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MARCIVE® INC.

Authority Control Profile
Part 1: Specifications

Thank you for choosing MARCIVE Authority Control services. Our profile is divided into two parts.

Part I (this document) is the profile that tells us what authority work you want from MARCIVE.

Backfile authority control	For existing bibliographic records
Overnight Authorities	Authority control for new bibliographic records
Standard Notification Service	Ongoing authority file maintenance
NewMatch	Finding new authorities for previously unmatched access points through Standard Notification Service
Comprehensive Notification Service	Bibliographic and authority file maintenance

Part II is a GUIDE that contains information about each option.

To initiate service:

1. Complete Part I Customer Specifications. Please check just one option for each, unless we have indicated that multiple answers are appropriate. Commonly elected responses are defined in the "GUIDE" that accompanies this document. However, they do not necessarily reflect choices for your library. You may either fill this out directly in the document or print and complete it. Page numbers may differ between the online and the printed document.
2. Have the appropriate person sign the customer authorization on the printed copy.
3. Return to your MARCIVE Sales Representative: mail, send a PDF, or fax the signed profile.

Customer Authorization

MARCIVE will perform the work described in this profile at the prices quoted in the letter referenced below or as mutually agreed in correspondence. These prices will be good for 12 months from the Date of Authorization below (date I signed this profile).

If I send the bibliographic file from which MARCIVE is to work more than once, and MARCIVE has already loaded the previous file, my library will be charged a loading fee of $350. If the free test has already been generated from the previous file, a new test may be required at an additional cost of $100. If my library cancels or postpones indefinitely a project in progress, MARCIVE reserves the right to bill for work performed up to that point. MARCIVE will output the database as I have specified in this form and, once my database has been shipped to me, I have 90 days to request replacement for any defective media. If after that time I request the database to be re-output, regardless of the reason, my library will be charged the complete cost of outputting the database again. If I subscribe to Comprehensive Notification Service (CNS), I understand that there are no refunds or partial credits due to cancelation or unused portions of the service.

Date of last quote: _____ (Date supplied by MARCIVE representative)

Date of authorization: _____ (Date you signed this profile)

Authorized signature: _____ Title: _____

Institution: _____

1. *Customer information*

1.1   Customer address

Institution name _____

Address _____City_____
State/Province _____Zip/Postal Code _____

1.2   Billing address. Paperless invoices preferred.

Attention _____

Paperless invoice. Email address to send to: _____

Institution name _____

Address _____

City _____State/Province_____ Zip/Postal Code_____

1.3   Contact names

MARCIVE, Inc., will provide the library's primary contact with the Specifications Test for loading into a test region of your local system. The primary contact views and approves the Test before work can proceed.

Primary contact _____

Title _____Email _____

Phone _____ FAX_____

File preparation contact _____

Title _____

Email _____

1.4   Who should be notified when files are ready?

Name_____   Email _____

Name_____   Email _____

Name_____   Email _____

1.5   Additional information

Does your library have a current GPO subscription to Ongoing GPO Database Service or Documents Without Shelves?   If so, include your MARCIVE ID here. _____

2. Authority services requested. Mark all that apply.

☐ **Backfile authority control** (for existing bibliographic records)
Number of bibliographic records in project: _____

☐ Date you will make the records available to us: _____

☐ Date you expect the project to be completed: _____

    ☐ Include RDA Conversion Service (no extra cost)

    ☐ Special requests: _____

    ☐ Deduplication of bibliographic records. (extra cost)

☐ **Overnight Authorities** (authority control for new bibliographic records)

    ☐ Estimated number of bibliographic records you will send per year:
_____

    ☐ Changed bibliographic records only returned

    ☐ Include RDA Conversion Service. (no extra cost)

    ☐ Special requests: _____

☐ **Standard Notification Service** (ongoing authority control maintenance)

    ☐ Use authority file resulting from backfile processing as a base.

    ☐ Use special history file creation or history file replacement as a base.

        ☐ History replacement. Use control numbers to establish authority history **and** output current authority records to library. (extra cost)

        ☐ History file creation. Use control numbers to establish authority history only – no output of current authority records to the library. (extra cost)

☐ If Library subscribes to MARCIVE Ongoing GPO Database Service or Documents Without Shelves.   Add results of processing GPO records to Notification Service. (no extra cost) ID code for GPO services: _____

☐ **NewMatch** (find new authorities for previously unmatched access points) Free with Standard Notification Service. (Not needed with Comprehensive Notification Service)

    ☐ With Standard Notification Service.

