Add and Replace Authority Records (NACO-Authorized Users Only)

Last updated: June 9, 2006

Revision History

Date	Section title	Description of changes
July 2004	3. Review bibliographic or authority record	New section that documents enhanced peer review functionality.
June 2005	1. Add new authority record 2. Replace master authority record	Revised to reflect that migration of the Authority File to a single database on a new platform.
August 2005	1. Add new authority record 2. Replace master authority record	Corrected information about available after they are added to or replaced in the Authority File.

Table of Contents

1   Add new name authority record

Who can create name authority records?

- Users with a Limited or higher authorization level can create name records using any method (complete a workform, derive an existing record, generate from a heading in bibliographic record).

- Only NACO-authorized users can add new records to the Authority File.

- NACO-authorized users have one of the following authorization levels: NACO Regular (NAR), NACO National (NAN), Enhance National (ENN), or CONSER National (CON).

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.

How to add a new name authority record

	Action
1	Complete the new record you are editing. Or Retrieve the completed record from the Authority Save File.
2	If not in edit mode, open the Edit list and click **Edit Record** or open the Action list and click **Edit Save File Record**.
3	On the Action list, click **Add Record**. • The system asks you to confirm that you want to add the new authority record. • **Add record:** Click **OK** to continue and add the new record to the OCLC Authority File. • **Cancel adding record:** Click **Cancel** if you do not want to add the new authority record now. **Results** **Duplicate detection** • The system searches the Authority File for the main entry in the record. • If a matching heading is found, the system displays an error message and prevents you from adding the record. **Validation** • The system validates the record before adding it to the OCLC Authority File. • If the record contains invalid data, the system returns you to edit mode.Validation messages inserted in the record highlight errors. Correct the errors and then retry adding the record. **Add to OCLC Authority File** When the record is valid, the system: • Adds the record to the OCLC Authority File. • Assigns an OCLC authority record number (ARN) and a Library of Congress control number (LCCN). • Stores the record for delivery to the Library of Congress for approval. • Deletes the original record from the Connexion Authority Save File. • Displays the new authority record, including the assigned ARN and LCCN (local edit mode). • Displays a message confirming that the record has been added to the OCLC Authority File.

Recently added records locked pending distribution	• When an authority record is added to the OCLC Authority File, the master record is locked until it completes the cycle of distribution to all NACO notes.
	• For more information on this process see the NACO website at:
	http://www.loc.gov/catdir/pcc/naco/nodes.html
Submit new record for review	In the following situations, submit new authority records for review by Library of Congress staff before adding them to the Authority File:
	• You are a newly authorized NACO participant required to submit work for review by Library of Congress staff.
	• You are not required to submit work for review, but you have a question about a name authority record you have modified.

2 Replace master name authority record

Who can replace master name authority records?

- Only a NACO-authorized user can replace a master authority record in the Authority File.

- NACO-authorized users have one of the following authorization levels: NACO Regular (NAR), NACO National (NAN), Enhance National (ENN), or CONSER National (CON).

When to replace a master name authority record

- Correct errors in a master authority record.

- Supply missing information.

- Add cross references or citations.

How to replace a master name authority record

	Action
1	Search the Authority File to retrieve the name authority record you want to modify and replace. **Results screen:** Click the **Lock** button next to the heading of the record you want. **Full record:** On the Action list, click **Lock Master Record**. Or Retrieve a master name authority record from your Connexion Authority Save File. **Results screen:** Click the **Edit** button next to the heading of the record you want. **Full record:** On the Edit list, click **Edit Record**.

	Action
2	Modify the record as you wish.
3	On the Action list, click **Replace Record**. **Confirm the Replace action** • The system asks you to confirm that you want to replace the record. • **Replace record:** Click **OK** to continue and replace the master authority record. • **Cancel replacing record:** Click **Cancel** if you do not want to replace the master authority record now. **Results** **Validation** • The system validates the record before replacing it in the OCLC Authority File. • If the record contains invalid data, the system returns you to edit mode. Validation messages inserted in the record highlight errors. Correct the errors and then retry replacing the record. **Replace in OCLC Authority File** When the record is valid, the system • Adds the MARC Organization Code associated with your authorization in a $d in the 040 field, provided the same MARC Organization Code is not already present in the last $d in the 040 field. • Replaces the record in the OCLC Authority File. • Stores the record for delivery to the Library of Congress for approval. • Deletes the modified record from the Connexion Authority Save File. • Displays the modified master authority record (local edit mode). • Displays a message confirming that the record has been replaced in the OCLC Authority File.

