

Focus on MARC 21 Authorities

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Overview

- ❖ **Authorities in general**
- ❖ **Data about data**
- ❖ **Linking information**
- ❖ **Heading fields**
- ❖ **Tracings and references**
- ❖ **Series**
- ❖ **More links**
- ❖ **Various topics**

Vocabulary

❖ Heading –

- established form of a name that may be used as a lead element
- form used in bibliographic records

❖ Reference –

- (see) un-established name that points to an established name
- (see also) – established name that points to another established name

❖ Tracing –

- (see from) (see also from) reference when it is recorded on the record for the name to which it points

Basic Authority Record Model

- ❖ **Established heading**
 - **Authorized form of name**
- ❖ **Tracings (see from) rather than references (see) in record**
- ❖ **Established and un-established alternative language headings**
 - **Option: treat as simple variants and references**
 - **Option: treat in separate linked records with distinct tracing structures**
- ❖ **Series treatment data**

Authority Format Areas

- ❖ **Established Heading (1XX)**
- ❖ **Tracings**
 - **See from (4XX)**
 - **See also from (5XX)**
- ❖ **Complex references (260, 360, 663, 664)**
- ❖ **Notes (667-68X)**
- ❖ **Series treatment (64X)**
- ❖ **Linking headings (7XX)**

Types of headings

- ❖ **names**
- ❖ **uniform titles**
- ❖ **series uniform titles**
- ❖ **subjects**

Name heading record

- ❖ **Personal name**
- ❖ **Corporate name**
- ❖ **Meeting name**
- ❖ **Jurisdiction/geographic**

- ❖ **Title**
- ❖ **Name/title combination**
 - **Bibliographic question with titles**

Series record

- ❖ **“Series” titles of all types**
 - series - traced and untraced
 - series like phrases
 - multipart item (e.g., multivolume monograph)
 - Bibliographic or Authority data question
- ❖ **Series treatment information**
 - analysis, classification, tracing practice
 - series numbering information
- ❖ **Local data question**

Subject heading records

❖ Subject headings

- topical, geographic, chronological, genre/form
- precoordinated or single term

❖ Subdivisions

- topical, geographic, chronological, genre/form

❖ Node labels

- unestablished term used as a thesaurus tree label

Authority format “data about data”

About the record

Coded data

- ❖ **Date entered on file - 008/00-008/05**
- ❖ **Record status - Leader/05**
 - **Basic values**
 - n = New
 - d = Deleted
 - c = Corrected or revised
 - **Specialized values**
 - o = obsolete
 - a = increase in encoding - record now complete
 - s = deleted because heading split into 2 or more
 - x = deleted because heading replaced by another

Coded data

❖ Record Update in process - 008/31

- warning that a record is undergoing revision by some agency (agency indicated in 040 \$d)
- useful in cooperative environments where many catalogers are contributing and updating the file
- systems *can* use it to lock records

❖ Encoding level - Leader/17

- **n = complete**
 - meets an established national standard for a complete record
- **o = incomplete**
 - record not considered complete by the creating person or agency

Coded data

❖ Reference evaluation - 008/29

- values: tracings are consistent with 1XX, tracings are not consistent with 1XX
- useful when (major) changes made to catalog

❖ Level of establishment - 008/33

- values: preliminary, provisional, fully established
- indicates the situation for creation of the heading, thus its completeness

❖ Modified record - 008/38

- warning that record has been changed to accommodate system limitations

About the record

Coded data

- ❖ **Language of catalog - 008/08**
 - specialized to English French for Canada
 - universal way to indicate language is 040 \$b

Coded data

❖ **008/39 - Cataloging source**

- **general indication of source; specific source in 040 field**
 - **# = National bibliographic agency - e.g., National Library of Finland**
 - **c = Cooperative cataloging program - e.g., in the US: the NACO program**
 - **d = Other**
 - **u = Unknown - used for retrospective conversion**

❖ **040 - Cataloging source**

- **\$a - original cataloging agency**
- **\$c - transcribing agency**
- **\$d - modifying agency**

About the record

Coded data

❖ 042 - Authentication code

- **used to indicate specialized characteristics or reviews of record**
- **should be reserved for national level cooperative programs**
- **Example:**
 - **042 ##\$anaco**

