

Basic Authority Control

Yale University Libraries

Overview

- Pt. 1. What is Authority Control?
- Pt. 2. Authority Records in Voyager (& OCLC?)
- Pt. 3. Authority Maintenance

Pt. 1. What is Authority Control?

Searching the Catalog

- What are we looking for when we search a library catalog?
- Traditionally, we are looking for a bibliographic record that will tell us about a physical item and where to find it
- Nowadays, we may also expect the bibliographic record to function as a portal to the full text of an electronic book or serial

Searching for Bib Records

- The most common bib record searches are for specific known items
 - Does the library have the 9th edition of **Wynar's Introduction to Cataloging & Classification**?
- Or the search is for a known item in a specific format
 - Does the catalog have a link to the e-book version of **Everything is Miscellaneous**?

Searching for Sets

- But sometimes we want to retrieve sets of bib records
 - for interest
 - for research
 - for inventory
 - to perform a known item search indirectly

I Want to Retrieve a SET of Records Because--

- I want to read more books by Stephen King
- I'm writing a senior thesis on Stephen King & I need to know what books the library has by him and also what books the library has about him
- Before I send an order to the publisher, I need to know what titles are held by the library in the Stephen King "Dark Tower" series
- I can't remember the title, but it was by Stephen King!

Categories of Retrieval Sets

- Catalogs define searches for sets of records in several broad categories
- You can search by personal name
 - What titles does the library have by **Toni Morrison**?
 - What recordings does the library have by **P. Diddy**?

Categories of Retrieval Sets

- You can search by the name of an institution, company, or government
 - Does the library have any of the official publications of the **City of Hartford**?
 - What exhibition catalogs does the library have that were issued by the **Yale Art Gallery**?

Categories of Retrieval Sets

- You can search by series (usually by searching the series uniform title)
 - What books does the library have in the series **Geology of North America**?
 - Does the library have any of the videos in the **Dance in America** series?

Categories of Retrieval Sets

- You can search by topic or form
 - What books does the library have about African American educators?
 - Does the library have any Toni Morrison bibliographies?
 - Does the library have any encyclopedias about the geology of North America?

Headings & Their Function

- In cataloging, names, series titles, and topics used to access or retrieve sets of records are called entries or headings
- Axiom: It is more efficient—and less frustrating--to retrieve all records in a catalog using a single name or title search
- In general, cataloging supports record retrieval by consistently using the same name as a heading (there are exceptions!)

Single Name=Simpler Search

- Would you want to perform 9 different searches to find out what the Library of Congress has by:



- Puff Daddy
- P. Diddy
- Combs, Sean
- Combs, Puffy
- Puffy
- Diddy, P.
- Combs
- Combs, Diddy
- Diddy

One-Stop Shopping

- Or would you prefer to do ONE search for “Diddy” and retrieve all this & more? (total of 20 hits in LC’s catalog)

SEARCH RESULTS: Displaying 1 through 20 of 20.

◀ Previous Next ▶

Resort results by:

#	Name Heading	Name: Main Author, Creator, etc.	Full Title	Date
<input type="checkbox"/> [1]	Diddy, 1969-		Bad boys II [sound recording] : the soundtrack.	2003
SELECT TITLE FOR HOLDINGS INFORMATION				
<input type="checkbox"/> [2]	Diddy, 1969-		Barbershop [sound recording] : music from the motion picture.	2002
SELECT TITLE FOR HOLDINGS INFORMATION				
<input type="checkbox"/> [3]	Diddy, 1969-		Barbershop [sound recording] : music from the motion picture.	2002
ACCESS: Recorded Sound Reference Center (Madison, LM113)		CALL NUMBER: SDA 79627		
<input type="checkbox"/> [4]	Diddy, 1969-		I love you / words and music by Sean Combs ... [et al.].	2001
SELECT TITLE FOR HOLDINGS INFORMATION				
<input type="checkbox"/> [5]	Diddy, 1969-		Love don't cost a thing [sound recording] : original soundtrack.	2003
SELECT TITLE FOR HOLDINGS INFORMATION				
<input type="checkbox"/> [6]	Diddy, 1969-		Music from the motion picture The fighting Temptations [sound recording].	2003
SELECT TITLE FOR HOLDINGS INFORMATION				
	Diddy, 1969-			

