



# Brief Introduction to Authorities

## Authorities Series #1



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## Objectives of this Session

- To gain a very basic understanding of the concept of authorities and authority control
- To learn some elementary facts about authority records: where to find them, how to interpret and use them



## Agenda

- The What and Why of Authority Control
- Authorized Headings
- National Authority File
- MARC Authority Record
- Searching the OCLC Authority File
- Cross-References: What the Public Sees
- Some Possible Scenarios and Workflows
- Resources

3



## What is Authority Control or Authority Work?

“Authority control is the process of ensuring that every entry—name, uniform title, series, or subject—that is selected as an access point for the public catalog is unique and does not conflict, by being identical, with any other entry that is already in the catalog or that may be included at a later date. A network of references is the frame that holds it all together.” (Clack, Doris Hargrett, *Authority Control: Principles, Applications, and Instructions*. Chicago: ALA, 1990, p. 2)

4

## What is Authority Control or Authority Work?: Con't

- Provides structure and consistency to a library catalog
  - Authorized headings or access points
    - Consistent
    - Unique
    - Standardized
  - Cross-references
- Established (or authorized) forms of headings recorded and maintained in an authority file

5

## Library Catalog

- Made up of Bibliographic Records
  - These describe specific items
    - User can search for and find known items
  - Each record has headings (access points) that are formulated according to rules
    - Headings include names of authors, names of corporate bodies, uniform titles, series titles, and subjects
    - Rules impose consistency on the access points
    - User can search for everything the library owns by a certain author or on a given topic

6

## For Example...

What do we do about headings for these names and topics?

Stephen King

Madonna

Virgin Mary

Richard Bachman

Rice Lake

Zimbabwe

St. Paul plant of the Ford Motor Company

UFOs



7

## Why Bother?

- The purpose of authority work is to **aid the library user** in her or his search for information when using the library catalog
- Without any kind of authority control you would have total chaos in your library catalog
- Is the extra effort, time and expense worth it? Think about it.

8

## Authorized Headings

Also known as authoritative, established, standardized, or verified headings.

- #1.** Formulated according to agreed upon standards
  - Names (people, places, corporate bodies, meetings), Uniform titles and Series titles
    - National rules include AACR2 (latest edition) and LCRIs (*Library of Congress Rule Interpretations*)
  - Subjects
    - National rules for LCSH include LC's *Subject Cataloging Manual: Subject Headings*

9

## Authorized Headings

- #2.** Encoded using the MARC21 format for authorities
- #3.** Added to the authority file
  - National: *Library of Congress Authorities*
  - Local (your own file)

10

## National Authority File

- Library of Congress Authorities
  - <http://authorities.loc.gov/>
    - Available free of charge for both searching and downloading MARC authority records
  - Also resides at OCLC
    - OCLC Connexion Client
      - Authorities menu
    - OCLC Connexion Browser
      - Authorities tab

11

## National Authority File: How do records get added?

- Must be specially trained and authorized
- Two components of LC's Program for Cooperative Cataloging (PCC)
  - NACO – Name Authority Cooperative Program
  - SACO – Subject Authority Cooperative Program

12

# Authority Record

- Heading
  - The authoritative form of a name, subject, or uniform title that is used for access points on bibliographic records
- Cross references
  - See references: direct a user from a variant form of a name or subject to the authoritative form
  - See also references: direct a user from one authoritative form to another authoritative form because they are related to one another
- Notes
  - Include citations for a consulted source in which information is either found or not found about a heading

