

Shared Bib Authorities Procedures

TSPC charges the Authorities Subcommittee with submitting a document to TSPC by its May meeting to address the following:

- Survey the existing authorities procedures of the SUL libraries
The Authorities Subcommittee is using the most recent data collected in the “Survey on the Status of Authority Control in the SUL” to respond to the CSUL on the charge to survey existing authorities procedures in the SUL. This survey was distributed to the 11 SUL libraries in December 2009. Data was collected in 2010. Law, medical and music libraries are represented. The survey summary is attached.
- If possible, get an authority report from UXTest for the purpose of identifying the scope of authority clean-up in the merged catalog and possible issues with authority work in the shared bib environment
 - This report is not yet possible. Acquisitions and Circulation reports have a higher priority in shared bib. Data Warehouse and ARROW reports to provide this information will likely be feasible post merge
- Identify the issues and challenges for authority work in the shared bib environment
 - Lack of past uniform authority control guidelines, policies, and practices across SUL institutions resulting in uncontrolled headings in the shared catalog and the potential need for substantial clean-up efforts post-merge
 - Adaptation of current reports or development of new reports for the shared bib environment
 - Reduced staff due to unfilled positions of retired staff over the last three years as well as anticipated vacancies by upcoming retirements
 - Varying levels of expertise and experience across institutions
 - Developing working relationships with our new colleagues in the Florida Virtual Campus
 - Discovering how the shared environment will affect authority control workloads at individual institutions
- Write guidelines and make recommendations for proceeding with authority work in the shared bib environment when it is first implemented in production, including but not limited to:
 - Guidelines for creating, editing, and deleting authorized headings in shared bib records
 - Guidelines for creating, editing, and deleting authority records in the merged local authority database
 - Possible methods of using LCA10 records in the merged environment to record local practices, including the protection of local fields upon overlay when records are updated
 - Identify what authority work is needed using available reports following the merge and how it can be divided up among the SULs

Proposed Guidelines for Authorized Headings in the Shared Bib Catalog

Guidelines for creating, editing, and deleting authorized headings in shared bib records

Headings in bibliographic records that are subject to authority control include:

- uniform titles (tags 130, 240)
- name headings (tags 100,110,111, 700, 710, 711)
- name/title headings (name heading tags with \$t for title and 100/240 combinations)
- subject headings (tags 600,610,611,630,650,651)
- genre headings (tag 655)
- series (tags 800,810,811,830)

The State University Libraries encourage authority control of 1xx, 6xx, 7xx and 8xx headings at the point of cataloging. For libraries using OCLC Connexion software, this entails using the “control headings” function to automatically correct any controllable headings before exporting the record to Aleph. Authority control at the point of cataloging may not be possible for batch loaded records, records downloaded by acquisitions staff that are already in Aleph when reviewed by catalogers, and headings without LC authority records that cannot be controlled in Connexion Client. In these cases, authority cleanup will need to be completed later using reports from Aleph.

Records new to the catalog. The institution loading a record new to the statewide university catalog is responsible for creating or editing authorized headings according to Library of Congress (LC) Program for Cooperative Cataloging (PCC) guidelines as follows:

- If edits are performed on authority controlled headings in a shared bibliographic utility such as OCLC WorldCat for the purpose of downloading the record into Aleph, also upgrade the shared utility master record. Authority controlled fields might not be protected upon overlay of a bib record in the statewide university catalog, so editing done only in Aleph could later be lost.
- Name and series headings must follow NACO guidelines as follows:
 - Name and series headings in bib records must be verified in Aleph LCA10, the LC Authority File (LCAF), Virtual International Authority File (VIAF) or some other resource for LCAF.
 - Name and series headings not found in LCAF may be locally created according to NACO guidelines and added to bib records in the appropriate MARC tags.
 - New name and series headings are submitted to the LCAF by members of the Florida NACO Funnel and independent NACO libraries.
 - The Florida NACO Funnel strongly encourages SULs to receive training as NACO libraries and join the Funnel to submit NACO headings to the LC Authority File.
 - Creating name and series records in the local shared Aleph authority file is discouraged because catalog records do not link there. It is inefficient to perform the same search in both LCA10 and the local authority file, and only headings in LCA10 are updated with changes in LCAF.
 - Prior to March 31, 2013, individual Florida State University Libraries (SULs) may choose whether to follow AACR2 or RDA standards when composing new name and series headings. Following March 31, 2013, all SULs must use RDA guidelines, as interpreted by LC and the Program for Cooperative Cataloging (PCC).
- Subject headings with second indicator 0 must be found in LCSH (*Library of Congress Subject Headings*) for topical headings and subdivisions as follows:

- Subject headings in bib records must be verified in Aleph LCA10, the LC Authority File, or some other resource for LCSH.
- Subject heading strings combining main heading and subdivisions must be composed using the *Library of Congress Subject Headings Manual*.
 - Creating subject authority records in the local shared Aleph authority file is discouraged because catalog records do not link there. It is inefficient to perform the same search in both LCA10 and the local authority file, and only headings in LCA10 are updated with changes in LCSH.
 - If a library chooses to use an unauthorized topical subject heading in a bib record, the subject heading should be coded 653 or 690, and a locally assigned geographic subject heading should be coded 691. This coding will allow easy recognition of non-authorized headings.
- MeSH and LC Children's Subject Headings should follow the appropriate guidelines for those controlled vocabularies.
- Genre headings must be found in a standard thesaurus appropriately identified in the 655 \$2.