Single Heading Exceptions

- Pseudonyms
 - You will find catalog titles under both: **King, Stephen** and **Bachman, Richard** (pseudonym of Stephen King)
- Name Changes
 - You will find catalog titles under both: **Southern Connecticut State College** [the earlier name] and **Southern Connecticut State University** [the later name]
 - You will find catalog titles under both: **Springer series in electrophysics** [the earlier title] and **Springer series in electronics and photonics** [the later title]

Consistency in Form

- Once the name to be authorized is chosen, the form of the name must be established – formulated in a standardized way
 - If an authorized name is formulated consistently, the repeat catalog user will pick up the pattern unconsciously and search more efficiently
 - Catalogers are less likely to establish a heading multiple times

Some Typical Heading-Form Decisions

- Direct or inverted?
 - **Lois Mai Chan** or **Chan, Lois Mai**?
 - **Aaron, Isaac ben** or **Isaac ben Aaron**?
 - Compound surname or middle name?
 - **López, Ricardo Sandoval** or **Sandoval López, Ricardo**?
 - **Borges Coehlo, António** or **Coelho, António Borges**
 - What part of the surname?
 - **Stade, Frederica von** or **Von Stade, Frederica**?
- The correct form is the 2nd in all cases.

Brief Record Exercise

Living History



Hillary Rodham Clinton

- If you create a brief record for ordering or receiving, which form would you enter in 100 1_?
- 100 1_ \$a Rodham Clinton, Hillary.
- 100 1_ \$a Clinton, Hillary Rodham.

Headings Must be UNIQUE

- If you search the catalog, the expectation is that each heading is unique
- The catalog should not mix up different persons, for example:
 - Publications of James Stewart, author of *Calculus and analytic geometry*, with the
 - Films of James Stewart, the star of *Vertigo* and *It's a Wonderful Life*, or his book *Jimmy Stewart and his Poems*

Headings Must be UNIQUE

- The catalog should not mix up different government bodies under the same name, for example, official publications of U.S. cities with the name **Hartford** for the states of:
 - Alabama, Connecticut, Illinois, Kansas, Kentucky, Maine, Michigan, New Jersey, New York, Ohio, South Dakota, Tennessee, Vermont, and Wisconsin
- The catalog should not mix up different series titles, for example:
 - Publications in the Edwin Mellen Press series **Studies in political science** with
 - Publications in the Praeger Publishers series **Studies in political science**

Controlling Headings

- To promote consistency catalogers decide on
 - Which variant form to use as the heading
 - **Diddy** rather than *Puff Daddy*
 - How to formulate the name chosen for the heading
 - **Clinton, Hillary Rodham** rather than *Rodham Clinton, Hillary*
 - **Von Stade, Frederica** rather than *Stade, Frederica von*

Controlling Headings

- To ensure uniqueness, catalogers decide on how to formulate the heading with dates and qualifiers
 - Personal names
 - Stewart, James, **1908-1997** <the actor>
 - Stewart, James, **1941-** <the mathematician>
 - Names of governments, places, and institutions
 - Hartford (**Conn.**)
 - Hartford (**N.Y.**)
 - Series titles
 - Studies in political science (**Lewiston, N.Y.**)
 - Studies in political science (**Praeger Publishers**)

Rules

- Name and (uniform) title heading decisions are based on rules:
 - Anglo-American Cataloging Rules, 2nd ed. rev. (AACR2rev)
 - Library of Congress Rule Interpretations (LCRIs)

AACR2rev. Example

- **“22.5C5. Other compound surnames. Married women whose surname consists of surname before marriage and husband’s surname.**

“Enter under the first element of the compound surname (regardless of its nature) if the person’s language is Czech, French, Hungarian, Italian, or Spanish. In all other cases, enter under the husband’s surname.”

