needs of an

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<sup>1</sup> *Universal Bibliographic Control: A Long Term Policy, a Plan for Action* / by Dorothy Anderson. – Pullach/München Verlag Dokumentation, 1974, p. 47.

<sup>2</sup> *Mandatory Data Elements for Internationally Shared Resource Authority Records : Report of the IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN*. -- Frankfurt : IFLA UBCIM Programme, 1998. <http://www.ifla.org/VI/3p1996-2/mlar.htm>

<sup>3</sup> *Functional Requirements for Bibliographic Records : Final Report* / IFLA Study Group on the Functional Requirements for Bibliographic Records. -- München : Saur, 1998. -- (UBCIM publications. N.S. ; 19).

effective application in an authority context. Subject headings have not been included in this second edition, because they are covered by *Guidelines for Subject Authority and Reference Entries*.<sup>4</sup> The entities, derived from *FRBR* and considered in the *Guidelines*, are therefore necessarily only those of both the first and the second group, and specifically between them only the following: work, expression, person, corporate body.

Appendix A contains a broad spectrum of examples in the extended form. Appendix B and C have been replaced by a reference to *An Annotated Guide to Current National Bibliographies*,<sup>5</sup> since this tool provides a more comprehensive and thoroughly updated list of national bibliographic agencies and cataloguing rules.

In closing, I would like once again to thank all the members of the Working Group who contributed so much of their time, skills and effort to the development of the revision of the *Guidelines*, and to offer a special word of thanks to Barbara Tillett, who, at various times throughout the course of the project, assisted so ably in seeing the work through to its completion.

Rome, Italy  
January 2001

Isa de Pinedo  
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<sup>4</sup> *Guidelines for Subject Authority and Reference Entries*. -- München : Saur, 1993. -- (UBCIM publications, N.S. ; 12)

<sup>5</sup> *An Annotated Guide to Current National Bibliographies* / by Barbara L. Bell. -- 2<sup>nd</sup> completely rev. ed. -- München : Saur, 1998. -- (UBCIM publications, N.S. ; 18)

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## INTRODUCTION TO THE SECOND EDITION

Since the 1984 edition of the *Guidelines for Authority and Reference Entries* (GARE) there have been many advances in the technological capabilities of libraries. The UNIMARC format for authorities was established. The Internet was born. The Z39.50 protocol was refined, allowing a new perspective for international sharing of resource authority files. Tests were made of utilising multiple national authority files through computer access to these files rather than having to load each file individually at a local site. The expense of loading and maintaining each national authority file on one's local site was eliminated through remote access through computer networks. More than anything else, the introduction of global computer networks has had a tremendous impact on our view of authority control.

One of the key recommendations for long term policy put forward in the programme for Universal Bibliographic Control at the Unesco Intergovernmental Conference in 1974 was the confirmation of the responsibility of the national bibliographic agency "For establishing the authoritative form of name for its country's authors, both personal and corporate, and authoritative lists of its country's authors, personal and corporate."<sup>6</sup> In the interim there has been considerable activity, both at the national and international level, in developing guidelines for catalogue headings and in compiling authority lists.

The IFLA UBCIM Working Group on Minimal Level Authority Records and the ISADN recognised in their 1998 report that the IFLA goal of Universal Bibliographic Control by way of requiring everyone to use the same form for headings globally is not practical and is no longer necessary. With computer capabilities developing more sophistication, we can link the authority records created in one country according to one set of cataloguing rules with those in another country to facilitate sharing of authority records and potentially to enable computer-assisted switching to display authorised forms. At present, the machine-readable format, recommended and supported by IFLA for exchanging authority data is UNIMARC/A.

Greater agreement on the structures to use in establishing headings used in library catalogues is being facilitated through recent examination of cataloguing principles and rules. Countries are co-operating in this exploration of cataloguing rules with a goal to harmonise the practices so greater sharing of the work of cataloguing will be accomplished in the future. This emphasis on sharing stems from a centuries old desire to reduce the costs of cataloguing and a long-held desire to reach an ideal of taking advantage of the work done by others, so manifestations can be catalogued once for all to share.

As mentioned above, the Working Group on MLAR recognised that "IFLA goal of Universal Bibliographic Control by way of requiring everyone to use the same form for headings globally is not practical and is no longer necessary". Such a statement was based on the fact that "there are reasons to use the form of names familiar to our end-users, in scripts they can read and in forms they most likely would look for in their library catalogue or national bibliography. Therefore, this Working Group recognises the importance of allowing the preservation of national or rule-based differences in authorised forms for headings to be used in national bibliographies and library catalogues that can meet the language and cultural needs of the particular institution's users."

The new principle, intended to preserve differences in authorised forms for headings, must now coexist with the other one related to the uniformity of access, which is still one of the

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<sup>6</sup> *Universal Bibliographic Control*, p. 47.

catalogue's basic requirements in local or regional environments, whether in traditional card catalogues or national bibliographies, or within automated systems and on the Internet. The scope and functionality of such a requirement can be realised today through the development of different automated devices for linking all associated authority records, created by the various national bibliographic agencies and recognised as having equal authority. Linking different authorised forms, considered in wider contexts as related forms of the same entity, will be the mechanism through which the necessary continuity of access, previously required but not practiced through universal uniformity, will be gained. The concept of uniform heading, still valid within environments in which the same cataloguing rules are applied, now has a new definition with its functionality accomplished in different ways. The searcher/user will be helped both by the uniformity of access, used in traditional as well as in automated catalogues and bibliographies in his/her country, and from linking devices in a multi-file multi-national situation, for searching, finding, and identifying what he/she is looking for. In lieu of using the same form globally and universally, we will achieve the same functionality through linking mechanisms permitting searching and displaying of all forms available.

The second edition of these *Guidelines* is therefore intended to provide the specifications for authority and reference entries for names and uniform titles to be shared in print, microprint, and machine-readable form. They have been updated to govern the display of authority information and references for all types of materials to be included in catalogues, including legal and religious works, musical compositions and performances, manifestations/works by individual and multiple authors known under one or more titles, as well as serial publications. As with the first edition of *GARE*, these *Guidelines* deal only with the broad structure of entries and do not prescribe the actual form of headings, references, notes, etc., which information is the territory of national bibliographic agencies and those responsible for cataloguing rules, and which should follow, where feasible, the IFLA recommendations published in other documents, such as *Names of Persons*<sup>7</sup> and *Anonymous Classics*.<sup>8</sup>

The present document provides for inclusion of an International Standard Authority Data Number (ISADN) in the authority record, but gives no details on its form or structure. In its initial overall plan for the phased implementation of an international authority system, the original Working Group projected a need for such a number to facilitate, in particular, the automated processing of machine-readable records. However, the details of how such a number would be constructed and how the assignment of numbers by authorised agencies would be controlled have yet to be worked out. Indeed, the necessity of an international standard number is being rethought as part of a review of the original overall plan, and it may be decided that the practical impediments to the distribution and assignment of such numbers outweigh their potential usefulness. In the meantime, however, a position has been reserved for the number in the structure of the authority record, and provision has been made for adding or substituting an authority control number assigned by the national bibliographic agency.

When reading the *Guidelines* many of the elements referred to should be recognisable either as elements that are common to both authority and bibliographic entries (e.g., authorised headings) or as elements that appear in many of the bibliographic and authority listings currently issued by national bibliographic agencies (e.g., reference headings, information notes, etc.).

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<sup>7</sup> *Names of Persons : National Usages for Entry in Catalogues* / compiled by the IFLA International Office for UBC. -- 4<sup>th</sup> rev. and enl. ed. -- München : Saur, 1996. -- (UBCIM publications. N.S. ; 16).

<sup>8</sup> *Anonymous Classics : A List of Uniform Headings for European Literatures* / compiled by the IFLA International Office for UBC ; edited by Rosemary C. Hewett. -- London : IFLA International Office for UBC, 1978.

As for the structure of the entry, the *Guidelines* present not one structure but three; that is a unique structure for each of the three types of entry the document deals with: the authority entry, the reference entry, and the general explanatory entry. Again, the terms used to identify the three types of entry may not be familiar to all readers, but the types themselves most likely are.

