WORKING WITH AUTHORITY RECORDS IN III

TOPICS:
- Authority record structure
- Creating record templates
- Creating original authority records
- Exporting authority records from OCLC
- Deleting authority records from SWAN
- Verification of Headings (both in GUICAT and Character-based system)
- Global Changes (Character-based system)
- Working through error reports

OBJECTIVES:
Participants will be able to:
1. Understand the structure of authority records (authorized headings, cross-references, and fixed fields)
2. Create authority record templates
3. Create original authority records in the Innopac
4. Export authority records from OCLC to the Innopac
5. Delete authority records from SWAN
6. Verify headings in both GUICAT and the character-based system.
7. Understand the process of working with error reports from MCO and BNA

AUTHORITY RECORD STRUCTURE

Just as there is a MARC format for bibliographic data, there is a MARC format for authority data as well. Like bibliographic records, authority records contain both fixed and variable fields. An Authority record serves many purposes. First, it shows the authorized form that has been established for a heading. Authority records are created for names (personal or corporate), subjects, and titles (uniform titles and series titles). Second, it contains all the necessary cross-references that should be made in the catalog for a particular heading. This is needed as authors sometimes write under different forms of their name, or under several different names. An authority record provides a way to keep track of this and to help users to find all of the works written by a particular person in the catalog. Subject headings also change over time, and a searcher may remember a former heading and need guidance about what heading to search under currently. The cross-reference structure in an authority record enables the catalog to display information about incorrect search terms or additional headings that could be searched. Third, authority records provide a place to record information that is needed by library personnel, such as a tracing or classification decision for a monographic series, and to show local practice over time.

Authority records are not themselves seen by the public in the catalog. However, the results of this work are seen and help to make the library catalog a consistent and powerful finding aid. Ideally, an authority record should control every heading used on every bibliographic record in the database.

Searching Authority Records in III

The Innopac stores, searches and displays search results in a completely different way from NOTIS. In NOTIS, all headings types (whether name, subject, or title) could be searched by a single query directed to the Merged Headings index. This search would retrieve and display all headings that matched the search string, regardless of the type of heading. For example, a personal name heading, such as Presley, Elvis,|d1935-1977, can be used as either a name or a subject. In NOTIS, only one authority record was needed for this heading, and fixed fields were coded to show that the heading was valid for use as either a subject or a name heading. In III, however, separate records are needed for Presley, Elvis as a name and Presley, Elvis as a subject. These two headings must be retrieved by separate searches, e.g., as a name and as a subject. When a name search is done on this heading, only the name authority record will be retrieved and displayed. The subject authority record can only be retrieved by a subject search.

Basic Authority Record Structure: Variable Fields

1XX: contains the authorized form of the heading
4XX: contains the See references or UNAUTHORIZED forms of the headings
5XX: contains the See Also references, for other authorized forms (generally used for subject headings rather than names)

The authority record for Elvis Presley contains the authorized heading for him as well as the cross references needed. The authorized form of a heading always appears in the 1XX field. Here, it is shown in the 100 field. The see references, or <u>unauthorized</u> forms of name, are given in the 4XX fields. These forms should not be used on a bibliographic record. The 1XX form

