RDA AUTHORITY RECORDS: AN OVERVIEW

Cathy Weng
The College of New Jersey

Outline

- Authority Control
  - What
  - Why
- MARC 21 Authority Record
  - Record structure
  - New elements used in RDA environment
- FRAD and RDA
- Performing authority control
Authority Control

- Process of establishing a recognized form for an entity and using that form as an access point throughout the catalog.
  
  e.g.
  Rowling, J. K.
  King, Stephen, 1947-


Characteristics of Authority Control

- **Consistency** – Different forms of same name used in books will be given one form in the catalog
- **Cross references** – lead users to established headings and related headings
- **Collocation** – Records with the same access points will be retrieved which helps locate relevant resources
- Without authority control, finding relevant materials will be difficult.
Consistency & Collocation

Title 1
Rowling, J. K.

Title 2
Rowling, J. K.

Title 3
Rowling, J. K.

Title 4
Rowling, J. K.

Title 5
Rowling, Joanne K.

OPAC Search Results for
Rowling, J. K. :
Title 1
Title 2
Title 3
Title 4

Cross References

Authors

Rowling, Joanne K.
Titles: 0
Type: personal name
See: Rowling, J. K.
Cross References

Authority Control Can Help

- Collocate works by same author using variant forms of names
  J. K. Rowling; Joanne K. Rowling; Jo Rowling

- Distinguish different authors with same name
  Stephen King, 1930-2006 (marketing professor)
  Stephen King, 1947- (novelist)

- Collocate same work with different titles
  Rowling, J. K. Harry Potter and the philosopher’s stone
  Harry Potter and the Sorcerer’s stone
  Harry Potter y la piedra filosofal
Authority Control Can Help

- Distinguish different works with same title
  - Piano concerto no.1 / by Mozart
  - Piano concerto no.1 / by Beethoven

- Collocate various resources in same topic
  - Works about economics

OPAC Record Controlled Access Points

**The adventures of Tom Sawyer /**

- **Principal Author:** Twain, Mark, 1835-1910.
- **Title:** The adventures of Tom Sawyer / Mark Twain ; foreword, Shelley Fisher Fishkin ; introduction, E.L. Doctorow ; afterword, Albert E. Stone.
- **Publisher:** New York : Oxford University Press, 1996.
- **Description:** xxxviii, 274 p. : ill. ; 23 cm.
- **Topic/Subjects:** Sawyer, Tom (Fictitious character)--Fiction.
  - Boye--Missouri--Fiction.
  - Mississippi River--Fiction.
  - Missouri--Fiction.
Collocate works by same author using variant forms of names

Collocate same work with different titles

Title (begins with "Harry Potter and the philosopher's stone")
Authority Files Supports Authority Control

- Files of authority records
- **Authority function:** support consistency of headings
- **Finding function:** provide links from variants and other authorized headings
- **Information function:** show usage and scope of headings
- **Maintenance function:** support manual and automatic error detection and correction


Authority Control Behind the Scenes

- Standardized form of names and subjects constructed and stored in authority records
- Authority records created following content standards (e.g. RDA) and data standards (e.g. MARC 21)
- Needs ongoing effort to keep up with information changes
- Provides linkage between authority files and bibliographic records

Local System with Authority Control Function

Authority Control File

Includes:

- Name authority file (NAF)
- Uniform title/Series authority (included in NAF)
- Subject authority file (SAF)
Authority Record

- Three basic components:
  1) Headings – standardized, "authoritative" form of a name, subject, or title
  2) Cross references – contain variant forms of a name or subject
  3) Notes - general information

Authority Record (public view)

<table>
<thead>
<tr>
<th>Personal name heading:</th>
<th>Heading</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rowling, J. K.</td>
<td></td>
</tr>
<tr>
<td><strong>Variant(s):</strong> Rowling, Joanne K. Rowling, Jo</td>
<td></td>
</tr>
<tr>
<td><strong>See also:</strong> Galbraith, Robert</td>
<td></td>
</tr>
<tr>
<td><strong>Notes:</strong> For works of this author written under other names, see also under: Galbraith, Robert Scamander, Newt Whisp, Kenzelworth</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Associated country:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Great Britain</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Location:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Edinburgh, Scotland</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Birth date:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1959/7/31</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Place of birth:</th>
<th></th>
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<tbody>
<tr>
<td>Gloucestershire, England</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field of activity:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Young adult fantasy</td>
<td></td>
</tr>
</tbody>
</table>

| Literary fiction Young adult fiction Fantasy |

<table>
<thead>
<tr>
<th>Fuller form of name:</th>
<th></th>
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<tbody>
<tr>
<td>Joanne Kathleen</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Affiliation:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Exeter</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Profession or occupation:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Authors</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Special notes:</th>
<th></th>
</tr>
</thead>
</table>
| Machine-derived non-Latin script reference project.
Non-Latin script references not evaluated. |