Rules & Context

- Rules are used to maintain consistency & uniqueness
- Application of the rules is determined to a significant degree by context, such as:
 - where the name appears on the publication
 - what headings are already in the catalog
 - what name has been preferred historically

Context

- If a name has to be established, and it appears as J. G. Wright on the title page & John Garfield Wright elsewhere, the rules instruct the cataloger to establish using Wright, J.G. because the title page takes precedence over other sources in the book

Context

- If the catalog already has a **Martha Stewart**, established, the rules instruct the cataloger to qualify the heading for a different Martha Stewart with dates and/or a qualifier
 - **Stewart, Martha** <heading for the television personality>
 - **Stewart, Martha, 1922-** <newly established heading for the 40's/50's actress & vocalist to “break the conflict”>
- If the TV personality hadn't changed her name from Martha Kostyra
 - There would be no heading in the catalog for Stewart, Martha <without date>
 - The actress/vocalist could be established as Stewart, Martha <date is not necessary to make the heading unique in the context of this catalog>

Controlled Subject Headings

- Topics & geographic areas used as subjects are established at LC & listed in LCSH (Library of Congress Subject Headings)
 - 650 _0 \$a Philosophy, French.
 - 650 _0 \$a Forests and forestry.
 - 650 _0 \$a Lincoln Memorial (Washington, D.C.)
 - 651 _0 \$a East Asia.

Controlled Subject Headings

- Subject headings listed in LCSH are established following the rules in LC's Subject Cataloging Manual (SCM)
- In addition, the application of subdivisions to subject headings follows the rules in SCM

650 _0 \$a Philosophy, French \$y 20th century
\$v Congresses.

Controlled Subject Headings

- Names & titles used as subjects are usually not listed in LCSH
- Names & titles are established following the rules in AACR2/rev. and the LCRIs
 - 600 10 \$a Benedict \$b XVI, \$c Pope, \$d 1927-
 - 600 10 \$a Picasso, Pablo, \$d 1881-1973. \$t Guernica.
 - 630 _0 \$a Venus de Milo.
 - 651 _0 \$a Thailand.
 - 651 _0 \$a Philadelphia (Pa.)

Controlling Headings

- A name, title, or subject heading controlled or determined by cataloging rules and context is established or authorized

Out of Control!

- Many areas of the bibliographic record are not controlled:
 - Non-series titles (245, 246)
 - Publication Area: place of publication, publisher (260)
 - Notes (500, 515, 590, etc.)
- Simple keyword searching retrieves both controlled headings and uncontrolled data

Authority Records

- Authority Records
 - Document the authorized form of the heading
 - Document why the name used for the established heading was chosen
 - Record the variant forms that were not chosen to be the established heading
 - Sometimes record established headings related to the authorized heading
 - Formerly on typed cards, authority records are now generally computerized

Authority Record for a Name

010		‡a n 81 82138607
035		‡a (DLC)
040		‡a DLC ‡c DLC ‡d DLC
100	0	‡a Diana, ‡c Princess of Wales, ‡d 1961-1997
400	1	‡a Spencer, Diana Frances, ‡c 1997
400	0	‡a Di, ‡c Lady, ‡d 1961-1997
400	0	‡a Dayānā, ‡c Princess of Wales, ‡d 1961-1997
670		‡a Dunlop, J. Charles and Diana, a royal romance, c1981 (subj.) ‡b p. 6, etc. (Lady Diana Frances Spencer; b. July 1, 1961)
670		‡a Leete-Hodge, L. The Country Life book of 1981: ‡b table of contents (Diana, Princess of Wales)
670		‡a Carretier, M.-P. Lady Di chez elle, c1987.
670		‡a The Washington post, Aug. 31, 1997 ‡b (Diana d. Aug. 31, 1997 from a fatal car accident)

Established Form

Variant Form

Rules Require Official Married Name for Established Heading

References

- References lead catalog users from the variant form to the established form
- References are now generated from the variant form fields in the authority record

Database Name: Yale University Library

Other search terms for: Di, Lady, 1961-1997

The references listed below may also contain information related to your search.

See: [Diana, Princess of Wales, 1961-1997.](#)

Related Terms, Names or Titles

010		‡a n 96109910
035		‡a (OCoLC)oca04206663
035		‡a (DLC)n 96109910
035		‡a 4062107
040		‡a DLC ‡c DLC ‡d DLC ‡d NNC
110	2	‡a Southern Connecticut State University
410	2	‡a SCSU
410	2	‡a S.C.S.U.
510	2	‡w a ‡a Southern Connecticut State College
670		‡a Hedberg Maps, Inc. Professor Pathfinder's Yale University & New Haven, including SCSU & UNH, c1995: ‡b map recto (Southern Connecticut State University)
670		‡a LC database, 11-12-96 ‡b (hdg.: Southern Connecticut State University)
670		‡a Southern Connecticut State University WWW Home page, Mar. 11, 2003 ‡b (March 1983, name changed from Southern Connecticut State College to Southern Connecticut State University)

