

# INTRODUCTION TO AUTHORITY CONTROL

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## WHAT WILL BE COVERED:

- **Authority control basics: terminology, uses, etc.;**
- **Historical overview of authority control;**
- **Development of standards;**
- **Automation of authority control;**
- **Future directions;**
- **The global authority infrastructure.**

## AUTHORITY CONTROL BASICS: TERMINOLOGY

- **Authoritative form:** a structured heading for a name, title, term, etc. that is preferred over other forms;
- **Access point:** a data element containing the authoritative form of a name, title, term, etc. that is related to an item;
- **Cross reference:** an authoritative form of name, title, term, etc. to which a user is directed from a different authoritative form of name, title, term, etc.;
- **Tracing:** a non-authoritative form from which a user is directed to an authoritative form

## **EXAMPLES OF AUTHORITATIVE FORMS:**

**Κατράκης, Πότης**

**Εθνική Τράπεζα της Ελλάδος**

**Ελλάδα. Υπουργείον Πολιτισμού και Επιστημών**

**Δημογραφική Ημερίδα (1984 : Αθήνα, Ελλάδα)**

**Ακοή**

**EXAMPLE OF AN ACCESS POINT  
(in a bibliographic record):**

**Κατράκης, Πότης.**

Αποκάλυψη θεία : επική ποίηση / Πότη Κατράκη. --  
Πειραιάς : Αισχύλος, 1982.

60 σ. ; 24 εκ.

PA5622.A834 A88 1982

84103214

## EXAMPLE OF AN AUTHORITATIVE FORM WITH A TRACING AND CROSS REFERENCE:

**Geōrgiou, Tasos** *(authoritative form)*

Georgiou, Tassos, see **Geōrgiou, Tasos** *(tracing)*

For works in Greek, search under heading **Γεωργίου, Τάσος**  
*(cross reference)*

## **AUTHORITY CONTROL BASICS: USES**

- **Document authoritative forms for librarians;**
- **Provide cross references and tracings for catalog users;**
- **Support access point validation by machine;**
- **Support global update by machine;**
- **Document treatment of items in collections for librarians;**
- **Generate secondary products: biographic reference sources, thesauri, etc.**

## AUTHORITY CONTROL BASICS: TYPES

- **Personal name**
- **Corporate name**
- **Meeting/conference name**
- **Geographic name**
- **Subject term**
- **Genre/form term**
- **Chronological term**
- **Other (facets, functions, occupations, curriculum, etc.)**



## EXAMPLES OF AUTHORITATIVE FORM TYPES:

- **Karamanlis, Costas, 1956-** [*LC personal name heading for Καραμανλής, Κωνσταντίνος*]
- **Nea Dēmokratia (Greece)** [*κόμμα Νέα Δημοκρατία*]
- **Olympic Games (28th : 2004 : Athens, Greece)** [*meeting name*]
- **Thessalonikē (Greece)** [*place name*]
- **Hellenism** [*topical term*]
- **Aerial photographs** [*form/genre term*]
- **20th century** [*chronological term*]

## **HISTORICAL OVERVIEW:**

- **Oldest authority files were manual (non-public, for catalogers);**
- **Most often included information about prolific authors;**
- **Used to document bibliographic research and/or tracings;**
- **Important for common and or easily confused names;**
- **Sometimes divided by language and/or script;**
- **Almost always unique and inaccessible to outside users.**

## **DEVELOPMENT OF STANDARDS:**

- **British Museum rules (Panizzi's rules), 1841;**
- **American Library Association (ALA) rules, 1883-1949;**
- **Rules for Descriptive Cataloging (LC), 1949;**
- **Anglo-American Cataloging Rules (AACR), 1967**
- **Paris Principles, 1961, ISBDs, 1969-present;**
- **AACR2, 1978 and 1988 revisions;**
- **Resource Description and Access (RDA), 2008**

## **A.L.A. CATALOGING RULES FOR AUTHOR AND TITLE ENTRIES**

- **A.L.A. rules, 1949 edition contained 158 rules:**
  - **1-35 (Choice of entry)**
  - **36-70 (Personal names)**
  - **71-130 (Corporate names)**
  - **131-149 (Miscellaneous bodies--conferences, etc.)**
  - **150-156 (Geographic names)**
  - **157-158 (References)**