13

# MARC Authority Record

Roman		Ref status	a	Mod rec		Name use	a
Govt aqn		Auth status	a	Subj	a	Subl use	a
Series		Auth/ref	a	Geo subd	n	Ser use	b
Ser num		Name	a	Subdiv to	n	Rules	c
010		n 79063767 #z n 87125504					
040		DLC #b eng #c DLC #d DLC #d OCI #d DLC #d OCoLC #d OCI #d DLC #d OCoLC					
053	0	PS3561.I483					
100	1	King, Stephen, #d 1947-					
400	1	King, Stiven, #d 1947-					
400	1	King, Stivn, #d 1947-					
500	1	Druse, Eleanor #w nnnnc					
500	1	Bachman, Richard #w nnnnc					
663		For works of this author written under other names, search also under #b Bachman, Richard, #b Druse, Eleanor					
670		His Carrie, 1974.					
670		Washington post, 4/9/85 #b (Stephen King has written 5 novels using the pseudonym Richard Bachman)					
670		Collings, M.R. The work of Stephen King, 1993: #b CIP galley (b. Stephen Edward King, 9/21/47, Portland, Me.)					
670		Langol'ery, 1993: #b t.p. (Stiven King)					
670		The lost work of Stephen King, 1998: #b CIP t.p. (Stephen King) galley (Stephen Edwin King; b. Sept. 21, 1947)					
670		Kudžo, 1987: #b t.p. (Stivn King) copyr. (Stephen King)					
670		Amazon.com, May 27, 2004: #b The journals of Eleanor Druse, 2004 (Eleanor Druse is a fictional author created by Stephen King)					

## The Most Common Variable Fields

- 010 LC Authority Record Control Number  
Prefix **n**, **no**, **nr**, **nb** = name  
Prefix **sh** = LC subject heading  
Prefix **sj** = subject heading for children
- 040 Source of cataloging
- 1XX Authorized form of heading (only one per record)
- 4XX *see from* reference tracings
- 5XX *see also from* reference tracings
- 670 Note for source data

15

## Variable Data Field Blocks

- 0XX Standard numbers, classification numbers, codes
- 1XX Headings (authoritative and reference)
- 2XX Complex see references
- 3XX Complex see also references
- 4XX See from tracings
- 5XX See also from tracings
- 6XX Notes
- 7XX Linking entries
- 8XX Alternative graphics
- 9XX Reserved for local implementation

16

# Parallel Meanings

In the 1XX, 4XX, 5XX, and 7XX fields, the second and third digits of the tag have parallel meanings:

X00	Personal names
X10	Corporate names
X11	Meeting names
X30	Uniform titles
X48	Chronological terms
X50	Topical terms
X51	Geographic names
X55	Genre/form terms

17

# Name Authority Record

010		n 79063767 #z n 87125504
040		DLC #b eng #c DLC #d DLC #d OCI #d DLC #d OCoLC #d OCI #d DLC #d OCoLC
063	0	PS3561.I483
100	1	King, Stephen, #d 1947-
400	1	King, Stiven, #d 1947-
400	1	King, Stivn, #d 1947-
500	1	Druse, Eleanor #w nnnnc
500	1	Bachman, Richard #w nnnnc
663		For works of this author written under other names, search also under #b Bachman, Richard, #b Druse, Eleanor
670		His Carrie, 1974.
670		Washington post, 4/9/85 #b (Stephen King has written 5 novels using the pseudonym Richard Bachman)
670		Collings, M.R. The work of Stephen King, 1993: #b CIP galley (b. Stephen Edward King, 9/21/47, Portland, Me.)
670		Langol'ery, 1993: #b t.p. (Stiven King)
670		The lost work of Stephen King, 1998: #b CIP t.p. (Stephen King) galley (Stephen Edwin King; b. Sept. 21, 1947)
670		Kudžo, 1987: #b t.p. (Stivn King) copyr. (Stephen King)
670		Amazon.com, May 27, 2004: #b The Journals of Eleanor Druse, 2004 (Eleanor Druse is a fictional author created by Stephen King)