should be used instead. The 4XX fields generate a message that is shown in the catalog directing patrons to search under the 1XX form of name instead. If a patron types in Elvis's full name, Presley, Elvis Aron, which is represented in the first 400 field above, here is what will appear in the catalog:
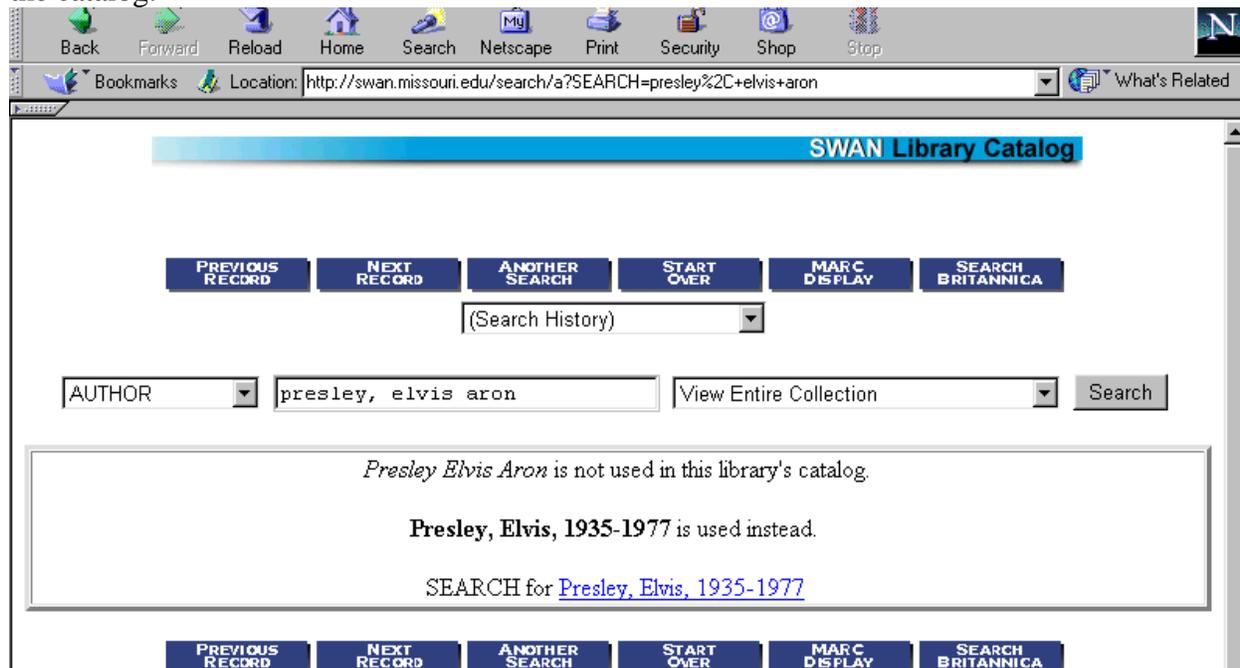
The 4XX in the authority record generates this message in the OPAC, which directs the patron away from a variant form of Elvis' name and toward the heading actually used in the catalog. In Elvis' case, there is an additional form of name by which he was known: John Crow, but it is not an authorized form. If a patron wants to see everything by Elvis in the catalog, one search under the authorized form of his name will retrieve everything. Additionally, this record includes 670 fields, which show works being cataloged that provided the evidence for decisions.

Fixed Fields in III Authority Records

There are several III specific fixed fields. These are shown in the grid display at the top of the record. The ACODES and ASUPPRESS fields are used to notify the authority vendor of fields to be added or deleted from our local file. Please consult the accompanying document "ACODES and ASUPPRESS" for values for these fields, or view at: http://sequoia.lso.missouri.edu/mobius1/docs/2001/swan_ACODEs.htm.
Every authority record added to SWAN must be coded with an appropriate value in Acode

2. ASUPPRESS should be coded – for records to be added to SWAN.

ACODE1	–	ACODE2	–	ASUPPRESS	–	RECORD #	al5513129
CREATED	02-07-2001	UPDATED	02-07-2001	REVISIONS	1		

- ACODE1 is used when an authority record contains a blind reference that needs to be retained.

- ACODE2 is a very important field. An authority record coded with a value in ACODE2 and no value in ASUPPRESS will be sent to the vendor as an "add" record. An authority record coded with one of these values and a "d" in ASUPPRESS will be sent to the vendor as a "delete" record. For further information, please see the document Exporting Authority Records to Authority Vendor at: http://sequoia.lso.missouri.edu/mobius1/docs/2001/swan_Exporting_Authority_Records_to_Authority_Vendor.htm
- ASUPPRESS: codes in this field identify authority records to be suppressed from public display and/or to be deleted from the authority files after they have been transmitted to the authority vendor as deletes.

The standard MARC authority fixed fields are contained in field 008. The 008 field may be expanded (ctrl e) for a better view. For information on how to code these fields for SWAN, see the accompanying document, Field 008: Fixed Fields for Authority Records, and the *MARC Format for Authority Data*.

008

REC STAT	c	REC TYPE	z	UNDEFINE		ENC LEVL	n
UNDEFINE		UNDEFINE		Date Ent	02-11-1986	Geo Subd	i
Romanizn	|	Lang Cat		Kind Rec	a	Desc Cat	n
Sub Head	a	Type Ser	n	Num Sers	n	Hdg-Main	b
Hdg-Subj	a	Hdg-Sers	b	Type Sub	|	Undefine	
Type Gov	|	Ref Eval	a	Undefine		Rec Updt	a
Und PNam	n	Levl Est	a	Undefine	|||	Mod Recd	
Cat Srce							

These codes provide information about whether a heading is appropriate for use as a name title or subject, about series numbering, type of series, and other data.

CREATING AUTHORITY RECORD TEMPLATES in GUICAT

Before adding a new authority record to SWAN, an authority record template must first be created. Templates can be customized for each workstation or user. In GUICAT, templates are stored on the user's hard disk. Templates can be created from an already existing record (use the Save as Template option from the File menu, see instructions below.) It will probably be most convenient to create several basic authority templates: for personal name headings (100), for corporate names (110), subject headings (150), and for series or uniform titles (130). You may also wish to create one for geographic names (151).

