

700 PERSONAL NAME – PRIMARY RESPONSIBILITY

Field Definition

This field contains the name of the person considered to have primary responsibility for a work in an access point form, provided that the record is created according to cataloguing rules recognising the concept of main entry.

Occurrence

Optional. Not repeatable. It may not occur in the same record as field 710 CORPORATE BODY NAME – PRIMARY RESPONSIBILITY or field 720 FAMILY NAME – PRIMARY RESPONSIBILITY, since a record can have only one access point with primary responsibility. If the concept of main entry does not exist in the cataloguing rules or the source format does not distinguish it, this field does not occur: field 701 is used for all personal headings (see Related Fields).

Indicators

Indicator 1: blank (not defined)

Indicator 2: Form of Name Indicator

This indicator specifies whether the name is entered under the first occurring name (forename) or in direct order or whether it is entered under a surname, family name, patronymic or equivalent, usually with inversion (EX 5).

0 Name entered under forename or direct order

1 Name entered under surname (family name, patronymic, etc.)

Subfields

\$a Entry Element

The portion of the name used as the entry element in the heading; that part of the name by which the name is entered in ordered lists. This subfield must be present when the field is present. Not repeatable.

\$b Part of Name Other than Entry Element

The remainder of the name, used when the entry element is a surname or family name (EX 1-11, 14). It contains forenames and other given names. The form of name indicator should be set to 1 when this subfield is used. Printing expansions of initials should be entered in \$g. Not repeatable.

\$c Additions to Names Other than Dates

Any additions to names (other than dates) which do not form an integral part of the name itself including titles, epithets or indications of office (EX 6, 7, 8, 12, 15, 16). Repeatable for second or subsequent occurrences of such additions (EX 8, 16).

\$d Roman Numerals

Roman numerals associated with names of certain popes, royalty and ecclesiastics (EX 12). If an epithet (or a further forename) is associated with the numeration, this too should be included (EX 17). The form of name indicator should be set to 0 when this subfield is used. Not repeatable.

\$f Dates

The dates attached to personal names together with abbreviations or other indications of the nature of the dates. Any indications of the type of date (e.g., flourished, born, died) should be entered in the subfield in full or abbreviated form (EX 15). All the dates for the person named in the field should be entered in \$f. Not repeatable.

\$g Expansion of Initials of Forename

The full form of forenames when initials are recorded in subfield \$b as the preferred form and when both initials and the full form are required (EX 2). Not repeatable.

\$o International standard identifier for the name

The ISNI or other international identifier assigned to the name recorded in the field. The first four character positions contain an alphabetic code specifying the nature of the identifier; in the case of an ISNI, this code corresponds to the letters preceding the number. Repeatable.

\$p Affiliation/address

This subfield contains the institutional affiliation of the individual at the time the work was prepared (EX 18). Not repeatable.

\$3 Authority Record Number

The control number for the authority record for the heading. This subfield is for use with *UNIMARC/Authorities* (EX 3). Not repeatable.

\$4 Relator Code

A code used to designate the relationship between the person named in the field and the bibliographic item to which the record refers. Relator codes can be either numerical or alphabetical. The list of numerical codes is to be found in Appendix C. If greater precision is required for performers, a list of alphabetical codes is found at the end of field 145. An agency requiring greater precision should use the numeric code followed by the more specific alphabetic code in a repeated subfield. Repeatable.

Notes on Field Contents

Form:

The form of name which appears in the field is determined by the appropriate cataloguing rules and/or authorities used by the agency responsible for the preparation of the record. Dates may be entered according to different calendars.

Selection of subfields:

It may not always appear obvious, when presented with a source record to be converted to UNIMARC, which sub-elements of the name in a source format correspond to which UNIMARC subfields. These notes are intended to give general guidance but are not exhaustive. It is necessary to be aware that names formed according to different cataloguing rules, or even originating from different authority files based on the same rules will not always interfile correctly in one sequence. Until standards are established UNIMARC can provide only a framework for identifying the distinct data elements.

One way of conceiving of the differences between Entry Element (\$a), Part of Name Other than Entry Element (\$b), and Additions to Names Other than Dates (\$c) is by referring to their use. The first element, entry element, is the word under which the entry would be formed in an ordered list. The second element subdivides the list ordered by the first element. The third element, Additions to Names Other than Dates, will either be used as a third filing element, or may in some cases, especially when it precedes the Part of Name Other than Entry Element, be ignored for ordering purposes.

Where family names begin with a particle such as a preposition, it will be placed at the start of subfield \$a. If the name files under the next element after the particle, the particle will usually be placed at the end of the name. It is recommended that these particles be entered in subfield \$b Part of Name Other than Entry Element (EX 9, 10, 11).

Titles of address, epithets or qualifiers to names added by the cataloguer should be entered as Additions to Names Other than Dates, subfield \$c.

Punctuation:

There are no standards for punctuation in this field. However, it is recommended that punctuation be retained where it is available in the source format. In source formats where punctuation is not available, but is printed out by an algorithm generated from the definition of the subfields, it is recommended that the punctuation which would be used in display be included in the UNIMARC record.

Because there are no standards for punctuation in this field, recipients of records in the UNIMARC format will have to be aware of the practices adopted by the agency preparing the record; therefore agencies distributing records should attempt to be consistent in their own records. Details should be included in the documentation accompanying exchange tapes (See Appendix K).

Related Fields

200 \$f, \$g TITLE AND STATEMENT OF RESPONSIBILITY, First Statement of Responsibility and Subsequent Statement of Responsibility.