    ☐ Without Standard Notification Service. (additional annual cost)

☐ **Comprehensive Authorities Notification** (ongoing bib and authority control maintenance: only if backfile performed first)

☐ Update bibliographic and authorities records **yearly**

☐ Update bibliographic and authorities records **semiannually**

☐ Update bibliographic and authorities records **quarterly**

3. Source and format of bibliographic data.

3.1 Source(s) of bib records

Extracted from (system): _____

Loading to (system): _____

3.2 Control number (MARC field in the bibliographic records you send us which contains the system generated control number that you will use to overwrite database records)

☐ MARC 001 field.

☐ Other: MARC field: _____Subfield code:_____

3.3 How will your records be sent to MARCIVE?

☐ Secure website (default)

☐ Other_____

3.4 In what format will the records be sent to us?

☐ MARC21 - standard MARC. (MARC-8 or UTF-8)

☐ Tab delimited file.

☐ XML.

☐ Other. Please describe: _____

4.   Bibliographic data update

Bibliographic data pre-processing cleanup for backfile and ongoing authority control. These changes are done prior to the authority matching processing. No extra cost.

4.1   Update obsolete MARC content designation

☐   Update obsolete MARC content designation and coding to current standard. Check all that apply. (recommendation is all)

   ☐   Leader and Fixed Field coding.

   ☐   Variable Fields and Subfields.

   ☐   Geographic/Country Codes.

   ☐   Language Codes.

4.2   Update numeric fields (010, 020, 022, and 040)

☐   Normalize LCCN (010 field).

☐   Normalize ISBN (020 field).

☐   Normalize ISSN (022 field).

☐   Supply missing 040 ($a, $b, $c) data. (Please provide organizational code)

   ☐   Library organizational code (from MARC Code List for Organizations) _____

   ☐   or supply OCLC membership code: _____

4.3   Initial articles and filing indicators (Check all that apply)

☐   Correct filing indicators:

   ☐   In all standard title fields.   OR

   ☐   In 245 title field only.

☐   Remove the initial article and zero the filing indicator:

   ☐   In 240 title field.

   ☐   In 830 title field.

☐   Remove the word "The" from the beginning of the subfield $t in the following authorized fields: 600, 610, 611, 630, 700, 710, 711, 730, 800, 810, 811, and 830.

☐   Remove the word "The" from the beginning of the $t subfields in the 505 field.

4.4 GMD standardization creation and removal (choose one only)

☐ Standardize GMD terms:

    ☐ Use AACR2 list.

    ☐ Use popular usage list. (AACR2 Extended)

☐ Move 245$h:

    ☐ To 500 tag

    ☐ To another field (specify) : _____

☐ Delete 245$h.

4.5 Relator terms processing

☐ Standardize relator terms. (force recognized term to standard term)

    ☐ Use MARC Code List for Relators when there is a conflict with RDA Relationship Designators.

    ☐ Use RDA Relationship Designators when there is a conflict with MARC Code List for Relators.

☐ Convert the subfield $4 (relator code) to subfield $e and $j (relator term).

    ☐ For any $4 relator code that was not converted, delete the subfield and its contents.

☐ Convert the subfield $e and $j (relator term) to subfield $4 (relator code)

    ☐ For any $e or $j relator term that was not converted, delete the subfield and its contents.

4.6   Record enhancement and RDA conversion options (Choose all that apply)

☐   Add 040 $e rda to all records, although hybrid. (See "GUIDE")

☐   Title statement.

☐   Edition statement.

☐   Publication, distribution, etc. (imprint)

☐   Physical description.

☐   Authorized access points.

☐   Generate CMC fields:

    ☐   Use standard list.

    ☐   Use library specific criteria (additional cost).

☐   Generate 34X fields (see GUIDE for list of fields).

    ☐   Remove $0 from all 34X fields.

4.7   Global changes (Choose all that apply)

☐   Force all 490(0) terms to 490(1)/830 tags prior to authorities processing.

☐   Permanently change local subjects (69X fields) to 6XX _0 before beginning processing.