To create a record template from scratch,
- Choose "File" menu at top of screen
- Then Choose Template ⟶ New Template ⟶ Authority

Inputting Info in a New Template
Fill in fixed field information first. Pull-down menus with field values are available for many fixed fields. Then click in the screen below the fixed fields to add variable field information. If you right-click the mouse, you will get a menu that allows you to

Undo	Ctrl+Z
Insert Field	Ctrl+I
Delete Field	Ctrl+D
MARC Tag Info	Ctrl+T
Validate MARC Codes	Ctrl+M

Right-click menu

insert fields, delete fields, get MARC tag info, validate MARC codes, or verify headings. The shortcut keys are listed beside each. (Validating codes and verifying headings can also be done from the toolbar.) You can also get a list of field-group names by typing an invalid character, such as a /.

To Save, choose Save from the file menu or do Ctrl-S. You must choose a name and select the type of template (bibliographic, item or authority).

Creating a Template from An Existing Authority Record

To create a template from an existing record, open the record you want to use. Go to the File menu and choose Save as Template. Type in a name for the template and click Save. In order to edit the template, **close the record** and follow the steps below for editing and existing template. **NOTE:** If you do not close the record, you will be editing the actual authority record instead of the template!

Editing an Existing Template

To edit an existing template, go to the File menu. Then go to Template, and you will see the choices for "New Template" or "Edit Template." Choose Edit Template. You will then see the following box:
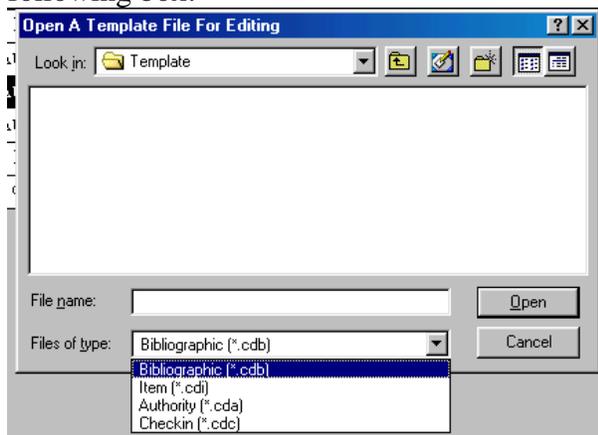
Click the down arrow next to "Files of type:" to see the list of template types and choose Authority to get a list of templates to edit. Choose the one you want to edit.

SAMPLE RECORD TEMPLATES

For a list of fields that should be included in local authority records, please refer to the policy found at:
http://sequoia.lso.missouri.edu/mobius1/docs/2001/swan_Local_Authority_Records_in_SWAN.htm

Personal Name Authority Record Template (as name)

ACODE2: n
008   010708 neacznnaabn   a aaa   dnz n
040   MOU|cMOU
090   PS1294.C63
100 1 Chopin, Kate,|d1851-1904
400 1 |wnna|aChopin, Kate O'Flaherty,|d1851-1904
670   Her The awakening, 1995:|bCIP t.p. (Kate Chopin) galley ix (Katherine O'Flaherty
            Chopin)
670   Critical essays on Kate Chopin, 1996:|bgalley (Kate Chopin, née Catherine
            O'Flaherty; b. in St. Louis, Mo., 02-08-1850 (not 1851, as most sources report)
690   kml 07/08/01

Corporate Name Authority Record Template (as name)

ACODE2: n
008   010708 neacznnaabn   a aaa   dnz n
040   MOU|cMOU
110 2 Films for the Humanities (Firm)
410 2 Films for the Humanities & Sciences (Firm)
670   Data from ALA for Stonehenge [VR] 1987|b(Films for the Humanities &
            Sciences)
690   kml 07/08/01

Geographic Name Authority Record Template (subject only)

ACODE2: s
008   860228n| acannaab| |a ana ||| dcz n
040   MOU|cMOU
151   Eureka Springs (Ark.)
451   Eureka (Ark.)
670   Dragonwagon, C. The Dairy Hollow House ckbk., c1986:|bCIP text (Eureka
            Springs, Arkansas)
670   Phone call to BGN, 2-12-86|b(Eureka Springs, Arkansas; ppl.; 36°25{167}04 sec.
            N; 93°44{167}16 sec. W)
670   The Flavor of Eureka, c1985:|bt.p. (Eureka) p. 3, etc. (Eureka Springs, Ark.
690   kml 07/08/01

Subject Authority Record Template

ACODE2: s

008	000612i| azznnbaba |a ana dcz n
040	MOU|cMOU
090	BL2592.C35
150	Candomblé (Religion)
450	|wnne|aCandomblé (Cult)
550	|wg|aAfro-Brazilian cults
670	Encyc. relig.
670	Cacciatore. Dicionario de cultos Afro-Brasileiros.
670	Diccionario mitológico Americano.
690	kml 07/08/01