The authority entry is the key entry for any authority listing. The authority entry may refer to the complete authority record or to just the authorised heading displayed to the user. As an authority record, it contains not only the authorised heading established by the cataloguing agency for use in all bibliographic entries associated with that particular person, corporate body, or work, but may also contain an information note explaining the relationship between that heading and related headings; tracings for variant and related headings from which references have been made; cataloguer's notes documenting the source of the heading, etc. The following example, with its components labelled according to the terminology used in the *Guidelines*, will serve to illustrate what the authority record comprises, and to assist the reader in relating the structure set out in the *Guidelines* to one he/she may be more familiar with from existing authority lists.

*Example of authority record*

<i>Authorised heading</i>	British Columbia Youth Soccer Association
<i>Information note</i>	Name changed in 1977 from British Columbia Juvenile Soccer Association.
<i>See reference tracing</i>	< B.C. Youth Soccer Association
<i>See also reference tracing</i>	<< British Columbia Juvenile Soccer Association
<i>Source area</i>	National Library of Canada/Bibliothèque nationale du Canada; AACR2, 1981-08-01
<i>ISADN area</i>	NCL/BNC 0011-A-0719

The second type of entry, the reference entry, is one that is essential not only in authority listings, but also in catalogues, bibliographies, indexes, etc., in order to direct the searcher from a variant heading that he/she may have used as his/her initial point of entry into the list to the authorised heading that has been established for use in that list or catalogue; or to direct him/her from one authorised heading to others that are related to it; for example, from an earlier form of a particular corporate body's name to a later form. Again, the type of entry, if not the terms associated with it, should be familiar to most readers, and two examples should make its purpose and structure clear.

*Examples of reference entries*

<i>Reference heading</i>	B.C. Youth Soccer Association
<i>Authorised heading</i>	> British Columbia Youth Soccer Association
<i>Reference heading</i>	British Columbia Juvenile Soccer Association
<i>Information note</i>	Name changed in 1977 to British Columbia Youth Soccer Association.
<i>Instruction phrase</i>	See also the later heading:
<i>Authorised heading</i>	>> British Columbia Youth Soccer Association

The examples above, when compared with the example of the authority record given

earlier, should serve also to clarify the relationship between the authority record and the reference entry. One should note, in particular, how the headings used for the reference entries have been, figuratively speaking, “traced” in the authority record so that one can move not only from the reference entry to the authorised heading (or, in a catalogue or bibliography to the bibliographic entry), but also from the authorised heading to all its associated reference entries, in the event that it may be necessary to modify those entries as the result of a change to the authorised heading.

Finally there is the general explanatory entry, which is in fact a special type of reference entry. Like reference entries that use a variant as their heading, the general explanatory entry uses a form that is not accepted as an authorised heading in the authority listing, or in the catalogue or bibliography. The difference, however, is that the general explanatory reference directs the searcher not to a specific authorised heading but rather to a whole group or class of headings. The general explanatory reference may provide examples of the type of heading the searcher should look for, but the examples are presented only as suggestions: there is no attempt made to provide an exhaustive list of the headings that should be consulted.

*Example of general explanatory entry*

<i>Explanatory heading</i>	Department of
<i>Information note</i>	Departments are entered under the name of the body or government to which they are subordinate (e.g., University of Reading. Department of Geography; United States. Department of the Interior; etc.).

With that brief overview of the types of entry that are covered by the *Guidelines*, and the relationships between them, the reader should have a reasonably firm base from which to begin a more detailed reading of the specification of elements. Some of the structures are admittedly complex and some of the terminology may at first appear intricate, however, the basic concepts, scope, and objectives remain unchanged.

# GUIDELINES FOR AUTHORITY RECORDS AND REFERENCES

## PRELIMINARY NOTES

### 0.1 Scope, purpose, and use

The *Guidelines for Authority Records and References* specify requirements for the display of information pertaining to authorised headings and references in print, microprint, and machine-readable form in listings of authorities, in catalogues, in bibliographies, etc. The *Guidelines* cover authorised headings and references for persons, corporate bodies, and works/expressions, and make provision for the display of reference entries and general explanatory entries, as well as authority entries containing a complete record of information pertaining to the establishment of an authorised heading and the formulation of its associated references.

The *Guidelines* are designed to facilitate the international exchange and use of information on authorised headings and references. To that end, the *Guidelines* define a set of elements to be included in the entry, assign an order to the elements, and specify a system of punctuation for the entry. The specifications, however, are confined to the overall structure and major functional components of the entry. The *Guidelines* make no attempt to specify the form or structure of authorised headings or references per se, nor do they prescribe punctuation to be used within the defined element.<sup>9</sup> It should be noted further that the *Guidelines* are oriented toward display in print, microprint forms and machine-readable form.

The *Guidelines for Authority Records and References* are intended for use primarily by national bibliographic agencies in support of the programme for Universal Bibliographic Control. Entries produced in accordance with the *Guidelines* may be included in national and international registers and alphabetical listings of authority information, or may be listed together with bibliographic entries in catalogues, national bibliographies, etc. These entries are independent of the kind and type of material being described.

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<sup>9</sup> For specification pertaining to the form and structure to be used within a defined element, reference should be made, where applicable, to other IFLA documents, e.g., *Names of Persons*, *Anonymous Classics*, etc.

## 0.2 Definitions

**Access point.** A name, term, code, etc., under which a bibliographic or authority record may be searched, found and identified. *See also* **Heading** and **Authorised heading**.

**Area.** A major section of the entry, comprising data of a particular category or serving a particular function.

**Authorised heading.** The uniform controlled heading for an entity. *Previously known as* **Uniform heading**. *See also* **Entry**.

**Authorised parallel heading.** *See* **Parallel heading**.

**Authority entry.** An authorised heading displayed to the user. May also refer to the complete authority record displayed to the user. *See also* **Authority record**.

**Authority file.** A set of authority records.

**Authority record.** A record in an authority file for which the organising element is the authorised heading for an entity (person, corporate body, or work/expression) as established by the cataloguing agency responsible. In addition to the authorised heading, the record contains, as applicable: information notes; a record of all variant and related headings from which references have been made (tracings); notes recording sources consulted, etc; an identification of the cataloguing agency responsible for the entry; and (when implemented) the International Standard Authority Data Number (ISADN).

**Bibliographic entity.** A work, expression, manifestation, item or a person, corporate body, as well as concepts, places, or events in the bibliographic universe. May also include a person, corporate body, or work represented by an authority record or identified by an ISADN (International Standard Authority Data Number). The entities “manifestation, item, concepts, places, or events” are not included in these *Guidelines*.<sup>10</sup>

**Cataloguer’s note.** A note created by a cataloguer intended to provide information to other cataloguers.

**Corporate body.** Any organisation or group of persons and/or organisations that is identified by a particular name. This includes named occasional groups and events, such as meetings, conferences, congresses, expeditions, exhibitions, festivals, and fairs.

**Descriptive cataloguing rules.** The cataloguing rules used by a bibliographic agency to describe the physical characteristics and bibliographic relationships of an item.

**Designation.** Word or lettering or numbering or a combination of these, following the main title, which can stand alone or in conjunction with the title of the part.

