

---

## 26. REFERENCES.

### Reference Evaluation

All cross references on authority records in the automated name authority file must eventually be in accordance with LC/AACR2 practice in matters of form, style, and choice of references. *Exception:* Until practices for form and style of nonroman script references are established, name authority records with nonroman script references should contain value "b" (Tracings are not necessarily consistent with the heading) in 008/29 (Reference evaluation).

Although much work was done prior to the adoption of AACR2 to identify the correct AACR2 heading, it was not possible to do this in advance for references. Near the end of 1980, a new fixed field (008/29) was added to the authorities format to indicate explicitly the status of the references with regard to the heading. The values in this byte of the fixed field are

- a = tracings are consistent with the heading
- b = tracings are not necessarily consistent with the heading
- n = not applicable (i.e., there are no references in the record)

For records in the automated file *and* coded for AACR2 at the time of the "flip" of the name authority file on November 15, 1980, the value "b" was automatically added to all records with cross references and "n" to all records without references. Records on the file but not coded for AACR2 at the time of the "flip" and records created before 1981 but added to the database after November 15 had the fixed field value "b" set as the result of the master file conversion completed March 22, 1984.

When making any change to an authority record on which the references have not been evaluated, the descriptive cataloger must evaluate and adjust the references for AACR2 and LC practice. This must be done even if no actual changes are made to the reference tracings. *Exception:* Until practices for form and style of nonroman script references are established, name authority records with nonroman script references should contain value 'b' (Tracings are not necessarily consistent with the heading) in 008/29 (Reference evaluation). Generally let nonroman references stand unless egregiously incorrect.

In evaluating references, search the necessary related authority records to verify the AACR2 forms. If the *headings* on the related authority records are already in correct AACR2 form (and coded so to indicate this), it is not necessary also to evaluate the references on these records unless some other change to the record is needed. Otherwise, apply LCRI 26.3B-C, *Evaluating Existing References*.

### Linking References

References need not be made from the form used in pre-1981 cataloging to the form used under AACR2. Such references may be made, however, if judged useful by the cataloger or for specified projects. Although no longer routinely made, linking references are retained in existing authority records. The provisions below are being retained for use in those instances when the

linking reference is judged useful and for historical purposes.

1) *Functions of linking references.* Linking references may serve in one or more of three different capacities: 1) As actual connections between different pre-1981 and post-1980 headings used; 2) As valid cross references leading to the form chosen as the post-1980 heading; and 3) As a mechanism for updating headings in pre-AACR2 bibliographic records to the AACR2 form.

a) *Connections between pre-1981 and post-1980 headings.* When the heading has been changed for AACR2, the pre-1981 heading will generally be retained as a linking reference in the name authority file. Value "a" in byte 2 (position 3) of the \$w control subfield of the 4xx fields is used to indicate the pre-1981 heading. It is the responsibility of the descriptive cataloger to trace the reference from the pre-1981 heading.

b) *Valid cross references.* The tracing from the pre-1981 heading may also be used to produce a valid cross reference to the post-1980 heading if it is appropriate in exactly the same form as the pre-1981 heading. Based on this decision of validity as an appropriate AACR2 reference, add or delete value "a" in byte 3 (position 4) of the \$w control subfield (do not make) as necessary. If the pre-1981 heading reference is valid in substance but not in form, make another tracing in the correct form. In this case the pre-1981 heading must have the value "a" in byte 3. The examples below reflect the values that resulted from the name authority "flip."

```
110 2# $a Delaware Racing Commission
      (008/10 = c)
410 1# $w nnaa $a Delaware. $b Racing Commission.
```

The reference is a valid AACR2 reference. Delete the period from the end of the tracing and remove the value in position 4.

```
410 1# $w nna $a Delaware. Racing Commission

151 ## $a McAlester (Okla.)
      (008/10 = c)
451 ## $w nnaa $a McAlester, Okla.
```

The reference is not a valid AACR2 reference; allow the tracing to remain exactly as it is to produce the linking reference only.

```
110 2# $a Illinois State Museum
      (008/10 = c)
410 1# $w nna $a Illinois. $b State Museum, Springfield,
      Ill.
```

The reference is valid for AACR2 in substance but not in form; add position 4 as value "a" (do not make) in the tracing and trace another reference in the correct AACR2 form.

---

```
410 1# $w nnaa $a Illinois. $b State Museum, Springfield,  
Ill.
```

```
410 1# $a Illinois. $b State Museum
```

c) *Mechanism for updating headings.* The linking reference from the old catalog heading was used as a mechanism for updating headings on pre-AACR2 bibliographic records. At LC, it was done through the "bib flip" projects. Since June 3, 1985, LC catalogers have been responsible for initiating individual changes to update pre-AACR2 headings when establishing or coding a heading for AACR2 and there are bibliographic records in the machine file on which the heading appears in its pre-AACR2 form.