## Name Authority Record

010		n 84087593
040		DLC #b eng #c DLC #d DLC #d OCoLC
053	0	PS3561.I483
100	1	Bachman, Richard
400	1	Pak'ūman, Ric'hōdū
400	1	Bakhman, Richard
400	1	Bakman, Ritsard
500	1	King, Stephen, #d 1947-
670		His Thinner, c1984: #b t.p. (Richard Bachman)
670		Washington post, 4/9/85 #b (Stephen King has written 5 novels using the pseudonym Richard Bachman)
670		OCLC, Sept. 29, 2003 #b (hdg.: Bachman, Richard; usage: Richard Bachman, Ritsard Bakman, Richard Bakhman, Ric'hōdū Pak'ūman)

19

## Subject Authority Record

010		sh 85139676
040		DLC #b eng #c DLC #d DLC
053	0	TL789 #b TL789.6
150		Unidentified flying objects
450		Flying saucers #w nne
450		Saucers, Flying
450		UFO phenomena
450		UFOlogy
450		UFOs
550		Aeronautics #w g
550		Astronautics #w g
550		Curiosities and wonders #w g
670		Ritchie, D. UFO, 1994: #b p. 67 (UFO phenomena)
670		LC database, Feb. 28, 1996 #b (titles: ufology)



20

# Searching the LC Authority File Using OCLC Connexion Client

Authorities ⇒ Search ⇒ LC Names and Subjects -or- <Shift><F2>

21

## Personal Name Search Results

Record	Description
1	Bachman, Richard [100]
2	Druse, Eleanor [100]
3	Gizella, ‡c Queen, consort of Stephen I, King of Hungary, ‡d b. 973? [100]
4	Hastings-King, Stephen William [100]
5	István ‡b II, ‡c King of Hungary, ‡d fl. 1116-1131 [100]
6	King, Anthony Stephen [100]
7	King, Daniel Stephen [100]
8	King-Hall, Stephen, ‡c Sir, ‡d 1893-1966 [100]
9	King-Hall, Stephen, ‡c Sir, ‡d 1893-1966. ‡t National news-letter [100]
10	King, Robert S. ‡q (Robert Stephen), ‡d 1966- [100]
11	King, Stephen [100]
12	King, Stephen, ‡d 1931- [100]
13	King, Stephen, ‡d 1947- [100]
14	King, Stephen, ‡d 1947- ‡t Bachman books [100]
15	King, Stephen, ‡d 1947- ‡t Bad death of Eduard Delacroix. ‡l Polish [100]
16	King, Stephen, ‡d 1947- ‡t Bag of bones. ‡l Hebrew [100]

22

# Subject (LCSH) Search

Search LC Names and Subjects

Command Line Search  
Enter keyword, numeric, derived, or browse search here...

Keyword/Numeric Search

Search for: flying saucers

AND [ ] in [ ]

OR [ ] in [ ]

OR [ ] in [ ]

OR [ ] in [ ]

Show See References in Results

Show See Also References in Results

OK Cancel Enter Diacritics... Clear Search Help

Personal Names (pn.)  
Personal Names (pn.)  
Corporate/Conference Names (cn.)  
Titles (ti.)  
**LCSH (su.)**  
Geographic Names (gg.)  
Children's Subjects (sj.)  
Subdivision Headings (sb.)  
ISBN (bn.)  
ISSN (in.)  
LC Names (nw.)  
Topicals (sp.)  
LCCN (ln.)  
OCLC ARN (an.)

23

# Subject Search Results

Record	Description
1	Flying discs (Game) [150]
2	Unidentified flying objects [150]
3	Unidentified flying objects ‡x Folklore [150]
4	Unidentified flying objects ‡x Religious aspects [150]

24

## Cross-References: What the Public Sees

### ■ **SEE** References

- Search results for *King, Stiven* on various local OPACs

### ■ **SEE ALSO** References

- Search results for *Bachman, Richard* on various local OPACs

25

## SEE Reference: What the Public Sees

Search results for *King, Stiven* on various local OPACs

### 1. Hennepin County Library: Dynix/Horizon

Author	Titles
1. King, Stephen, 1947- Works. 1991	1
2. King, Stephen Michael	4
3. King, Stiven, 1947-	0
4. • See King, Stephen, 1947-	193

26

## SEE Reference: What the Public Sees, con't

### 2. CLICnet: III Millennium

" **King, Stiven, 1947-** " is not used in this library's catalog.  
**King, Stephen, 1947-** is used instead.  
Try a search for [King, Stephen, 1947-](#) .

