

## **Authorities: Create Name Authority Records**

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## Revision History

Date	Section title	Description of changes
June 2007	4 Generate an authority record from a name heading using an OCLC-supplied macro	Added note about new capability for retrieving a bibliographic record from your local system via a Z39.50 connection you set up in the client; headings in retrieved records can be used to generate authority records

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## 1 About creating authority records

**How to create records** Create original authority records using any of four methods:

- Derive a record from an existing authority record (see “Create a name authority record from an existing record”).
- Create a workform and enter data (see “Create a name authority record from a workform”).
- Generate an authority record from a name heading (see “Generate an authority record from a name heading using an OCLC-supplied macro”).
- Import records from your local system (see Authorities, Import Authority Records, “Import authority records”).

Create records for the following formats:

- Conference Name
- Corporate Name
- Geographics
- Personal Name
- Series
- Uniform Title

**Online or offline cataloging**

You can create original records online or offline. If you are a NACO participant and add original records to the LC authority file, to create a name authority record from a workform when you are logged off, you must define a MARC organization code. When you create an authority record from a workform when logged on, the client uses the MARC organization code associated with your logon authorization.

**Who can create name authority records?**

- Catalogers with a Limited or higher OCLC authorization level can create name records using any method (complete a workform, generate a record from a name heading, or derive from an existing record)
- Only libraries participating in the Name Authority Cooperative Program (NACO) who have one of the following authorization levels can add new records to the LC authority file:
  - NACO Regular (NAR)
  - Enhance National (ENN)
  - CONSER National (CON)

**About new name authority records**

- Records added to the LC authority file are automatically transmitted to the Library of Congress for approval and distribution.
- The system assigns an OCLC authority record number (ARN) and a Library of Congress control number (LCCN) to each new record.
- For approved records, the Library of Congress supplies a date/time entered in field 005.

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- Newly added master records remain locked in the LC authority file until approved by Library of Congress.
- OCLC Cataloging validation rules are applied to new LC authority file records.
- You cannot export a workform not yet added to the LC authority file. Only records with OCLC authority record control numbers (ARNs) can be exported.

### When to create a name authority record

- When no authority record exists for a heading
- When you have sufficient information to create a complete and accurate authority record for the heading

### Name versus subject authority records

The system supports creating or replacing name authority records only.

For subject authority records, the system allows you to:

- Edit an existing subject authority record
- Save a subject authority record in the online or local authority save file
- Export an existing subject authority record (modified or unmodified)

The system does not allow you to:

- Create a subject authority record from a workform
- Create a subject authority record by cloning an existing record or generating a record from a subject heading in a bibliographic record
- Add a subject authority record to the LC authority file
- Lock, edit, and replace a master subject authority record

### Guidelines and standards

The following documents provide guidelines, input standards, and related information:

- *OCLC Authorities User Guide*, Third Edition at:  
[http://www.oclc.org/support/documentation/worldcat/authorities/userguide/aug\\_3d.htm](http://www.oclc.org/support/documentation/worldcat/authorities/userguide/aug_3d.htm)
- *NACO Participants' Manual*, Third Edition at:  
<http://www.loc.gov/catdir/pcc/naco/npm3rd.pdf>

The Library of Congress provides NACO documentation at:  
<http://www.loc.gov/catdir/pcc/naco/naco.html>

- *MARC21 Concise Format for Authorities*, including latest updates, at:  
<http://lcweb.loc.gov/marc/authority/ecadhome.html>

## Authorities: Create Name Authority Records


### Search the LC authority file for an existing record

Before creating a name authority record, search the LC authority file for the heading, including alternative forms of the heading. In addition, search WorldCat for bibliographic records that contain the heading or alternative forms of the heading. For more information about searching, see [Search the LC authority file interactively](#) or ["Enter LC authority file searches for batch processing."](#)

If you find...	Do this...
Record that matches the heading exactly	Use the record as is (for example, export it) Or Edit it to correct or expand information about the heading  For more information, see <a href="#">Authorities, Edit Authority Records, "Edit authority records."</a>
Record that nearly matches the heading	Derive a new record from the existing record to reuse the matching information and revise the remainder of the record  For more information, see <a href="#">"Create a name authority record from an existing record."</a>
Heading used in a bibliographic record that meets NACO criteria for a heading source	Use an OCLC-supplied macro to generate a record using the heading in the bibliographic record.  For more information, see <a href="#">"Generate a name authority record from a name heading using an OCLC-supplied macro."</a>
No matching records	Create a name authority record for the heading.