Nevertheless, linking references will still be traced on authority records for the benefit of other libraries.

## 2) *Guidelines for when to trace linking references*

a) *General.* Trace a linking reference from the LC pre-AACR2 heading whenever the reference tracing would serve to identify exactly the pre-AACR2 form of heading found in MARC bibliographic records or would serve as a connection between the pre-AACR2 and post-AACR2 records. Do not trace a linking reference when there is no exact one-to-one correlation between the AACR2 heading(s) and the pre-AACR2 heading(s) or when the linking reference normalizes to the same form as the heading (see e) *Exceptions* below). Note that only one linking reference can be traced; when multiple linking references appear to be needed, the linking reference technique is probably not appropriate.

b) *Bibliographic records.* When establishing a new name authority record or assigning an AACR2 heading to an existing name authority record and there are bibliographic records in the machine file with the heading in pre-AACR2 form, initiate individual changes to update the heading to the AACR2 form. Change only the particular heading being newly established or coded for AACR2, although this may result in a mixture of AACR2 and pre-AACR2 headings on records that were originally cataloged under pre-AACR2 rules. When working with a name heading, do not change name/title series added entries to update the name portion of the added entry. (The entire series will be updated when the series authority record is prepared.) When the name of a conference is represented by an authority record that omits the number, date, and place qualifiers from the heading (cf. LCRI 24.7B) and there are pre-AACR2 MARC bibliographic records under the heading for the conference that show qualifiers in pre-AACR2 form, update the qualifiers to AACR2 form and order.

c) *New name authority records.* Trace a linking reference from a pre-AACR2 heading found on bibliographic records in the master books, serials, visual materials, maps, or music files when it differs from the AACR2 heading. In rare cases when the manual authority card is examined, also trace a linking reference from the pre-AACR2 heading even if there are no LC MARC records. Code the reference for "do not make" when it is not appropriate in the AACR2 context.

NACO participants should trace linking references only from pre-AACR2 headings found in LCMARC records; do not trace linking references from headings found in LC non-MARC bibliographic

records or from headings in MARC records that were not created or input by LC.

*Note:* It will be necessary to standardize some obsolete pre-AACR2 heading forms when tracing a linking reference, although the linking reference will be coded "do not make."

*pre-AACR2 heading*

100 1# \$a Plunket, Hon. Emmeline M[ary], \$d 1835-

*linking reference*

400 1# \$w nnaa \$a Plunket, Emmeline Mary, \$c Hon.,  
\$d 1835-

*pre-AACR2 heading*

100 1# \$a Glocker, Ruby Moser (Clift)

*linking reference*

400 1# \$w nnaa \$a Glocker, Ruby Moser Clift

*pre-AACR2 heading*

100 1# \$a Prince, C[harles] L[eeson], \$d 1821-1899

*linking reference*

400 1# \$w nna \$a Prince, Charles Leeson, \$d 1821-  
1899

d) *Existing automated authority records.* When the linking reference is already traced, retain it unless one of the exceptions below is applicable. Do not routinely examine the file to see if there are MARC bibliographic records. Add or delete coding for "do not make," as appropriate.

When coding an uncoded authority record for AACR2, convert the pre-AACR2 heading into a linking reference when it differs from the AACR2 heading (unless one of the exceptions below is applicable). Code the reference for "do not make" if it is not appropriate in the current catalog. Initiate changes to the MARC bibliographic records on which the old heading has been used.

When changing the heading on an authority record that has already been coded as AACR2 or AACR2 compatible and the former heading is retained as an appropriate see reference, code the reference as an earlier established form of heading by using the value "e" in \$w, position 3.<sup>1</sup> Initiate changes to the MARC bibliographic records on which the old heading has been used.

e) *Exceptions.* Do not trace a linking reference when there is no one-to-one correlation between the AACR2 heading(s) and the pre-AACR2 heading(s) or when the linking reference normalizes to the same form as the heading.

When the linking reference is not used, supply information about the old catalog heading in

---

<sup>1</sup>For LC descriptive catalogers only: See DCM Z1 4XX, p. 1

the 667 field of the authority record, and initiate updates to MARC bibliographic records.

f) *Examples*

(1) *Multiple pre-AACR2 forms being combined into a single AACR2 heading*

*pre-AACR2 headings*

151 ## \$a Hawaiian Islands

151 ## \$a Hawaii (Ter.)

151 ## \$a Hawaii

*AACR2 heading*

151 ## \$a Hawaii

Retain only one authority record for "Hawaii"; do not trace any linking references. In the 667 field add the information: 667 ## \$a Includes the old catalog headings: Hawaiian Islands; Hawaii (Ter.). Initiate changes to MARC bibliographic records.

