Authority Control Rules

To control linking bibliographic headings and preferred term correction using rules, you must have one of the following roles:

- Cataloger
- Catalog Manager
- Catalog Administrator
- Repository Manager
- General System Administrator

Authority control rules options give you more control over when linking bibliographic headings should be done and when linking should be skipped. They also provide greater control over the preferred term correction process and the end results from preferred term correction. The Authority Control Rules configuration page can be accessed from the Resources list of configuration options (Configuration Menu > Resources > General > Authority Control Rules).

![Authority Control Rules](image)

To learn more about authority control rules options, see the Linking Bibliographic Headings Rules and the Managing Preferred Term Correction sections below. Note that these sections assume that you are familiar with the information on the Using the Authority Control Task List page.

Linking Bibliographic Headings Rules

Link BIB Headings rules, that you configure, allow you to control when linking occurs when the link bibliographic headings job is run. See Authorities - Link BIB Headings for more information.

With Alma's Link BIB Headings rules, you have the flexibility to define in which cases linking upon save and automatic linking (as part of the link bibliographic headings job) is skipped for bibliographic headings. As an example, you can specify do not perform linking for undifferentiated personal names.

The process of managing the bibliographic headings records that appear in the Authority Control Task List as a result of the linking job can be streamlined by implementing tags to identify certain types of records. See Using Tags for more information.

The Link BIB Headings rules can be defined by using the parameters below, specifying an operator (=, Contains, In List,
Not Equals, or Not in List), and selecting or entering a value. When records are saved or when the link bibliographic headings job attempts to automatically link bibliographic headings, these rules evaluate the data in your bibliographic records to determine whether to link or not link the records.

- Authority ID

This parameter refers to the authority ID information stored in the MARC 21 $0 or UNIMARC $3, for example.

- Bibliographic Headings Value

This parameter can be used to evaluate the value of the displayed bibliographic headings to determine if linking should be skipped.

For example, if the Bibliographic Headings Value is configured as contains "Human History" (see below) and the displayed bibliographic headings contains "Human history," the linking would be skipped.

- Field

When you select this parameter, you can specify a field number as the value.

- Language

This parameter refers to the information cataloged in $9 (MARC 21) or $7 (UNIMARC).

- Source Code

When this parameter is selected, you may choose from the following drop-down list of values: authority type such as call number/classifications, chronological term, corporate name, genre/form, geographic name, meeting name, personal name, topical name, or uniform title.

- Undifferentiated Personal Name

This parameter examines the following:

- MARC 21 authority 008 control field, position 32 = "b"
- UNIMARC authority 120 control field, position 1 = "a"

When this parameter is selected, you may select True or False.

- Vocabulary

When this parameter is selected, you may select any of the local authority or Community Zone vocabulary codes to which you have access.

For more information about creating rules that use these parameters, see Creating Link BIB Headings Rules.

When you create rules, you can specify if linking should or should not occur.

Multiple rules can be created and enabled/disabled. When there are multiple rules defined, they are processed in the order
in which they exist in the Institution Rules List; and when one rule’s conditions are met, the process uses that rule’s output and does not process any of the remaining rules.

If no rules are created, the default Link BIB Headings rule is used.

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**Creating Link BIB Headings Rules**

Link BIB Headings rules can be created using the Authority Control Rules configuration option.

**To create a Link BIB Headings rule:**

1. Open the Authority Control Rules page (Configuration Menu > Resources > General > Authority Control Rules), and select the **Link Bib Headings** tab.

2. In the Institution Rules List section, select **Add Rule**.

3. Enter a name and description for the rule.

4. Enter input parameters.
   1. In the Input Parameters section, select **Add Parameter**.
   2. From the drop-down lists, select an option (for Name), and select an operator.
   3. Enter or select a value and select **Add Parameter**.

5. Enter workflow setup parameters.
   1. Select one of the following application methods:
      1. Link – Select this option when you want the Authorities - Link BIB Headings job or linking upon **Save** (in the MD Editor) to link the bibliographic headings when the criteria of one of the Link BIB Headings rules is met.
      2. Do not link – Select this option when you want the Authorities - Link BIB Headings job or linking upon **Save** (in the MD Editor) to not link the bibliographic headings when the criteria of one of the Link BIB Headings rules is met.

2. Select a tag from the **Tag as** drop-down list (optional).

   Note that the Authority Control Rule Tags appear for both Link BIB Headings rules and preferred term correction rules (when enabled for your system; see Managing Preferred Term Correction for more information).

   Tags are only used for automatic link bibliographic headings jobs (when you select the **Link** option) and helps streamline the process for working with records in the Authority Control Task List. Note that when you select **Do not link**, there is no option to specify a tag.

   If no tags exist, add them by doing the following:

   - Select **Add Tag**.
   - Select **Add Row**.
   - Enter a tag code (that appears in the Authority Control Task List in the Tag column and as a facet), description, and select **Yes** or **No** to indicate if this is the default tag.
Select **Add Row**.

Repeat this process to add other tags.