Force 6XX content designation/source codes:

    ☐   Force 6XX, 2nd indicator "1" (ACP) to "0" (LCSH) and add "Juvenile" to $v.

    ☐   Force Sears ($2sears) to LCSH. (2nd indicator "0")

    ☐   Force 6XX, 2nd indicator "0" (LCSH) to "1" (ACP) and remove   "Juvenile" from $v.

    ☐   Force Sears ($2sears) to ACP. (2nd indicator "1")

    ☐   Other. Please describe. _____

4.8   Global deletes (Check all that apply)

☐   Delete obsolete subfield $w.

☐   Delete NASA access points. [with subfield "$2nasat"]

☐   Delete FAST access points. [with subfield "$2fast"]

☐   Delete MeSH access points. [with subfield "$2mesh" or second indicator "2"]

☐   Delete BISAC access points. [with subfield "$2bisac"]

☐ Delete all invalid subdivisions from genre terms (655) that do not map to other appropriate fields.

☐ Delete local subjects. (69X tags)

☐ Other global deletes. Please provide field(s) and subfield(s) to be deleted:

_____

4.9   Outgoing bibliographic record processing options (Check all that apply)

☐ Add subfield $0 identifier to bib records for matched terms (choose only one):

☐ Provide control number in subfield $0

☐ Full and partial access point matches (default) OR

☐ Full access point matches only

☐ Provide URI in subfield $0

☐ Full and partial access point matches (default) OR

☐ Full access point matches only

☐ Add FAST access points from LC access points where the LC access point has been validated, flipped, or split, and the link between the LC term and the FAST term has been established and verified.

☐ Add Homosaurus (HOMOIT) access points based on existing LC terms where the Homosaurus Editorial Board has indicated the LC heading is an exact match to the Homosaurus term added.

Standard processing sorts bibliographic tags based on the first digit. You can request that bib tags be sorted on all three digits if you chose the option below:

☐ Full sort (based on all numeric digits) See "GUIDE"

4.10   MARCIVE processing stamp

☐ Add MARCIVE processing stamp.

Field and subfield for processing stamp. _____

Text to be inserted in processing stamp. _____

5. Authority processing: Authority matching specifications for backfile and ongoing authorities processing. No extra cost.

5.1 Fields to be examined and upgraded

☐ Process all standard fields, with exceptions as noted in this section. (100, 110, 111, 130, 240, 600, 610, 611, 630, 650, 651, 655, 700, 710, 711, 730, 800, 810, 811, and 830)

☐ Examine untraced series (490 0_)

☐ Do not process the following fields: _____

5.2 Name terms: databases to search

☐ Search Library of Congress Name Authority file for name access points.

☐ Other search criteria (please discuss with your Sales Representative):
_____

5.3 Restricted matching criteria

☐ Restricted matching. Choose any combination of these options.

☐ Series treatment. Follow 645 $a.

☐ $c. Match bibliographic personal name terms to authority record only if the $c (Title and words associated with a name) in the bib record also exists in the authority record.

☐ $d. Match bibliographic personal name terms to authority record only if the $d (Dates Associated with a Name) are in the bib record and in the authority record. The exception is when a 670 (Source Data Found) or a 672 (Title Related to the Entity) overrides this exclusion.

☐ Disable VIAF auxiliary database to validate names.

5.4 Addition of local subject headings (optional)
If you would like local subjects added to your records based on existing data in the record please list the criteria here. If it is more than a few terms/criteria, please provide a cross reference list. Note: we do not delete the LC terms in question; rather we add terms based on the information supplied. Contact your Sales Representative if you have more than a few terms.

Criteria: _____

5.5 Subject terms to examine: (Check as many as apply)

☐ Process LC subject terms. (6XX_0)

☐ Process LC Children's subject terms. (6XX_1)

☐ Process MeSH subject terms. (6XX_2)

☐ Process unspecified subject terms. (6XX_4)

☐ Process Canadian subject terms. (650 _5 and 651_5). Name subject headings (600, 610, 611, 630) coded with IND2 of 5 will search LC only.

    ☐ Search only LAC

    ☐ Search only LC

    ☐ Search LAC first, then LC

    ☐ Search LC first, then LAC

☐ Custom search criteria for Canadian topical and geographic subject terms

_____

☐ Process AAT subject terms (6XX_7 $2aat)*

☐ Process FAST subject terms (6XX_7 $2fast)

☐ Process Homosaurus subject terms (6XX_7 $2homoit)

☐ Process QLSP subject terms (6XX_7 $2qlsp)*

☐ Process Sears subject terms (6XX_7 $2sears)

☐ Process TGM subject terms (6XX_7 $2lcgtm)

* No matching authority records are output for AAT or QLSP terms.