Note on duplicate detection

Duplicate detection uses NACO Normalization rules to match the 1XX heading of the record you want to add against the 1XX and 4XX name headings.

Recently replaced records locked pending distribution

• When an authority record is replaced in the OCLC Authority File, the master record is locked until it completes the cycle of distribution to all NACO notes.

• For more information on this process see the NACO website at:

http://www.loc.gov/catdir/pcc/naco/nodes.html

Submit revised record for review

In the following situations, submit edited master authority records for review by Library of Congress staff before replacing them in the Authority File:

• You are a newly authorized NACO participant required to submit work for review by Library of Congress staff.

• You are not required to submit work for review, but you have a question about a name authority record you have modified.

3   Review bibliographic or authority record

How record reviewing works

- Here is a high-level summary of the workflow for reviewing records.

	Action	Result or Note
1	Reviewee identifies the appropriate reviewer(s).	Determined by: • Training and mentoring to qualify the reviewee to participate in a cooperative program (BIBCO, NACO, SACO, CONSER) • Arrangements made within a consortium or between cooperating institutions. • Informal, individual arrangements between colleagues
2	Reviewee enters the OCLC symbols of reviewer institutions, using the Reviewer Institutions option in Cataloging Options and/or Authority Options.	To set the list of institutions as the default reviewers, click **Save My Default** after entering the symbols.
3	Reviewee prepares a bibliographic or authority record and submits it for review by taking the **Submit for Review** action.	The system saves the record with the review status **Submitted**.
4	Reviewee notifies reviewer that a record is available for review.	Use e-mail, telephone, or any method convenient for reviewer and reviewee.
5	Reviewer retrieves record(s) to be reviewed.	Use the Search Save File screen (bibliographic save file or authority save file). In the Review File area, click **Search** or press <Enter>.

	Action	Result or Note
6	Reviewer communicates the necessary changes to the reviewee.	Use any method acceptable to both reviewer and reviewee. Possible methods include: e-mail, telephone, fax, postal mail, and Web-based conferences.
7	Reviewee retrieves and modifies the record. Then the reviewee: • Resubmits the record for further review and approval. Or • Takes the appropriate final action on the record.	To be determined by official procedures of a cooperative cataloging program or institution, or based on agreement between reviewer and reviewee.

Why submit a record for review?

- You are required to submit work for review because you are a newly authorized participant in a cooperative cataloging program.

- Although you are not required to submit work for review, you have a question about a record you created or modified.

Who can submit records for review?

Any user with a Cataloging authorization, Limited level or above, can submit records for review and/or review a record submitted to the user's institution. Review procedures, selection of reviewers, record quality standards applied, and other details may vary depending on the program, institution, project, or other arrangement under which the review occurs.

Reviewee: Designate reviewer institutions

- Use Cataloging Options and/or Authority Options to indicate which institutions may access records you submit for review.

- Specifying a default list of reviewers is **optional**, but a default list can make submitting records for review more convenient.

- **No default reviewers specified.** If you do not specify default reviewers via Options, you must enter the appropriate symbol(s) each time you take the **Submit For Review** action. During each session, the system retains and displays the list you supplied in your most recent submittal. When you log off, the system deletes the list.

- **Default reviewers specified.** If you specify a list via Options, the system displays the default list when you take the **Submit For Review** action. You can use the default list as is, edit the list, or delete it and enter a new list. Modifications to the default list are retained for later submittals during the same session. When you log off, the system reverts to the default list. You can change the default reviewer list at any time using Cataloging Options or Authority Options.

	Action
1	On the General tab, click **Admin**. On the Preferences screen, click **Cataloging Options** or **Authority Options**.
2	At the Cataloging Options screen or the Authority Options screen, locate the item **Reviewer Institutions**. In the text box, type 1 or more OCLC symbols for institutions whose staff may access records you submit for review. Separate multiple symbols with semicolons. The system ignores spaces before or after the semicolons. You can enter institution symbols in uppercase or lowercase. The system stores them in uppercase. **Examples: ABC;DEF;XYZ or ABC; DEF; XYZ or abc;def;xyz**
3	Save the list of reviewer institutions as the default for future sessions or use the list for the current session only. • Click **Save My Default** or **Save for Session**. **Note: Symbols not verified** Institution symbols specified in the Reviewer Institutions option are not checked when you save the settings on the Options screen. The system checks institution symbols for reviewers **only** when you submit a record for review.

