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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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CONTENTS

	Page
Foreword to the second edition	vi
Members of the IFLA Working Group on GARE Revision	viii
Introduction to the second edition	ix
Preliminary notes	1
0.1 Scope, purpose, and use	1
0.2 Definitions	2
0.3 Outline	5
0.4 Punctuation	7
0.5 Capitalisation	7
0.6 Examples	7
Specification of elements	7
1. Authority record	7
1.1 Authority heading area	8
1.2 Information note area	12
1.3 See reference tracing area	14
1.4 See also reference tracing area	17
1.5 Cataloguer's note area	20
1.6 Source area	21
1.7 International Standard Authority Data Number area	22
2. Reference entry	23
2.1 Reference heading area	23
2.2 Information note area	25
2.3 Authorised heading area	26
2.4 Alternative structure for "See also" references	28
3. General explanatory records and entries	31
3.1 Explanatory heading area	31
3.2 Information note area	31
3.3 Source area	32
3.4 International Standard Authority Data Number area	33
Appendix A. Examples	35

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.”¹

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*² of the IFLA UBCIM Working Group on Minimal Level Authority Records and ISADN; and in the IFLA *Functional Requirements for Bibliographic Records*.³ 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

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

² *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>

³ *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*.⁴ 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*,⁵ 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

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⁴ *Guidelines for Subject Authority and Reference Entries*. -- München : Saur, 1993. -- (UBCIM publications, N.S. ; 12)

⁵ *An Annotated Guide to Current National Bibliographies* / by Barbara L. Bell. -- 2nd 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."⁶ 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

⁶ *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*⁷ and *Anonymous Classics*.⁸

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.).

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

⁸ *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.⁹ 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.

⁹ 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*.¹⁰

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.

¹⁰ *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^e ; 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 ^{er} 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.¹¹ 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.

¹¹ 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)

