

Name Authority Control at Indiana University Libraries

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Maintaining authority control in a large academic library is complicated, challenging, occasionally frustrating and absolutely necessary. Imagine the bibliographic chaos in the Indiana University environment without quality authority work: library collections exceeding 23 million material items with nearly five hundred librarians, professional and support staff serving over 89,000 faculty and students at over forty campus and branch libraries. Although Indiana University Libraries belong in the category of large academic libraries with strong backgrounds in manual authority maintenance, experience in automated authority control is recent. On January 15, 1990 Indiana University Libraries began online cataloging production using the NOTIS software. Both bibliographic and authority work were included in the first phase of online cataloging. This article will discuss manual authority control procedures, the transition from a manual to an online authority file, using a vendor-produced authority file, and authority control in the automated environment.

Manual Files

For many years, the cataloging departments in the Main Library at Bloomington supported an elaborate system of authority control which was housed in various card files. In addition to the basic catalog files for names, series and subjects, the Main Library also developed a local aberration called the "Official File."

The Official File was essentially a duplicate file of all of the main entry cards found in the public card catalog. It was created as a convenience for the catalogers in the Cataloging Department who are situated two floors away from the public card catalog. Traditionally IU has generally accepted the Library of Congress form of heading as the correct form of heading. In the Official File, Library of Congress copy catalog cards represented a large percentage of the duplicated public catalog file. The personal and corporate name main entries on the LC cards functioned as authority records whenever a cross-reference structure was not needed. For those names requiring cross-references, a master card, with the complete reference structure and

citation, was prepared and filed in the Official File. Each individual reference heading was typed in duplicate and filed in both the public and official card catalogs.

Series were given their own unique home in a separate cabinet, with each card carrying treatment information in addition to form of entry, references, source citation, and classification when appropriate.

Maintenance of these files became very costly in terms of staff time, card stock, cabinets, and space allocation. Beyond these obvious economic concerns, IU also faced the growing demands inherent in preparing for an online system and the inevitable staffing reassignments it brings.

Authority Work in Transition

The decisions that were made to streamline card maintenance activities can be successfully applied and expanded in more than one situation. For example, those libraries which also have developed some mechanism for manual authority control and which must make cut-backs for financial reasons are the most obvious candidates. Perhaps not as obvious are the libraries which are not yet automated, and which don't have authority files, but which are considering some type of authority control in anticipation of a system. Evaluating the need for authority control is the first step. In this analysis, it is vital to consider not only the needs of patrons, reference staff, and the architects of the catalog, (i.e., catalogers) but also to consider the inevitability of an automated future. Take a visionary look at the possibilities for automated linkage with other academic institutions; then consider the nightmares that will be encountered if authority work is not stan-

dardized or not done at all.

Standardization does not necessarily mean homogenization of authority work. For example, it is a relatively minor grievance to add, delete or ignore references in an authority record. However, it is a much larger problem to reject totally the form of name already established in legitimate cataloging sources. Libraries which create or perpetuate a hybridized authority file should consult a library which faced the automation of a similar structure before proceeding.

You may also wish to examine those authority tools that are traditionally viewed as property of the cataloger. For this particular forum I am referring specifically to bibliographic utility authority files. Stop thinking of these files as technical resources and start thinking of how they can be converted into authority files for the public. Let the sources that catalogers consult also become the institution's authority file. Move the OCLC workstation out from behind the reference desk so that the patrons have easy access. If your library's budget can support the additional cost you may also consider installing additional OCLC workstations near the public card catalog.

OCLC's authority file may not contain every heading encountered in an academic collection. Before resorting to some level of manual maintenance, however, determine the length of time that will elapse before your library is automated. IU discontinued all manual reference work in 1985 in anticipation of the online file. Master cards were no longer prepared for the Official File and cross-references were not typed and filed.

