AUTHORITY CONTROL

What You Need to Know to do it Yourself

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- 225,000 bibliographic records
- 102,000 authority records
 - Download only authority records which have xrefs
- 4,500 titles cataloged annually
- 2.25 FTE professional catalogers

Using III Authority Reports (#105070)

Decisions

- How often to print (or view online)
 - Recommended daily or weekly
- Whether or not to exclude records without a Cat Date in the bib record
 - ♦ If full record is downloaded at time of order, do not exclude Cat Date
- Whether to limit any reports
- What fields to include in duplicate field report
 - ◆ Call number, ISBN/ISSN, OCLC #, barcode

Headings are Checked When:

- Record is downloaded
- Title is changed
- Heading is added, deleted or modified
- Record is suppressed or unsuppressed by using BCODE3 field in bib record
- Bib record is deleted

Excluding Based on Cat Date

- Select a report (or ALL)
 - System provides information and warning
- Exclude records without a CAT DATE? (y/n)
 - ◆ System can be set so this question is not asked; reports will automatically exclude bib records without cat date (A>A>S>O>D #4)
 - Workflow considerations

Limiting by Other Criteria

Limit report to specific

F> Function done by user (User Manual #101470)

U> User

T> Terminal number used by user

L> Location in bib rec

P> Prepare report

Q> QUIT

Choose one (F,U,T,L,P,Q)

Reports on Headings

F > Headings used for FIRST Time

I > INVALID headings used

D > DUPLICATE call numbers & other errors

B > BLIND References

R > Duplicate authority RECORDS

U > Bibliographic UPDATES **

N > NEAR matches **

L > BUSY matches **

X > Non-Unique 4XXs **

Y > Cross-Thesaurus matches **

A > ALL reports

C > CLEAR report file

Q > QUIT

Choose one (F,I,D,B,R,U,N,L,X,Y,A,C,Q)

From main menu, select D> then H>

Headings Used for the First Time (#101471)

- Authors
- Subjects (including subdivisions)
- NOT series or uniform titles
 - Perform authority work at time of cataloging
 - Create list of new bibs with UTs and series, then check
- UMD downloads authority record only if cross references (4xx or 5xx) are present

Sample Authority Record

```
A10818753 Last upd:03-28-00 Created:09-15-97 Rev:2
```

```
01 ACODE1: 02 ACODE2: 03 ASUPPRESS:
```

```
04 001 oca02099795
```

```
05 008 860211i anannbab a ana cz n
```

```
06 010 sh 85038796
```

```
09 150 Dogs
```

Sample First Time Use (FTU) Author

FIELD: 100 1 aCole, Bernard Conrad

INDEXED AS AUTHOR: cole bernard conrad

MESSAGE: -----FIRST TIME USE-----

PRECEDED BY: cole babette

FOLLOWED BY: cole brock

FROM: b1231545x Cole, Bernard Conrad The emergence of net-centric computing / Bernard C. Cole

CATALOG DATE: 01-16-2002

FUNCTION: oc AT TERM: 0 INITIALS: bjt ON Wed

Jan 16 2002 15:35:30

First Time Authors

- On III report, check preceding and following entries for new heading
 - ◆ Remember that preceding and following entries may be from 4xx or 5xx field in another authority record
- Search OPAC only if a potential problem exists (UMD always searches OPAC)

Groft, Tammis Kane

Preceded by: grofman bernard

Followed by: grogan denis joseph

DECISION: no potential problem, skip OPAC search

Example from Author FTU List

FIELD: 100 1 |aDoyle, Arthur Conan, |d1859-1930

INDEXED AS AUTHOR: doyle arthur conan 1859

1930

PRECEDED BY: doyle anna beth

FOLLOWED BY: doyle arthur conan sir 1859 1930

**Decision: verify form of name and correct wrong heading

First Time Authors (con't)

- Search name in authority file (OCLC)
- Download authority record if needed
- Correct heading in OPAC if necessary