CREATING A NEW AUTHORITY RECORD

- From the File menu at the top of the screen, choose New, or click on the new record button ▣ on the main toolbar.
- Select the appropriate authority template with the mouse and click open.
- When editing, please follow the SWAN policy on fields to include found at: http://sequoia.lso.missouri.edu/mobius1/docs/2001/swan_Local_Authority_Records_in_SWAN.htm
- Edit the fixed fields.
- **Remember that ACODE2 must be coded appropriately FOR EVERY AUTHORITY RECORD ADDED TO SWAN.** The remainder of the fixed fields will go in the 008 field.
- To edit the 008, type the tag
- Edit the variable fields.

Editing Tips

- There is no space before or after a delimiter.
- **To expand fields:** To edit the 006, 007 or 008, you must expand the field by doing ctrl-e, or right-clicking and choosing expand field from the list. Do the same again to unexpand the field.
- **To delete fields**: Extra fields you do not use must be deleted. To delete a field, either choose delete field from the Edit menu, right-click and choose delete field, or do ctrl-d.
- **To undelete a field**, do ctrl-u, or choose undelete field from the Edit menu.
- **To undo typing,** choose undo from the File menu, right-click and choose undo, or do ctrl-z.
- **Add a diacritic** by clicking on the "insert special character" button Ä on the toolbar, or bring up character map by doing ctrl-a.
- **To save the record,** either: click on the blue disk in the tool bar, choose save from the File menu, or ctrl-s.

COPYING EXISTING AUTHORITY RECORDS

For personal and corporate name headings that must be duplicated in both the name and subject files, it is easy create a copy for the subject file. Open the name authority record and click on the copy record button . Then click on the save button or Ctrl-s, and choose record type as "subject."
***Remember to code the value in ACODE2.

EXPORTING RECORDS FROM OCLC INTO THE INNOPAC

To export an authority record from OCLC to III: in the home position in OCLC, type xpo and send. After the record is exported, Acode 2 must be coded with the appropriate value.
Note: Exported authority records will not overlay existing records in the system. It is therefore easy to create duplicate authority records. We will receive a report of duplicate authority records. Remember to code ACODE2 with a valid code: **all authority records added to SWAN must have a value in ACODE2.**

DELETING AUTHORITY RECORDS FROM SWAN
Since we are now working with an authority vendor for authority processing, we must follow a special procedure for deleting authority records from SWAN. We will no longer delete authority records manually. Before an authority record can be deleted from SWAN, the vendor must be notified that the heading is to be deleted from SWAN. (This enables the vendor to update their history files for SWAN. If a new record is added that contains a heading controlled by the deleted record, the vendor will know that we no longer have a copy of the authority record and will send us a new copy.)

For headings to be deleted, please code ASUPPRESS with a **d**. After the vendor has received notification that a heading is to be deleted from SWAN, the MCO will delete those records coded for deletion.

TOOLS FOR WORKING WITH ERROR REPORTS IN SWAN

VERIFYING HEADINGS

III includes the ability to verify headings in a record against the SWAN authority file. This feature is very helpful for working through authority reports, such as the Invalid Headings report. Verification of headings can be done in either GUICAT or the character-based system. The character-based system currently offers the most powerful features for making corrections for headings. It will allow you to designate automatic corrections to be made which use the correct form from the authority record. GUICAT can verify headings and identify errors, but it does not offer any means of automatically making corrections. Use GUICAT when the correction to be done is very slight (e.g., only one or 2 characters to modify). In either the character-based system or in GUICAT, headings on a bibliographic record are verified against the SWAN authority file. The fields in the record are then marked with codes or symbols:

   Guide to Symbols
   - N=unique heading or entry. No other occurrences in the file. This symbol appears only in new records. Once a record is saved in the database, the * appears instead.
   - *=unique heading or entry. No other occurrences in the file. (GUICAT only)
   - B=matches another heading in the database.

- 1=matches a 1XX in an authority record.
- 4=appears as a 4XX in an authority record
- 5=appears as a 5XX in an authority record
- +=heading exists in a fuller form on another bib record.

Verifying Headings in the Character-Based System

From the main menu, choose **D** Database maintenance. Then choose **U** for Update existing records. Sign in with your initials and password. Next, type **B** for Bibliographic records. The system will ask, What Bibliographic record do you want to search? Use the following codes to type in the search you want the system to perform:

a   author
d   subject
t   title

E.g., **adickens charles** would do an author search on dickens. Note that no space appears between "a" and the beginning of the search string.

