

Notes and Examples for a Presentation on Authority Data Basics

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Purpose

To offer a basic introduction to authority data and rules for its creation order to set a basis for understanding how authority control works. The session will cover names and titles; it will not cover topical subject headings such as LCSH or MeSH.

Assumptions

You use the *Anglo-American Cataloguing Rules* in your daily work, and you have a copy of the cataloging rules available in your place of work. You may also be using the Library of Congress Rule Interpretations. You know something of the MARC21 formats and you are not working in a NACO library (if you were, you would take the NACO training, offered several times a year at the Library of Congress).

Why do we do authority work?

In the nineteenth century, Charles Ammi Cutter published his *Rules for a Dictionary Catalog*, among the first American works to identify user needs and set out how a library's holding should be organized. Cutter's basic organizing principles continue to be the foundation for contemporary cataloging. He asserted that

- A library user should be able to find an item if:
 - A. the author is known
 - B. the title is known
 - C. the subject is known
- A library catalog should show what the library has
 - D. by a given author
 - E. on a given subject
 - F. in a given kind of literature.

Cutter's statements were incorporated into the 1961 Paris Principles to which AACR adheres, and are also recognized in the Functional Requirements of Bibliographic Records, FRBR. When we perform authority work, we are responding to Cutter's objects, adhering to the Paris Principles, and doing work that makes FRBR presentations of bibliographic data possible.

In order, for example, to bring together the publications of a person, corporate body of conference, we perform authority work to bring consistency to what we use as access points.

Often publications are inconsistent in the presentation of names; names may vary in fullness between publications or be presented in more than one way on a publication -- e.g., sometimes the author is Nancy John, sometimes presented as N.R. John.

What we do

We choose one name to represent the entity, and make references from variants. When a name has subordinate units, references made at higher levels are not repeated for lower levels.

We use as the name the one by which the entity is identified most commonly **in works published in its own language in its country of origin.**

We make the name form unique by making additions to the commonly found form.

We accept that a change in name may mean a change of identity.

We use the MARC21 authority format to record our decisions¹

The MARC 21 Format for Authority Data uses numeric, three digit tags as do the other MARC 21 formats; subfielding is consistent with same data in other formats.

In the authorities format,

the **1xx fields** are for the established form (preferred form),
the **4xx fields** are for variants of the preferred form, and
the **5xx fields** are for related established headings
64x are series treatment fields
663-666 are complex name reference fields
667-68x are note fields (670 routinely present in every record)

By making headings **unique** means that there will be no conflict between established names and titles. The rules relating to conflict are documented in the NACO Normalization Rules (sheet 1) (<http://www.loc.gov/catdir/pcc//naco/normrule.html>).

Name Headings are the rules of interest for us today.

What rule 1.1 says is:

an established personal name (100) cannot be the same
another established personal name (100)
as an established corporate name (110)
an established conference or meeting name (111)
as an established uniform title (130), or
as an established geographic name (151)

and

an established corporate name (110) cannot be the same
as another established corporate name (110)
as an established personal name (100)
an established conference or meeting name (111)
as an established uniform title (130), or
as an established geographic name (151)

etc.

Rule 1.2 says that if the 5xx field is used, it must also be present as a 1xx field in another record.

Rule 1.3 specifies that no 4xx (in the context of names, we mean no 400, 410, 411, 430, or 451 field) can be the same as a 1xx field.

1. Concise format online at: <http://www.loc.gov/marc/authority/ecadhome.html>
; full format: *MARC 21 format for authority data : including guidelines for content designation* / prepared by Network Development and MARC Standards Office, Library of Congress in cooperation with Standards and Support, Library and Archives Canada, Bibliographic Standards and Systems, British Library. 1999 ed. Washington : Library of Congress, Cataloging Distribution Service ; Ottawa : Library and Archives Canada, 1999- Loose-leaf; updated annually

Rule 1.4 acknowledges that a 4xx in one record may be the same as a 4xx in another record.

When rule 1.1, 1.2 or 1.3 is broken, a CONFLICT situation occurs.

Exercises: Conflict or Not

Sheet 2 and sheet 3 Madonna ... three records
Sheet 4 and sheet 5 ESTC ... four records
Sheet 6 Haddock ... two records²
Sheet 7 Candlewick ... two records...conflict here

Two other features of MARC21 and record displays

Sheet 8, Subfield w
Sheet 9, Four important fixed field positions

Chapter 22

Headings for Persons

The table of contents for Chapter 22 of AACR is a useful guide to what the decision points are for personal names, how choices are made for entry elements, and what additions may be made to names.