Sample FTU Subject Entry

FIELD: 650 0 a Mirrors in art

INDEXED AS SUBJECT: mirrors in art

MESSAGE: -----FIRST TIME USE-----

PRECEDED BY: mirrors history

FOLLOWED BY: mirrors in literature

FROM: b12311785 Miller, Jonathan, 1934- On reflection / Jonathan Miller

CATALOG DATE: 01-25-2002

FUNCTION: oc AT TERM: 0 INITIALS bjt ON: Fri Jan 25 2002 08:18:48

First Time Subjects

- Check preceding and following entries on list
 - Preceding or following entry may be from a
 4xx or 5xx field on another authority record
- Check for "root" heading in OPAC

 FIELD: 650 0|aDinosaur paraphernalia|zUnited

 States

PRECEDED BY: dinophyta

FOLLOWED BY: dinosaur provincial park

**Decision: need authority record for Dinosaur paraphernalia since it has a 4xx

First Time Subjects (con't)

- Search OCLC and download authority record if needed
 - Root heading or full subject heading or both

First Time Subjects (con't)

Can the free-floating subdivision be used for this type of heading?

United States|xHistory|yCivil War, 1861-1865|xPhotography

**Decision: |xPhotography is authorized for Wars so heading is okay; verified that no authority record with xrefs existed for full subject heading

First Time Subjects (con't)

Is geographical subdivision in correct position?

Aged|xAbuse of|zUnited States Learning disabled|zUnited States|xIdentification

**Decision: |xAbuse of may be subdivided geographically; |xIdentification may not be subdivided geographically. Both headings are okay.

FIELD: 650 0 |aFire|xComputer simulation

INDEXED AS SUBJECT: fire computer simulation

PRECEDED BY: fire companies

FOLLOWED BY: fire departments

**Decision: search OPAC to see if authority record for "Fire" exists. If not, search OCLC and download if needed (has xrefs)

Check to see that |xComputer simulation is okay free-floater and search OCLC to see if authority record exists and is needed (has xrefs)

FIELD: 650 0 aIndustry and state zUnited States

INDEXED AS SUBJECT: industry and state united states

PRECEDED BY: industry and state

FOLLOWED BY: industry and state united states

videocassettes

**Decision: Searched OPAC and found xref: Industry and state SEE Industrial policy. Searched OCLC and verified that Industrial policy was correct; corrected heading on bib record. Heading did NOT appear on Invalid Headings report since it did not match 4xx EXACTLY (Industry and state). Also corrected the "followed by" heading which was on same bib record.

FIELD: 650 0 | aSlave insurrections | zUnited States | vSources

INDEXED AS SUBJECT: slave insurrrections united states sources

PRECEDED BY: slave insurrections virginia

FOLLOWED BY: slave keeping

**Decision: wondered why ...Virginia preceded ...United States since V doesn't come before U and saw typo in new heading (3 r's). Corrected bib record

FIELD: 650 0 | aTravel | zGreat Britain | xHistory

INDEXED AS SUBJECT: travel great britain history

PRECEDED BY: travel french united states

FOLLOWED BY: travel guidebooks

**Decision: authority record for "Travel" shows it can't be subdivided geographically.

Corrected heading to Great Britain|xDescription and travel. Did not add |xHistory because |xDescription and travel cannot be subdivided by |xHistory (Subject Cat. Manual sect.1647:9)

Headings NOT reported on Subject FTU list

Headings entering the database for the first time that are already in the database as a 5xx reference on another heading.

Example: "Tree farms" will not be on the FTU list when it is used as a 650 subject heading because it is already in the database as a 550 xref on the authority record for "Timber"

OCLC Searching Tips

- Many subject headings with free-floating subdivisions are established LC authority records with cross references
- May need to search multiple OCLC indexes
 - Example: Shakespeare is in both name and subject indexes
 - Corporate author, uniform title, personal name, subject, conference

OCLC Downloading Tips

- Interactive downloading
 - ◆ Authority records for 100, 110, 111 or 130 headings automatically index as author or title
 - ◆ When authority record is needed for the subject index, specify load table choice before exporting
 - Watch authority records with mixed tags (150 with 400 and 500 xrefs)
 - Choose proper load table if necessary
 - *atab=asub (#101524)