### Open MARC field Help

For assistance any time while you create a record, open the MARC field description for any field or fixed field element:

Action
On the Help menu, click <b>MARC Field Help</b> , or click  , or press <Ctrl><F1>. A description of the specific field or fixed-field element where the cursor is located opens.

### Use constant data, text strings, fixed field drop-down lists

#### Constant data

To save keystrokes when using a workform or deriving or generating records, create and apply constant data records, using the online or local constant data file.

Constant data is a fast way to add notes and other data you use often when you create or edit records. You can:

Constant data action	Menu > command (keystroke shortcut)
Set a default constant data record	<b>Edit &gt; Constant Data &gt; Online &gt; Set as Default</b> (or press <Alt><E><D><O><D>)  <b>Edit &gt; Constant Data &gt; Local &gt; Set as Default</b> (or press <Alt><E><D><L><D>)
Apply the default constant data	Edit > Constant Data > Online > Apply Default (or press <Ctrl><A>)  Edit > Constant Data > Local > Apply Default (or press <Ctrl><Y>)
Apply a constant data record by name	<b>Edit &gt; Constant Data &gt; Online &gt; Apply by Name</b> (or press <Ctrl><U>)  <b>Edit &gt; Constant Data &gt; Local &gt; Apply by Name</b> (or press <Alt><E><D><L><N>)
Apply a constant data record you select from a list	Edit > Constant Data > Online > Apply from List (or press <Alt><E><D><O><L>)  Edit > Constant Data > Online > Apply from List (or press <Alt><E><D><L><L>)

See topics in Cataloging, Use Constant Data for more information.

### Text strings

Another way to save keystrokes when you enter frequently used data is to create, assign, and insert custom text strings (use **Tools > Text Strings** or use the **Text String** quick tool on the toolbar). Use text strings to supplement constant data when you want to enter shorter data, diacritics or special characters, or several fields of data. Insert a text string from the Text Strings window: select a text string and click **Assign**. Or insert from the **Text String** quick tool: select a text string in the list. Or you can assign and use a keystroke or user tool to insert a text string.

For more information, see Basics, Set Options and Customize, "Create custom text strings."

### Open LC authority history records

If you want to track the history or identify past changes for distributed authority records, you can open authority history record(s) from a displayed authority record using **Authorities > Show > LC Superseded Versions**. You can also search or browse the authority history file, for example, to check for headings you can no longer find in the LC authority file, using **Authorities > Search > LC Names and Subjects History** or **Authorities > Browse > LC Names and Subjects History**.

Authority history records are read-only. You can copy and paste or print only. Authority history file records date back to the mid-1980s.

See Authorities, Search Authority Files, "Open LC authority history records interactively" for details.

**Fixed field drop-down lists**

By default, when the fixed field display is set to **Top** or **Bottom** (not displayed as variable field), each fixed field element has a drop-down list of values valid for the MARC format of the record. You can select a value from the list or type over a value. Or you can hide the lists in **Tools > Options > Record Display**.

See "Edit authority records" for more information.

**Add record to the LC authority file, save to online or local file, or submit for peer review**

After creating a record, NACO participants can add it to the LC authority file, or you (NACO or non-NACO catalogers) can save it for further editing or for peer review.

To add a record to the LC authority file,

	Action
1	<p><b>Prevent duplicate records:</b></p> <p>Search the LC authority file again, immediately before adding a record, to verify that no one has added a record for the item since you began cataloging it.</p>
2	<p>If no record exists, validate and then add the record to the LC authority file: On the Action menu, click <b>Add to Authority File</b>, or press &lt;Ctrl&gt;&lt;Alt&gt;&lt;A&gt;.</p> <p><b>Note:</b> If you click the Add to Authority File command for a record from the local save file while you are offline, the record is marked <b>R</b> (Ready) for batch processing.</p>

To save a record you create:

Action
<p>On the Action menu, click <b>Save Record to Online File</b>, or press &lt;Ctrl&gt;&lt;Alt&gt;&lt;V&gt;.</p> <p>Or</p> <p>Click Save Record to Local File, or press &lt;F4&gt;.</p> <p><b>Caution:</b> If you are online and log off without saving the new record or adding it to the LC authority file, your record is lost.</p>

In the following situations, submit new authority records for review before adding to the LC authority file:

- You are a newly authorized NACO participant required to do so.
- Although not required to submit for review, you have a question about a name authority record you created.

See Authorities, Edit Authority Records, "Edit authority records" and Authorities, Take Actions on Authority Records, "Exchange records for peer review" for more information.

## 2 Create a name authority record from an existing record

### When to derive a name authority record from an existing record

Derive a new name authority records from an existing record if you have searched the LC authority file and find that:

- No authority record exists for the heading you want to use.
- An authority record exists for a related or similar heading.