Select **Customize** or **Save**. Note that all the tags that you create appear in the **Tag as** drop-down list.

6. **Select Save**.

Your rule is added to the Institution Rules List section. After a rule is created, you can select to edit, duplicate, or delete it. When there are multiple rules, you can also change the order of the rules using the Move Up and Move Down features. Each rule can be individually enabled or disabled.

7. **Select the Activate Rules check box**.

This check box must be selected in order for the rules that you create to be applied when records are saved or when the link bibliographic headings job attempts to automatically link bibliographic headings. Note that both the Link BIB Headings and Preferred Term Correction tabs have an Activate Rules check box so that each type of rule can be activated / deactivated independently.

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**Use Case Examples**

**Link When Specific Field Values Are Met**

If you want a rule to have the **Authorities - Link BIB Headings** job link bibliographic headings when specific field values occur, the configuration could be entered as shown below.

**Link When Source Code Values Are Met**

If you want a rule to have the **Authorities - Link BIB Headings** job link bibliographic headings when source code values are met, the configuration could be entered as shown below.
Authority Control Task List

With Link BIB Headings rules, the Authority Control Task List provides an additional column and facets for tags (see Using Tags). Note that some columns are hidden by default. To view these columns, select the Configuration icon in the table actions list to open the configuration pane. Select the Tag column option to add this column to your view of the table if it is not already visible.

Using Tags

With Link BIB Headings rules, you can configure tags for managing records in the Authority Control Task List (see the Creating Link BIB Headings Rules procedure). For a list of Authority Control Rule Tags, see the example below. Note that these tags appear for both Link BIB Headings rules and, when enabled, preferred term correction rules (see Managing Preferred Term Correction for more information).
Authority Control Rule Tags

When the tags are used in the Link BIB Headings rules, they appear as facets that you can use to filter the list of records on the All tab in the Authority Control Task List (Resources > Cataloging > Authority Control Task List).

Managing Preferred Term Correction

Preferred term correction rules, that you configure, allow you to control the population of the preferred term correction process when the preferred term correction job is run. See Authorities - Preferred Term Correction for more information.

With Preferred term correction rules, you can mark and stop corrections from occurring automatically when the preferred term correction job is run. Subsequently, staff can review/mediate marked changes in the Authority Control Task List before they are executed.

When you configure preferred term corrections rules for mediation (by selecting Apply mediated preferred term correction), the preferred term correction job identifies the correction that needs to be made and adds an entry to the Authority Control Task List that shows the current term and the term that it will be changed to if corrected.

With preferred term correction rules, you can create tags for identifying certain types of records in order to streamline your process for working with the Authority Control Task List (see Identify Certain Records for Mediation and Tags for more information).
With Alma’s preferred term correction rules, you can define:

- Which records should be corrected automatically
- Which records should not be corrected at all
- Which records should be suggested in the Authority Control Task List for correction but not done automatically (held for mediation/manual review)

This capability is managed through preferred term correction rules that are processed when the Authorities - Preferred Term Correction job runs. With these rules, you control the preferred term correction population in the Authority Control Task List. See the Use Case Examples section for ideas regarding this capability.

The rules for managing the Authorities - Preferred Term Correction job (see Authorities - Preferred Term Correction for more information) can be defined by using the parameters below, specifying an operator (=, Contains, In List, Not Equals, or Not in List) and selecting or entering a value. When processed, these rules evaluate the existing data in your bibliographic records to determine how to process preferred term correction.

- **Authority ID**
  
  This parameter refers to the authority ID information stored in the MARC 21 $0 or UNIMARC $3, for example.

- **Field**
  
  When you select this parameter, you can specify a field number as the value.

- **Indication rules**
  
  When you select this parameter, all the indication rules that you have created appear in a drop-down list from which you can select. Indication rules are executed in the authority record’s metadata.

  For more information, see Working with Indication Rules.

- **Language**
  
  This parameter refers to the information cataloged in $9 (MARC 21) or $7 (UNIMARC).

- **Normal and linked fields are linked to different authority records**
  
  This option appears if the 880 field is enabled (by Ex Libris) as an authorizing field. This option can be used to identify cases where a field and its linked 880 field are linked to different multilingual authorities. Your options are to select true or false.

- **Source Code**
  
  When this parameter is selected, you may choose from the following drop-down list of values: authority type such as call number/classifications, chronological term, corporate name, genre/form, geographic name, meeting name, personal name, topical name, or uniform title.

- **Vocabulary**
  
  When this parameter is selected, you may select any of the local authority or Community Zone vocabulary codes to which you have access.

For more information about creating rules that use these parameters, see Creating Preferred Term Correction Rules.

When you create rules, you can specify what is applied or not applied during the preferred term correction job; and you can specify which changes you want to mediate.
Multiple rules can be created and enabled/disabled. When there are multiple rules defined, they are processed in the order in which they exist in the Preferred Term Correction Rules List; and when one rule's conditions are met, the process uses that rule's output and does not process any of the remaining rules.

