Family Names: Headings and References   H 1631.5

BACKGROUND: *Cataloging works on the history or genealogy of an individual family or family members requires the creation of subject access points for family names.   This instruction sheet provides guidelines on establishing family names as subject access points that collocate different spellings and variations of a family name.   For instructions on establishing names of noble families, royal houses, dynasties, etc., see H 1574.   For instructions on assigning subject headings to genealogy materials, see H 1631.*

Note: Under AACR2, family names could not be established in the LC Name Authority File because they could not be used as descriptive access points.   Currently, RDA allows family names to be used as descriptive access points if the family is credited with the creation of a work.   Therefore, family names may be established in the LC/Name Authority File (NAF) to represent a specific instance of a family in a single location or time period, and may be used as subject access points[1].   Example:

Subject authority heading: 100 3# $a Smith family
400 3# $a Smythe family

Name authority heading: 100 3# $a Smythe (Family : $d 1745-1995 : $c Providence, R.I.)

1.   The heading.

a.   General rule.   Establish the family name using the most common form of the name. Establish the heading as **[Name of family] family**.   Do not add any qualifiers to the name, such as the name of the progenitor or the occupation of the family.

The established heading is based on the conventions for the country and language most associated with the family.   For an authoritative resource, see the IFLA *Names of Persons* documents (https://www.ifla.org/g/cataloguing/names-of-persons/).   The established heading will not necessarily correspond to the form found on the work being cataloged. *Example:*

```
100 3# $a Adams family
400 3# $a Adam family
400 3# $a Adamson family
400 3# $a Addam family
400 3# $a Addams family
400 3# $a Adems family
400 3# $a Adom family
```

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1 This is a change of policy for the use of name authority authorized access points as subject access points. The change took place in 2024.

a.   General rule.   *(Continued)*

*Note: For family names that include the word **Saint** or a foreign equivalent, use the spelled-out form in the heading rather than the abbreviated form.   Add 400 fields as necessary using the abbreviated form.*

If the name is a common one with several variants, select for the heading the spelling of the name used most frequently and add 400 fields from the other forms of the name.   If appropriate, consult the name authority file or another database of names to determine which spelling is most commonly used.   *Examples:*

```
        100 3# $a Smith family
[not    100 3# $a Smyth family]

        100 3# $a Clark family
[not    100 3# $a Clarke family]
```

If the name is associated with a famous family, select the spelling of the name used by the family.   *Example:*

```
        100 3# $a Hearst family
[not    100 3# $a Hurst family]
```

b.   Compound names.   Establish compound names as one name, for example, **Lloyd Jones family**.

Using 500 (related term) fields, connect compound names with the parts of the name, if they have been established.   *Example:*

```
        100 3# $a Lloyd Jones family
        500 3# $a Jones family
        500 3# $a Lloyd family
```

Do not establish such names solely for the purpose of adding these 500 fields.

c.   Non-English language family names.   In general, if a family name includes a term that, in English, means "family," "clan," "dynasty," etc., use only the distinctive form of the name in the heading.   Establish the family as **[Name of family] family**.   See the instructions under sec. 2.a.i for possible "used for" references.

c.   Non-English language family names.   (Continued)

For family names in languages with inflected forms, record the singular masculine nominative form, even if it is provided by the cataloger and is not found on the work being cataloged.

If the family name is not in the English language, record the form of name as it is expressed in English-language sources, if available, as a variant form.

d.   Related names.   Establish similar names from different ethnic backgrounds as separate names, connecting them with 500 (related term) fields.   *Example:*

```
100 3# $a Navarro family
500 3# $a Navarre family

100 3# $a Navarre family
500 3# $a Navarro family
```

If a family name has been changed substantially as the result of emigration or its existence in more than one country, establish headings for both names, connect them with 500 (related term) fields, and assign both headings to the work being cataloged.   *Example:*

```
100 3# $a Bitsche family
500 3# $a Peachey family

100 3# $a Peachey family
500 3# $a Bitsche family
```

If a family name has undergone minor variations, regardless of movement of the family, maintain it as a single heading.

```
100 3# $a Johns family
400 3# $a John family
400 3# $a Johnes family
400 3# $a Johnns family
```

d.   Related names.   (Continued)

If family names of different ethnic backgrounds are distinguished only by the use of diacritical marks, establish a single heading (without diacritical marks if that form occurs), adding a note explaining that the heading is used for multiple families and that the appropriate diacritical marks may be included in the heading on an individual bibliographic record.   *Example:*

```
100 3# $a Koto family
680 ## $i Here are entered works on families with the
surnames Koto, Kōtō or Kotō.
680 ## $i When this heading is assigned to works on an
individual family, the appropriate diacritical marks, if
any, are included in the heading in the catalog record.
```

2.   Tracings and references.

a.   See from tracings.   Add 400 (see from) fields for each known variant, including variant spellings of the name.   Variant romanizations of names in non-Latin scripts may be given if they are justified in cited sources.   (See Appendix C, sec. 4.)   As necessary, also add 400 fields as described in sec. 1.a. above.

i.   Non-English language family names.   In general, if a family name includes a term that, in English, means "family," "clan," "dynasty," etc., this variant of the name may be used as a reference.   Add 400 (see from) fields to provide access to the family name with the generic, non-English-language term.   For these references, do not append the term "family." Add text in the appropriate citation to indicate the meaning of the generic term in English.   *Example:*

```
      100 3# $a Bā ʻAlawī family
      400 3# $a Āl Abī ʻAlawī
[not  400 3# $a Āl Abī ʻAlawī family]
```

b.   See also from tracings.   Add 500 (related term) fields as described in sec. 1.b. and 1.d, above.   Do not add any 5XX (broader term) references.

3.   Citation of sources.   Record the form(s) of name and the nationality or location of the family in the citation for the work being cataloged, as well as in the citations for any other sources consulted, if that information is provided in the sources.

When possible, consult the following sources for works about families located in North America, recognizing that these resources are good for many European names:

- *New Dictionary of American Family Names*
- Tables in the publication of the U.S. Census Bureau, *A century of population growth* (https://www.census.gov/library/publications/1909/decennial/century-populaton-growth.html or https://archive.org/details/centuryofpopulat00unit)

For headings for families located outside of the United States, the consultation of authoritative reference sources from the relevant geographic area and language is highly encouraged. Commercial resources may be consulted, but they should be considered in conjunction with other sources as much as possible.

4.   MARC tagging.   Tag headings for individual families in MARC field 100 in authority records and MARC field 600 in bibliographic records, both with a first indicator of 3.   Code all family name subject headings as *Not Subd Geog*.