The basic rule at **22.1A** begins

In general, choose, as the basis of the heading for a person, the name by which he or she is **commonly known**. This may be the person's real name, pseudonym, title of nobility, nickname, initials, or other appellation. ..

and ends

For the treatment of the names of authors using one or more pseudonyms or a real name and one or more pseudonyms, see 22.2B. For the form of name used in headings, see 22.4-22.16.

And, the at **22.1B** the instruction beings

Determine the name by which a person is commonly known from the chief sources of information (see 1.0A) of works by that person issued in his or her language.

The first sentence is a key instruction for personal names -- usage -- formal presentation on the piece, typically taken in order of preferred sources for the type of material being cataloged, is what determines the form chosen.

Rule **22.2** describes how to determine which will be the established form when you are presented with more than one form of a person's name:

If a person (other than one using a pseudonym or pseudonyms, see 22.2B) is known by more than one name, choose the name by which the person is clearly most commonly known, if there is one. Otherwise, choose one name or form of name according to the following order of preference:

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- Record at top of page is not current authority record; current practice is that if the established heading in 100 has date information, the variants in the 400s must also have date information

- a) the name that appears most frequently in the person's works
- b) the name that appears most frequently in reference sources
- c) The latest name

At **22.2B**, pseudonyms are treated; and at **22.2B3** the special treatment for contemporary authors writing under pseudonyms³:

If a contemporary author uses more than one pseudonym or his or her real name and one or more pseudonyms, use, as the basis for the heading for each work, the name appearing in it. Make references to connect the names (see 26.2C and 26.2D).

And, finally at **22.2B4**,

If a person using more than one pseudonym or his or her real name and one or more pseudonyms

neither has established separate bibliographic identities (see 22.2B2)
nor is a contemporary author (see 22.2B3)

choose, as the basis for the heading, the name by which that person has come to be identified in later editions of his or her works, in critical works, or in other reference sources (**in that order of preference**). Make references from other names.

A footnote tell you in this instance to

Disregard reference sources that always enter persons under their real names.

Instructions concerning fullness of name begin with **22.3A1**

If the forms of a name vary in fullness, choose the form most commonly found. As required, make references from the other form(s).

If no one form predominates, choose the latest form. In case of doubt about which is the latest form, choose the fuller or fullest form.

An LC rule interpretation for this rule states:

When there is no commonly found form choose the fullest form as the AACR2 form..

Rules **22.4** and **22.5** instruct on determining the entry element of the name; of particular interest are instructions at **22.5D1** determining the entry element for names in various languages when the name includes a prefix. It is here that you learn that

Herbert von Karajan's
surname is Karajan, not von Karajan.

The rules for entry under phrase at **22.11** include the instruction

If a name that is a phrase does not convey the idea of a person, add in parentheses a suitable designation in English.

River (*Writer*)

Taj Mahal (*Musician*)

The rules for additions to names are followed by **Additions to Distinguish Identical Names**. The addition of the fuller form and (now) dates may be made to a name even if the purpose is not to distinguish identical names. However, dates are routinely used to distinguish identical names and to break conflicts! Rule **22.20** (I think a very important rule, but it has its detractors) allows for "undifferentiated" personal names, and such names also have authority records.

Examples / discussion

- Sheet 10 Barack Obama, typical currently created personal name record; 100 and 670 present. 670 identifies where the information was found on the title being cataloged, using
#atitle, publication date:#bsource (name form found)
- Jan Piestenzak, dates were in piece being cataloged and are added to name
- Wodehouse, P.G. illustrates using two additions to name: fuller form and dates. P.G. is the form commonly found on his publications. Note that the first 400 has subfield w with value: nna
- Sheet 11 Heilbrun -- contemporary writer with two bibliographic identities (use of 5xx)
- Sheet 12 Gordon Matthew Sumner, better known by his pseud. that is modified by (Musician) because his pseud. does not suggest personal name
- Swoon, modified by (Graffiti artist) -- note that different "suitable designations" (rule 22.11) may be used
- Sheet 13 Jack Higgins, said to be the writer that prompted rule 22.2B3 -- contemporary writer with several bibliographic identities (use of 5xx, with subfield w; presence of 663)
- Sheet 14 undifferentiated name record (bottom of second column of fixed fields, Name = b)
- use of "paired 670 fields" first is "[Author of ...]" and second is "source of information"

Chapter 23

Geographic Names

The table of contents for Chapter 23 of AACR is a useful guide to what the decision points are for geographic names, how choices are made for entry elements, and what additions may be made to names.