You have the following information in an Invalid Headings report:
FIELD: 700 1 |aJordan, H. V.|q(Howard Vernon)
   INDEXED AS AUTHOR: jordan h v howard vernon
   MESSAGE: --------------- INVALID HEADING ---------------
   CORRECT HEADING IS: jordan howard v howard vernon
   FROM: b23355499 Sweet, A. T. (Arthur T.), 1869-1916. Soil survey of Andrew
   County, Missouri / by A. T. Sweet and H. V. Jordan.
   CATALOG DATE: 05-03-2001
   FUNCTION: oc AT TERM: 0 INITIALS: ON: Thu May 03 2001 08:51:18

You want to correct the heading for Jordan. To do an author search on Jordan H type:
ajordan h
This search retrieves the following result:
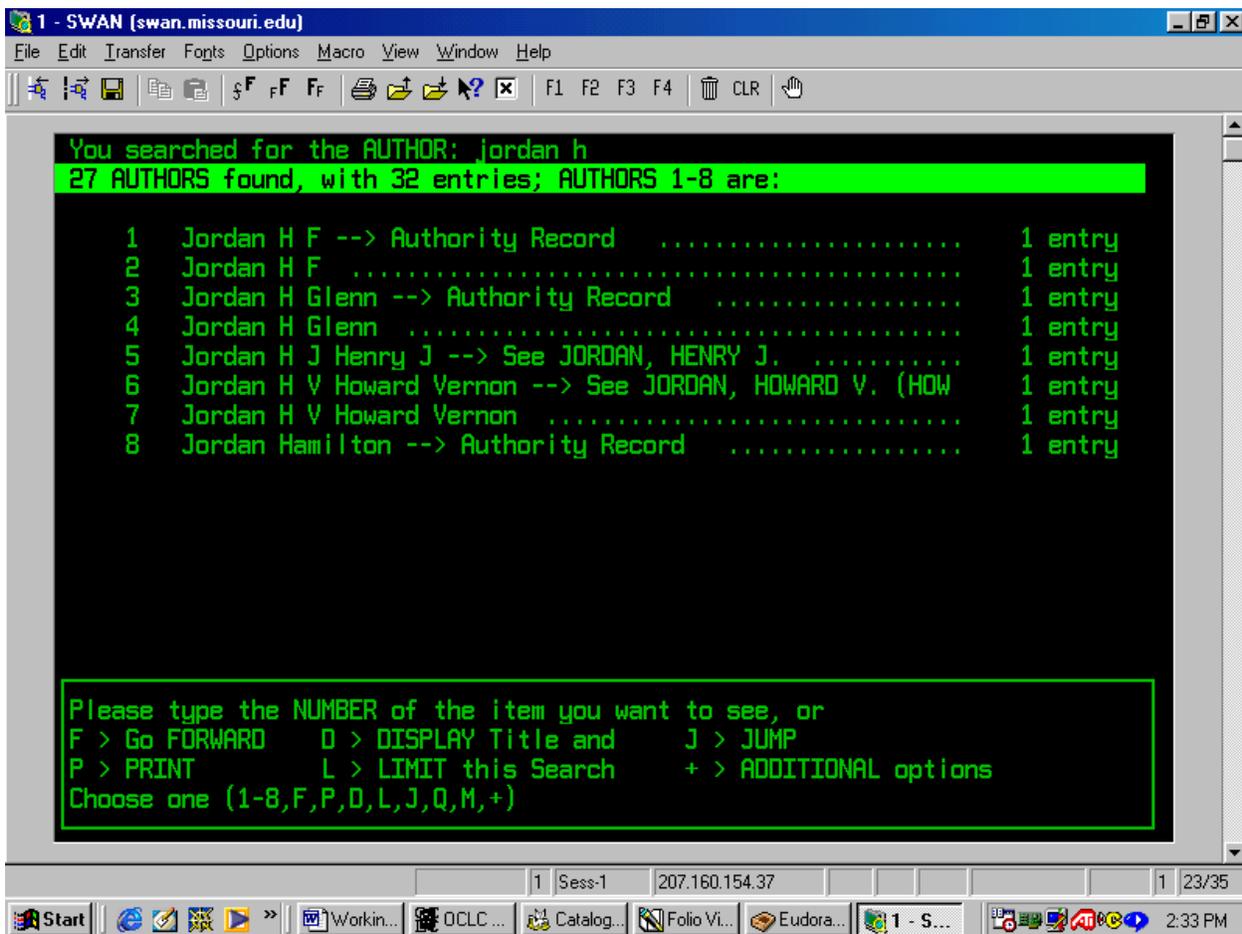
Line 6 shows the see reference (4XX) from the authority record for Jordan. Line 7 shows the heading we are looking for, indexed from the bib record that contains it. Type **7** to see the bib record with the incorrect heading.