Several positive by-products can result from a decision to use the bibliographic utility authority file as your own. First of all, the reference staff becomes part of the solution. Authority control is not just a technical services issue, it is a whole library issue. Reference librarians should be offered training in the form of mini-MARC workshops and sessions on reference structure by technical services staff. The confidence and support of the public service personnel are integral to the success of this approach. Reference librarians should be encouraged to apply their bibliographic instruction talents to the challenges of a bibliographic utility's database. Even if your library does not anticipate an online system in its immediate future, consider the benefits of having reference librarians who are already skilled in MARC and who understand the structure and format of a database authority record prior to any local online public access tools. Patrons who are accustomed to searching the OCLC authority file will make a smooth transition to a user-friendly, customized, integrated system. Appointed staff and hourly personnel, released from the labor-intensive maintenance of a manual authority file, can be redirected to online efforts or assigned to other pressing needs such as backlog reduction.

Series

The one particular type of authority work that may need individual attention is series authority control. Simply following the Library of Congress isn't always a solution because often more than one treatment or option may be offered. Some libraries have approached the series problem in an automated environment with the decision to trace all series, regardless of established or accepted

national practice. In fact, in the Library of Congress' *Cataloging Service Bulletin* issued in Winter 1990, LC announced its decision to trace all analyzed series established after August 31, 1989. As part of the preparatory work for an online system, the decision to trace series can be applied only to the database load of archive tapes or as a permanent decision for all new production cataloging. In institutions such as IU, where multiple cataloging agencies contribute to the authority file, the ability to record more than one series treatment decision is necessary. The NOTIS system does support authority control and access to multiple series decisions. Catalogers input Local Note fields (690) which contain coded information about each holding library and site-specific series treatment (See Figure 1).

NACO

At the present time two of the cataloging agencies on the Bloomington campus are authorized to create and contribute name authority work at the national level. The Main Library cataloging agency, specifically the Cataloging and Serials Departments, has participated in the National Coordinated Cataloging Operations (NACO) name authority project since 1981. In general, authority records are created for all headings new to the OCLC database, except those generated by Middle Eastern monographic cataloging. The other cataloging agency, the School of Music Library, contributes authority records as one of four national sites in the NACO-Music Project. A large number of the music authority headings are generated by a Title 2C funded retrospective conversion project of scores and a Title 2C funded opera recording cataloging project. Libraries with access to OCLC, WLN or RLIN au-

thority files can retrieve NACO name authority records by searching the authority file.

As NACO participants, catalogers create new name authority records which are input via the OCLC system. Using computer-to-computer links, the records are sent to the Library of Congress and then distributed by LC to the major utilities. These records must meet the standards of authority control set by the Library of Congress and, therefore, are accepted internationally as quality authority records. Among OCLC participating libraries, IU's contribution to NACO is third in the nation, surpassed only by the U.S. Government Printing Office and Princeton University. As of April 1990 Indiana University catalogers have contributed over 36,000 authority records.

Vendor-Produced File

As part of IU's preparation for an online system the decision was made to have a customized authority file created from its OCLC archive tapes. Indiana University contracted with Blackwell-North American to create this authority file from the 2 million bibliographic records contained on the archive tapes. In reality, BNA provided two authority files in one. First, as the IU tapes were run against the LC authority file, all exact matches in headings were stripped off with full cross-reference information. Similarly, all cross references in the LC tape that matched locally-used headings triggered the local headings to flip to the LC form. These corrected headings with full cross-reference structure were also added to the customized authority file. The unmatched headings were checked by BNA personnel to verify that misspellings or other entry problems did not prevent the machine match. Both the

matched and flipped headings comprised all of the customized LC headings in the authority file. Second, the remaining unmatched headings were loaded into the authority file. These are referred to locally as naked or minimal authority records. They contain no other information than the form of heading as it appeared on the bibliographic record. When cross-references or bibliographic citations are needed on a minimal authority record, catalogers pursue one of the following solutions: If an authority record has appeared on OCLC, it is downloaded into the local file, replacing the minimal authority record. If no OCLC authority record is found at a NACO cataloging agency, a new authority record, which eventually overlays the minimal level record, is created via the NACO process. All other cataloging agencies manually enter the additional data into the minimal authority record.

