SWAN Draft Authority Procedures
June 2001

This document is a work in progress and supplements the MCO document *SWAN Authority Work and TOC Enrichment* distributed by Robin at our authority training session.

Authority Reports

I. Distributed by MCO

A. Distributed by Holding Library. Holding Library is responsible for correction.

1. Invalid headings: headings that match an existing see reference (4XX) in an authority record.

2. Headings used for the first time: SWAN has elected not to receive these since new headings will eventually be sent for authority processing.

B. Distributed on a Rotating Basis. When a library receives this report, it is responsible for correcting the entire report.

1. Duplicate Authority Records: authority record headings match the established form (1XX) in an existing authority record.
Records should be compared and the latest record retained, along with any local additions.

2. Blind References: generated when the last bibliographic record entry that matches an established form (1xx) in an authority record is deleted. The 1XX does not match a heading on any existing bib record.

II. Distributed by Authority Vendor

A. No Match: the heading did not match any authority record

B. Partial Match: only |a matched the authority record; no authority record exists for the entire heading. (Note: many of these may be fine, since no authority record is needed for an authorized heading plus a free-floating subdivision. E.g., |v Juvenile fiction is a free-floating subdivision. The heading Friendship|vJuvenile fiction is reported as a partial match since there is no authority record that contains the entire string, only one for Friendship. However, since |v represents a free-floating subdivision, no authority record is needed except that for |a.)

C. Split Headings: an obsolete heading has been replaced by two or more new headings. The vendor will supply all new headings. Some of these headings may be appropriate for the item and others not. E.g., "Labor and laboring classes" has been replaced by "Labor," "Working class" and "Labor movement."

Procedures

1. Search headings not found in the OCLC authority and bib files as needed. Download authority records as needed.

2. Create local authority records when no match is found in the OCLC Authority file. Local authority records will be created for names (personal and corporate), subjects (topical headings and personal or corporate names used as

subjects) and titles. An authority record will be created for each name not found in the OCLC Authority file, regardless of whether it needs cross references.

3. If more than 5 instances of the same heading need to be changed, it is probably easiest to do a global update. Not everyone will have clearance to perform global changes. Each institution must decide who is authorized to perform global changes and design an appropriate workflow when nonauthorized staff will be doing authority work.

4. Authority work will not be done on brief/provisional records.

No Match and Partial Match

Search SWAN for the incorrect heading. Make the search generic enough to retrieve variant forms, if possible. For example, wilder, l instead of wilder, laura ingalls. Check spelling, tagging, subfields for accuracy and correct as needed.

A. Heading not found.
Cross off the list; assume the problem has already been corrected.

B. Heading found, no variant forms found.
Search the OCLC authority file for an authority record.
1. If an authority record is found, export to SWAN. Code acodes appropriately. Search the bib file as needed for assistance in determining the proper heading.
2. If no authority record is found, create a local authority record. Code acodes appropriately.

C. Variant headings found
Determine the correct form using OCLC authority and bib databases as needed. Resolve all variant bib headings to the same form. If needed, create a local authority record.

Split Headings

A. "Old" headings from the initial authority load
Do not attempt to resolve.

B. Headings processed after June 2001
Attempt to evaluate the need for the new headings on the basis of information in the record alone.
1. Need for headings is obvious. Correct the record to delete unneeded headings.
2. Not possible to tell from record alone. Attempt to determine originating library and email the

contact person at that library for resolution. The contact person will retrieve the item to

determine which headings are needed.

RESOURCES for Authority Work

OCLC authority and bib files

Free-Floating Subdivisions: An Alphabetical Index. 2001. 13th ed. Library of Congress. Cataloging Distribution Service.

Subject Cataloging Manual: Subject Headings. 4 volumes. Library of Congress. Cataloging Distribution Service.

Cataloger's Desktop/Classification Plus. Electronic resource, updated quarterly. Available from Library of Congress. Cataloging Distribution Service.