Next, type **H** to verify the headings:
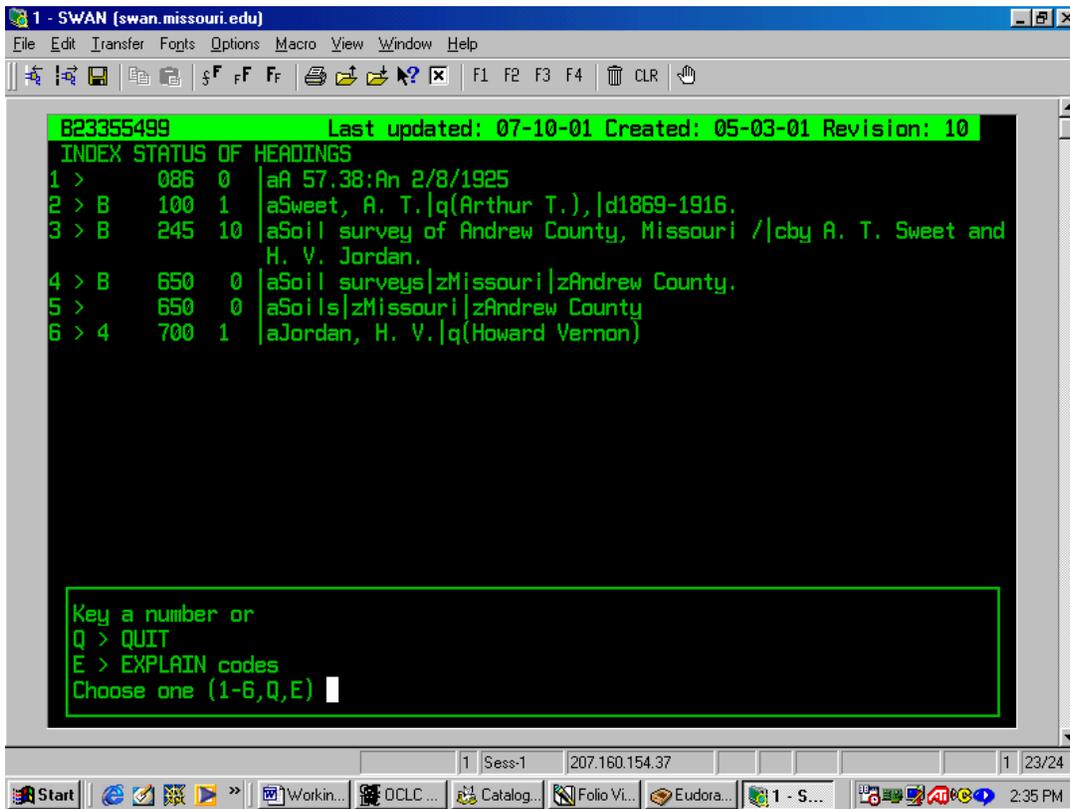
This shows a list of all headings on the record plus a code indicating their status. The 4 next to the heading for Jordan indicates that this heading matches a see reference (or unauthorized form) on an existing authority record.