- 23.2A** Use the English form of the name of a place if there is one in general use. If the English form of the name of a place is the English name of the government that has jurisdiction over the place, use that form
- 23.2B** Use the form in the official language of the country if there is no English form in general use. If the country has more than one official language, use the form most commonly found in English-language sources.
- 23.3** If the name of a place changes, use as many of the names as are required by:

- 1) the rules on government names (24.3E) (e.g., use *Nyasaland* or *Malawi*, as appropriate)
- or 2) the rules on additions to corporate names (24.4C4) and conference names (24.7B4) (e.g., use *Léopoldville* or *Kinshasa*, as appropriate)
- or 3) other relevant rules in chapter 24.

23.4 Make all additions to place names used as entry elements (see 24.3E) in parentheses.

which is followed by the rules for setting up place names in various countries. In the United States, a state name has no addition. Any place that is in a state ..., AACR instructs to add the name of the state, etc., in which it is located. There are rules that apply to other places as well, such that every place in the world is covered..The chapter ends with other types of additions that may be made to geographic names.

Examples / discussion

sheet 15 New York city... note date of record creation (entered); authority records have been entered over time and with different rules and interpretations of rules; useful to note when a heading began its life, which sometimes aids in understanding the record

Gazetteers and other geographical reference sources may be used, and were routinely used in the past. Currently, to verify places in the United States, GNIS is used. GNIS is the Geographic Names Information System (GNIS), developed by the U.S. Geological Survey in cooperation with the U.S. Board on Geographic Names. GNIS contains information about physical and cultural geographic features in the United States and associated areas, both current and historical.

In the case of geographic names, conflicts are anticipated and solved in advance when a geographic name form is established.

sheet 16 GNIS search screen (with query filled in, top) and response (bottom). Note that there are three populated places in Illinois with the name Sugar Grove. Who knew? Thus, the name UIC set up for Sugar Grove in Kane County includes the name of the county and the state (as per rule **23.4F1**)

sheet 17 Sugar Grove, Kane County, Illinois
You will note in each case, the geographic name is tagged 151. When a geographic name is used as the name of a government, that is, as a corporate body, the name form is the same, but in the bibliographic record it is tagged as x10. authority field 781 shows the form that is used for indirect geographic subdivision; 043 is the code for this geographic name that would be used in a bibliographic record

sheet 22 Name change: Hyde Park ... jurisdiction where located changed
sheet 23 Name change: Upper Volta ...name change
sheet 24 Name change: DuPage Du Page name change

Chapter 24 Names for Corporate Bodies

Again, the table of contents for the chapter offers helpful guidance about the approach taken to corporate names.

24.1A begins remarkably like the chapter on personal names with

Enter a corporate body directly under the name by which it is **commonly identified**, except when the rules that follow provide for entering it under the name of a higher or related body (see 24.13) or under the name of a government (see 24.18).

Determine the name by which a corporate body is commonly identified from items issued by that body in its language (see also 24.3A), or, when this condition does not apply, from reference sources, [which as used in this chapter, includes books and articles written about a corporate body]

and the general rule ends with instructions for how to proceed when the name of a corporate body changes:

24.1A3 If the name of a corporate body has changed (including change from one language to another), establish a new heading under the new name for items appearing under that name. Refer from the old heading to the new and from the new heading to the old (see 26.3C).

This general statement is followed by instructions for variant names and variant names of different types; then come additions to names (including additions to add to names "not conveying the idea of a corporate body", and additions to distinguish two or more bodies with the same names). N.B. there is no possibility for "undifferentiated" corporate names.

Two areas that receive sustained attention by most catalogers are the rules for subordinate and related bodies ---

24.13-24.14 for non-governmental bodies

24.18-24.19 for governmental bodies

It is important to read these rules carefully. Note that there is no equivalent of the type 6 for non-governmental names for a government body (N.B. many government agencies carry the name of the highest level of the government in their names, but that alone is NOT used as the criterion to determine entry subordinately under the government -- consider Utah State Library)

The rules for government officials at **24.20** are a source of see also references relating the name of the office and the person in the office.

Examples / Discussion

sheet 21 Corporate body: association -- Alzheimer's, 3 records

sheet 22 Corporate body: business

- o Yahoo -- according to LCRI at **24.5C1** (If the term [indicating incorporation] appears at the end of the name, treat it as a part of the name only if the term is necessary to show that the name refers to a corporate body.); thus, Inc. is retained and (Firm) is not used in the established form, but has been used in the see from reference
- o Amblin Entertainment (corporate name does not include word(s) to indicate that this is a business, although you may know that it is a business; thus, (Firm) added)

- o Edward D. Jones (old inverted form that is no longer used -- present with subfield w = nnaa; for newly established headings with no earlier forms, inverted reference not made)

sheet 23 Corporate body: government agency, indirectly Cherokee

N.B. This example also illustrates a decision made by LC in January of 2006 concerning the coding of certain Indian tribes:

The Cataloging Policy and Support Office has determined that names of Indian tribes recognized by the U.S. government as legal entities will henceforth be tagged 151 (Geographic name) in name authority records rather than 110 (Corporate name), as they were previously tagged. This change in status of headings for tribal entities to 151 (Geographic name) will enable these headings to be used as jurisdictions when needed in cataloging. ... These headings may also be used as geographic subdivisions, subdivided directly.⁴

Complete report can be found at:
www.loc.gov/catdir/cpsa/tribes.html

sheet 24 Corporate body: government agency, entered directly--Canadian Transportation Agency (it is not one of the types listed at **24.18**). 410 for CTA appears only in record for the Agency, not in records for subagencies (see bottom of page)

Chapter 24 also covers the establishment of conference names at **24.7**. The formal presentation of the conference name, which is needed to establish something as a conference, may be anywhere in the publication. Formal presentation means a name, typically capitalized, rather than a general description (e.g., an expression such as "a day-long meeting on reading" uncapitalized would not be considered a conference name).

Examples / Discussion

sheet 25 AAAS ... (no number date, place; continuing)
Bristol (has date and place)

sheet 26-27 International Colloquium on Mycenaean studies
N.B. the name can be used on some bibliographic records without number-date-place (bottom sheet 26) and with that information (sheet 27), depending upon what is being described by the publication.

Sometimes, but not always, the authority record will be updated with information about subsequent conferences (one assumes to ensure that all headings for the 10th, for example, have date 1995 and location Salzburg Austria)

Chapter 25 Uniform titles

Again, the table of contents for the chapter shows that most attention directed to special rules for certain types of works with laws and treaties (rule 25.15-16) sacred scriptures (rule 25.17 onwards), and music (rule 25.25

4. LCRI for 23.1; also at <http://www.loc.gov/catdir/cpsa/tribes.html>

onwards) receiving the sustained attention. If you catalog sound recordings, music videos, or sheet music, you are familiar with the music rules.

The rules begin differently than the other chapters; rule **25.1A** states:

Uniform titles can be used for different purposes. They provide the means:

- for bringing together all catalogue entries for a work when various manifestations (e.g., editions, translations) of it have appeared under various titles;
- for identifying a work when the title by which it is known differs from the title proper of the item being catalogued;
- for differentiating between two or more works published under identical titles proper;
- for organizing the file.

The need to use uniform titles varies from one catalogue to another and varies within one catalogue. Base the decision whether to use a uniform title in a particular instance on one or more of the following, as appropriate:

- how well the work is known
- how many manifestations of the work are involved
- whether another work with the same title proper has been identified (see 25.5B)
- whether the main entry is under title (see 21.1C)
- whether the work was originally in another language
- the extent to which the catalogue is used for research purposes.

Although the rules in this chapter are stated as instructions, apply them according to the policy of the cataloguing agency.

[end quote from catalog rules]

In short, you are being given license to determine when you apply the uniform title rules -- that is when does your library want to use Uniform titles? The NACO/LC Name Authority File (NAF) will reflect the application of the rules as written as well as the associated LCRIs.

You may find that you have use for uniform titles (e.g., as subjects using the 130 form as the basis for a 630) as we take a look at some examples

Examples / Discussion

sheet 28 Translations. sacred scriptures in various versions; dance

sheet 29 Television, search engines, computer programs

Chapter 26 References

Chapter 26 is a statement of the rules for making references. The chapter table of contents shows the detail of how references are handled -- see references, see also, and explanatory, with detail under each. You will note that each type of reference begins with "different" things (that is variants). The chapter is filled with lists of criteria...for example under geographic names and corporate bodies typical instances requiring see from references are:

- Different language forms
- Initials and acronyms
- Full names
- Different spelling
- Different Romanization
- Other variants (including shorter, fuller, and inverted forms)

Consult this chapter with chapters 22-25 to inform the selection of 4xx and 5xx references.

sheet 30 is a printout of the first part of the NACO (Name Authority Cooperative) homepage...even if you are not a NACO participant, you can take advantage of the documentation for the program. Note, for example, the NACO rules for normalization, and the list of Ambiguous Headings, both of which are quite timely and useful.

I hope that this brief discussion and the example included have given you an insight into the data that are used to produce authority control, that is, using information in authority records to drive decisions in the catalog. You all perform the human aspect of this each time you verify the form of an access point and use the established form of a heading as an access point in a bibliographic record. In this way, you support the "gathering" function of the catalog.

The presence and use of authority data also have a positive affect on the finding function of a catalog. A library user relying on information found in a bibliographic citation or footnote may find and use references which direct his search from the form of name used in the footnote to the form of name used as an access point in the library catalog. Thus, authority data facilitates the successful articulation of the library catalog with other components of the larger bibliographic world.