### Create a record from an existing record

You can derive a new record online or offline.

	Action
1	<p>With a name authority record open that describes a heading resembling or related to the heading for which you want to create a record, on the Edit menu, click <b>Derive &gt; New Record</b>, or press &lt;Ctrl&gt;&lt;Alt&gt;&lt;C&gt;.</p> <p><b>Results:</b></p> <ul style="list-style-type: none"> <li>• If you are offline and have not defined a MARC organization code, the client gives you a message that you must define a code.                             <ol style="list-style-type: none"> <li>a. Click <b>OK</b>. The client opens the <b>Tools &gt; Options &gt; General tab</b> automatically.</li> <li>b. Under <b>Offline Cataloging</b>, enter your code in the <b>MARC Organization Code</b> box.</li> </ol> </li> <li>• The client transfers selected content and/or supplies default fields/values to produce a new record based on the derived record.</li> <li>• The client supplies field 040 data from the MARC organization code associated with your logon authorization if you are online or the code you supplied in <b>Tools &gt; Options &gt; General</b> if you are offline, and includes <i>eng</i> in subfield b.</li> </ul> <p><b>Example:</b>  <b>040 OCoLC b eng c OCoLC</b></p> <ul style="list-style-type: none"> <li>• <i>NEW</i> appears in the <b>ARN</b> field. The record is assigned an ARN only when you add the record to the LC authority file (NACO-affiliated libraries).</li> </ul>
2	<p>Complete the record by adding data. If helpful, you can:</p> <ul style="list-style-type: none"> <li>• Use client editing techniques See Authorities, Edit Authority Records, “Edit authority records” for more information.</li> <li>• Apply constant data See topics in Authorities, Use Authority Constant Data for more information.</li> <li>• Insert text strings See Basics, Set Options and Customize, “Create custom text strings.”</li> <li>• Use fixed field drop-down lists See Authorities, “Edit authority records.”</li> <li>• Look up field descriptions using MARC field Help See Basics, Use Client Help and User Documentation, “Use client Help” for more information.</li> </ul>
3	<p>When you are finished working on the record:</p> <ul style="list-style-type: none"> <li>• Search the LC authority file to be sure a record has not been added since you started work on it and then add the new record to the LC authority file</li> <li>• Save the record to the online or local file to work on later Or Submit the record for peer review</li> </ul>

**Content transferred to a derived record** When you derive a name authority record, the system:

- Replaces the ARN with *NEW*.
- Fixed-field values do not transfer from the original record. Instead, the client replaces fixed-field data with default values based on the blank workform.
- Transfers variable fields 1xx through 7xx.
- Deletes variable fields and data in fields with tags less than 100 (except field 040).

The system does not transfer:

- MARC field 040: Subfields a and c containing the your OCLC institution code and a blank subfield b.

**Note:** If you are online, the client supplies the institution symbol from your logon authorization. If you are offline, the symbol is supplied from client options in **Tools > Options > General tab (required)**.

- Contents of the MARC fixed field defaults to values appropriate for the type of record
- Default variable fields based on your cataloging profile:
  - Empty call number field appropriate for your profiled classification scheme. One of the following fields is inserted: 055, 070, 080, 086, 090, 092, or 096.
  - Field 049 containing you default holding library code.

**Note:** If you are online, the client supplies the holding library code from your logon authorization. If you are offline, the code is supplied from client options in **Tools > Options > General tab (required)**.

Connexion does not transfer:

- Field 005: Date/time entered.
- Field 010: Library of Congress control number (LCCN).

### 3 Create an authority record from a workform

**When to use a name authority workform**

Use a workform if you:

- Are a NACO participant
- Have searched the LC authority file thoroughly and find that:
  - No authority record exists for the heading you want to use.
  - No authority record exists for a related or similar heading.
  - The heading is not used in a bibliographic record that meets NACO criteria for a source record.

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**Create a record from a workflow** You can open a workflow while you are logged on or offline.