About the heading

Coded data

❖ Kind of record - 008/09

▪ Established headings (authoritative)

- a = established heading
- f = established heading and subdivision
 - used for dual function records

▪ Un-established elements

- d = subdivision (authoritative)
- e = node label (authoritative)
- g = reference and subdivision (authoritative for subdivision)
 - used for dual function records
- b = untraced reference
- c = traced reference

About the heading

Coded data

❖ 008/17 - Type of subject subdivision

- values: topical, form, chronological, geographic, language
- needed with combination records and topical subdivisions
- provides for possible expansion of types
- example:
 - 008/17 = e (language)
 - [180] Finnish

About the heading

Coded Data

- ❖ **008/10 - Descriptive cataloging rules**
 - **Key values**
 - **c = AACR2**
 - **z = Other**
 - rules specified in 040 \$e
 - **n = not applicable**
- ❖ **Field 040 \$e - Descriptive conventions**
- ❖ **Where will RDA be specified?**

About the heading

Coded Data

❖ 008/11 - Subject heading system/ thesaurus

▪ Key values

- a = LCSH
- c = MeSH
- z = Other
 - system specified in 040 \$f
- n = not applicable

❖ Field 040 \$f – Subject heading/thesaurus conventions

About the heading

Coded Data

- ❖ **008/14 - Heading use - Main or added entry**
- ❖ **008/15 - Heading use - Subject added entry**
- ❖ **008/16 - Heading use - Series added entry**
 - **Values: a = appropriate; b = not appropriate**
 - **Examples:**
 - Lincoln, Abraham - a a b
 - Loire River Valley (France) - b a b
 - Buenos Aires (Argentina : Province) - a a b
 - **Under discussion**
 - value c for 008/14 = appropriate for added but not for main
 - E.g., use for exhibition or performance venue

About the heading

Coded Data

❖ **008/32 - Undifferentiated personal name**

- warning that the record is for more than one person with the same name because the cataloger could not distinguish the names

❖ **008/28 - Type of government agency**

- values: national, state, multistate, local, etc.
- used when the 1XX is an agency name

❖ **045 - Time period of heading**

- coded or formatted text - specialized use
- **150 ##\$aCivilization, Modern\$y20th century**
 - **045 2#bd1900bd1999**

About the heading

Coded Data

❖ 008/06 - Direct or indirect geographic subdivision

- not subdivided geographically
- subdivided direct, e.g., Rome
- subdivided indirect, e.g., Italy -- Rome
- use depends on structures specified in subject thesaurus

❖ Romanization scheme - 008/07

- Values: national, international, national library, national association, local, conventional, etc.
- Usefulness depends on whether specificity is sufficient for local needs

About the heading

Coded data

❖ **043 - Geographic area code**

- code form of geographic areas in heading
- general level
- **150 ##\$aCanadian Grand Prix Race**
 - **043 ##\$an-cn---**

❖ **052 - Geographic classification code**

- geographic code for 151 and 181 geographic headings
- detailed level
- **151 ##\$aMexico\$xEconomic conditions**
 - **052 ##\$a4411**

Coded Data

❖ 008/12 - Type of multipart

- Key value for series authority records
- Values
 - a = Monographic series
 - b = Multivolume monograph
 - c = series-like phrase
 - z = other
 - n = not applicable

❖ 008/13 - Numbered and unnumbered series

- used to validate headings in bibliographic records
- indicates that the number part in the bibliographic record is to be ignored in validation

Record control numbers

- ❖ **001 - Control number - current record number**
- ❖ **003 - Control number identifier**
 - Agency assigning 001 number
- ❖ **Example:**
 - **001 1553114**
 - **003 OCoLC**

Record control numbers

- ❖ **010 - Library of Congress Control Number**
- ❖ **016 - National bibliographic agency control number**
 - e.g., National Library of Canada , National Library of Finland, British Library
- ❖ **Examples:**
 - **010 ##\$an#2001987543**
 - **016 7#\$a2349876\$2Uk**

Record control numbers

❖ 035 - System control number

- other control numbers assigned to the record usually by other agencies
- not used for national bibliographic agency numbers, they use 010 and 016
- Example:
 - 001 o##97432990
 - 003 DLC
 - 035 ## \$a(OCOLC)1553114