Data in field 200 is recorded as it appears on the item. The name of the person mentioned in \$f or in some cases \$g to whom is attributed primary responsibility for the item (if any) will be entered in 700 in a form suitable for an access point.

701 PERSONAL NAME – ALTERNATIVE RESPONSIBILITY

If there are further persons considered to have equal or alternative responsibility to the person named in field 700, field 701 is used to record the required access points for these. This will occur when documents are written 'by Glenn L. Jenkins, Adelbert M. Knevel, Frank E. Di Gangi', or in the provisions of certain cataloguing rules when complementary text and illustrations, for example photographs and accompanying text are the responsibility of different persons. One or other of the persons with equal responsibility will be entered in field 700, the other(s) in 701, without any implication that the ones entered in 701 fields have any less responsibility for the item than the one entered in 700. Where the cataloguing rules do not recognise 'main entry' primary personal responsibility, headings are entered in field 701 and field 700 is not used.

702 PERSONAL NAME – SECONDARY RESPONSIBILITY

If there are persons considered to have less responsibility than the person named in field 700 they should be entered in 702 fields.

Examples

EX 1: 700 #1\$aBenson,\$bRowland S.

The name in access point form: Benson, Rowland S.

EX 2: 700 #1\$aLawrence\$bD.H
700 #1\$aLawrence\$bDavid Herbert
700 #1\$aLawrence\$bD.H.\$gDavid Herbert

The above examples illustrate different 700 fields for the same entity that result from various agencies because of variations in the access point form: Lawrence, D.H. or Lawrence, David Herbert or Lawrence, D.H. (David Herbert).

The variations result from the application of different cataloguing rules for headings. The third example above includes parentheses to distinguish between the preferred form of the forenames and the full form.

EX 3: 700 #1\$3014678\$aBridges-Webb,\$bCharles

Charles Bridges-Webb (a hyphenated name) is entered under Bridges-Webb. The authority file number in the system is 014678.

EX 4: 700 #1\$aDay Lewis,\$bCecil

C. Day Lewis has a compound surname without a hyphen. The cataloguing code enters the name as: Day Lewis, Cecil.

EX 5: 700 #0\$aMao Tse Tung
700 #1\$aMao,\$bTse Tung

Chinese names are in normal usage (outside cataloguing) written with the family name first. This results in differing treatment among cataloguing codes. Mao Tse-Tung (to use one possible rendering of the name into the roman alphabet) may be entered according to some cataloguing codes as: Mao Tse-Tung; according to others as Mao, Tse-Tung. This is because some codes feel that the punctuation, in this case a separating comma ',' represents the division between family name and given names while others feel that a comma denotes inversion from the usual form and omit it here since no inversion has been required.

Note that when the name is entered in direct order, i.e. under the name which comes first, and the whole of the name is entered in the same subfield, the second indicator, Form of Name Indicator, is set to 0. However, if the first element is regarded as a surname by analogy with Western treatment of surnames, then the second indicator is set to 1.

EX 6: 700 #1\$aStanhope,\$cLady\$bHester

An author has a title which comes before the given names according to the cataloguing code used. The order of subfields is retained, as always in UNIMARC.

EX 7: 700 #1\$aParker,\$bTheodore\$c(Spirit)

The cataloguing code of the source format stipulates that epithets be used under certain circumstances: Parker, Theodore (*Spirit*).

EX 8: 700 #1\$aArundel,\$bPhilip Howard,\$cEarl of,\$cSaint

An individual has two separate titles; they are entered in separate subfields. According to the cataloguing code used, 'Arundel' is the entry element.

EX 9: 700 #1\$aBergh,\$bGeorge van der

Entry in catalogue: Bergh, George van der. Depending on the prefix, names are sometimes entered under the prefix, at other times not.

EX 10: 700 #1\$aLa Fontaine Verwey\$bHerman de

Entry in catalogue: La Fontaine Verwey, Herman de

EX 11: 700 #1\$aDu Perron,\$bE.

Entry in catalogue: Du Perron, E.

EX 12: 700 #0\$aVittorio Emmanuele\$dII,\$cre d'Italia

Monarchs are entered under their given names in the majority of cataloguing rules.

EX 13: 700 #0\$aPan Painter

700 #0\$aJackie

Pseudonyms sometimes consist of a phrase or other appellation that does not contain a real name and are then usually entered in direct order.

EX 14: 700 #1\$aOrwell,\$bGeorge

700 #1\$aOther,\$bA.N.

Pseudonyms having the appearance of a forename, forenames or initials, and a surname are according to most cataloguing codes entered under the pseudo-surname.

EX 15: 700 #0\$aJoannes,\$cDiaconus,\$ffl.1226-1240

An example of the name of a medieval person consisting only of a given name. An epithet and date are added.

EX 16: 700 #0\$aAlexandra,\$cEmpress,\$cConsort of Nicholas II, Emperor of Russia

Two epithets are separately identified in the source format. This distinction should be carried over into UNIMARC.

EX 17: 700 #0\$aJohn\$dII Comnenus,\$cEmperor of the East

EX 18: 700 #1\$aBrown\$bB.F.\$pChemistry Dept., Harvard University

An example of an affiliation.

EX 19: 700 #1\$aCallas,\$bMaria\$4721\$4vso

In addition to \$4721 (singer), one can code specifically for the voice range (\$4vso = soprano).

EX 20: 700 #1\$aBrendel,\$bAlfred\$4545\$4kpf

In addition to \$4545 (musician), one can code specifically for the instrument played by the musician (\$4kpf = piano).