Type **6**, since that is the line number where the incorrect heading is found. That will return us to the index, where we can choose the correct heading from the list.
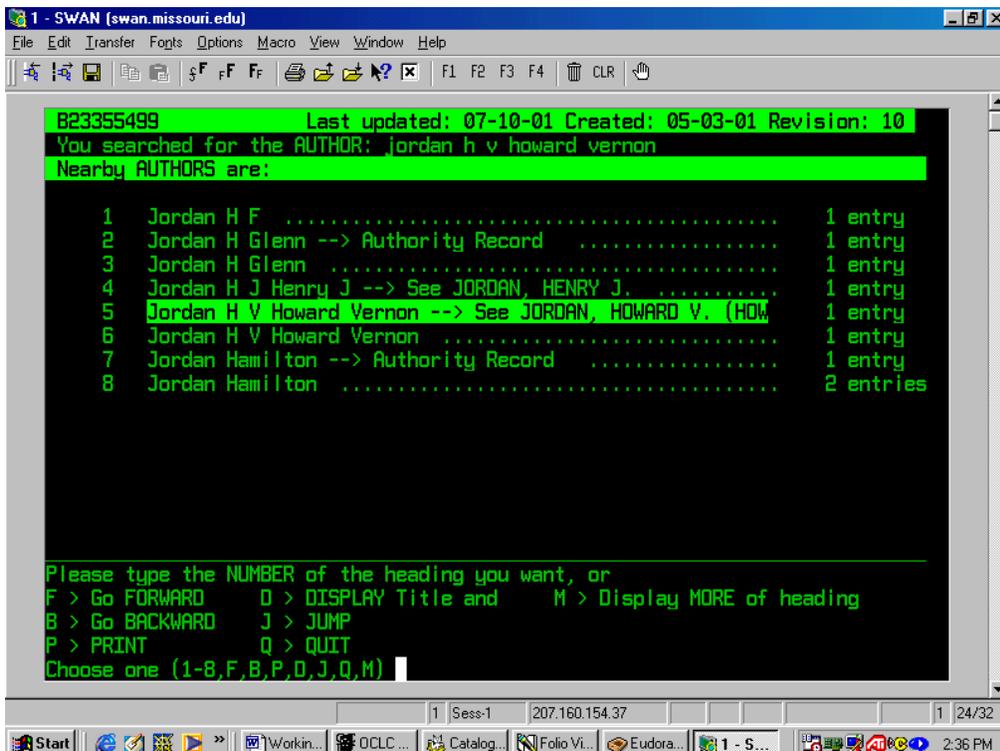
The heading we are looking for: Jordan, Howard V.|q(Howard Vernon), is not shown on this
screen. Type **F** to move forward through the index list to find the authority record for Jordan.
Eventually you will get to this screen:
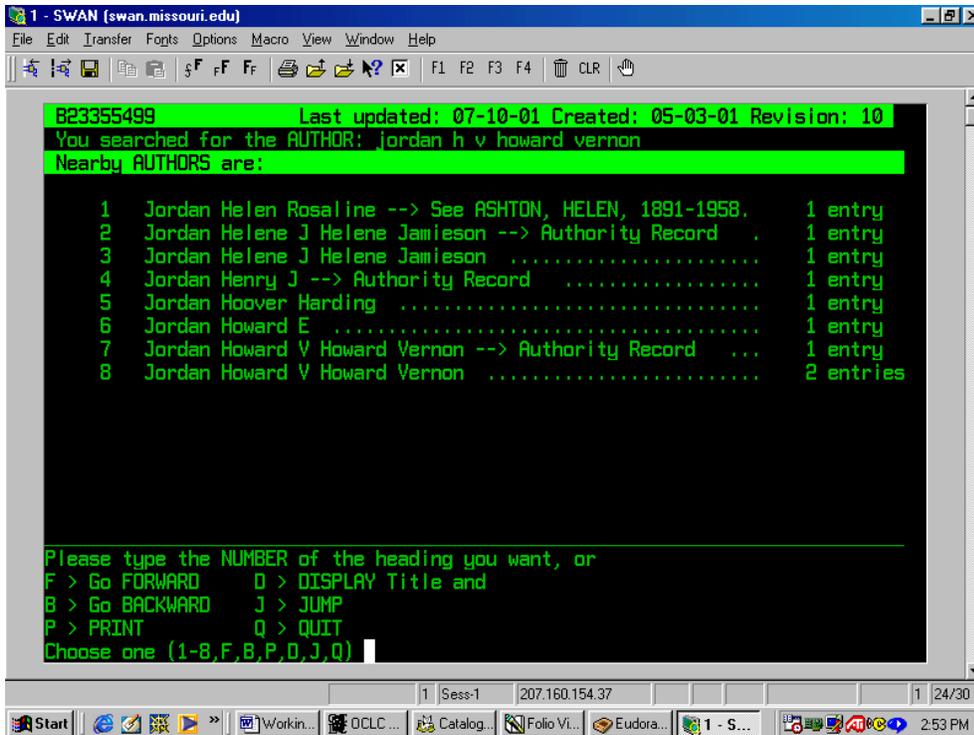
The Authority record needed is shown on line 7. Type **7.** You will then see the following display:
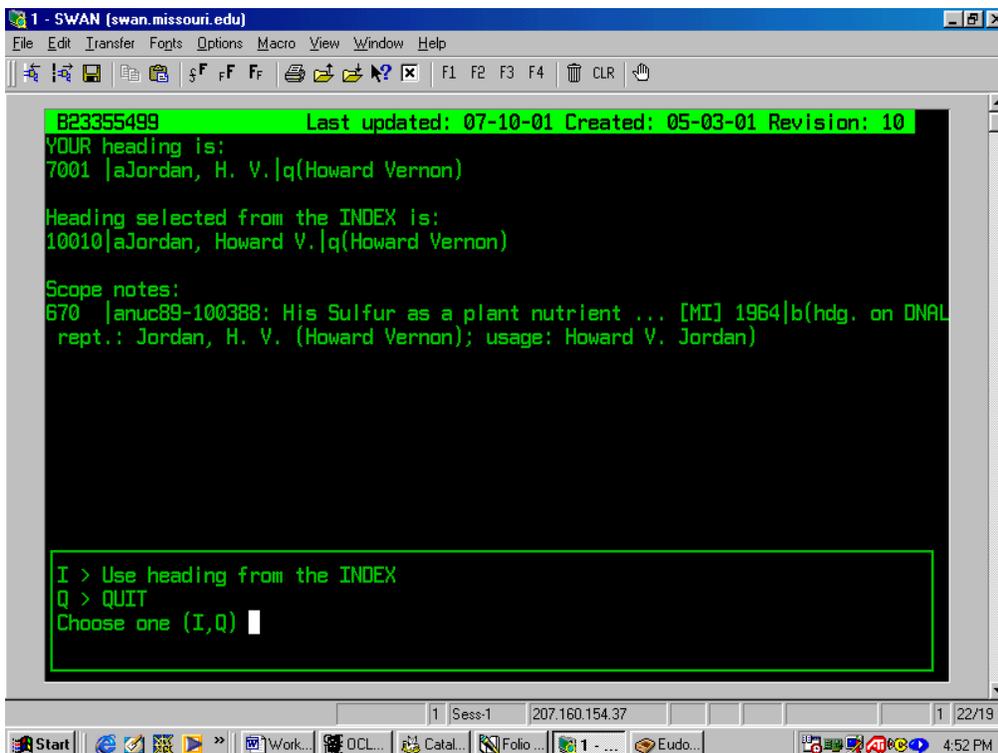
At this point, we can automatically correct the heading by typing **I.** The correct heading from the index will be substituted for the incorrect one. The system will show you the MARC tag that the corrected heading will have in the bib record (a 700 in this case). If this is correct, press **Enter**.