Links to bibliographic records

- ❖ **014 - Link to bibliographic record for serial or multipart item**
 - record number link of Authority record for series or set to Bibliographic record for the series
- ❖ **Alternatives to 014 for linking to bibliographic records**
 - **020 - ISBN**
 - ISBN of a multivolume monograph set that has a set bibliographic record
 - **022 - ISSN**
 - ISSN of serial or series that has a series bibliographic record

Links to classification numbers

- ❖ **Classification numbers that are associated with the 1XX heading**
 - **053 - LCC number**
 - **083 - DDC number**
 - **087 - Government document classification number**
 - single numbers or spans
 - **072 - Subject category code**
 - category and subcategory rather than spans

Links to classification numbers

❖ 073 - Subdivision usage

- gives or refers to topical and geographic terms that the subdivision in the 18X field can be used with

Headings

Headings - name and title

❖ X00, X10, X11

- **Name, title, and name/title headings**
 - Bibliographic 100 + 240 or 100 + 245 become Authority 100 with name subfields and title subfields
- **Personal (including family), corporate (including treaties and jurisdictions), and meetings**

❖ X30 - Uniform title headings

- **Uniform titles with no author**

Example of name/title heading

❖ Bibliographic record:

- 100 1#\$aShakespeare, William,\$d1564-1616
- 240 10\$aHamlet
- 245 14\$a The tragical history of Hamlet,
Prince of Denmark

▪ or

- 700 1#\$aShakespeare, William,\$d1564-1616.
\$tHamlet

❖ Authority record:

- 100 1#\$aShakespeare, William,\$d1564-1616. \$tHamlet

Headings - subject, etc.

- ❖ **X48 – Chronological terms**
 - ❖ **X50 - Topical terms**
 - ❖ **X51 - Geographic names**
 - ❖ **X55 - Genre/form terms**
-
- **Subject headings may include subdivisions (called "extended" subject headings)**

About field 150

❖ 150 Heading - topical term

- Subfield \$v (Form subdivision) - used for what a publication *is*, not what it is about, e.g., \$v Periodical is used when a publication *is* a periodical

Subdivisions

- ❖ **X80 - General subdivision**
- ❖ **X81 - Geographic subdivision**
- ❖ **X82 - Chronological subdivision**
- ❖ **X85 - Form subdivision**
 - **subdivisions may have subdivisions**
 - **first subdivision defines tag type, e.g.,**
 - **181_ ##\$zParis (France)\$vPhotographs**

Tracings and References

Tracings and references

❖ Tracings

- **Used to generate references for users**
 - 4XX - See from tracings
 - 5XX - See also from tracings

❖ References

- **Exceptional in MARC 21**
 - 260 – Complex see reference-Subject
 - 360 – Complex see also reference-Subject
 - 663 - Complex see also reference-Name
 - 664 - Complex see references-Name
 - 665 - History reference
 - 666 - General explanatory reference

Tracings

- ❖ **Simple cross references - from one heading to one heading**
 - **4XX lead from one *unauthorized* heading to the 1XX authorized heading**
 - **5XX lead from one *authorized* heading to the 1XX authorized heading**
 - **4XX and 5XX = heading referred from**
 - **1XX = heading referred to**

Tracings

❖ Example:

- **100 0# $\$a$ Gustaf $\$b$ V, $\$c$ King of Sweden, $\$d$ 1858-1950**
- **400 0# $\$a$ Oscar Gustaf $\$b$ V Adolf, $\$c$ King of Sweden, $\$d$ 1858-1950**
- **Oscar Gustaf V Adolf, King of Sweden, 1858-1950**
 - search under: **Gustaf V, King of Sweden, 1858-1950**

Tracings

❖ 4XX, 5XX field structure

- same subfields and indicators as 1XX except
- \$i = Reference instruction phrase
- \$w = Control subfield
 - \$i and \$w primarily used for display and indexing control
- \$0 = Record control number (5XX only)
- \$5 = Institution to which field applies