Online Environment

The workflow of authority control and authority file maintenance at Indiana University is similar to OCLC's practice, that is, quality control is everyone's responsibility. Locally we have adopted the phrase "Shared efforts for shared results." The responsibility is distributed among each of the nine cataloging agencies because the benefits will be shared by all of the University.

Great complexity is encountered in this pseudo-network environment (See Figure 2). The Indiana University system, which was named IO (Information Online) consists of multiple, autonomous libraries with jurisdictional lines. Sixteen NOTIS subfiles called "processing units" were designed to display the holding locations of each of the campus libraries in the Online Public Access Catalog.

Each bibliographic record is "owned" by one of these processing units. These bibliographic records are not shared. Conversely, individual authority file records do not belong to specific cataloging agencies.

All authority headings are collocated for retrieval and display purposes. Headings are established in the authority file and bibliographic records are modified to agree with the authority records. No cataloging agency is required to collocate interim records used for acquisition activities.

The development, management and maintenance of the authority file is a cooperative effort. To that end representatives from all cataloging agencies meet regularly in a forum known as the IO Cataloging Congress to discuss authority file concerns and to enhance local authority control procedures. All cataloging agencies have agreed to use Library of Congress name headings whenever they are available. In creating all other name headings, Indiana University cataloging agencies follow the current edition of *Anglo-American Cataloguing Rules* in accordance with Library of Congress practice.

The IO Catalog Management Department (IOCM) in the Main Library on the Bloomington campus serves as the authority coordination unit. Activities such as global heading changes and alerting units to adjust headings on bibliographic records are the responsibility of this unit. An inter-agency communication form is used to report heading changes to IOCM. However, individual cataloging agencies resolve all duplicate authority records encountered in the daily workflow.

Indiana University's participation in NACO has simplified the

creation of local authority work online. When a new heading is generated by an item being cataloged at a NACO agency, the authority record is created, transmitted, and downloaded from OCLC to the local database. Using NACO authorization, catalogers also update authority records in OCLC's authority file prior to downloading. Other cataloging agencies create and input new name authority records directly into the IO authority file or download OCLC authority records, if appropriate.

Conclusion

One of the greatest challenges of authority control facing a large and complex academic library is its ability to support the autonomy of its cataloging agencies within the structure of national standards. By building upon the high level of authority control that was established in the manual environment, Indiana University Libraries have successfully developed an online authority file that meets the needs of its diverse database users. With future releases of the NOTIS software, the authority work that catalogers have done and will continue to do becomes even more valuable to the public.

INDIANA UNIVERSITY LIBRARIES
SERIES AUTHORITY RECORD

LTAF DONE

AAA6540

NOTIS CATALOGING

PZ28

AF# AAA6540 FMT A RT z DT 11/15/89 R/DT 09/06/90 STAT mn E/L n
SRC LANG ROM MOD UNIQUE n GOVT S/SYS a D/I n SUBD NUM b S/TYP a
NAME a SUBJ a SER c KIND a H/ESTAB a T/EVAL n IP a RULES c

- 010: : |a n 42017239
- 040: : |a DLC |c DLC
- 130: 0: |a Music in American life.
- 643/1: : |a Urbana |b University of Illinois Press
- 644/1: : |a f |5 DLC
- 645/1: : |a t |5 DLC
- 646/1: : |a s |5 DLC
- 670/1: : |a Vance Randolph's Ozark folksongs, 1982.
- 690/1: : |a BB FW BM: fts
- 690/2: : |a IP CO: fns