27

## SEE Reference: What the Public Sees, con't

### 3. Traverse des Sioux Library System: SIRSI

#### Catalog Lookup by Cross Reference

Search topics related to the author **KING STIVEN 1947**

KING STEPHEN 1947

28

# SEE Reference: What the Public Sees, con't

## 4. University of Minnesota: ExLibris Aleph

King, Stiven, 1947- - [\[LC Heading Information\]](#)

See: [King, Stephen, 1947-](#)

King, Stivn, 1947- - [\[LC Heading Information\]](#)

See: [King, Stephen, 1947-](#)

29

# Public View of an Authority Record

## Author Heading Information and Cross References for:

[King, Stiven, 1947-](#)

- Click on underlined links in the left column to browse alphabetically with the listed heading as the starting point.
- Click on underlined links in the right column to see the records with this heading.

<b>Sys. no.</b>	005589261
<b>Heading</b>	<a href="#">King, Stephen, 1947-</a>
<b>Seen From</b>	King, Stiven, 1947-
<b>Seen From</b>	King, Stivn, 1947-
<b>Other See Also</b>	<a href="#">Bachman, Richard</a>
<b>Source/Data Found</b>	His Carrie, 1974.
<b>Source/Data Found</b>	Washington post, 4/9/85 (Stephen King has written 5 novels using the pseudonym Richard Bachman)
<b>Source/Data Found</b>	Collings, M.R. The work of Stephen King, 1993: CIP galley (b. Stephen Edward King, 9/21/47, Portland, Me.)
<b>Source/Data Found</b>	Lango'ery, 1993: t.p. (Stiven King)
<b>Source/Data Found</b>	The lost work of Stephen King, 1998: CIP t.p. (Stephen King) galley (Stephen Edwin King; b. Sept. 21, 1947)
<b>Source/Data Found</b>	Kudžo, 1987: t.p. (Stivn King) copyr. (Stephen King)

30

## SEE ALSO Reference: What the Public Sees

Search results for *Bachman, Richard* on various local OPACs

### 1. Hennepin County Library: Dynix/Horizon

Author	Titles
1. Bachman, Mary	1
2. Bachman, Nicolai	1
3. Bachman, Richard	7
4. • See Also King, Stephen, 1947-	193

31

## SEE ALSO Reference: What the Public Sees, con't

### 2. CLICnet: III Millennium

1		Bachman, Richard -- See Also <a href="#">King, Stephen, 1947-</a>
2	<input type="checkbox"/>	<a href="#">BACHMAN, RICHARD</a>

32

## SEE ALSO Reference: What the Public Sees, con't

### 3. Rochester Public Library: SIRSI/Unicorn

8 bachman richard

see related headings for: bachman richard  
king stephen 1947

33

## SEE ALSO Reference: What the Public Sees, con't

### Another SIRSI example:

#### Traverse des Sioux Library System

##### Search Results

author "bachman, richard" search found 14 titles.