(2) *Single pre-AACR2 form being divided into multiple AACR2 headings (e.g., 22.2B)*

*pre-AACR2 heading*

100 1# \$a Linington, Elizabeth

*AACR2 headings*

100 1# \$a Linington, Elizabeth

100 1# \$a Shannon, Dell, \$d 1921-

100 1# \$a Egan, Lesley, \$d 1921-

100 1# \$a O'Neill, Egan, \$d 1921-

100 1# \$a Blaisdell, Anne, \$d 1921-

Prepare authority records for all headings, connecting them with explanatory *see also* references; do not trace linking references. In the 667 field on the authority records for Shannon, Egan, O'Neill, and Blaisdell, make the note: 667 ## \$a Old catalog heading: Linington, Elizabeth.

Examine the bibliographic file under Linington and initiate changes to the headings on those records written under the names Shannon, Egan, O'Neill, and Blaisdell.

(3) *Non exact one-to-one relationship, although only two headings may be involved*

*pre-AACR2 heading*

110 2# \$a National Research Council of Canada

*AACR2 headings*

110 2# \$a National Research Council of Canada  
(for pre-1972 imprints)

110 2# \$a National Research Council Canada  
(for 1972- imprints)

Retain the authority record for "National Research Council of Canada" and create one for "National Research Council Canada," coding both as AACR2. Trace *see also* references between the headings but do not trace a linking reference. In the 667 field of the authority record for "National Research Council of Canada" add the information: 667 ## \$a For pre-1972 imprints only. On the authority record for "National Research Council Canada" add in the 667 field the information: 667 ## \$a For 1972- imprints; old catalog heading: National Research Council of Canada. Examine the bibliographic files under "National Research Council of Canada" and initiate changes to the headings on those records with 1972- imprints.

(4) *Conflicting personal name headings when the conflict is resolved by changing the existing heading*

*new heading*

100 1# \$a Smith, Paul  
(No additional information is available)

*existing heading*

100 1# \$a Smith, Paul  
(The birth date is known and added to the heading to resolve the conflict: 100 1# \$a Smith, Paul, \$d 1939- )

Change the authority record for the existing heading. Initiate changes to bibliographic records to agree with the new form of heading. Do not trace a linking reference or make a note about the old catalog heading. The change is not caused by a change for AACR2.

(5) *Linking reference would normalize to the same form as the heading*

*pre-AACR2 heading*

100 1# \$a Pluchart, Jean Jacques

*AACR2 heading*

100 1# \$a Pluchart, Jean-Jacques

Do not trace a linking reference because it would normalize to the same form as the heading. In the 667 field make the note: 667 ## \$a Old catalog heading: Pluchart, Jean Jacques. Initiate changes to MARC bibliographic records.

3) *Special instructions on linking references for uniform titles.* For name/title uniform titles, trace or retain a linking reference from the old catalog heading 1) whenever a single pre-AACR2 uniform title is replaced by a single AACR2 uniform title or 2) whenever a pre-AACR uniform title included a form subheading (e.g., laws, statutes, etc.) in the name portion of the uniform title.

---

```

100 0# $a Homer. $t Iliad
400 0# $w nnaa $a Homerus. $t Ilia

110 1# $a Argentina. $t Ley no. 17.237
410 1# $w nnaa $a Argentine Republic. $k Laws, statutes,
      etc. $t Ley no. 17.237

```

With regard to linking references for uniform titles traced on existing authority records, note the following situations:

a) For name-title headings when there is no change in the title portion of the heading, do not retain the reference from the pre-AACR2 heading unless it included a form subheading (e.g., Laws, statutes, etc.).

```

100 1# $a Schillebeeckx, Edward, $d 1914- $t
      Gerechtigheld en liefde. $l English
400 1# $w nnaa $a Schillebeeckx, Edward Cornelis
      Florentius Alfons, $d 1914- $t
      Gerechtigheld en liefde. $l English

```

The reference is a name-title one with no change in the title portion; do not retain the reference tracing.

b) When the *choice* of entry for a uniform title heading differs between AACR2 and the old catalog entry, do not retain the reference from the old catalog heading, since there is to be no update of the pre-1981 bibliographic records for *choice* of entry.

```

130 #0 $a History of the American aircraft industry. $l
      Japanese
400 #0 $w nnaa $a Simonson, Gene Roger, $d 1927- $e comp.
      $t History of the American aircraft
      industry. $l Japanese

```

The choice of entry differs for AACR2; delete the entire reference tracing.

c) Collective uniform titles when there is no one-to-one relationship between the AACR2 and pre-AACR2 headings.

```

100 1# $a Goethe, Johann Wolfgang von, $d 1749-1832. $t
      Selections. $f 1980
400 1# $w nnaa $a Goethe, Johann Wolfgang von, $d 1749-
      1832. $t Selected works

```

Delete the entire reference tracing.

THIS PAGE INTENTIONALLY LEFT BLANK