FIGURE I

INDIANA UNIVERSITY LIBRARIES MAP OF IO AUTHORITY CONTROL

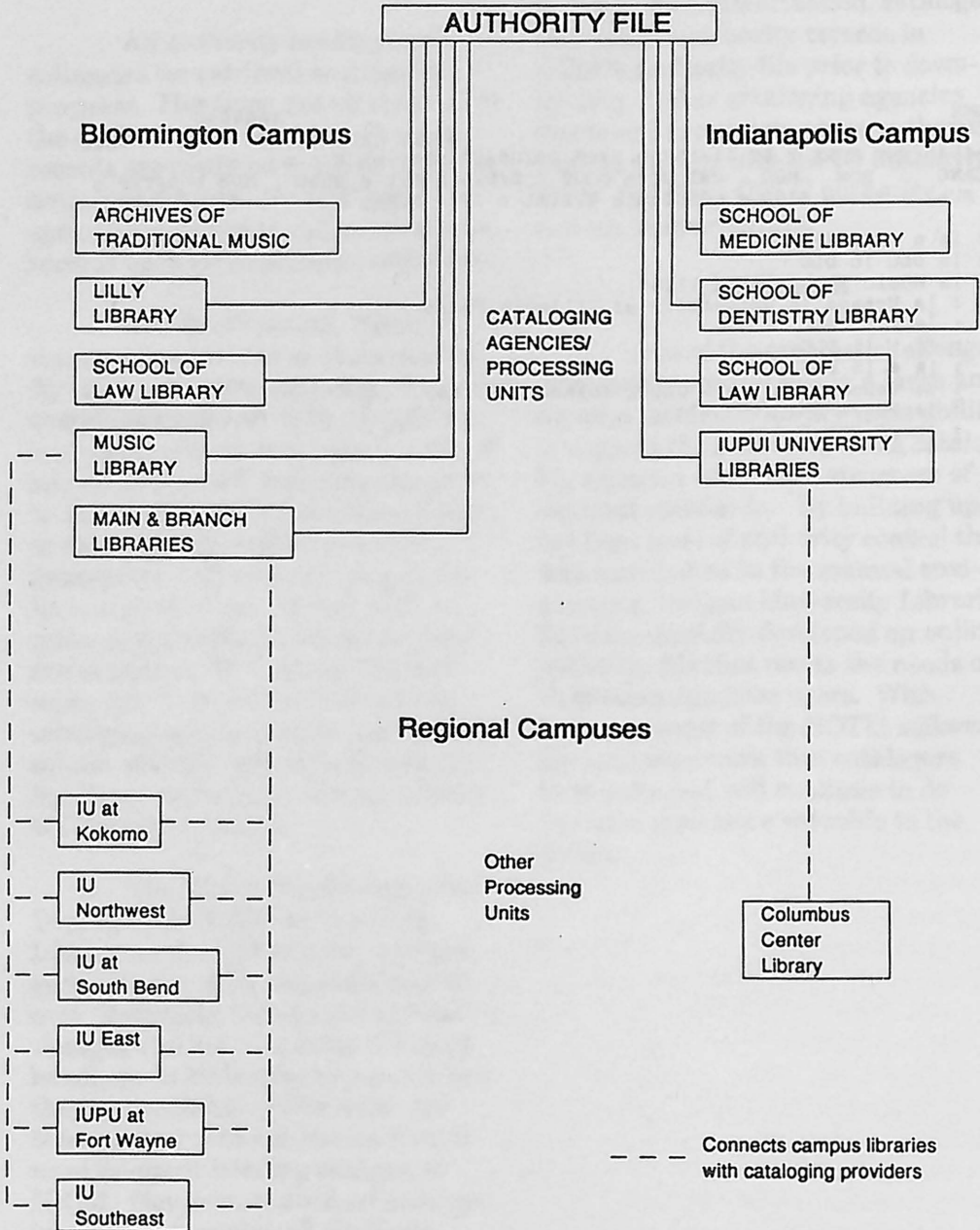


Figure 2