- |                            |  |      |
|----------------------------|--|------|
| #1                         | FICTION Bachman  | 2007 |
| <a href="#">Details</a>    | <b>Blaze : a novel</b> 1st Scribner hardcover ed.<br>Bachman, Richard.   |      |
| <a href="#">Keep</a>       | 16 copies available at Blue Earth County Library: Mankato, Brown County: Hanska Public Library, Brown County: New Ulm Public Library, Faribault County: Winnebago--Muir Library, Martin County Library System: Fairmont, Sibley County Libraries: Gibbon, Sibley County Libraries: Henderson, Sibley County Libraries: Winthrop, Waseca LeSueur Regional Library: Janesville, Waseca LeSueur Regional Library: LeSueur, Waseca LeSueur Regional Library: Montgomery, Waseca LeSueur Regional Library: Waseca, Watonwan County Library: Madelia, and Watonwan County Library: St. James |      |
| <a href="#">Place Hold</a> |  |      |
|                            | <a href="#">Review</a> <a href="#">Summary</a> <a href="#">Chapter</a>   |      |
| #2                         | Compact Disc FICTION Bachman   | 2007 |
| <a href="#">Details</a>    | <b>Blaze [sound recording]</b> Unabridged.<br>Bachman, Richard.  |      |

##### Continue search in:

MNLINK

##### You Found Titles in Categories:

American Literature

##### Try these too...

**search also under:** Works by this author are entered under the name used in the item. For a listing of other names used by this author, search also under King, Stephen, 1947-

34

## **SEE ALSO Reference: What the Public Sees, con't**

### **4. University of Minnesota: ExLibris Aleph**

[Bachman, Richard](#) - [\[LC Heading Information\]](#)

35

## **Local Authority Control: Some Possible Scenarios**

- #1.** Library uses the Library of Congress authority file as its authority file
  - Loaded into the local online system and updated frequently
  - Dynamic link between authority heading and each instance of that heading in a bib record
  - Local authority records are interfiled and are distinguished by a special code.

36

## Local Authority Control: Some Possible Scenarios, con't

- #2.** Library consults the LC authority file for all its headings, exports or downloads records as needed, and builds its own online authority file
- Adds local authority records, as needed
  - May or may not be dynamic link between authority file and bib record

37

## Local Authority Control: Some Possible Scenarios, con't

- #3.** Library does not use LC authority file, makes its own decisions about all headings, and creates its own authority file
- #4.** Library outsources all or part of its authority work

38

## Some Possible Workflows

- Original cataloging
  - Use authorized headings (search institution's authority file, search LC authority file)
  - If authorized heading does not exist, create one
    - Add to local authority file
    - Get it added to national authority file

39

## Some Possible Workflows

- Copy cataloging
  - Check all headings in institution's authority file and/or LC authority file
    - Correct headings as needed **-or-**
    - Send records with errors to supervisor
  - **-OR-** Check only certain headings, because your online system will catch and correct some errors, or your authority control librarian will catch errors
  - **-OR-** Do no checking. Wait until your online catalog is checked against the LC authority file. Get a report of errors and make needed corrections at that time.

40

## For More Information...

- Maxwell, Robert L. *Maxwell's Guide to Authority Work*. Chicago: ALA, 2002.
- *Understanding MARC Authority Records*, 2nd ed., 2004
  - Online: <http://www.loc.gov/marc/uma/index.html>
  - Print: Available from LC Cataloging Distribution Service. To order, go to: <http://www.loc.gov/cds/marcdoc.html>
- *MARC 21 Concise Format for Authority Data*
  - <http://www.loc.gov/marc/authority/ecadhome.html>
- *Anglo-American Cataloging Rules*, 2<sup>nd</sup> ed., 2002 revision, Part II: Headings, Uniform Titles, and References.

41

## For More Information..., con't

- OCLC Documentation for Authorities
  - *Authorities User Guide*, 3rd ed. rev.  
<http://www.oclc.org/support/documentation/worldcat/authorities/userguide/default.htm>
  - Client documentation: Authorities  
<http://www.oclc.org/support/documentation/connexion/client/authorities/>
    - Includes "Search Authority Files"  
<http://www.oclc.org/support/documentation/connexion/client/authorities/searchauth/>
    - Includes "Authorities Format Tag Chart"  
<http://www.oclc.org/support/documentation/connexion/client/authorities/>

42



# Questions?

## Contact Information

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43