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<sup>10</sup> *Functional Requirements for Bibliographic Records : Final Report.*

- Element.** An attribute within an authority record, for example, name, notes, dates, etc.
- Entry.** A logical grouping of elements arranged in a prescribed order that together constitute a single unit of information to be filed or arranged as such in a register, list, catalogue, bibliography, etc. *See also* **Authority record**, **Authorised heading**, **Authority entry**, **General explanatory entry**, and **Reference entry**.
- Explanatory heading.** The heading for a general explanatory entry, normally consisting of a truncated or otherwise stylised or exemplary form, from which the user is directed to a general class or defined category of headings.
- Expression.** The intellectual or artistic realisation of a work in the form of alphanumeric, musical or choreographic notation, sound, image, object, movement, etc., or any combination of such forms.
- General explanatory entry.** An entry that serves to inform the user of the list, catalogue, bibliography, etc., of a convention that applies either generally or to a defined category of headings, and to provide guidance in searching for such headings.
- General explanatory record.** A record in an authority file for a general explanatory entry for the user.
- Heading.** A name, word, or phrase placed at the head of a bibliographic or authority record, a reference entry, or a general explanatory reference entry; used to organise entries and indexed to provide an access point for the record or entry. *See also* **Access point** and **Authorised heading**.
- Information note.** A public note of the type that is intended for users of catalogues, bibliographies, etc., under an authorised heading, a reference heading, or an explanatory heading for the purpose of explaining the relationship between that heading and other headings or providing historical information about the entity.
- ISADN (International Standard Authority Data Number).** A standard number proposed to identify and collocate entities independently of national authority headings.
- Manifestation.** The physical embodiment of an expression of a work.
- National authority file.** The set of authority records usually created and maintained by a national bibliographic agency.
- National bibliographic agency.** The agency responsible for bibliographic control within a country.
- National bibliography number.** A number assigned by the national bibliographic agency to identify uniquely each record it has created.

**Originating source.** The agency responsible for the creation of the authority record.

**Parallel heading.** An alternative, authorised form of the authorised heading for the same entity, formulated according to different rules or alternative languages (when there are two or more official languages). Parallel headings are established by national bibliographic agencies or other authorised institutions, in accordance with their specific requirements. Not to be confused with parallel titles in bibliographic records. *See also Related heading.*

**Public note.** *See Information note.*

**Qualifier.** Information added to a heading by a cataloguer, as prescribed by the cataloguing rules, to uniquely distinguish one entity from others with the same name or title.

**Reference entry.** A display of cross reference data to refer a user of a catalogue, bibliography, register, list, etc., from a variant form of the heading (see reference) or a related heading (see also reference) to the authorised heading.

**Reference heading.** The heading for a reference entry.

**Related heading.** One of two or more authorised headings for entities that are bibliographically related.

**Territorial authority.** A corporate body that exercises government functions (full or restricted) over a certain territory, or claims to exercise them. This includes states, constituent states, and federal units, their regional or local units, etc.

**Tracing.** The identification within an authority record of a variant heading or related heading for which a reference entry has been made directing the user of the list, catalogue, bibliography, etc., to the authorised heading. The tracing is designed to assist the cataloguer in readily determining what reference entries have been made and in locating those entries in the event of a revision to the authorised heading that will necessitate revision of the reference entries.

**Uniform heading.** *See Authorised heading.*

**Uniform title.** The authorised form by which variant titles of different manifestations of a work, with or without author, are linked/grouped together for searching/access purposes.

**Variant heading.** A heading in a form other than that established as the authorised heading. Generally such a heading is either based on a variant name sometimes used by the person or corporate body itself, or sometimes used by others to identify the person, corporate body, or work; or constructed on a pattern different from that used to establish the authorised heading.

**Work.** A distinct intellectual or artistic creation.

### 0.3 Outline

Elements preceded by an asterisk (\*) may be repeated within an area when necessary.

#### 0.3.1 Authority records and displays

<i>Area</i>	<i>Prescribed preceding punctuation for elements</i>	<i>Display element</i>
1. Authorised heading area		1.1 Authorised heading
	=	*1.2 Parallel heading or linked authorised heading for the same entity but formulated according to different cataloguing rules (or languages when more than one official language is used by the national bibliographic agency)
2. Information note area		2.1 Public note
3. See reference tracing area	<	*3.1 Tracing
4. See also reference tracing area	<<	*4.1 Tracing
5. Cataloguer's note area		*5.1 Cataloguer's note
6. Source area		6.1 Name of cataloguing agency
	;	*6.2 Cataloguing rules or standard
	,	6.3 Date
7. International Standard Authority Data Number area		7.1 International Standard Authority Data Number

### 0.3.2 Reference entry records and displays

The reference entry is usually documented (via a tracing) in the corresponding authority record. When a see or see also reference is too complex to be adequately generated from a reference tracing in an authority record, a reference entry record may be made.

<i>Area</i>	<i>Prescribed preceding punctuation for elements</i>	<i>Display element</i>
1. Reference heading area		1.1 Reference heading
2. Information note area		2.1 Public note
3. Authorised heading area		3.1 Instruction phrase
	> or >>	*3.2 Authorised heading

### 0.3.3 General explanatory records and displays

<i>Area</i>	<i>Prescribed preceding punctuation for elements</i>	<i>Display element</i>
1. Explanatory heading area		1.1 Explanatory heading
2. General explanatory reference area		2.1 General explanatory reference note
3. Source area	;	3.1 Name of cataloguing agency
	,	*3.2 Cataloguing rules or standard
		3.3 Date
4. International Standard Authority Data Number area		4.1 International Standard Authority Data Number

## 0.4 Punctuation

**0.4.1** Each prescribed punctuation symbol preceding an element is followed by a space. Each prescribed symbol, except the comma (,), is also preceded by a space, unless the symbol is the first character in an area.

**0.4.2** Each area of the record, and each repetition of an area, must be clearly separated from the preceding area by paragraphing, typography, or indentation.

**0.4.3** When an element is repeated, each repetition is preceded by the prescribed punctuation appropriate to the element.

**0.4.4** Any area or element that does not apply to a particular entry is simply omitted. The preceding punctuation for such an element is also omitted.

**0.4.5** Punctuation other than that designated as prescribed punctuation for the entry should be given in accordance with the conventions established by the cataloguing agency responsible for the entry, and should follow, where applicable, the IFLA guidelines governing punctuation for that particular element.

**0.4.6** Symbols used as prescribed punctuation

>	See, Search under	precedes the authorised heading
<	Used for, See from	precedes the variant heading
>>	See also	precedes the related heading
<<	See also from	precedes the authorised heading.

## 0.5 Capitalisation

Capitalisation should follow the conventions established by the cataloguing agency responsible for the entry.

## 0.6 Examples

The examples used throughout the *Guidelines* are illustrative, not prescriptive. Each is formulated according to a specific national or international standard. Cataloguers should always follow their own cataloguing rules for form and structure of authorised headings.

## Specification of elements

### 1. Authority record

The authority record serves as a complete statement of information pertaining to the establishment of an authorised heading and the formulation of its associated references. In addition to the authorised heading itself, the record may include one or more parallel headings, information notes, a record of all variant and related headings from which references have been made (tracings), and other notes made by the cataloguer in the process

of establishing the heading which may be of use in applying the heading to bibliographic entries or in revising the heading at a later date. The authority display may also be combined with reference entries to include references to related headings as well as tracings for references from related headings (see 2.4).

Entries in a catalogue, bibliography, list, register, etc., that use an authorised heading normally precede any reference entry beginning with the same heading.

## **1.1 Authority heading area**

The authority heading area contains the authorised heading established by the cataloguing agency responsible for the entry, and serves as the principal filing element for arrangement of the entry within an alphabetical listing. Also included in the area may be one or more parallel headings.

### **1.1.1 Authorised heading**

**1.1.1.1** The heading for the authority record is the authorised heading established by the cataloguing agency. The form of the heading, the punctuation, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the record. The authorised heading may be for a person, corporate body, or work/expression.