<table>
<thead>
<tr>
<th>Found in:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Harry Potter, 1999; CIP q.p. (J.K., Rowling)</td>
<td></td>
</tr>
</tbody>
</table>
Authority Record in MARC

MARC 21 Authority Record

- Leader
- Fixed fields
- Variable fields
MARC 21 Authority Controlled Headings

100 - Heading - Personal Name (NR)  Full | Concise
110 - Heading - Corporate Name (NR)  Full | Concise
111 - Heading - Meeting Name (NR)  Full | Concise
130 - Heading - Uniform Title (NR)  Full | Concise
148 - Heading - Chronological Term (NR)  Full | Concise
150 - Heading - Topical Term (NR)  Full | Concise
151 - Heading - Geographic Name (NR)  Full | Concise
155 - Heading - Genre/Form Term (NR)  Full | Concise
162 - Heading - Medium of Performance Term (NR)  Full | Concise
180 - Heading - General Subdivision (NR)  Full | Concise
181 - Heading - Geographic Subdivision (NR)  Full | Concise
182 - Heading - Chronological Subdivision (NR)  Full | Concise
185 - Heading - Form Subdivision (NR)  Full | Concise

RDA and Authority Control

- Resource Description and Access
- Resources Access – establish and maintain consistent access points in bibliographic and authority records to help find resources
- RDA authority tasks based on the FRAD Model
- Aim to support four user tasks
FRAD

- Functional Requirements for Authority Data
- Focus on FRBR Group 2 entities and relationships
- Relationships between
  - Person/corporate body/family (G2) and Work/Expression/Manifestation/Item (G1)
- Person/corporate body/family responsible for:
  - Intellectual and artistic creation of a work
  - Production and distribution of a manifestation
  - Ownership of an item

FRAD User Tasks

- **Find**: Find an entity or set of entities corresponding to stated criteria;
- **Identify**: Identify an entity;
- **Contextualize**: Place a person, corporate body, work, etc. in context;
- **Justify**: Document the authority record creator’s reason for choosing the name or form of name on which an access point is based.
MARC 21 Authority Record

- Before and after RDA

Pre-RDA Authority Record

<table>
<thead>
<tr>
<th>Rec.stat</th>
<th>Type</th>
<th>Upd status</th>
<th>Enc. h/</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>c</td>
<td>z</td>
<td>a</td>
<td>n</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Roman</th>
<th>Ref status</th>
<th>Mod desc</th>
<th>Name use</th>
</tr>
</thead>
<tbody>
<tr>
<td>n</td>
<td>n</td>
<td>a</td>
<td>a</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Grant agn</th>
<th>Auth status</th>
<th>Subj</th>
<th>Subj Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>n</td>
<td>a</td>
<td>a</td>
<td>a</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Series</th>
<th>Authority</th>
<th>Geo subd</th>
<th>Ser use</th>
</tr>
</thead>
<tbody>
<tr>
<td>n</td>
<td>a</td>
<td>n</td>
<td>b</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Ser.num</th>
<th>Name</th>
<th>Subdiv</th>
<th>Rules</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>a</td>
<td>n</td>
<td>c</td>
</tr>
</tbody>
</table>

- 040: DLC Mt. enrg. DLC
- 053: 0 PS3952.B4889
- 100: 1 Bell, Beverly J.
- 670: Bell, Beverly J. Whispers, 1928: Mt. t.p. (Beverly J. Bell) (tr. attorney and ordained minister; lives in Glen Head, N.Y.)
RDA Authority Record

ARN 4194134

Record status c Entered 19961029 Replaced 20130827171227.0

Type z | Add status a | EncId n | Source c
Roman s | Ref status a | Mod rec n | Name use a
Govt agn a | Auth status a | Subj a | Subj use a
Series n | Auth ref a | Geo sub n | Ser use b
Ser num n | Name n | Subdiv sp n | Rules 2

010 no 06056558
040 OrU to eng fe rota fe OrU td OrU td DLC
048 Its 19340510 4 2008