The system now shows all headings in the bib record. The incorrect heading in line 6 has been corrected to match the 100 field form from the authority record:
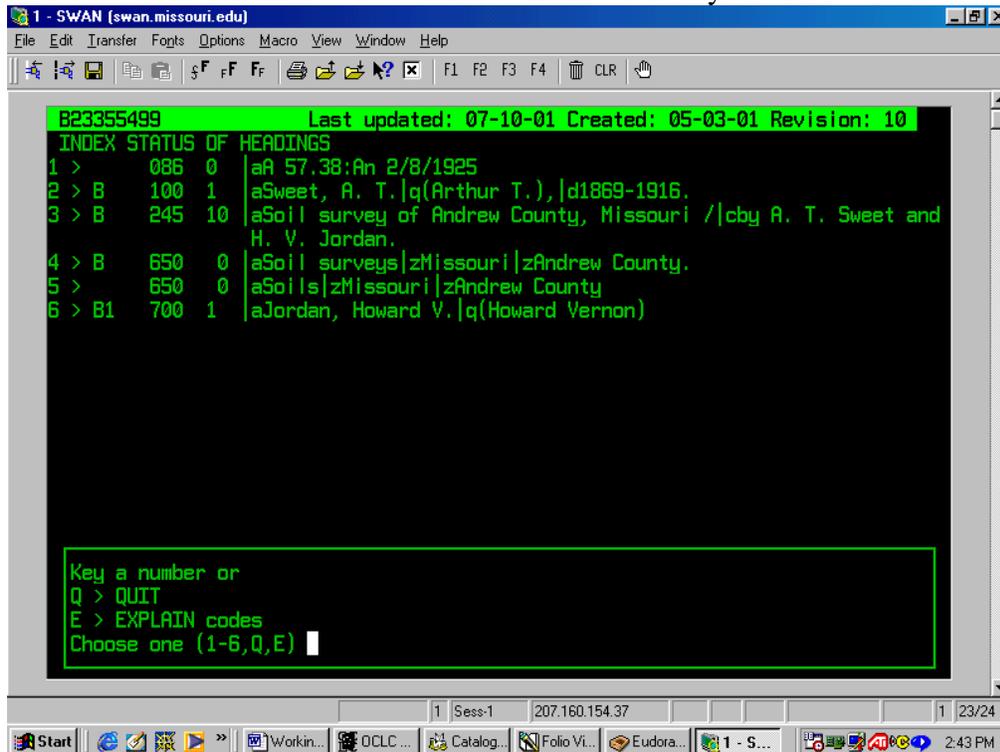
Type **Q** to quit, then **R** to return to the browse screen. This will generate a prompt that will allow you to choose **M**, make changes permanent.

Verifying Headings in GUICAT

To verify headings in a record, click the [icon] button on the toolbar. If you are in an indexed field when you click, only that field will be checked. To verify all headings on the record, you must click in a non-indexed field or at the top or bottom of the record. After verification, symbols describing the status of headings will appear next to the field. To see an explanation of symbols, go to the Tools menu at the top of the screen and choose Explain Codes. Or do ctrl-q.