#### *Examples*

Andersen, H. C., f.1805  
Gary, Romain  
Industriraadet  
Archbishop of Canterbury's Group on the Divorce Law  
Guta saga

**1.1.1.2** Within a personal name heading any number of sub-elements may be present. Typically, the sub-elements will fall within the following categories:

#### Name sub-elements:

Family name (or surname), including prefixes and compounds  
Forename (or given name)  
Patronymic  
Sobriquet  
Dynastic name  
Other names

#### Qualifiers:

Title of nobility, honour, address, etc.  
Date(s) of birth, death, etc.  
Other qualifiers

### *Examples*

Horne, Donald, 1921-  
Scott, Sir Walter, 1771-1832.  
Milne, A. A. (Alan Alexander), 1882-1956  
Jonsson, Busk Rut, 1925-  
Victoria, Queen of Great Britain, 1819-1901  
Picchi, Eugenio <programmatore>  
Santillana, Íñigo López de Mendoza, Marqués de  
Gómez de la Serna, Ramón  
Макарий (Булгаков, М.П.)  
Martens, Pierre (1895-....)  
Dumas, Alexandre (1802-1870)  
Allarde, Pierre-Gilbert Le Roi (1752-1809 ; baron d')  
Drieu La Rochelle, Pierre  
Dubois, Pierre (18..-19.. ; abbé)

- 1.1.1.3** Within a corporate name heading any number of sub-elements may be present. Typically, the sub-elements will fall within the following categories:

Name sub-elements:

- Name of corporate body
- Name of territorial authority
- Name of subordinate body

Qualifiers:

- Geographic name
- Date
- Number
- Type of body, type of territorial authority
- Other qualifiers

### *Examples*

University of Chicago  
Brunel University. Education Liaison Centre  
Ohio  
Séminaire européen sur la recherche en éducation (1<sup>e</sup> ; 1970 ; Pont-à-Mousson.)  
Российская Федерация. Министерство образования  
Ставропольский край. Министерство здравоохранения  
Москва. Бауманский районный отдел здравоохранения  
Минский медицинский институт. Кафедра общей хирургии  
Петербургский университет. Филологический факультет  
Pomorski muzej (Kotor)  
Friedrich Witte (Firm)  
Stockholms län. Landstinget

Ontario. Office of Arbitration  
Институт востоковедения (Москва)  
Italia  
Fundació Joan Miró  
Amics de Gaudí (Reus)  
Asociación Española de Semiótica. Simposio Internacional  
Международный конгресс византинистов (18; 1991; Москва)  
Manuzio, Aldo <il Vecchio> & figli  
I.Co.Ge Informatica  
Abirelli, Federico <tipografia>  
Институт проблем освоения Севера (Тюмень)  
«Агрохимсервис», акционерное общество (поселок Алексеевское,  
Республика Татарстан)  
Петербургский экономический форум (2000)  
«Вопросы жизни», журнал (1903-1905; Петербург)  
Московская международная книжная ярмарка (12; 1999)  
Кондратьевские чтения (5; 1997; Москва)  
Петербургская гимназия (2)  
Армия (3; 1941-1945)  
Квебек (провинция)  
Архангельское высшее педагогическое училище (педагогический  
колледж)

- 1.1.1.4** The heading for a work may include only the title of the work alone, or it may include the name of a person or corporate body, or any number of sub-elements, according to the applicable cataloguing rules used. If the heading for the work is based on the title alone, the sub-elements will typically fall within the following categories:

Title sub-elements:

Title of work  
Title of part of work  
Designation of part of work

Qualifiers:

Language  
Version  
Date  
Other qualifiers

If the heading comprises the name of a person or corporate body as well as the title of the work, the sub-elements listed above will normally be preceded by the sub-elements pertaining to a personal name heading (see **1.1.1.2**) or a corporate name heading (see **1.1.1.3**) as appropriate.

## *Examples*

Chronique normande (XIVe siècle)  
Lancelot du Lac  
Beowulf  
Crónica de los Reyes de Castilla  
Biblioteca románica hispánica. II, Estudios y ensayos  
Anglo-Saxon Chronicle  
Juliana (Middle English)  
Callaloo  
Basilika  
Biblioteca storica toscana. Sezione di storia del Risorgimento  
Lex Salica (français)  
De perfectione religiosa (français)  
Corpus iuris civilis. Digestum  
Llibre del Consolat de mar <in italiano>  
Italia. Codice civile <1942>  
Italia. Codice civile <1942>. Libro I, Delle persone e della famiglia  
Falla, Manuel de (1876-1946). Siete canciones populares españolas

- 1.1.1.5** The order of sub-elements within the authorised heading, the punctuation preceding, following, and enclosing sub-elements, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the entry.

## **1.1.2 Parallel heading**

### **Preceding punctuation**

Each parallel heading is preceded by an equals sign.

- 1.1.2.1** In certain cases, notably in countries that have more than one official language, the cataloguing agency responsible for the authority record may establish one or more alternate forms of the authorised heading which are recognised as having parallel or equal status. This situation occurs most commonly with the names of corporate bodies that have more than one language form sharing the status of an official name, and with titles that may have conventional forms in several languages. In such cases the cataloguing agency may create more than one authority record, using as the authorised heading in each a different language form. The associated references in each record may vary, as dictated by the language form chosen as the authorised heading. In those cases only references appropriate to the language used to formulate the authorised heading will be included in each record. Similarly the language of instruction phrases and notes may be adjusted from one record to another to correspond to the language of the authorised heading. In such records the parallel headings are recorded following the authority heading, each preceded by an equals sign.

When recorded in this manner the parallel heading serves a function similar to that of the see also reference tracing, indicating the alternate headings under which authority records based on other language forms may be found.

*Examples*

National Library of Canada  
= Bibliothèque nationale du Canada

Bibliothèque nationale du Canada  
= National Library of Canada

Schweiz  
= Suisse  
= Svizzera

Suisse  
= Schweiz  
= Svizzera

Svizzera  
= Schweiz  
= Suisse

Documenti di architettura armena  
= Documents of Armenian architecture

L'échiquier photographique  
= La scacchiera fotografica

**1.1.2.2** For those cataloguing agencies that do not establish parallel headings, other language forms may be treated in the same manner as other variant headings and recorded as see reference tracings (see **1.3**).

**1.1.2.3** Linked authorised headings formulated according to different cataloguing rules may be traced as either parallel headings or variant form reference headings, or they may be provided as an alternate authorised display form. Various communication formats accommodate such authorised variations that may be used for linking headings.

## **1.2 Information note area**

An information note is given in the authority record following the authorised heading, when necessary to explain the relationship between the authorised heading and the reference tracings and, as needed, to identify the entity.

## 1.2.1 Information note

**1.2.1.1** The information note will typically contain one of the following types of explanatory information:

- i)** an explanation of the relationship between two or more personal name headings;
- ii)** a brief history of a corporate body highlighting changes in the body's name; mergers with other bodies; splits within or between bodies, etc.
- iii)** an explanation of the relationship between headings for two or more works or between headings for parts of a work and the heading for the work as a whole; or
- iv)** information to identify the entity.

### *Examples*

- |               |  |
|---------------|--|
| <i>Area 1</i> | Queen, Ellery  |
| <i>Area 2</i> | The joint pseudonym of Frederic Dannay and Manfred Lee.  |
| <i>Area 1</i> | Marie et Joseph  |
| <i>Area 2</i> | Auteurs de romans policiers (pour adultes et enfants). – Pseudonyme collectif de Corinne Bouchard (qui écrit aussi sous le nom Corinne Arbore) (pseudonyme Marie), née le 4 novembre 1958 et de Pierre Mezinski (pseudonyme Joseph), né le 1 <sup>er</sup> juillet 1950; commencent à écrire en 1990 séparément sous leur patronymes, mais n'ont à ce jour jamais écrit séparément sous le prénom choisi par chacun comme pseudonyme.  |
| <i>Area 1</i> | Casati Modignani, Sveva  |
| <i>Area 2</i> | Pseudonimo collettivo per opere pubbl. in collaborazione tra Nullo Cantaroni e Bice Cairati.   |
| <i>Area 1</i> | Great Britain. Ministry of Technology  |
| <i>Area 2</i> | This ministry was set up in 1965 and incorporated the Ministry of Power and the Department of Scientific and Industrial Research. In 1971 its functions were divided, part amalgamated with the Procurement Executive of the Ministry of Defence, and part amalgamated with the Board of Trade to form the Department of Trade and Industry. In 1974 the Department of Trade and Industry was replaced by the Department of Energy, the Department of Industry, the Department of Prices and Consumer Protection, and the Department of Trade. |

<i>Area 1</i>	Försvarets forskningsanstalt
<i>Area 2</i>	Bildad 1945 genom sammanslagning av Försvarsväsendets kemiska anstalt, Militär fysiska institutet och Statens uppfinnarnämnds Militärpsykologiska institutets och vissa Försvarsmedicinska forskargrupperns uppgifter till Försvarets forskningsanstalt.
<i>Area 1</i>	Corpus iuris civilis. Digestum
<i>Area 2</i>	Denominazione dei primi tre libri del <i>Corpus</i> . Il <i>Corpus</i> si suddivide in: <i>Digestum vetus</i> , <i>Digestum infortiatum</i> , <i>Digestum novum</i> .
<i>Area 1</i>	Lex Salica
<i>Area 2</i>	Legge del diritto barbarico, Gruppo Franco
<i>Area 2</i>	Recueil de coutumes des Francs Saliens, qui est à la fois un code de procédure et un code pénal.