Records already in the catalog. SULs should edit existing headings in statewide university catalog records with circumspection. All edits should follow the rules above for records new to the catalog and result in authority controlled headings. Any obsolete heading may be deleted from the catalog.

If there is any question regarding the creation of an appropriate heading, the question should be referred to authority control staff at one of the three SULs who have volunteered to perform authority control functions post-cataloging using available reports: UF, FSU, & FIU.

Guidelines for creating, editing, and deleting authority records in the merged local authority database

SULs should refrain from creating new authority records in the merged local authority database. This database is retained for reference purposes only. Gradual cleanup is recommended as follows:

- Check to see if the local heading is now in LCA10. If the heading is found in LCA10, perform any bib heading clean-up necessary.
- If no other institution symbols are identified on the local authority record, delete the record. If other institution symbols are identified on the local authority record, retain it for reference use.
- For local series authority records, if the series title is in LCA10 and all institutions are following the LC series treatment, the record may be deleted.

Possible methods of using LCA10 records in the merged environment to record local practices, including the protection of local fields upon overlay when records are updated

The Authorities Subcommittee recommends the use of LCA10 series records to record local series practices for the following reasons:

- Gradual clean-up performed after the merge will eliminate the inefficiency of staff having to check two authority files for each series headings in ongoing years following the merge.
- Bib records no longer link to local authority records, so headings will gradually become out of date. LCA10 records are updated with weekly LC authority loads done by FCLA.
- Local practice should be recorded in a single file that will migrate easily to new ILS or discovery environments.

- This recommendation is based on FCLA or the successor's ability to implement it. It may not be possible to test this before shared bib is in production.

The use of LCA10 records to record local series practice can be accomplished with the following rules:

- Changes in LCA10 records must follow the *MARC 21 Format for Authority Data* (<http://www.loc.gov/marc/authority/ecadhome.html>)
- Local classed together call numbers may be recorded in tags 050 _ 4 (for LC classification) or 086 __ (for state or national documents). Local call numbers must be identified by the inputting institution's Marc Organization Code (NUC code) in the \$5.
 - The 050 and 086 tags are repeatable. If an institution's call number differs from any existing 050 or 086 content, add a new field with the institution's \$5 code.
 - The \$5 is repeatable. If an institution's call number is the same as an existing 050 or 086, add the institution's code to that field in a \$5.
 - Tags 050 and 086 with \$5 codes from SULs should be protected upon overlay.
- Local series practice may be recorded in tags 642 (Series numbering example), 644 (Series analysis practice), 645 (Series tracing practice), and 646 (Series classification practice). Local series practice must be identified by the inputting institution's Marc Organization Code (NUC code) in the \$5.
 - Tags 642, 644, 645, and 646 are repeatable. If an institution's practice differs from *any* information recorded in these tags, including exceptions in \$b and date ranges in \$d, add a new field with the institution's \$5 code.
 - The \$5 is repeatable. If an institution's series practice is the same as an existing tag 642, 644, 645, or 646, add the institution's code to that field in a \$5.
 - Tags 642, 644, 645, and 646 with \$5 codes from SULs should be protected upon overlay.
- Local attribution notes (such as inputting cataloger and date) will no longer be recorded in tag 690.
 - In a case where it is *absolutely essential* for an SUL to retain information about local practice, such as "classed together by professor request" this data can be entered in a separate tag 690 (Local note). The note must be identified by the inputting institution's Marc Organization Code (NUC code) in the \$5.
 - Caution and clarity should be used when entering data in a 690, since this note will be visible to all SULs.
 - Tag 690 with \$5 codes from SULs should be protected upon overlay.

Identify what authority work is needed using available reports following the merge and how it can be divided up among the SULs

Arrow authority reports currently used for authority clean-up by the SULs will not be available for some time after the switch to shared bib production. FCLA is unable to supply Arrow reports for UXTest prior to the switch to production. Therefore, data is not available to answer this question. However, initial heading clean-up after the merge is expected to be substantial, since authority work among the individual SULs has been uneven. Further clean-up after the PCC switch to RDA headings on March 31, 2013--and subsequent updates to LCAF--is expected to be substantial. It is unclear whether there will be sufficient staff resources among the SULs to handle the demands of large amounts of heading clean-up.