Tracings

❖ Display of references from 4XX and 5XX fields

- 100 1#\$De Angelina, Anna
- 400 1#\$aAngelina, Anna de
- Display:
 - Angelina, Anna de
 - search under: De Angelina, Anna
- Reference instruction phrase = "search under:"

Tracing display

❖ Sources of Reference Instruction Phrase (RIP) - \$i

- Tag - most common
 - 'search under' -- 'search also under'
 - 'see' -- 'see also'
 - any language or wording of phrase possible

Tracing display

- **Subfield \$w/0 = Special relationship**
 - a = earlier heading
 - b = later heading
 - d = acronym
 - t = immediate parent
 - i = RIP in subfield \$i
 - n = not applicable
 - g = broader term
 - h = narrower term
- allows more specificity in the RIP but any language and wording possible
- relationship expressed as relation of 4XX, 5XX to 1XX
- in RIP, expressed as relation of 1XX to 4XX,5XX

Tracing display

- **Example:**

- 110 2# \$aAssociacao Brasileira para o Desenvolvimento das Industrias de Base
- 410 2# \$wd \$aAbdib (d = Acronym)

- **Display:**

- Asdib
 - » search under the fuller form of the heading:
Associacao Brasileira para o Desenvolvimento das Industrias de Base

Tracing display

- **Subfield \$i - Reference instruction phrase**
 - used when a special phrase is needed
 - **Example:**
 - 151 ## \$aSri Lanka
 - 451 ## \$wib \$aCeylon \$iFor subject entries search under
 - **Display**
 - Ceylon
 - » For subject entries search under: Sri Lanka

Rest of \$w Control subfield

❖ \$w/1 - Tracing use restriction

- enables coding of 'appropriate for use' at the field level
- if same as for heading as specified in 008/14,15,16, then no need to code (or 'not applicable' if a following position needs to be coded)
- used in formulating displays of tracings

Rest of \$w Control subfield

- ❖ **\$w/2 - Earlier form of heading**
 - used when there is a need to change established form of heading but maintain certain links to earlier form, e.g., if pre-automated catalog uses old heading
 - used to make special RIP
- ❖ **\$w/3 - Reference display**
 - used to suppress display of references from 4XX and 5XX fields when complex reference fields also in record

References

- ❖ **Complex cross references - from one heading to one or more headings**
 - **260 - Complex see reference – subject**
 - 150 ## \$aProjektrechnung
 - 260 ## \$aProjekt\$(DE-101b)4115645-6
 - 260 ## \$aKostenrechnung\$(DE-101b)4032592-1
 - **664 - Complex see reference - name**
 - used in a record with unauthorized form in 1XX
 - rarely used in LCSH or LC name authority file
 - **Example:**
 - 100 1# \$aArlen, Harold, \$d1905-\$tBloomer girl
 - 664 ## \$aFor collections beginning with this title search under \$bArlen, Harold, 1905- \$tMusical comedies. Selections

References

- **360 - Complex see also reference – subject**
 - 100 0# \$aMary,\$cBlessed Virgin, Saint\$xApparitions and miracles
 - 360 ## \$inames of particular apparitions and miracles, e.g.\$aFatima, Our Lady of
- **663 - Complex see also reference - name**
 - generally used with multiple pseudonyms (names) and unusual subdivision usage (subjects)
 - used occasionally in LCSH and LC name authority file
 - 100 1#\$aJapp, Alexander H.\$d1839-1905
 - 663 ##\$aFor works of this author written under pseudonyms, search also under\$bGray, E. Condor, 1839-1905\$bPage, H. A., 1839-1905

References

- **666 - General Explanatory reference - name**
 - Very rare in LC name authority file
 - 110 2#\$aAktiebolaget . . .
 - 666 ##\$aNames of corporate bodies beginning with this word are entered under the next word in the name.
- **665 - History reference**
 - used for names and subjects to give history of a name
 - rare use in LC catalog
 - 665 ## \$aln Jan. 1979 the Connecticut Dept. of Social Services split to form the Dept. of Human Resources and the Dept. of Income Maintenance. \$aWorks by these bodies are found under the following headings according . . .