	Action
1	<p>On the Authorities menu, click <b>Create &gt; Single Record &gt; Blank Record</b>, or press &lt;Ctrl&gt;&lt;Shift&gt;&lt;K&gt;.</p> <p><b>Results:</b></p> <ul style="list-style-type: none"> <li>• If you are offline and have not defined a MARC organization code, the client gives you a message that you must define a code.               <ol style="list-style-type: none"> <li>a. Click <b>OK</b>. The client opens the <b>Tools &gt; Options &gt; General tab</b> automatically.</li> <li>b. Under <b>Offline Cataloging</b>, enter your code in the <b>MARC Organization Code</b> box.</li> </ol> </li> <li>• A generic workflow opens. This workflow does not supply a valid fixed field for any authority record type.</li> <li>• The client supplies field 040 data from the MARC organization code associated with your logon authorization if you are online or the from code you supplied in <b>Tools &gt; Options &gt; General</b> if you are offline and includes <i>eng</i> in subfield b.</li> </ul> <p><b>Example:</b>  <b>040 OCoLC b eng c OCoLC</b></p> <ul style="list-style-type: none"> <li>• <i>NEW</i> appears in the ARN field. The record is assigned an ARN only when you add the record to the LC authority file (NACO-affiliated libraries).</li> </ul> <p>Or</p> <p>Click <b>Create &gt; Single Record &gt; [authority record type]</b>. On the submenu, select one of the following types:</p> <ul style="list-style-type: none"> <li>• <b>Conference Name</b></li> <li>• <b>Corporate Name</b></li> <li>• <b>Geographics</b></li> <li>• <b>Personal Name</b></li> <li>• <b>Series</b></li> <li>• <b>Uniform Title</b></li> </ul> <p><b>Result:</b>            Same as when you use the Blank Record workflow, except that the workflow opens with fixed-field data automatically supplied that is valid for the workflow type you selected.</p>
2	<p>Complete the record by adding data. If helpful, you can:</p> <ul style="list-style-type: none"> <li>• Use client editing techniques                See Authorities, Edit Authority Records, "Edit authority records" for more information.</li> <li>• Apply constant data                See topics in Authorities, Use Authority Constant Data for more information.</li> <li>• Insert text strings                See Basics, Set Options and Customize, "Create custom text strings."</li> <li>• Use fixed field drop-down lists                See Authorities, "Edit authority records."</li> <li>• Look up field descriptions using MARC field Help                See Basics, Use Client Help and User Documentation, "Use client Help" for more information.</li> </ul>
3	<p>When you are finished working on the record:</p> <ul style="list-style-type: none"> <li>• <b>To prevent duplicate records:</b> Search the LC authority file to be sure a record has not been added since you started work on it and then add the new record to the LC authority file</li> <li>• Save the record to the online or local file to work on later</li> </ul> <p>Or</p> <p>Submit the record for peer review</p>

## 4 Generate an authority record from a name heading using an OCLC-supplied macro

### When to generate a new record from a name heading

- No authority record exists for the heading you want to use.
- No authority record exists for a related or similar heading.
- The heading for which you want to create an authority record is used in a bibliographic record that meets NACO criteria for a source record.

### Generate a new record from a name heading

OCLC supplies a macro called **GenerateAuthorityRecord** in a macro book named **OCLC** to perform this function.

#### Tips:

- For ease of use, assign a keystroke shortcut or assign a user tool to run the GenerateAuthorityRecord macro. If you assign it, **skip steps 2 through 4** in the procedure below and, instead, press the assigned keys or click the assigned user tool button, keystroke, or command.
- **Use bibliographic records from your local system.** Set up a Z39.50 connection to your local system and retrieve a bibliographic record that has a heading for which you want to create an authority record. When you retrieve a local system record, the client automatically imports it into the client, and you can use the GenerateAuthorityRecord macro on a heading in the record.

You can generate a new record when you are working online or offline. To run the macro to generate a record from a name heading:

	Action
1	<p>In a bibliographic record, place the cursor in the heading for which you want to create a record.</p> <p>Valid heading fields for generating a new record:</p> <ul style="list-style-type: none"> <li>• 100, 110, 111, 130, 240, 440</li> <li>• 600, 610, 611, 630, 651</li> <li>• 700, 710, 711, 730</li> <li>• 800, 810, 811, 830</li> </ul>
2	<p>On the Tools menu, click <b>Macros &gt; Manage</b>, or press &lt;Ctrl&gt;&lt;Alt&gt;&lt;Shift&gt;&lt;G&gt;.</p> <p>Or</p> <p>Press the keystrokes you assigned to the macro, or click the assigned user tool you previously assigned to run the GenerateAuthorityRecord macro, and skip to step 5.</p>
3	<p>In the <b>Macros</b> list of the Macros dialog, click the plus sign (+) next to the macro book <b>OCLC</b> to expand the contents of the book.</p>