**1.2.1.2** Notes given in the information note area are restricted to those intended for public display in a catalogue or bibliography. Notes intended to aid the cataloguer in differentiating similar headings, etc., are given in the cataloguer's note area.

**1.2.1.3** The style of the information note, the punctuation, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the record. In lists designed for international use where it is desirable to avoid textual notes oriented to a single language, a symbolic notation may be used.

### **1.3 See reference tracing area**

The see reference tracing area in the authority record serves as a record of the variant headings for which reference entries have been constructed directing the user of the list, catalogue, bibliography, etc., to see the authorised heading.

#### **1.3.1 See reference tracing**

##### **Preceding punctuation**

Each see reference tracing, including the first, is preceded by a less-than sign or left angled bracket (<) in record displays in online catalogues, bibliographies, etc., or displayed on cards or on printed authority records.

**1.3.1.1** Each see reference tracing contains a variant heading from which reference is made to the authorised heading. See reference tracings include variants such as initialisms, acronyms, fuller forms, inverted forms, direct and indirect forms, other language forms, variant spellings, variant transliterations, etc.

### *Examples*

- Area 1* University of Manchester  
*Area 3* < Victoria University of Manchester
- Area 1* Arts Council of Great Britain  
*Area 3* < Great Britain. Arts Council
- Area 1* Институт востоковедения (Москва)  
*Area 3* < АН СССР. Институт востоковедения  
< РАН. Институт востоковедения  
< Российская академия наук (Москва). Институт  
востоковедения
- Area 1* Институт проблем освоения Севера (Тюмень)  
*Area 3* < ИПОС  
< Российская академия наук. Сибирское отделение.  
Институт проблем освоения Севера  
< АН СССР. Сибирское отделение. Институт проблем  
освоения Севера
- Area 1* Rolfe, Fr.  
*Area 3* < Corvo, Baron  
< Rolfe, Frederick William
- Area 1* Vian, Boris  
*Area 3* < Hachebuisson, Hugo  
< Hanvélo, Zéphirin  
< Hironnelle, Onuphre  
< Lambineuse, Amélie de
- Area 1* Андреев, Л.Н. (1871-1919)  
*Area 3* < Andrejev, Leonid  
< Андреев, Леонид  
< Андреев, Леонид Николаевич
- Area 1* Schubert, Franz, 1797-1828  
Quintets, piano, violin, viola, violoncello, double bass, D.  
667. A major  
*Area 3* < Schubert, Franz, 1797-1828  
Forellenquintett
- Area 1* Albinoni, Tomaso <1671-1750>  
Vespetta e Pimpinone  
*Area 3* < Albinoni, Tomaso <1671-1750>  
Pimpinone

- Area 1* Falla, Manuel de (1876-1946)  
 Siete canciones populares españolas
- Area 3* < Falla, Manuel de (1876-1946)  
 Suite popular española
- Area 1* Basilika
- Area 3* < Basilici  
 < Basilicorum Libri 60
- Area 1* De perfectione religiosa
- Area 3* < Discours ascétiques  
 < De contemptu mundi
- Area 1* Lex Salica
- Area 3* < Loi Salique  
 < Legge Salica
- Area 1* 900
- Area 3* < Novecento <Marsilio>
- Area 1* Saggi
- Area 3* < Saggi <A. Mondadori>
- Area 1* Дефо, Даниэль (1661-1731)  
 Жизнь и удивительные приключения Робинзона Крузо.
- Area 3* < (Дефо, Даниэль (1661-1731))  
 Робинзон Крузо.  
 < Дефо, Даниэль (1661-1731)  
 Удивительные приключения Робинзона Крузо.
- Area 1* Крылов, Иван Андреевич (1768-1844)
- Area 3* < Басни, избранные из Крылова  
 < Избранные басни  
 < Полное собрание басен  
 < Собрание русских басен Крылова
- Area 1* Братья Питерские
- Area 3* < Воробьев, Андрей  
 < Карчик, Михаил
- Area 1* Петербургская гимназия (2)
- Area 3* < Средняя школа (232; Ленинград)

*Area 1* Кондратьевские чтения (4; 1996; Москва)  
*Area 3* < ”Краеугольные камни новой парадигмы обществоведения.  
Традиции и перспективы российской научной мысли”,  
Кондратьевские чтения

*Area 1* Московская международная книжная ярмарка  
*Area 3* < Международная книжная ярмарка  
< ММКЯ

**1.3.1.2** The form of the see reference tracing, the punctuation, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the record.

**1.3.1.3** In order to clarify the relationship between the authorised heading and the tracing, the see reference tracing may be followed by a word or phrase designating the nature of the variant. In a non-machine-readable record, the designation should be clearly separated from the variant heading itself by means of punctuation or typography.

*Examples*

*Area 1* Orwell, George  
*Area 3* < Blair, Eric Arthur [real name]

*Area 1* Associação Brasileira para o Desenvolvimento das  
Industrias de Base  
*Area 3* < Abdib [acronym]

**1.3.1.4** Where appropriate and feasible, the see reference tracings should be given in alphabetical order.

## **1.4 See also reference tracing area**

The see also reference tracing area in the authorised record serves as a record of the related headings for which reference entries have been constructed directing the user of the list, catalogue, bibliography, etc., to see also the authorised heading.

### **1.4.1 See also reference tracing**

#### **Preceding punctuation**

Each see also reference tracing, including the first, is preceded by a double less-than sign or double left angled bracket (<<) in record displays in online catalogues, bibliographies, etc., or displayed on card or printed authority records.

**1.4.1.1** Each see also reference tracing contains a related authorised heading from which reference is made to the authorised heading. See also reference tracings include related headings such as earlier and later forms of corporate names, personal and corporate headings for officials, pseudonyms used as authorised headings, etc.<sup>11</sup> They may also include see also reference tracings for titles or author/title combinations.

*Examples*

*Area 1* Rossi, Jean-Baptiste  
*Area 4* << Japrisot, Sébastien

*Area 1* Stewart, J.I.M  
*Area 4* << Innes, Michael

*Area 1* Great Britain. Board of Trade.  
*Area 4* << Great Britain. Department of Trade and Industry  
<< Great Britain. Department of Trade

*Area 1* Boccherini, Luigi <1797-1805>  
Quintets, piano, strings. G. 416. D minor  
*Area 4* << Boccherini, Luigi <1797-1805>  
Quintets, guitar, violins, viola, violoncello, G. 445. D  
minor

*Area 1* Stravinsky, Igor, 1882-1971  
Cinq doigts  
*Area 4* << Stravinsky, Igor, 1882-1971  
Instrumental miniatures

*Area 1* Shostakovich, Dmitrii Dmitrievich, 1906-1975  
Katerina Ismailova. Op. 114  
*Area 4* << Shostakovich, Dmitrii Dmitrievich, 1906-1975  
Ledi Makbet Mtsenskogo uezda. Op. 29

*Area 1* Florio e Biancofiore  
*Area 4* << Floire et Blancheflor [fre]  
<< Flore und Blancheflur [ger]  
<< Flores and Blancheflour [eng]  
*etc.*

---

<sup>11</sup> Although the use of multiple authorised headings for persons is not recognised as valid practice in the *Statement of Principles* adopted at the International Conference on Cataloguing Principles, Paris, October 1961, the practice has been adopted by a number of national cataloguing codes promulgated since that time. However, using multiple names for a person who uses multiple bibliographic identities is still a single authorised heading for each bibliographic identity in the spirit of the Paris Principles. For the purpose of illustrating how the authority and reference entries for such headings would be constructed, a number of examples have been included in these guidelines.