Series Information

Series

- ❖ **MARC 21 decision to use Authority record for series treatment rather than Bibliographic record**
- ❖ **Series information in Authority records**
 - **008/12 - Type of series**
 - **0XX - Series classification/call numbers**
 - **014, 020, 022 - Link Bibliographic records for items in series to Authority record**
 - **64X - Series treatment information**

Series treatment

- ❖ **Series classification/call numbers - 0XX**
 - **call number for series when series classed as a set**
 - **assigning agency indicator or subfield \$5**
 - **Scheme specific fields:**
 - 050 - LCC
 - 082 - DDC (various)
 - 060 - NLM classification
 - 086 - Government Doc.
 - **Assigning-agency fields:**
 - 055 - NLC (LCC) 070 - NAL (LCC)
 - **Need for a general field?**

Series treatment

❖ Series treatment

- **640 - Series dates of publication/volume designation**
- **641 - Series numbering peculiarities**
- **642 - Series numbering example**
 - 640.641.642 assist cataloger with series numbering
 - 642 gives example of style of numbering to be used
- **643 - Series place and publisher**
 - assists cataloger in identifying correct series when looking for treatment decisions

Series treatment

❖ Treatment decisions

- **644 - Series Analysis Practice**
 - tells cataloger whether the series is to be analyzed in full, in part, or not at all
- **645 - Series tracing practice**
 - tells cataloger whether a series should be traced as added entries in bibliographic records
- **646 - Series classification practice**
 - tells cataloger whether items in a series can be classed separately or are to be classed together
 - if classed together, call number is in 0XX field

Notes

❖ Public notes

- **680 - Public general note**
 - generally application information for the public
- **687 - Biographical or historical data**
 - field 666 is history *reference*
 - field 687 is only history
 - archivists field, in transition

❖ Cataloger notes

- **667 - Nonpublic general note**
 - all non-specialized cataloger notes
- **670, 675 - Source data found, Source data not found**

Notes

❖ Cataloger notes (cont.)

- **681 - Subject example note**
 - assists updating by indicating headings whose records use the 1XX as an example in 260, 360, 680
- **682 - Deleted heading note**
 - sent out in a delete record explaining delete
- **688 - Application history note**

7XX Linking fields

- **Link among different authority files**
 - names, titles in different authority systems
 - equivalent established headings in different subject thesauri, e.g., LCSH and MeSH, or General Finnish Subject Headings and LCSH (?)
- **Link within an authority file**
 - 150 topical term to same or similar subdivision term, e.g.,
 - 150 Twentieth century *and* 780 20th century
 - direct geographic with indirect deographic subdivisions, e.g.,
 - 150 Rome (N. Y.) *and* 780 New York (State)--Rome

Special 7XX subfields

- **\$0 - Record control number**
 - used to link to related Authority record
- **\$w - Control subfield**
 - one position, \$w/0, controls display of 7XX data
 - data not displayed when 788 or other field in record
- **\$2 - Source of heading or term**
 - used to indicate the thesaurus of the heading
- **\$8 - Linking number**
 - used to link two 7XX if needed

Complex linking data

- **Field 788 - Complex linking entry data**
 - used if too difficult to construct instruction from simple 7XX fields

Other Topics

Virtual International Authority File

- ❖ **VIAF is exploring combining authority files via machine matching**
- ❖ **Current partners: LC, DNB, BnF provide the files; OCLC provides system and technical work**
- ❖ **Currently working mostly with personal names**

VIAF approach

- ❖ **Match authority records via bibliographic records**
 - **Collect bibliographic records for a heading**
 - **Create an augmented authority record with information from the bibliographic records**
 - All titles by the author
 - Generalized topics from bibliographic record
 - Geographic indicators
 - ISBNs, ISBNs from titles
 - Joint authors
 - **Compare augmented record details with similarly augmented records from another file**

VIAF results thus far

- ❖ **Strongest matching points:**
 - **Uniform title**
 - **ISBN, LCCN**
 - **Birth/death dates**
 - **Joint authors**
- ❖ **Visit prototype site**
 - **<http://viaf.org>**

NACO non-Latin authority project

- ❖ **NACO file is the file built by the Library of Congress with over 500 institutions, primarily in the North America, Great Britain, Latin America**
- ❖ **Currently over 7 million records for person, corporate, and title authorities – over 5 million of those are personal names**
- ❖ **Currently all Latin script**
- ❖ **Major project to add non-Latin scripts for the future**