OCLC Downloading Tips (con't)

- Batch downloading
 - Choose correct downloading table in III
 - No need to copy authority records
 - No problem with mixed tags

Mixed Tags

150 0 Holy Cross

400 00 Jesus Christ|xCross

450 0 Cross

500 00 Jesus Christ|xCrucifixion

500 00 Jesus Christ|xRelics

550 0 Feast of the Cross

If using interactive downloading, Jesus Christ will be indexed as an author rather than a subject because it is a x00 field

View with Innopac Tags

■ In database maintenance, type an asterisk (*) to see Innopac tags

SUBJ AUTH Holy Cross

NAME S FRM Jesus Christ Cross

NAME SA FRM Jesus Christ Crucifixion

NAME SA FRM Jesus Christ Relics

SUBJ S FRM Cross

SUBJ SA FRM Feast of the Cross

To Avoid problems with Mixed Tags

- Check tags before exporting from OCLC
- Insert a command line (949) at the end of the authority record with mixed tags
- Specify which "authority record load table" you wish to use (#101524)
 - *atab=asub (for subjects)
 - *atab=anam (for names)
- Can also be used when you want to download a name authority record into subject index

Other headings reports generated when bibliographic records are added, deleted or with some updates

Reports on Headings

- F > Headings used for FIRST Time
- I > INVALID headings used
- D > DUPLICATE call numbers & other errors
- B > BLIND References
- R > Duplicate authority RECORDS
- U > Bibliographic UPDATES **
- N > NEAR matches **
- L > BUSY matches **
- X > Non-Unique 4XXs **
- Y > Cross-Thesaurus matches **
- A > ALL reports
- C > CLEAR report file
- Q > QUIT

Choose one (F,I,D,B,R,U,N,L,X,Y,A,C,Q)

INVALID headings used (#101472)

- Checks incoming 1xx, 6xx & 7xx against 4xx headings in Authority file
- Must be a direct match, headings with subdivisions are not reported
- You must make the correction
 - Search OPAC, verify heading
 - ♦ Search OCLC, verify that the correct heading is still valid, is so, correct the heading

INVALID headings used

03-12-02

1 > FIELD: 650 0 | aHealth care INDEXED AS SUBJECT: health care

MESSAGE: ------ INVALID HEADING ------

CORRECT HEADING IS: medical care

FROM: b12540419 World Health Organization. International Collaborative Study of Medical Care Utilization Health care: an international study: report of the World Health Organization/International Collaborative Study of Medical Care Utilization / edited by Robert Kohn and Kerr L. White; with a foreword by Robert F. Bridgman

CATALOG DATE: 03-12-2002

FUNCTION: oc AT TERM: 0 INITIALS: ON: Tue Mar 12 2002 07:55:22

Key a number to edit that database record, or P > PRINT R > RANGE Q > QUIT Choose one (1-1,P,R,Q) _

Anzio Lite Version 11.4t

NUM

A11115208	Last updated: 06-29-01 Created: 06-29-01 Revision: 2
01 ACODE1:	
04 001	oca02009280
05 008	
06 010	
07 150	
08 360	isubdivision aMedical care iunder names of individual military
	services and under individual wars, classes of persons, ethnic
	groups, and occupational groups, e.g. aUnited States. Air Force
	Medical care; World War, 1939-1945Medical care; AgedMedical
	care; African AmericansMedical care; Construction industry
00 450	EmployeesMedical care
09 450	Delivery of health care Delivery of medical care
10 450 11 450	Health care
12 450	
13 450	
14 450	Health services
4	
!To modify	a particular field, Key its number
	MARC Codes F > FULL Screen Editor Z > MOVE Fields
	HEADINGS I > INSERT a Field $+$ > ADDITIONAL options
	(1-22,V,H,F,I,Z,D,M,C,P,R,],Q,+)
+	+

Health care|xUtilization is reported on "Headings Used for First Time" rather than on "Invalid Headings" because it does not match 4xx exactly (the addition of the subdivision makes it not an exact match)