*Area 1* Philosophy research archives  
*Area 4* << Journal of philosophical research

**1.4.1.2** The form of the see also reference tracing, the punctuation, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the record.

*Examples*

*Area 1* Consejo Superior de Investigaciones Científicas (España)  
*Area 1* Centre national de la recherche scientifique (France)

**1.4.1.3** In order to clarify the relationship between the authorised heading and the tracing, the see also reference tracing may be followed by a word or phrase designating the nature of the variant. The designation should be clearly separated from the variant heading itself by means of punctuation or typography.

*Examples*

*Area 1* España. Ministerio de Agricultura y Pesca  
*Area 4* << España. Ministerio de Agricultura  
[encabezamiento anterior]  
<< España. Ministerio de Agricultura, Pesca y Alimentación  
[encabezamiento posterior]

*Area 1* Rossi, Jean-Baptiste  
*Area 4* << Japrisot, Sébastien *pseud.*

*Area 1* American Material Handling Society  
*Area 4* << International Material Management Society  
[later name]

*Area 1* Buovo d'Antona  
*Area 4* << Bevers saga [ice] [nor] [Leggenda comune a più  
letterature europee]  
<< Bown o Hamtwn [wel] [Leggenda comune a più  
letterature europee]  
<< Bueve de Manstone [fre] [Leggenda comune a più  
letterature europee]  
<< Sir Bevis of Hampton [eng] [Leggenda comune a più  
letterature europee]

**1.4.1.4** Where appropriate and feasible, the see also reference tracings should be given in alphabetical order.

## 1.5 Cataloguer's note area

Notes given in the cataloguer's note area are not normally intended for display in a catalogue or bibliography, but only to aid the cataloguer in using or revising the authorised heading or in establishing related headings.

### 1.5.1 Cataloguer's note

- 1.5.1.1** The cataloguer's note area may include notes on sources consulted in establishing the heading, references to specific rules applied, notes limiting the use of the heading and/or differentiating persons or bodies with similar names, notes justifying the choice of form of name, etc.

#### *Examples*

- Area 1* Hailsham of Saint Marylebone, Quintin Hogg, Baron  
*Area 5* Who's Who?
- Area 1* Safety Research Center  
*Area 5* Found: Its Research and Development activities. 1969/70-
- Area 1* Hobbs, Jack, 1926-  
*Area 5* Author's letter
- Area 1* Lafontaine, Jacques, 1944-  
*Area 5* Ne pas confondre avec l'auteur né en 1933.
- Area 1* Abgrall, Jean-Marie (1846-1926)  
*Area 5* Ne pas confondre avec le chanoine Yves-Marie Abgrall (1876-1955) à qui a été attribuée à tort l'édition de 1953 du «Calvaire de Plougastel-Daoulas»
- Area 1* Vivaldi, Antonio <1678-1741>  
Concertos, oboe, violin, string orchestra, RV548, Bb major  
*Area 5* Ryom (RV 548 Concerto for V, Ob, Bb major = Rinaldi op. 52 = Fanna UI, 16
- Area 1* Lex salica  
*Area 5* La Grande encyclopédie. Nouveau Larousse illustré  
*Area 5* Nuovo digesto italiano / a cura di Mariano D'Amelio.  
Torino : UTET, 1938.
- Area 1* Teresa de Jesús, Santa  
*Area 5* Las moradas, 1985  
*Area 5* Alborg: (Teresa de Jesús, Santa; Teresa de Cepeda y Ahumada; n. en 1515 en Ávila; m. el 4 de oct. de 1582)

- Area 1*    Dau al Set (Grupo)  
*Area 5*    Enc. cat.: (Dau al Set, Grup artístic editor de la revista mensual del mateix nom fundada a Barcelona l'octubre de 1948 i integrat per Joan Brossa, Arnau Puig, Modest Cuixart, Joan Ponç, Antoni Tàpies i Joan Josep Tharrats, que en tenia cura de la confecció i impressió; poc temps després de la seva fundació s'afegí al grup Joan Eduard Cirlot)

## 1.6 Source area

The source area identifies the national bibliographic agency responsible for the authorised entry, the rules under which the heading for the entry was constructed, and the date of the entry.

### 1.6.1 Name of national bibliographic agency

- 1.6.1.1** The name of the national bibliographic agency (or other cataloguing agency co-operating in the creation of the authority record) is given in a form that can be readily recognised internationally.<sup>12</sup>

#### *Examples*

Bibliotekscentralen  
 Bibliothèque nationale de France  
 British Library  
 Istituto centrale per il catalogo unico delle biblioteche italiane e per le informazioni bibliografiche  
 Library of Congress  
 Biblioteca Nacional (España)

- 1.6.1.2** In the case of an authority record revised by an agency other than the originating agency, the name given should be that of the agency responsible for the latest revision. The name of the originating agency may be given in the cataloguer's note area.

### 1.6.2 Cataloguing rules or standard

#### **Preceding punctuation**

The identifier for each set of cataloguing rules or standard is preceded by a semicolon.

<sup>12</sup> For suggested forms, see Bell's *An Annotated Guide to Current National Bibliographies*.

**1.6.2.1** The cataloguing code or standard used in establishing the heading is given in a form that is readily recognisable internationally.<sup>13</sup>

*Examples*

; AACR2  
; AFNOR  
; DKR  
; RICA

### **1.6.3 Date**

#### **Preceding punctuation**

The date is preceded by a comma.

**1.6.3.1** For newly created authority entries the date recorded is the date the entry was created. For revised entries the original date is replaced by the date of latest revision and preceded by the abbreviation “rev.” or its equivalent.

**1.6.3.2** The date is given in accordance with the ISO standard.<sup>14</sup>

*Example*

, 1980-05-16

## **1.7 International Standard Authority Data Number area**<sup>15</sup>

The International Standard Authority Data Number area serves to identify the number assigned to the authorised entry for purposes of international exchange and control.

*Note:* If the authority entry is to be listed in a numerical register, the International Standard Authority Data Number may be superimposed as a filing element above the normal entry heading area, and the ISADN area itself may then be omitted.

### **1.7.1 International Standard Authority Data Number**

**1.7.1.1** The International Standard Authority Data Number is preceded by the letters ISADN and a space.

**1.7.1.2** If an ISADN has been assigned to the heading given in area 1, the ISADN must be given.

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<sup>13</sup> For cataloguing rules used, see Bell's *An Annotated Guide to Current National Bibliographies*.

<sup>14</sup> ISO 8601-1988. *Data Elements and Interchange Formats - Information Interchange - Representation of Dates and Times*. -- 1st ed. -- Genève : International Organization for Standardization, 1988.

<sup>15</sup> The IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN recommended using the national bibliographic agency's record control number. This issue is again under discussion within the IFLA UBCIM Working Group on Functional Requirements and Numbering of Authority Records (FRANAR).

- 1.7.1.3** In the absence of, or in addition to, an ISADN an alternative number assigned by a regional or national agency may be given. This may be generated by the local system of the agency. The alternative number must be preceded by a code identifying the agency that assigned the number.<sup>16</sup>

*Examples*

n 78034279  
frBN000020259  
itAUF000014

## **2. Reference entry**

The reference entry serves to direct the user of the list, catalogue, bibliography, etc., from either a variant heading or a related heading to the appropriate authorised heading(s). In addition to the reference heading itself, the reference entry always includes one or more authorised headings to which the user is directed, and may include as well additional explanatory or instructional information pertaining to the relationship between the headings.

Reference entries are essential to facilitate the use of both authority files and bibliographic files or catalogues. Within an authority file, however, allowance may be made for incorporating a reference entry from a related heading to authorised headings (i.e., a “see also” reference) within the authority entry itself (see **2.4**).

### **2.1 Reference heading area**

The reference heading area contains a variant or related heading from which the user of the list, catalogue, bibliography, etc., is directed to the appropriate authorised heading(s), and serves as the principal filing element for the arrangement of the reference entry within an alphabetical listing.