110 2 Northwest Christian College

x Collection

293 United States fe Eugene (Or.) #2 ref
372 Christian universities and colleges #2 filter
377 eng
410 2 NCC (Northwest Christian College)
510 2 # Predecessor: 4a Eugene Bible College #4 r
510 2 # Predecessor: 4a Spokane University #4 r
510 2 # Successor: 4a Northwest Christian College #4 r
670 Its Academic catalog, 1987-92: 4b t.p. (Northwest Christian College) p. 7, etc. (Northwest Christian College, NCC, formed on May 10, 1934 by the merger of Eugene Bible College and Spokane University)
670 Northwest Christian University, WWW site, August 16, 2013 4b (828 E. 11th Ave., Eugene, Oregon) our heritage (when Spokane University failed due to financial challenges in 1934, it students and assets merged with Eugene Bible College. That same year the college changed its name to Northwest Christian College. The name was changed to Northwest Christian University in 2008)
New Commonly used MARC Fields for RDA (Attributes of entities)

- 046 - Special Coded Dates
- 370 - Associated Place
- 371 - Address
- 372 - Field of Activity
- 373 - Associated Group
- 374 - Occupation
- 375 – Gender

- Fulfilling FRAD task – Identify

RDA Rules for Authority Data (Ch. 9-12)

- Section 3: Recording Attributes of Person, Family, & Corporate Body
- 8: General Guidelines on Recording Attributes of Persons, Families, and Corporate Bodies
- 9: Identifying Persons
- 10: Identifying Families
- 11: Identifying Corporate Bodies
- Section 4: Recording Attributes of Concept, Object, Event & Place
- 12: General Guidelines on Recording Attributes of Concepts, Objects, Events, and Places
Chapter 9 and 11

<table>
<thead>
<tr>
<th>RDA</th>
<th>TOOLS</th>
<th>RESOURCES</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.0</td>
<td>Purpose and Scope</td>
<td>11.0</td>
</tr>
<tr>
<td>9.1</td>
<td>General Guidelines on Identifying Persons</td>
<td>11.1</td>
</tr>
<tr>
<td>9.2</td>
<td>Name of the Person</td>
<td>11.2</td>
</tr>
<tr>
<td>9.3</td>
<td>Date Associated with the Person</td>
<td>11.3</td>
</tr>
<tr>
<td>9.4</td>
<td>Title of the Person</td>
<td>11.4</td>
</tr>
<tr>
<td>9.5</td>
<td>Fuller Form of Name</td>
<td>11.5</td>
</tr>
<tr>
<td>9.6</td>
<td>Other Designation Associated with the Person</td>
<td>11.8</td>
</tr>
<tr>
<td>9.7</td>
<td>Gender</td>
<td>11.7</td>
</tr>
<tr>
<td>9.8</td>
<td>Place of Birth</td>
<td>11.9</td>
</tr>
<tr>
<td>9.9</td>
<td>Place of Death</td>
<td>11.10</td>
</tr>
<tr>
<td>9.10</td>
<td>Country Associated with the Person</td>
<td>11.11</td>
</tr>
<tr>
<td>9.11</td>
<td>Place of Residence, Etc.</td>
<td>11.12</td>
</tr>
<tr>
<td>9.12</td>
<td>Address of the Person</td>
<td>11.13</td>
</tr>
<tr>
<td>9.13</td>
<td>Affiliation</td>
<td>11.13</td>
</tr>
<tr>
<td>9.14</td>
<td>Language of the Person</td>
<td></td>
</tr>
</tbody>
</table>

Dates

- Many date attributes in RDA
- **Persons**
  - 9.3.2 Date of Birth
  - 9.3.3 Date of Death
  - 9.3.4 Period of Activity of the Person
- **Families**
  - 10.4 Date Associated with the Family
- **Corporate Bodies**
  - 11.4.2 Date of Conference, Etc.
  - 11.4.3 Date of Establishment
  - 11.4.4 Date of Termination
  - 11.4.5 Period of Activity of the Corporate Body
**Dates**

- **Works and Expressions**
  - 6.4 Date of Work
  - 6.10 Date of Expression
  - 6.20.2 Date of Promulgation of a Law, Etc.
  - 6.20.3 Date of a Treaty
  - 6.24 Date of Expression of a Religious Work

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**046 - Special Coded Dates (Incorporating Rules into MARC Fields)**