**Reviewee: Submit a
record for review**

	Action
1	Prepare the bibliographic or authority record you want to submit for review. For example: • Retrieve, lock, and edit a master record. • Retrieve and edit a record. • Retrieve a previously edited record or workform from the save file. • Create a new record.
2	1. On the Action list, click **Submit for Review** or press <Alt><K><>> (right angle bracket). 2. In the popup window, check the displayed list of reviewer institutions and edit the list if necessary. Or Type a list of OCLC symbols, separated by semicolons. **Note:** You can enter symbols in lowercase or uppercase. The system converts symbols to uppercase before validating them. 3. Click **OK** to submit the record for review. Or click **Cancel** if you do not want to submit the record now. **Results** When you click **OK**, the system: • Validates OCLC symbols you supplied. If any symbol is invalid, the system does not submit the record. An error message identifies the invalid symbol(s). You must retry submitting the record. When prompted, correct all invalid symbols and then click **OK**. • Sets the record's Review status to **Submitted for Review**. • For a locked master record, retains any lock on the record in WorldCat or the Authority File. • Automatically saves the record to the bibliographic save file or the authority save file. • Displays the submitted record (display mode). • Displays messages confirming that the record has been submitted and that the record has been saved. • Shows the record's save file number.

**Reviewee: View your
submitted records**

• You can retrieve submitted records from the Show By Status screen or from the Search Save File screen.

Show By Status screen

	Action
1	On the Cataloging tab or the Authorities tab, under Show Options, click **By Status**.

	Action
2	On the status list screen, under Show Save File, Review Status, select the check box for the **Submitted** status.
3	Click **Show Records** or press <Enter>. **Result** The system retrieves all records your institution has submitted for review.

Search Save File screen

	Action
1	On the Cataloging tab or the Authorities tab, under Search Options, click **Save File**.
2	On the Search Save File screen, in the Save File area, select the check box labeled **Submitted for Review**.
3	Click **Search** or press <Enter>. **Result** The system retrieves all records your institution has submitted for review.

Reviewee: Recall submitted record

	Action
1	Retrieve the record you want to recall.
2	1. On the Action list, click **Recall Submitted Record** or press <Alt><K><<> (left angle bracket). 2. Click **OK** to recall the record. Or click **Cancel** if you do not want to recall the record now. **Results** When you click **OK**, the system: • Removes the Review status **Submitted** from the record. • For a locked master record, retains any lock on the record in WorldCat or the Authority File. • Automatically resaves the record to the bibliographic save file or the authority save file. • Displays the record (display mode). • Displays messages confirming that the record has been recalled and that the record has been saved. • Shows the record's save file number.

Reviewer: View list of records for review

	Action
1	On the Cataloging tab or the Authorities tab, under Search Options, click **Save File**.

	Action
2	On the Search Save File screen, in the Review File area, type an OCLC institution symbol in the text box. Or To retrieve all records available for your review, leave the text box empty.
3	Click **Search** or press <Enter>. **Result** The system retrieves records submitted for your review by the institution whose symbol you specified. If you did not specify an institution symbol, the system retrieves all records for which your institution is designated as a reviewer. **Note:** Functions for reviewers Reviewers **can**: • View a submitted record in display mode (read only). • Change the record view by selecting from the View list. Reviewers **cannot**: • Edit records. • Flag records. • Take any other action. **Note:** Reviewee can act on a record while a reviewer views the record • While you are reviewing a record, the reviewee (submitter) has full access to that record. • The **reviewee can recall a submitted record or delete it from the save file** at any time. Your view of the record remains open, but the recalled or deleted record is not retrieved when you re-search the Review File. • The **reviewee can edit the record** while you are viewing it. To view the revised record, return to the Review File results screen and reopen the record. You need not repeat the search.

Reviewer and reviewee: Comments and responses

- The system does not handle communication between reviewer and reviewee.

- Review participants can use any method they wish to exchange status information, review comments, follow-up questions, and proposed revisions.

- Interactive review and revision. A reviewee can edit a submitted record while a reviewer is viewing that record. Using this functionality, reviewer and reviewee can discuss changes by phone while both view the record. Then, the reviewee can edit the record and resave it. To check the edits, the reviewer can return to a Review File results screen and reopen the record.

Reviewee: Revise record: take action or resubmit for review

	Action
1	After receiving comments from a reviewer, retrieve the record you want to revise.

	Action
2	Revise the record to respond to corrections and suggestions from the reviewer.
3	Depending on the review procedure you are following or on direction from the reviewer, select the appropriate next step. For example: • Take a final action on the record • Resubmit the revised record for further review • Delete the record from the save file