#### **2.1.1 Reference heading**

- 2.1.1.1** The heading for the reference entry may consist of either of the following:

- i)** a variant heading from which the searcher is directed to see the form established as the authorised heading;
- or
- ii)** a related heading from which the searcher is directed to see also one or more authorised headings related to it.

The reference heading may be for a person, corporate body, or work.

*Examples*

Andersen, Hans Christian, f. 1805 [variant heading]  
C.G.T. [variant heading]

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<sup>16</sup> For codes, see Bell's *An Annotated Guide to Current National Bibliographies*.

Great Britain. Lord Chancellor's Department. Supreme Court of  
Judicature [variant heading]  
Commonwealth of Australia [variant heading]  
Sverige. Ecklesiastik departementet [related heading]  
Pageant of the shearmen and tailors [variant heading]  
Romans de la Table ronde [related heading]  
Bess of Hardwick [variant heading]  
Le terze rime [variant heading of La Divina Commedia of Dante  
Alighieri]  
Andalucía. Agencia de Medio Ambiente [variant heading]

**2.1.1.2** Within a personal name reference heading, any number of sub-elements may be present. Typically, the sub-elements will fall within the same categories as those specified for personal name authority headings (see **1.1.1.2**).

*Examples*

Carter, James Earl, 1924-  
Koga, Hidemasa  
Böhl de Faber, Cecilia  
Bison, Ravi (1920-1959)  
Dupont, Jules (1920-1959)  
Fanaton (1920-1959)  
Hachebuisson, Hugo

**2.1.1.3** Within a corporate name reference heading, any number of sub-elements may be present. Typically, the sub-elements will fall within the same categories as those specified for corporate name authority headings (see **1.1.1.3**).

*Examples*

United States. Bureau of Mines. Pittsburgh Research Center  
España. Centro de Coordinación Bibliotecaria

**2.1.1.4** Within the reference heading for a work, there may be present any number of sub-elements. Typically, the sub-elements will fall within the same categories as those specified for authority headings for works (see **1.1.1.4**).

*Examples*

Den gamle dagvise

Schubert, Franz, 1797-1828  
Unvollendete Sinfonie [variant heading]

Schumann, Robert, 1810-1856  
Abegg-Variationen [variant heading]

Brahms, Johannes, 1797-1828  
Johannes Brahms-Liederabend [a subset of his collected songs]

Schubert, Franz, 1797-1828  
Der Tod und das Mädchen (String quartet) [variant heading]

Schumann, Robert, 1810-1856  
Humoresken, piano, op. 20, Bb major [variant heading]

**2.1.1.5** The order of sub-elements within the reference heading, the punctuation preceding, following, and enclosing sub-elements, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the entry.

## **2.2 Information note area**

An information note is given in the reference entry following the reference heading when necessary to explain the relationship between the reference heading and the authorised heading(s) to which the user of the list, catalogue, bibliography, etc., is directed.

### **2.2.1 Information note**

**2.2.1.1** The information note will typically contain one of the following types of explanatory information:

- i)** an explanation of the relationship between two or more personal name headings;
- ii)** a brief history of a corporate body highlighting changes in the body's name, mergers with other bodies, splits within or between bodies, etc.; or
- iii)** an explanation of the relationship between headings for two or more works or between headings for parts of a work and the heading for the work as a whole; or
- iv)** information to identify the entity (especially for uniform titles).

#### *Examples*

*Area 1* Ontario. Office of Arbitration  
*Area 2* Replaced Ontario Labour-Management Arbitration  
Commission on Sept. 1, 1979.

*Area 1* Evangelios  
*Area 2* Para el conjunto de los Evangelios, véase Biblia. N.T.  
Evangelios. Para los Evangelios individuales, véase el  
nombre del libro como subencabezamiento de Biblia. N.T.  
(por ejemplo, Biblia. N.T. Evangelio según Mateo)

- 2.2.1.2** The style of the information note, the punctuation, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the entry.

## **2.3 Authorised heading area**

The authorised heading area within the reference entry serves to direct the user of the list, catalogue, bibliography, etc., to the appropriate authorised heading(s).

### **2.3.1 Instruction phrase**

- 2.3.1.1** The authorised heading area may begin, if required, with an explanatory phrase or instruction.

#### *Examples*

*Area 1* Dannay, Frederic  
*Area 3* For works of this author written in collaboration with  
Manfred Lee, see

*Area 1* Industriraadet. Informatiostjenesten  
*Area 3* Vedrorende publikationer, der informerer om Industriraadets  
virksomhed, se

*Area 1* Pittsburgh Research Center  
*Area 3* Search also under the earlier heading

- 2.3.1.2** If more than one instruction phrase is required, the area may be repeated.

#### *Example*

*Area 1* Bradford, Will  
*Area 3* For works of this author written under his real name, see  
*Area 3* For works written under his other pseudonyms, see

- 2.3.1.3** If the only instruction required is the word “see” or the phrase “see also” (or their equivalents), the instruction phrase could be omitted and the area could begin with the first authorised heading preceded by the appropriate mark of prescribed punctuation (see **2.3.2**).

#### *Examples*

*Area 1* Maurier, Dame Daphne du  
*Area 3* > Du Maurier, Dame Daphne

*Area 1* Лоцев, А.Ф. (1893-1988)  
*Area 3* > Лоцев, Алексей Федорович

- Area 1* Тихон (Белавин, В.И.; патриарх; 1865-1925)  
*Area 3* > Белавин, В.И.  
 > Белавин, Василий Иванович  
 > Беллавин, В.И.  
 > Тихон (патриарх Московский и всея Руси)
- Area 1* Bach, Johann Sebastian, 1685-1750  
 Fugues, organ, BWV 579. B minor  
*Area 3* > Bach, Johann Sebastian, 1685-1750  
 Fuge über ein Thema von Corelli
- Area 1* Wagner, Richard, 1813-1883  
 Twilight of the gods  
*Area 3* > Wagner, Richard, 1813-1883  
 Ring des Nibelungen. Götterdämmerung
- Area 1* Габироль, Соломон (ок. 1021-1058)  
*Area 3* > Ибн Габироль, Соломон  
 > Гебироль, Соломон

**2.3.1.4** The wording of the instruction phrase, the punctuation, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the entry.

## **2.3.2 Authorised heading**

### **Preceding punctuation**

The punctuation preceding each authorised heading is governed by the type of heading in the reference heading area.

If the reference heading consists of a variant heading (see **2.1.1.1** type (i)), each authorised heading in area 3 is preceded by a greater-than sign or right angled bracket (>) when it is displayed in catalogue entries, bibliographies, printed authority records, etc.

If the reference heading consists of a related heading (see **2.1.1.1** type (ii)), each authorised heading in area 3 is preceded by a double greater-than sign or double right angled bracket (>>) when it is displayed in catalogue entries, bibliographies, printed authority records, etc.

The prescribed punctuation must precede each authorised heading regardless of whether an instruction phrase is used or not.

**2.3.2.1** If the reference heading consists of a variant form (see **2.1.1.1** type (i)), area 3 will normally contain only one authorised heading. However, if the variant heading given in the reference heading area is identified as a variant to more than one authorised heading, area 3 may contain multiple authorised headings (i.e., one for each form established as an authorised heading).

### *Examples*

*Area 1* Waterman, A.M.C.  
*Area 3* > Waterman, Anthony M.C., 1931-

*Area 1* Smith, J.C.  
*Area 3* > Smith, John C., 1922-  
> Smith, John Clegg  
> Smith, Joseph C., 1930-

*Area 1* Bach, Johann Sebastian, 1685-1750  
Wachet auf  
*Area 3* > Bach, Johann Sebastian, 1685-1750  
Choräle von verschiedener Art. BWV 645-650.  
Wachet auf, ruft uns die Stimme  
> Bach, Johann Sebastian, 1685-1750  
Wachet auf, ruft uns die Stimme (Cantata)

**2.3.2.2** If the reference heading consists of a related heading (see **2.1.1.1** type (ii)), area 3 will contain all the authorised headings related to it.