Headings used for FIRST Time 03-12-02

1 > FIELD: 650 0 | aHealth care | xUtilization

INDEXED AS SUBJECT: health care utilization

MESSAGE: ------ FIRST TIME USE ------

PRECEDED BY: health care technology FOLLOWED BY: health catchment areas

FROM: b12540407 World Health Organization. International Collaborative Study of Medical Care Utilization Health care: an international study: report of the World Health Organization/International Collaborative Study of Medical Care Utilization / edited by Robert Kohn and Kerr L. White; with a foreword by Robert F. Bridgman

CATALOG DATE: 03-12-2002

FUNCTION: oc AT TERM: 0 INITIALS: ON: Tue Mar 12 2002 07:53:33

DUPLICATE call numbers & other errors (#101473)

- Alerts you of duplicate errors
 - Duplicate call numbers
 - Duplicate OCLC # or ISBN /ISSN
 - Duplicate barcodes (patron and item)
 - Or can be set to "none" (catching nothing)
- You make corrections

DUPLICATE call numbers & other errors

03-18-02

1 > FIELD: 001 45749794

INDEXED AS OCLC NO: 45749794

MESSAGE: ------ DUPLICATE USE ------

FROM: b12542404 Naidoo, Beverley The other side of truth / Beverley Naidoo

CATALOG DATE: 03-18-2002

FUNCTION: oc AT TERM: 0 INITIALS: bjt ON: Mon Mar 18 2002 08:16:43

Key a number to edit that database record, or R > RANGE Q > QUIT

Choose one (1-1,P,R,Q)

Anzio Lite Version 11.4t

NUM

You searched for the OCLC NO: 45749794

2 entries found, entries 1-2 are:

CALL #

45749794

- 1 The other side of truth / Beverley Naidoo
- The other side of truth

jPN .Naid6 07

Please type the NUMBER of the item you want to see, or

P > PRINT

L > LIMIT this Search

D > DISPLAY Title and Author Choose one (1-2,P,D,L,Q)

Q > QUIT

Anzio Lite Version 11.4t

NUM

BLIND references (#101474)

- Reported once
- Usually because last bib record has been with heading has been deleted
- Author -- title -- subject
- Manually delete if all headings are out of the database
- We retain blind reference when we have the heading with subdivisions so we can have use of the cross references

BLIND References 03-18-02

1 > FROM: a10929861 SUBJECT 150 0 aAerospace engineers

FUNCTION: ee AT TERM: 701

INITIALS: tejn ON: Fri Mar 15 2002 13:03:54

MESSAGE: ----- IS A BLIND REFERENCE ------

2 > FROM: a10736219 SUBJECT 150 0 aMetals x Cold working

FUNCTION: ee AT TERM: 701

INITIALS: tejn ON: Fri Mar 15 2002 12:58:39

MESSAGE: ----- IS A BLIND REFERENCE ------

3 > FROM: a11135402 TITLE 130 0|aDiscrete mathematics and theoretical computer science

FUNCTION: OC AT TERM: 0

INITIALS: ON: Thu Mar 14 2002 09:30:48

MESSAGE: ----- IS A BLIND REFERENCE ------

Key a number to edit that database record, or

P > PRINT

R > RANGE

Q > QUIT

Choose one (1-3,P,R,Q)

BLIND References 03-27-2002

2 > FROM: a11036825 SUBJECT 150 0|aDrivers' licenses

FUNCTION: oc AT TERM: 0

INITIALS: ON: Thu Mar 23 2002 15:07:26

MESSAGE: ----- IS A BLIND REFERENCE -----

You searched for the SUBJECT: drivers lic 3 SUBJECTS found, with 3 entries; SUBJECTS 1-3 are:

Duplicate authority RECORDS (#101475)

- Generated by loading authority records
- Alerts you of duplicate authority records
- Will alert you of "duplicate" author records when there is an added |t, |l, |k [Not really a duplicate] (User manual #101484)
- You make decision about whether or not to retain authority record