**Related (Earlier)
Form of
Established
Heading**

Related Term References

- Related Term references lead the user to authorized earlier/later names or broader/narrower terms
- References are now generated from the related term fields in the authority record

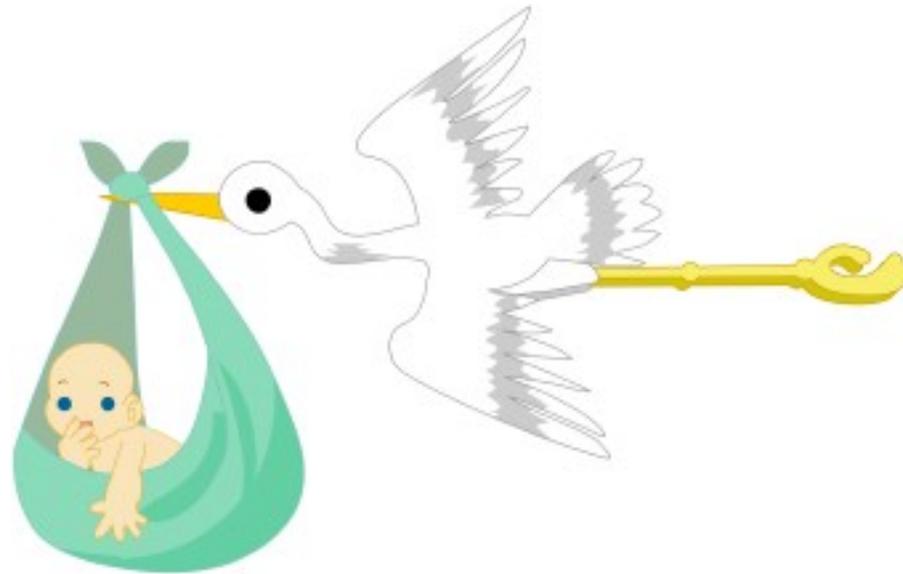
Database Name: Yale University Library

Other search terms for: Southern Connecticut State College

The references listed below may also contain information related to your search.

Later Heading: [Southern Connecticut State University](#)

But Where Do Authority Records Come From?



Name Authority File (NAF)

- In the U.S., a cooperative name authority file in electronic form is maintained by the Library of Congress
- Libraries in the U.S., Australia, Canada, & the United Kingdom all contribute to the file, commonly referred to as the NAF
- Catalogers who contribute records to OCLC are expected to use the headings in the form listed in the NAF

NACO

- Staff from LC & other libraries train, review, & authorize catalogers for the Name Authority Cooperative project (commonly known as NACO)
- NACO-trained catalogers are authorized to contribute to & update records in the NAF
- The official NAF is at LC, but non-LC NACO catalogers contribute their records to a copy of the NAF at OCLC

Authority Control Is--

- The process of determining the established heading based on rules
- Creating an authority record to document the decision and provide references—preferably at the national level
- Finding and using the established heading in new and retrospective cataloging
- Maintaining consistency and uniqueness within the heading file

Authority Control is a Shared Responsibility

- Catalogers from English-speaking countries create authority records at a trans-national level
- Technical services staff use catalog references & judgment to maintain heading consistency and uniqueness in the local catalog & in OCLC as new records with headings are entered into the database
- Public services provides feedback, especially on display & intelligibility issues
- Computer programmers use algorithms to maintain consistency and to provide feedback (not so good with uniqueness so far)

Authority Control is a Shared Benefit!

- For knowledgeable users who understand controlled headings & how to use catalog references
- For Public Services staff who can help users who may not be knowledgeable
- For selectors & acquisitions staff who need catalog consistency to avoid duplicate ordering or receiving

Benefits for Those Outside the Traditional Catalog

- For keyword users who don't want to be helped (because advanced keyword searching uses controlled headings to determine relevance)
- For readers who never use our catalog, because shared authority work means consistency not just in your local catalog, but in most Anglo-American catalogs and in OCLC's WorldCat, the largest bibliographic database in the world
- For future users who will use/need controlled headings in metadata to navigate the web