### *Examples*

*Area 1* Morris, John  
*Area 2* Joint pseudonym of Morris Cargill and John Hearne.  
*Area 3* For works by these authors written under their real names see:  
>> Cargill, Morris  
>> Hearne, John, 1925-

*Area 1* España. Ministerio de Agricultura y Pesca  
*Area 2* Continúa en mayo de 1981 al Ministerio de Agricultura.  
Desaparece en dic. de 1981, siendo continuado por el  
Ministerio de Agricultura, Pesca y Alimentación  
*Area 3* >> España. Ministerio de Agricultura  
>> España. Ministerio de Agricultura, Pesca y  
Alimentación

## **2.4 Alternative structure for “see also” references**

Within an authority file or a catalogue that includes authority entries, reference entries from a related heading (i.e., “see also” references) may be combined with the authority entry for the authorised heading within a single structure rather than being given as a separate entry under the same heading. Either one of the following methods may be used:

**2.4.1** The authorised heading area (area 3) of the reference entry, including both the instructional phrase (if applicable) and the authorised heading(s) to which reference is being made, may be inserted in the authority entry immediately following the information note (area 2), or, if no information note is present

immediately following the authority heading (area 1).

*Examples*

Combined entry

- Authority area 1* Great Britain. Department of Trade  
*Authority area 2* The Board of Trade was amalgamated with part of the Ministry of Technology in 1970 to form the Department of Trade and Industry. The Department of Trade was established in 1974 when the Department of Trade and Industry was divided into four departments.
- Reference area 3* See also the earlier heading  
>> Great Britain. Department of Trade and Industry  
>> Great Britain. Board of Trade
- Authority area 3* < Department of Trade  
*Authority area 4* << Great Britain. Department of Trade and Industry  
<< Great Britain. Board of Trade
- Authority area 5* Letter from Department of Industry Library 6/10/81  
*Authority area 6* British Library ; AACR2, 1981-10-09  
*Authority area 7* ISADN

**2.4.2** Alternatively, the see also reference tracing (area 4) of the authority entry may be used as both tracing and reference by combining the prescribed punctuation for the reference (>>) with that for the tracing (<<).

Care should be taken to ensure that the combined punctuation is used only when the relationship between the headings is reciprocal.

*Examples*

Combined entry

- Authority area 1* France. Ministère des affaires sociales  
*Authority area 2* Résulte de la fusion en janvier 1966 du Ministère de la santé publique et de la population et du Ministère du travail; se scinde en juillet 1969 pour donner le Ministère du travail, de l'emploi et de la population et le Ministère de la santé publique et de la sécurité sociale.
- Authority area 4/* >><< France. Ministère de la santé publique et de la  
*Reference area 3* population  
>><< France. Ministère de la santé publique et de la  
sécurité sociale  
>><< France. Ministère du travail  
>><< France. Ministère du travail, de l'emploi et de la  
population
- Authority area 6* Bibliothèque nationale ; AFNOR, 1981-11-12  
*Authority area 7* ISADN

- Authority area 1* Libro de los engaños  
*Authority area 4/* >>>< De syv vise mestre  
*Reference area 3* >>>< Die sieben weisen Meister  
>>>< Libro dei sette savi di Rome  
>>>< Saith Doethion Rhufain  
>>>< Sept sages de Rome  
>>>< Sju vise mästare  
>>>< Zeven vroeden van binnen Rome
- Authority area 6* Biblioteca Nacional (España) ; Reglas de catalogación  
(1985), 1990-11-30, rev. 1996-10-03
- Authority area 7* ISADN
- 
- Authority area 1* Florio e Biancofiore [ita]  
*Authority area 2* La leggenda è diffusa in vari paesi ed è comune a più  
letterature europee.
- Authority area 4/* >>>< Floire et Blancheflor [fre]  
*Reference area 3* >>>< Flores and Blancheflour [eng]  
>>>< Flores och Blanzefflor [swe]  
>>>< Flores og Blansefflor [dan]  
>>>< Flores saga og Blankiflur [ice] [nor]  
>>>< Flores y Blancaflor [spa]  
>>>< Flos unde Blankflos [goh]  
>>>< Phlōrios kai Platziaphlōra (Φλώριος και  
Πλατζιαφλώρα) [grc]  
>>>< Leggenda della Reina Rosana e di Rosana sua  
figliuola  
>>>< Diederic van Assenede. Floris ende Blancefloer  
[dum]  
>>>< Fleck, Konrad. Flore und Blancheflur [goh]
- Authority area 3* < Il cantare di Florio e Biancofiore  
< Bianchafiore Florio  
< Bianchifiore Florio  
< Fiorio e Biancofiore  
< Florio e Biancifiore  
< Florio e Biancifiore  
< Historia de Florio e Biancofiore  
< Historia de lo innamoramento de Florio e Biancofiore  
< Hystoria de lo innamoramento de Florio e Biancofiore  
< Lo innamoramento de Florio e Biancofiore  
< Storia di Florio e Biancofiore
- Authority area 5* La letteratura romanza medioevale / a cura di Costanzo Di  
Girolamo. – Bologna : Il mulino, 1994.  
Dizionario letterario Bompiani delle opere e dei  
personaggi di tutti i tempi e di tutte le letterature. Opere.  
3. – Milano : V. Bompiani, 1947
- Authority area 6* RICA  
*Authority area 7* ISADN

### 3. General explanatory records and entries

#### 3.1 Explanatory heading area

The explanatory heading area contains a partial, stylised, or exemplary heading from which the user of the list, catalogue, bibliography, etc., is directed to a general class or defined category of headings, and serves as the principal filing element for the arrangement of the general explanatory entry within an alphabetical listing.

##### 3.1.1 Explanatory heading

**3.1.1.1** The heading for a general explanatory entry normally consists of a truncated or otherwise stylised or exemplary form from which the user of the list, catalogue, bibliography, etc., is directed to an entire group or class of authorised headings.

The explanatory heading may relate specifically to heading conventions for persons, corporate bodies or works, or it may relate generally to all types of headings.

##### *Examples*

Aktiebolaget...  
Diocese of ...

Музыкальные классы...  
Библиотеки частных владельцев...  
Библейская кафедра...  
Драматический театр...

**3.1.1.2** The order of sub-elements within the explanatory heading, the punctuation preceding, following, and enclosing sub-elements, the capitalisation, etc., will conform with the conventions established by the cataloguing agency responsible for the entry.

#### 3.2 Information note area

The information note following the explanatory heading provides guidance to the user of the list, catalogue, etc., vis à vis the conventions used in formulating or filing authorised headings of the type that one might expect to find under the form given in the explanatory heading.

### 3.2.1 Information note

**3.2.1.1** The style of the information note, the punctuation, the capitalisation, etc., will conform to the conventions established by the cataloguing agency responsible for the entry.

#### *Examples*

*Area 1* De la

*Area 2* Names beginning with this prefix are also entered under La (e.g., La Bretèque, Pierre de) or under the name following the prefix (e.g., Torre, Marie de la)

*Area 1* Conference...

*Area 2* Conference proceedings are entered under the name of the conference, etc., or the title of the publication if the conference, etc., lacks a name. See also, Symposium..., Workshop..., etc.

### 3.3 Source area

The source area identifies the cataloguing agency responsible for the general explanatory entry, the rules to which the entry applies, and the date of the entry.

#### 3.3.1 Name of national bibliographic agency

The name of the national bibliographic agency (or other cataloguing agency co-operating in the creation of the authority record) is given in a form that can be readily recognised internationally.<sup>17</sup>

#### *Example*

National Library of Canada/Bibliothèque nationale du Canada

In the case of an explanatory entry revised by an agency other than the originating source, the name given should be that of the agency responsible for the latest revision.

#### 3.3.2 Cataloguing rules or standard

##### **Preceding punctuation**

The identifier for each set of cataloguing rules or standard is preceded by a semicolon.

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<sup>17</sup> For suggested forms, see Bell's *An Annotated Guide to Current National Bibliographies*.



