If no rules are created, the default preferred term correction rule is used when the preferred term correction job is run. The default preferred term correction rule is also utilized when the enabled rules are evaluated in priority order and none of those rules have logic that applies to the record being analyzed for preferred term correction.

As part of the rules functionality, you can set up custom tags that can be applied when the preferred term correction job runs and, subsequently, be used to more easily locate information in the reports presented in the Authority Control Task List. See Tags for more information.

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**Creating Preferred Term Correction Rules**

Preferred Term Correction rules can be created using the Authority Control Rules configuration option.

**To create a Preferred Term Correction rule:**

1. Open the Authority Control Rules page (Configuration Menu > Resources > General > Authority Control Rules), and select the Preferred Term Correction tab.

2. In the Institution Rules List section, select Add Rule.

3. Enter a name and description for the rule.

4. Enter input parameters.

   1. In the Input Parameters section, select Add Parameter.

   2. From the drop-down lists, select an option (for Name), and select an operator.

   3. Enter or select a value and select Add Parameter.

5. Enter workflow setup parameters.

   1. Select one of the following application methods:

      1. Apply preferred term correction

      2. Apply mediated preferred term correction

      3. Do not apply preferred term correction

   2. Select a tag from the Tag as drop-down list (optional). Note that when you select Do not apply preferred term correction, there is no option to specify a tag.

   If no tags exist, add them by doing the following:

      - Select Add Tag.

      - Select Add Row.

      - Enter a tag code (that appears in the Authority Control Task List in the Tag column and as a facet), description, and select Yes or No to indicate if this is the default tag.

      - Select Add Row.
• Repeat this process to add other tags.

• Select Customize. Note that all the tags that you create appear in the Tag as drop-down list.

6. Select Save.

Your rule is added to the Institution Rules List section. After a rule is created, you can select to edit, duplicate, or delete it. When there are multiple rules, you can also change the order of the rules using the Move Up and Move Down features. Each rule can be individually enabled or disabled.

7. Select the Activate Rules check box.

This check box must be selected in order for the rules that you create to be applied when records are saved or when the link bibliographic headings job attempts to automatically link bibliographic headings. Note that both the Link BIB Headings and Preferred Term Correction tabs have an Activate Rules check box so that each type of rule can be activated / deactivated independently.

Use Case Examples

See the following sections for examples of Preferred Term Correction rules used to control preferred term correction processing and results.

Skip Certain Records for Preferred Term Correction

If you want a rule to have the Authorities - Preferred Term Correction job skip preferred term correction for certain records, the configuration could be entered as shown below with Do not apply preferred term correction selected. See Authority Control Task List for more information.

Identify Certain Records for Mediation

If you want the Authorities - Preferred Term Correction job to tag certain records for mediation, the configuration could be entered as shown below with Apply mediated preferred term correction selected and tagging for LCNAMES (or other tag that you created). See Authority Control Task List for more information.
Tag Records for Mediation

**Selectively Automate Certain Corrections While Identifying Others for Mediation**

If you prefer to have subject headings corrected automatically, but prefer to mediate personal name corrections, see the example rules below.

**Mediate Personal Names**

Fields linked to LCNAMES can be automatically corrected, while fields linked to medical subject headings (MESH) can be identified for mediated reporting/review.
Authority Control Task List

With preferred term correction rules, the Authority Control Task List provides additional columns and facets (see Using Modes and Tags) and options for applying corrections (see Applying Changes for Mediated Corrections in the Authority Control Task List).

Using Modes and Tags

With Preferred Term Correction rules, you can specify that changes are made automatically or that they should be identified for mediation. The options in the Authority Control Task List provide a method for filtering the records using these specifications. Tags that you specify in your preferred term correction rules can also be filtered in the Authority Control Task List. See the examples below.

- Mode

Mode identifies when rules were applied automatically or specified mediation.
Mode Facet

- Tags

For the tags that you identify in your preferred term correction rules, you can view and filter the Authority Control Task List reports with these tags.

Tag Column and Facet

Note that the Mode and Tag columns are hidden by default. To view these columns, select the Configuration icon 🛠 in the table actions list to open the configuration pane. Select the Mode and Tag options to add them to your view of the table.
Applying Changes for Mediated Corrections in the Authority Control Task List

After reviewing mediated corrections in the Review tab of the Authority Control Task List, you can apply the corrections for the bibliographic headings that you want to correct. This results in the bibliographic record being corrected with the authority record data. The mediated corrections may be applied in the following manner:

- **Individual rows**
  
  For each row in the Authority Control Task List to which you want to apply the changes, you can select the **Apply** action from the row actions; or you may select the check box at the beginning of the row and, subsequently, select **Apply Selected**.

- **Multiple rows**
  
  You can select multiple records across multiple pages, up to 100 records, and use **Apply Selected**.

  Additionally, you can use the column check box in the header row to select all the check boxes for each row of the page on which you are working and, subsequently, select **Apply Selected**. Note that this option does not work across multiple pages.

- **All mediated rows**
  
  Select the **Apply All** option to apply the mediated corrections on all the mediated rows that appear in the list (across pages).