Duplicate authority RECORDS 03-27-2002

1 > FIELD: 150 0|aMicrofinance

INDEXED AS SUBJECT: microfinance

MESSAGE: ----- DUPLICATE AUTHORITY -----

FROM: a11036904

FUNCTION: oc AT TERM: 0 INITIALS: ON: Thu Mar 23 2002

15:11:42

Duplicate authority RECORDS 03-27-2002

1 > FIELD: 100 10|aTwain, Mark,|d1835-1910.|tCorrespondence.|kSelections

INDEXED AS TITLE: correspondence

MESSAGE: ----- DUPLICATE AUTHORITY -----

FROM: a11037428

FUNCTION: oc AT TERM: 0 INITIALS: ON: Thu Mar 23 2002 11:02:34

You searched for the AUTHOR: twain mark 13 entries found, entries 1-8 are:

Twain Mark 1835 1910

- 1 --> Authority Record -- Adventures of Huckleberry Finn
- 2 --> Authority Record -- Autobiography
- 3 --> Authority Record -- Correspondence
- 4 --> Authority Record -- Correspondence. Selections
- 5 --> Authority Record -- Novels. Selections
- 6 --> Authority Record -- Selections. 1982
- 7 --> Authority Record -- Selections. 1983
- 8 --> Authority Record -- Selections. 1984

Automatic Authority Control Processing (#101467)

Reports generated when authority records are loaded or updated if product is enabled

Automatic Authority Control Processing

Bibliographic UPDATES

- Authority record is loaded or updated
 - First time headings
 - ◆ A heading changes (new/revised authority record overlays old record or is loaded & old record is deleted)
- All 4xx fields on authority record will be checked against headings in your database

Automatic Authority Control Processing (con't)

- Overnight, III checks the 4xx fields on new or updated authority records against the database and changes headings on bib records that match the 4xx fields
- Headings with subdivisions ARE changed automatically

BIBLIOGRAPHIC RECORD UPDATED 03-15-02

1 > FIELD: d650 0|aAutomobile drivers' licenses|zUnited States

INDEXED AS SUBJECT: automobile drivers licenses united states

MESSAGE: ------ HEADING UPDATED ------

CHANGED TO: d650 0|aDrivers' licenses|zUnited States

BIBLIOGRAPHIC RECORD: .b10627972 AUTHORITY RECORD: .a11036825

CATALOG DATE: 02-23-93

FUNCTION: au AT TERM: 0 INITIALS: ON: Fri Mar 15 2002 05:20:04

2 > FIELD: d650 0|aAutomobile drivers' licenses|zUnited States|xStates|

INDEXED AS SUBJECT: automobile drivers licenses united states states

MESSAGE: ------ HEADING UPDATED -----

CHANGED TO: d650 0|aDrivers' licenses|zUnited States|xStates

BIBLIOGRAPHIC RECORD: .b12169067 AUTHORITY RECORD: .a11036825

CATALOG DATE: 08-22-96

FUNCTION: au AT TERM: 0 INITIALS: ON: Fri Mar 15 2002 05:20:04

Automatic Processing Will NOT Occur If:

- Old heading is not listed as 4xx on new auth. rec.
- Old hdg exists as 4xx on more than 1 auth. rec.
- Heading on bib record is mis-tagged
- 651 0 Afro-Americans|xHistory
- Indicator in heading on bib record is different than thesaurus indicated in 008/11 field
- 650 4 Afro-Americans|xHistory|xVideocassettes

Automatic Processing Will NOT Change:

■ Free-floating subdivisions without a matching authority record

Twain, Mark, 1835-1910|xCharacters|xAfro-Americans

Lincoln, Abraham, 1809-1865|xRelations with Afro-Americans

NEAR matches (#101479)

- Reports headings that are not an exact match
- Something is slightly different between the heading in database & authority record
 - ◆ Punctuation
 - Case (upper or lower)
 - Tagging or Subfield delimiters
 - Diacritics
- You make correction

NEARLY MATCHES 03-26-02

1 > FIELD: d610 20|aGoldman, Sachs & Co

INDEXED AS SUBJECT: goldman sachs and co

MESSAGE: ----- NEAR MATCH -----

CORRECT HEADING MAY BE: d110 20|aGoldman, Sachs & Co

BIBLIOGRAPHIC RECORD: .b12325740 AUTHORITY RECORD:

.a11037635 CATALOG DATE: 03-26-02 FUNCTION: au AT TERM: 0 INITIALS: ON: Tue Mar 26 2002 05:20:03

BUSY matches (#101480)

- Record should have been updated
- Busy -- "In use by the system"
- Report tells you what the heading is in your database currently and what it should be changed to
- We have seen this only a few times

Non-Unique 4XXs (#101477)

- Report gives the incoming non-unique 4xx, its authority record number and the authority record number of at least one other record with the same 4xx
- You verify that all 4xx headings should remain on the authority records
- Fastest way--call up 4xx heading in OCLC and make sure your authority records are still valid

NON-UNIQUE 4XX

03-18-02

1 > FIELD: b410 2 | aSFWA INDEXED AS AUTHOR: sfwa

MESSAGE: ----- NON-UNIQUE 4XX -----

AUTHORITY RECORD: .a10018207 AUTHORITY RECORD: .a11135372

CATALOG DATE:

FUNCTION: au AT TERM: 0 INITIALS: ON: Wed Mar 13 2002 05:20:05

Key a number to edit that database record, or

P > PRINT

R > RANGE

Q > QUIT

Choose one (1-1,P,R,Q)

Anzio Lite Version <u>11.4</u>t

NUM

You searched for the AUTHOR: sfwa

2 entries found, entries 1-2 are:

Sfwa

- 1 --> See SCIENCE FICTION AND FANTASY WRITERS OF AMERICA
- 2 --> See SCIENCE FICTION WRITERS OF AMERICA

Please type the NUMBER of the item you want to see, or

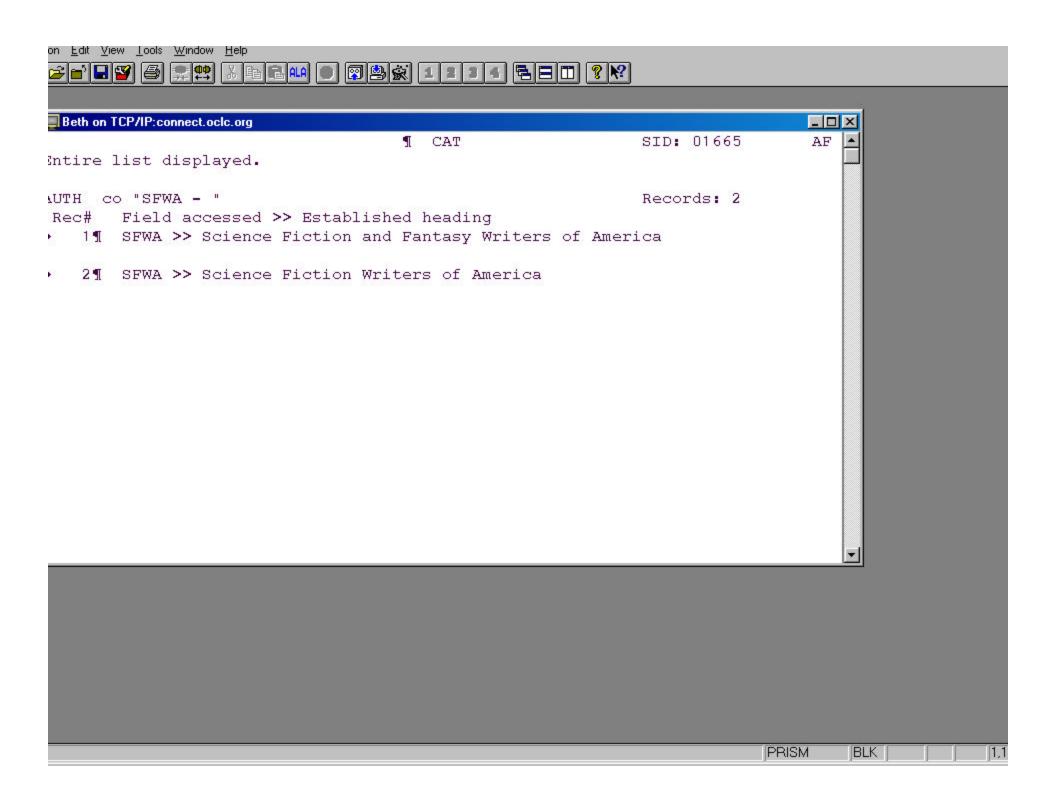
P > PRINT

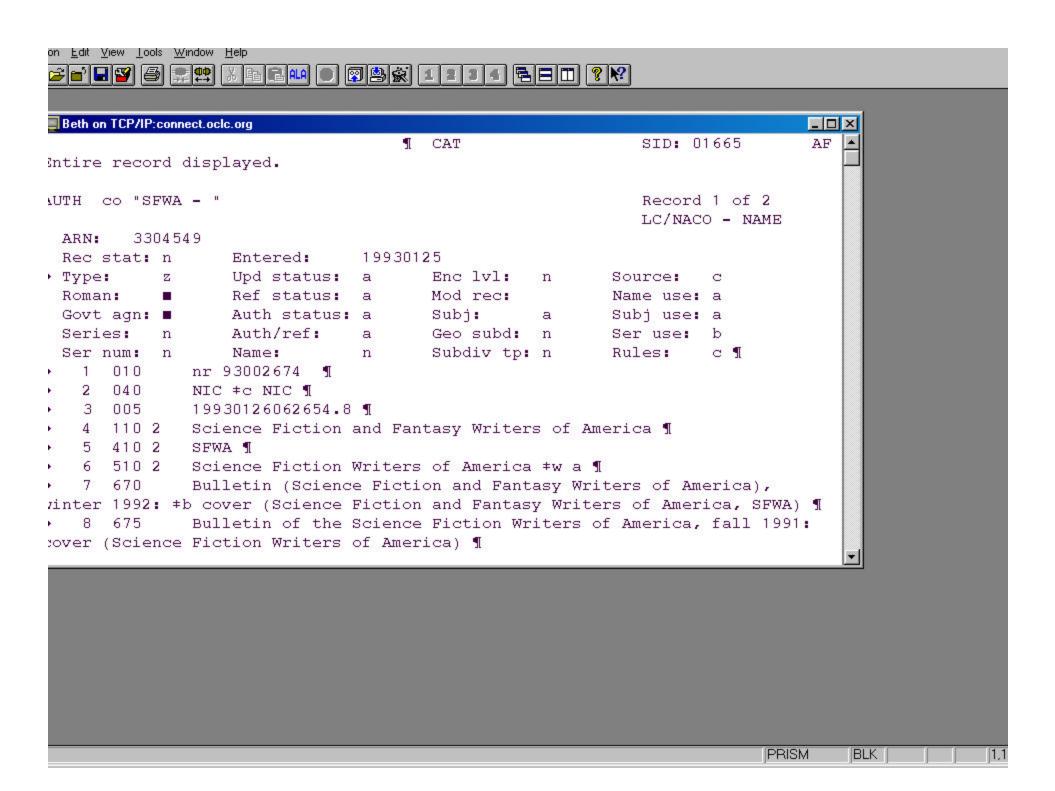
Q > QUIT

L > LIMIT this Search Choose one (1-2,P,L,Q)

Anzio Lite Version 11.4t

NUM





Cross-Thesaurus Matches (#101478)

- III verifies that the authority record and the heading on the bibliographic record are from the same thesaurus
- If the indicators do not match, no changes take place
- Headings are reported for you to check
- **Have III enable this feature**

ALL Reports (# 101481)

- All reports are run with one command
- Reports are labeled
- Reports are in the order of the "Reports on Headings" screen

CLEAR report file (#101460)

When all reports are run, clear the file otherwise the next time this report is run, the headings from the first report will be reported again with all the new incoming headings generated by the new work done in the database.

How Much Time Does This Take???

- First Time Headings Report
 - ♦ UMD generates 2.4 new headings per title cataloged
 - ◆ 2/3 of new headings are subject headings
 - ◆ Catalogers spend 2-3 hours total per week
- ALL Other Reports
 - ◆ 15 minutes per week

Questions????

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