- **Subfields**
  - $f$ - Birth date (NR)
  - $g$ - Death date (NR)
  - $k$ - Beginning or single date created (NR)
  - $l$ - Ending date created (NR)
  - $o$ - Single or starting date for aggregated content (NR)
  - $p$ - Ending date for aggregated content (NR)
  - $s$ - Start period (NR)
  - $t$ - End period (NR)
  - $u$ - Uniform Resource Identifier (R)
  - $v$ - Source of information (R)
  - $2$ - Source of date scheme (NR)
FRAD Relationships

Relationships between entities

- Fulfilling FRAD task - contextualize
- Personal, corporate names
  - John Lennon: a member of Beatles
  - Stephen King has a pen name: Richard Bachman
  - The College of New Jersey previously called: Trenton State College
### Authority data fulfilling “Justify”

<table>
<thead>
<tr>
<th>Authority Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>400</td>
<td>DLC to English catalog DLC to English catalog DLC to English catalog DLC to English catalog DLC to English catalog DLC to English catalog</td>
</tr>
</tbody>
</table>
Authority Checking Tasks

- Process of verifying/maintaining consistency of access points

For example, on OCLC
- Examining bibliographic record on OCLC
- Verify controlled access points
- Check uncontrolled access points
- Confirm/accept/modify access points in local bibliographic records

Controlled Fields on OCLC

1. [Gutiérrez, Ramón A., #d 1951-] *editor.* *Author.*
2. [Padilla, Genaro M., #d 1949-] *editor.* *Author.*
3. [Gonzales-Berry, Erinda, #d 1942-] *editor.* *Author.*
4. [Tatum, Charles M., #e editor.* *Author.*
5. [Herrera-Sobek, María] *editor.* *Author.*
6. [Sánchez Korrol, Virginia] *editor.* *Author.*
Uncontrolled Fields on OCLC

OCLC 730224580  No holdings in N/T - 185 other holdings; 2 other IRS

No N/T holdings in GLIMIR cluster; 185 other holdings in GLIMIR cluster of 1

245 0 0. Strength and conditioning for young athletes: 4th science and application. Collected by Rhaddi S. Lloyd and Jon L. Oliver. 434 1 London : 434 1 New York : 434 1 Routledge, Taylor & Francis Group, 434 1 2014. 330 46 pages : 46 illustrations ; 46 cm 338 text 46:46 orient; 338 46 unnumbered 46 n-d.media 338 46 volume 46 46:46 carrier 46 46:46 Includes bibliographical references and index. 850 7 850 7 Physical fitness for children. 850 7 850 7 Exercise for children. 850 7 850 7 Exercise for youth. 850 7 850 7 Physical fitness for children. 850 7 850 7 Physical fitness for youth. 850 7 850 7 434 1 Lloyd, Rhaddi S. 938 434 1 Baxter and Taylor 434 1 4B CTP 434 1 BK0011196505

4/22/2015
OCLC Authority Record

4/22/2015
256 0 0 Strength and conditioning for young athletes : its science and application / edited by Rhodri S. Lloyd and Jon L. Oliver.
300 ix, 222 pages : ill. illustrations ; 24 cm
306 text 42 illuscontent
337 unabridged 42 illusmedia
338 volume 42 illuscarrier
504 0 Includes bibliographical references.

650 0 Physical fitness for children.
650 0 Physical fitness for youth.
650 0 Exercise for children.
650 0 Exercise for youth.
650 7 Exercise for children. #2 fast #0 (OCoLC)fst00618031
650 7 Exercise for youth. #2 fast #0 (OCoLC)fst00618051
650 7 Physical fitness for children. #2 fast #0 (OCoLC)fst01062622
650 7 Physical fitness for youth. #2 fast #0 (OCoLC)fst01062645
700 1 Lloyd, Rhodri S., #e editor.
700 1 Oliver, Jon L., #e editor.
938 Baker and Taylor #e BTCP #n BK0011196505
938 YBP Library Services #e YANK #n 10889484

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What have we learned about Authority Control

- Critical (helps retrieval; brings precision to searches)
- Takes time
- Needs training
- Needs to follow standards
- Needs frequent maintenance
- Changes in authority records should reflect in bibliographic records

What can you do?

- Clean your bibliographic database if possible
- Begin to incorporate authority checking into cataloging workflow
- Only need to focus on non-LC/non-pcc records
- Strongly encouraged: Join NACO and help create authority records for the cataloging community
Thank You!

weng@tcnj.edu