## ANGLO-AMERICAN CATALOGING RULES

- **AACR1, 1967 edition contained 15 chapters, 272 rules:**
  - **Rules for entry, chapter 1, rules 1-33;**
  - **Rules for headings, chapters 2-5, rules 40-126;**
  - **Rules for description, chapters 6-15 (monographs, serials, incunabula, reproductions, manuscripts, maps, films, music, sound recordings, images);**
  - **Integrated the A.L.A. rules for names with the LC rules for description.**

## ANGLO-AMERICAN CATALOGING RULES II

- **AACR2, 1978, with revisions in 1988 & 2002: 2 parts, 19 chapters, many rules:**
  - **Part I: Description - chapters 1-13 (General rules, books, maps, manuscripts, music, audio, video, graphic materials, electronic resources, regalia, microforms, continuing resources, analytics)**
  - **Part II: Headings, uniform titles, references - chapters 21-26 (Choice, persons, geographic names, corporate names, uniform titles, references)**

## **RDA - RESOURCE DESCRIPTION AND ACCESS**

- **Successor to AACR, to be published by 2008;**
- **A new standard designed for the digital world;**
- **Being developed concurrently with IFLA work to revise the 1961 Paris Principles and the ISBDs;**
- **Uses FRBR (Functional Requirements for Bibliographic Records) as a conceptual foundation;**
- **Will provide rules for the description of items as well as the choice and form of access points.**

# RDA STRUCTURE

## ■ Organization:

- **Part I - Resource Description (for all types of material)**
- **Part II - Relationships (of names with the resource)**
- **Part III - Access Point Control (formulation of access points and access point control)**
- **Appendices: capitalization, abbreviations, initial articles, presentation of descriptive data, presentation of access points.**



## WHAT RDA WILL *NOT* INCLUDE

- **RDA will not include:**
  - **Provisions for subject access**
  - **Provisions for classification**
  - **Instructions on encoding of data in formats such as MARC 21, UNIMARC, or XML**
  - **Guidelines on handling of holdings information related to specific items (lowest FRBR level).**

## **INTERNATIONAL STANDARD BIBLIOGRAPHIC DESCRIPTION (ISBD)**

- **Developed beginning in 1969 by the Standing Committee of the IFLA Section on Cataloging;**
- **ISBD(M), 1971; ISBD(G), 1977; ISBD(A), 1980; ISBD(CF), 1991; ISBD(CM), 1987; ISBD(CR), 2002; ISBD(ER), 1997, formerly ISBD(S), 1974; ISBD(NDM), 1977; ISBD(PM), 1991;**
- **Now studying an ISBD that would combine provisions of the family into a single document.**

## **AUTOMATION OF AUTHORITY RECORDS**

- **Machine-readable cataloging (MARC);**
- **Bibliographic formats: 1969-1976;**
- **Authorities: A MARC Format, 1976**
- **Addition of data elements for collected set control;**
- **Major update simplified control subfield \$w;**
- **USMARC Format for Authority Data, 1987, 1993;**
- **MARC 21 Format for Authority Data, 1999.**

## WHAT WAS AUTOMATED?

- **Manual authority/information cards from non-public catalogs;**
- **Cross references and tracings from public catalogs;**
- **Guide cards, explanatory references from non-public and public catalogs;**
- **A variety of heading/reference types was accommodated.**

## WHAT WAS ADDED?

- **Codes data;**
- **Standard numbers (ISBN, ISSN, STRN)**
- **Classification/call numbers;**
- **Form of enumeration and chronology;**
- **Links to electronic resources (Web sites, etc.)**
- **Data elements for subdivisions.**

## FUTURE DIRECTIONS

- **Virtual International Authority File (VIAF);**
- **Cooperative project of the Library of Congress, OCLC Inc. and Die Deutsche Bibliothek;**
- **Reduce cost of cataloging by sharing authority information;**
- **Simplify authority record creation and maintenance;**
- **Improve support and access for users of different languages and scripts by linking authoritative forms.**

# GLOBAL AUTHORITY INFRASTRUCTURE

## ■ IFLA UBC authority principles:

- **Each country is responsible for its own headings;**
- **National authority records would be shared freely;**
- **Unified standards applied in data creation;**
- **Compatible data formats would be used (conversions or "cross-walks" from different formats are essential).**
- **Links would control variant national forms of heading.**

## CHALLENGES

- **Lack of international standards;**
- **Failure to adopt international standards;**
- **System limitations;**
- **Language complexities and script differences;**
- **Size and quality of legacy data files;**
- **Costs and available financial resources (who has money?)**
- **Time (solutions were needed yesterday!)**