5.6   Subject terms (6XX): divided access points

Standard processing replaces a single access point with all matches to the formerly authorized terms.

☐ If you prefer to leave split subject terms unchanged, check this option

5.7   Genre term generation

☐ Create 655 genre terms using fixed fields and 6XX $v and retain 6XX$v

☐ Create 655 genre terms using fixed fields and 6XX $v and remove 6XX$v

5.8   Topical terms

☐ Move recognized genre terms found in 650 tag to 655.

Must choose one of the following:

☐ Resolve "Negro" with "African American" when inconclusive.

☐ Resolve "Negro" with "Black" when inconclusive.

5.9   Genre/form processing. Sections 5.1, 5.7, 5.8, and 5.10 all reference 655 processing.

Please refer to the GUIDE or your MARCIVE Sales Representative should you have any questions.

5.10   Genre/form terms to examine

☐   Process the following 655 fields (mark all that apply):

    ☐   LC coded terms (655_0, 655_7 $2lcsh or $2lcgft)

    ☐   MeSH coded terms (655_2, 655_7 $2mesh)

    ☐   AAT coded terms (655_7 $2aat)*

    ☐   FAST coded terms (655_7 $2fast)

    ☐   GSAFD coded terms (655_7 $2gsafd)

    ☐   Homosaurus coded terms (655_7 $2homoit)

    ☐   QLSP coded terms (655_7 $2qlsp)*

    ☐   RBMS coded terms (655_7 $2rbmscv)

    ☐   Sears coded terms (655_7 $2sears)

    ☐   TGM coded terms (655_7 $2lctgm or 655_7 $2gmgpc)

* No matching authority records are output for AAT or QLSP terms.

☐   Other source codes. Please describe:
_____

Matching criteria for Genre/form terms:

☐   Match genre terms selected above as coded **(default).**

☐   Special GSAFD matching criteria. Choose one. (Comparing $2gsafd to GSAFD is the default.)
All other genre terms will be matched to the genre file indicate in subfield $2 unless specific
instructions are provided as "Other match criteria" below.
    ☐   Match only to LCGFT

    ☐   Match first to LCGFT, then GSAFD.

    ☐   Match first to GSAFD, then LCGFT.

☐   Other match criteria for genre terms. Please describe:
_____.

*If you have elected to have MeSH coded access points processed, they will be matched to the MeSH
authority file only.

5.11   Custom changes, including requests for differences between backfile and ongoing processing.

☐   Some custom changes are necessary. Provide additional documentation if needed.

6.   Bibliographic and authority record output specifications: Record delivery

6.1   Changed bibliographic records

☐   Send back only changed records. Note: with various chosen options, nearly all records will be changed in backfile processing. Examples: 4.6, 4.9. 5.7. If you have chosen any of these options, do not request changed records only. However, you may request the "changed records only option" for ongoing processing.

6.2   Source of authority records to be delivered (Check all that apply.)

☐   Library of Congress adult files (Name/Subject/Genre)

☐   Library of Congress Children's file

☐   Medical Subject Headings (MeSH) file

☐   Library and Archives Canada file (Subject)

☐   Faceted Application of Subject Terminology (FAST) file

☐   GSAFD (Guidelines on Subject Access to Individual Works of Fiction, Drama, Etc.) file

☐   Rare Books and Manuscripts Section (RBMS) file

☐   Sears file

☐   Thesaurus of Graphic Materials (TGM) file

☐   Do not output authority records from any source.

6.3   Usage/distribution split of authority records

Please indicate how authority records (as requested above) should be split and distributed. If you have elected to receive MeSH authority records, they will always be output in a separate file from the other authority records. All other authority records may be separated by source, or combined.

☐   All types (subjects, genre, names, and titles) together.

☐   Subjects and genre together; names and titles together.

☐ Subjects, names, and titles together; genre separate.

☐ Subjects and genre together; names separate, titles separate.

☐ Subjects separate, genre separate; names and titles together.

☐ All types (subjects, genre, names, and titles) separate.

