

# LTI AUTHORITY CONTROL

## WORK SPECIFICATION PROFILE

The Authority Control Work Specification Profile (WSP) is divided into three parts. Part I requests general information about your library, billing arrangements, number of records in your database, input/output specifications, processing schedule, and shipping information. All libraries should complete Part I as fully as possible. Throughout the profile, type or print clearly your answers. If you do not know the answer to a question, leave it blank and move on. LTI will contact you if there is a question or issue that needs to be addressed. If there is insufficient space to respond fully, attach additional sheets to the end. Help in completing the profile is available by calling (800) 795-9504. LTI's e-mail address is [LTI@LibraryTech.Com](mailto:LTI@LibraryTech.Com).

Part II requests information about authority control pre-processing options. Part III specifies what types of headings are to receive authority control, what kind of authority control is desired (i.e., limited or full manual review), and describes standard as well as other authority control processing options. Background information useful in understanding and determining processing options is given in LTI's *Authority Control Services* brochure. If the word *recommended* appears after an option, you should select that option unless there is a specific reason for doing otherwise. Keep a copy of the completed WSP for your records. **We prefer the WSP be completed and submitted on-line by visiting our web page: [www.authoritycontrol.com](http://www.authoritycontrol.com)**

### PART I - LIBRARY INFORMATION

Date: \_\_\_\_\_

Library name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Contact name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone ( ) \_\_\_\_\_ Fax: ( ) \_\_\_\_\_ E-mail: \_\_\_\_\_

Type of contract:  individual library

local system vendor (specify): \_\_\_\_\_

Payment method:  invoice library at conclusion of work (*P.O. not required; payable net 30 days*)

invoice third party (specify) at conclusion of work: \_\_\_\_\_  
(*P.O. from third party required prior to ship date*)

Approximate number of bib. records: \_\_\_\_\_ Requested completion date: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Local system vendor: \_\_\_\_\_

Libraries submit their MARC-format bibliographic records for authority control processing via FTP. They retrieve authorized bibliographic records and referenced authority records in the same manner. Unless instructed otherwise, LTI retains copies of the library's pre- and post-processed databases for a period of six months following completion of work.

Source database specifications:

Records will be supplied to LTI via:

\_\_\_ FTP (*recommended*)

\_\_\_ physical media (specify, e.g., 1/2" 9-track, 4mm DAT, 8mm Exabyte cartridge, DVD, CD-ROM, etc.)

\_\_\_\_\_



Five types of authority control are listed below: A) LC names (including uniform titles and series) and LC subjects; B) LC Children's subjects; C) NLM MeSH subjects; D) Sears subjects; and, E) genre/form headings. For each of the five categories for which authority control is desired, check whether limited or full manual review is wanted. If you do not want to receive LC Children's, NLM MeSH, Sears, or genre/form heading authority control, do not check any of the options in B, C, D, or E, unless you want these headings deleted.

Libraries whose catalog records contain LC Children's or Sears subject headings have several choices. These headings can be: (a) ignored during authority control processing; (b) processed as LC Children's or Sears (using the appropriate "sj" or Sears authority records); or, (c) forced to LCSH headings. When LC Children's headings are converted to LCSH, appropriate subject subdivisions (e.g., Juvenile literature, Juvenile fiction) are added to the heading. Juvenile subdivisions are not added to Sears headings converted to LCSH.

A) LC name and subject authority control (*check only one option*):

- limited review processing (recommended)
- full review of every unlinked heading

B) LC Children's subject authority control (*if wanted, check one option; no additional cost*):

- limited review processing
- full review of every unlinked heading
- convert to LCSH
- delete

C) NLM MeSH subject authority control (*if wanted, check one option; no additional cost*):

- limited review processing
- full review of every unlinked heading
- delete

D) Sears subject authority control (*if wanted, check one option; no additional cost*):

- limited review processing
- full review of every unlinked heading
- convert to LCSH
- delete

E) Genre heading authority control (655 field, coded for LCSH, MeSH, GSAFD):

(*if wanted, check one option; no additional cost*)

- limited review processing
- full review of every unlinked heading (not available)
- convert GSAFD to LCSH
- re-tag LCSH form/genre terms from 650 to 655
- delete all 655 fields

### Standard Recommended Options:

- a) placement of ending punctuation in all controlled heading fields in accord with LC practice (e.g., periods not placed at end of 240 and 4XX fields)
- b) deletion of relator subfields (\$e) from personal and corporate name headings
- c) retention of relator subfield \$4
- d) conversion of non-analytic 740 fields to 246 fields

It is possible to override one or more of these recommendations but the library should do so only with a compelling reason since the recommendations are correct for most local systems. Write a note adjacent to appropriate recommended options that the library wishes to contravene, e.g., "Do not convert 740 fields to 246."

## Other Authority Control Options:

### 1) Special series 490 0 processing (no additional cost)

While untraced series (i.e., those tagged as 490 with a first indicator of '0') have generally been excluded from standard authority control processing, LC's decision effective 6/01/06 to no longer create added entries for series makes it essential that libraries have a mechanism to continue to treat series as controlled headings. The "untraced series" option allows for the authorization of 490 0 fields. For libraries selecting this option, if the first indicator in a 490 field is set to '0', LTI changes the indicator value to '1' and generates an appropriate 8XX (traced series) field. If the newly created 8XX field is linked to an authorized heading during authority control, the 490 1 and authorized 8XX are retained.

If the LTI-created 8XX field remains unlinked following authority control, two options are available: (1) delete the LTI-created 8XX field and change the 490 first indicator back to "0"; or, (2) retain the 490 series with a first indicator of '1' and the LTI-created (but unlinked) 8XX series heading. When the form in the 8XX field cannot be matched to an authority record, LTI recommends that the 490 1 / 8XX combination be retained. Should an authority record later be distributed, it will be provided to the library when the heading is authorized during a continuing [AEX or AUP] authority control run. For libraries retaining the 490 1 / 830 series, we further advise that 490 1 fields not be indexed. The same advice would apply to 490 0 fields but, under this option, none of these fields will remain in the database.

apply 490 0 series processing option (recommended)

If series is not authorized:

revert to original 490 0 tagging

retain 490 1 and corresponding 8XX field (recommended)

do not apply 490 0 series processing option

### 2) Treatment of 440 / 830 title series

LTI's standard practice is to retag 440 fields as 490 1 and to create an 830 field based on the content of the 440 field. The series in the 830 field receives authority control. Some libraries prefer that LTI restore 830 fields back to 440.

do not restore 830 fields to 440 following authority control

restore 830 fields to 440 fields following authority control

### 3) Name authority records used as subjects (i.e., name heading is used both as a name and as a subject heading)

You may want to confirm with the library's ILS vendor.

include only in LC name-related authority file (CARL, DRA, Endeavor, Ex Libris, Horizon, SIRSI)

include in both LC name-related and LC subject-related authority files (III, GIS)

### 4) Continuing Services: Authority Update Processing (AUP) & Authority Express (AEX) (additional cost)

a)  intend to use AUP (*recommended*)

b)  intend to use AEX (*recommended*)

(please visit the LTI web page and submit online AUP & AEX Service Initiation Form)