NACO non-Latin approach

- ❖ **MARC 21 specifies two ways to incorporate multiple scripts**
- ❖ **Latin script based community has used Model A for bibliographic records with**
 - Latin in the regular fields
 - Non-Latin for data in the 880 fields
- ❖ **Authority records will use Model B with**
 - Mixed scripts in regular fields

Non-Latin authority specifics

- ❖ **Non-Latin scripts will be carried as references in**
 - **4XX see from tracing fields**
 - **selected note fields**
- ❖ **1XX and 5XX fields will not change –**
 - **they carry the established Latin script forms used in bibliographic records**
- ❖ **880 fields will not be used**

Non-Latin authority pre-population

- ❖ **Current bibliographic records already contain many non-Latin headings in 880 fields**
- ❖ **OCLC will process the bibliographic records and derive the non-Latin headings from the 880 fields and add them to 4XX in the appropriate Authority records**
- ❖ **The records will be marked:**
 - **008/29 (Reference evaluation) = b (tracings not necessarily consistent with heading)**
 - **Field 667 (nonpublic note) will indicate that non-Latin references added programmatically**

Non-Latin authority project

- ❖ Evaluation period for issues identified in *White Paper: Issues Related to non-Latin Characters in Name Authority Records*:
www.loc.gov/catdir/cpsol/nonlatin.pdf
- ❖ Pre-population targeted to begin in June 2008
- ❖ Pre-populated authority records will be distributed by CDS in usual Authority record distribution service

Multilingual models

- **Model 1 - One authoritative form in one record; with references from non-authoritative form**
- **Model 2 - Multiple authoritative forms in one record with references in the same record**
- **Model 3 - Multiple authoritative forms in separate records with linking references to each other**

Multilingual models

❖ Model 1

- **1XX finnish**
-
- **4XX swedish**
- 4XX english
- 4XX finnish
- 4XX swedish
-

Model 2a

- 1XX finnish**
- 1XX swedish**
- 4XX english
- 4XX finnish
- 4XX swedish

Model 2b

- 1XX finnish**
- 4XX english
- 4XX finnish
- 4XX swedish
- 7XX swedish**

Multilingual models

❖ Model 3

- | | |
|----------------------|--------------------|
| ▪ 1XX finnish | 1XX swedish |
| ▪ 4XX english | 4XX english |
| ▪ 4XX finnish | |
| ▪ | 4XX swedish |
| ▪ 7XX swedish | 7XX finnish |

International Standard Name Identifier

- ❖ **ISNI identifies parties involved in creative activities in the creation, production, management and distribution of resources**
- ❖ **Terminology and model**
 - **Party – the creative entity – person, fictional character, group of same**
 - **Public identity/name – a label used by the party**
 - **ISNI – standard identifier associated with each Public identity**
 - **Public identifiers may be linked**

ISNI

- ❖ **Example from the draft standard**
 - **Party – Ruth Barbara Rendell, Baroness Rendell of Babergh, CBE**
 - **Public Identity (1) – Ruth Rendell**
 - ISNI 245 863 573 047-2
 - **Public Identity (2) – Barbara Vine**
 - ISNI 894 758 249 150-8
 - Related identifier – ISNI 245 863 573 047-2

ISNI

❖ Relationship to library names authority files?

- **Good congruence with Library authority files -- Libraries create:**
 - separate record for each Public Identity (1XX)
 - Party named on each record as 4XX
- **Will publishers maintain the ISNI registry?**
- **Can libraries benefit for authority work? Proposed information in ISNI registry may include:**
 - Public Identity and ISNI and linking ISNI
 - birth date
 - geographical location
 - role
 - additional information perhaps
- **Will cooperation enable authors to more accurately collect royalties and control rights?**

Broadening interest in name files

- ❖ Library authority files that
 - target authors
 - target making names unique, textually
- ❖ Journal databases
 - target authors
 - have not focused on uniqueness for names -- extensive use of initials made situation difficult.
- ❖ Institutional repositories
 - want unique name databases
 - target students, contributors, professors, donors, faculty, in addition to authors
 - want to connect different persona – for example student, then donor; professors who move to different universities