☐ Other: _____

6.4 Hierarchical authority records

☐ Send authority records for any level in the bibliographic record for which LC has created an authority record.

6.5 Non-Latin character sets

☐ Delete MARC fields containing non-Latin character sets in authority records.

    ☐ Limit deletion to: _____

6.6 Character coding scheme (Same for bibliographic and authority records)

☐ UTF-8 (Unicode MARC):

    ☐ Single double-wide characters. (default for UTF-8)

    ☐ Double double-wide characters.

☐ MARC-8. (Legacy MARC)

☐ Other. Please describe: _____

6.7 Transport of records (Chose one)

☐ Secure website (default)

☐ Other _____

Please indicate email address of person(s) who should be notified when files are ready, if different from section 1.4:

6.8 Backup of files on CD- ROM for the BACKFILE PROJECT ONLY

You will not receive a free backup if your files were originally received on DVD or CD.

☐   Do not provide a backup CD.

☐   Provide a free backup CD of my bibliographic and authority files.

☐   (Alternative) Provide backup on DVD.

Please give the name and address of the person to whom the backup copy should be sent, if different from the address and primary contact in 1.1 and 1.3:

6.9 Size of files output to library BACKFILE PROJECT ONLY

☐   Output bib or authority records in files of maximum 50,000 records (preferred).

☐   Output bib or authority records in files of maximum _____records.
(See GUIDE)

7. *Reports*

7.1 Control number for reports

☐   Use control number from MARC 001 field.

☐   Use control number stored in other MARC field.

MARC field: _____ Subfield code: _____

7.2   Automatic reports

☐   A standard suite of five reports of bibliographic activity as a result of authorities processing includes the ones below without an additional charge. If you do not want all of the reports, you may pick and choose among them.

   ☐   Statistical Summary Report (Text only)

   ☐   Unrecognized or Invalid Terms Report (Text OR Excel)

   ☐   Multiple Matches or High Probability Matches Report (Text OR Excel)

   ☐   Changed Authorized Terms Report (Text OR Excel)

   ☐   Preprocessing Changes Report (Text only)

☐   Send Excel reports instead of text reports where available. If this box is checked Multiple Matches, Changed Authorized Terms, and Unrecognized Terms will all be sent as Excel reports.

7.3   Optional reports

☐   Unspecified CMC Fields Report. (additional charge)

☐   Partial Matches Report.   (additional charge)

8.   Notification Service Subscriptions and Overnight Authorities Service

8.1   Notification Services Report

☐   There is an optional electronic report of authority record activity for either kind of Notification subscription. ADDITIONAL COST. If this report is wanted, complete Sections 8.5 and 8.6, below. If not opting for this report, leave 8.5 and 8.6 blank.

8.2   Deleted authorities (Choose one option) Deleted authorities output for both types of Notification.

☐   Send deleted authority records in the same file(s) with the new and changed records.

☐   Send deleted authority records in separate file(s) from the new and changed records.

8.3   Missing Link (Available only for Standard Notification)

☐   Insert a 4XX field in changed authority record to facilitate replacement in bib records in the local system.

8.4 **Delivery of <u>new</u> authority records resulting from Overnight Authorities processing.**

☐ Category I: Immediate delivery of new authority records (all sources) resulting from Overnight Authorities. Changed and deleted authority records delivered through Notification. If a subscription to CNS in Section 2 is elected, this option is the only choice.

☐ Category II: Monthly delivery of all authority records (new, changed, deleted) through Standard Notification.

8.5 **Notification Report: New or changed authority records reporting.**

☐ Report all new and changed authority records.

☐ Report only changed authority records (no new).

8.6 **Notification Report: Changed authorized terms only, or full list of changes**

☐ Report changes to authorized terms only.

☐ Report all changes to authority records.

9. *Additional services to include with authorities processing: MARC Record Enrichment Service**

9.1 **Add Syndetic Solutions data to record (Additional cost)**

☐ Table of Contents (TOC)

☐ Fiction/Biography

☐ Summaries

9.2 **Add Reading Notes. Only $26 profile fee and no other per record costs.**

☐ Accelerated Reader

☐ Lexile® Framework for Reading

☐ Reading Notes Report. (Additional cost/See GUIDE)

*If any of these are checked, we request that you also complete a MARC Record Enrichment Profile.