	<b>Action</b>
4	<p>Select <b>GenerateAuthorityRecord</b>, and then click <b>Run</b>.</p> <p><b>Results:</b>            If you are offline and have not defined a MARC organization code, the client gives you a message that you must define a code.</p> <ol style="list-style-type: none"> <li>1. Click <b>OK</b>. The client opens the <b>Tools &gt; Options &gt; General tab</b> automatically.</li> <li>2. Under <b>Offline Cataloging</b>, enter your code in the <b>MARC Organization Code</b> box.</li> </ol> <p>The macro:</p> <ul style="list-style-type: none"> <li>• Extracts appropriate elements from the selected field and supplies new tags and subfields or removes them as needed.</li> <li>• Rearranges and adds the data from the bibliographic record to a name authority workform in the following order:               <ul style="list-style-type: none"> <li>— Fixed field</li> <li>— 040 with default MARC organization code</li> </ul> </li> </ul> <p>Supplies from the MARC organization code associated with your logon authorization if you are online or from the code you supplied in <b>Tools &gt; Options &gt; General</b> if you are offline, and includes <i>eng</i> in subfield b.</p> <p><b>Example:</b>  <b>040 OCoLC b eng c OCoLC</b></p> <ul style="list-style-type: none"> <li>— 022 (if any)</li> <li>— 1xx</li> <li>— 4xx (if any)</li> <li>— 642-646 (if any)</li> <li>— 670</li> </ul> <ul style="list-style-type: none"> <li>• Supplies <i>NEW</i> in the ARN field (the system adds an ARN when the record is added to the LC authority file).</li> </ul>
5	<p>Complete the record by adding data. If helpful, you can:</p> <ul style="list-style-type: none"> <li>• Use client editing techniques            See Authorities, Edit Authority Records, “Edit authority records” for more information.</li> <li>• Apply constant data            See topics in Authorities, Use Authority Constant Data for more information.</li> <li>• Insert text strings            See Basics, Set Options and Customize, “Create custom text strings.”</li> <li>• Use fixed field drop-down lists            See Authorities, “Edit authority records.”</li> <li>• Look up field descriptions using MARC field Help            See Basics, Use Client Help and User Documentation, “Use client Help” for more information.</li> </ul>
6	<p>When you are finished working on the record:</p> <ul style="list-style-type: none"> <li>• <b>To prevent duplicate records:</b> Search the LC authority file again to be sure a record has not been added since you started work on it and then add the new record to the LC authority file</li> <li>• Save the record to the online or local file to work on later            Or            Submit the record for peer review</li> </ul>

## Authorities: Create Name Authority Records

### Fields mapped to workform

When you run the GenerateAuthorityRecord macro to create an authority workform based on a name heading in a bibliographic record, the selected heading field is mapped to the authority workform as shown in the following table, subject to modifications which are listed following the table:

Bibliographic heading field	Resulting authority heading field
100, 600, 700, 800	100
110, 610, 710, 810 (except if the first indicator is 1 and only subfield †a is present)*	110
111, 611, 711, 811	111
130, 440, 630, 730, 830**	130
110, 610, 710 (if the first indicator is 1 and only subfield †a is present)	151
651	151
240 (with a corresponding 1xx field)	1xx

\*In this case, the field is mapped to field 151, and the first indicator is set to blank.

\*\*Indicators are ignored for fields 130, 630, 730, and 830, since uniform titles should not contain nonfiling indicators other than 0.

### Modifications to mapped fields in the workform

- The completed authority workform retains heading text and subfield codes from the bibliographic record. The workform also retains first indicators, with the exceptions noted above.
- For all selected headings, any occurrences of subfields †4, †e, †o, or †u are deleted.
- If 111, 611, or 711 is selected, contains subfield †n, and does not contain subfield †t, subfield †n and all successive subfields are deleted.
- If 240 is selected, based on the assumption that a corresponding 1xx field is also in the bibliographic record, the text of field 240 subfield †a is appended to the corresponding 1xx heading as subfield †t followed by any successive field 240 subfields.
- If 440 is selected and contains an initial article (that is, the second indicator is a value other than 0) the initial characters are removed based on the indicator value, and the first character of the remaining heading is made uppercase.
- If 440 is selected and contains subfield †x, subfield †x is deleted.
- If 440, 800, 810, 811, or 830 is selected and contains subfield †v, subfield †v is deleted.
- If 600, 610, 611, 630, or 651 is selected, only the name, name-title, or uniformtitle portions of the 6xx field are retained. Subfields †v, †x, †y, or †z are deleted.

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- When unnecessary subfields are deleted, any succeeding punctuation in the remaining heading is also removed. A period is retained if the final character of the heading is an initial or is one of the following abbreviations:

Abt.	Bro.	Cia.	Corp.	Inc.
afd.	Bros.	Cie.	Dept.	Ltd.
avd.	cent.	Co.	etc.	