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# AUTHORITY CONTROL PROFILE

## Part II: GUIDE

This guide is intended to help you answer the questions in the [Authority Control Profile Part I](#). The numbering corresponds to the numbers in the profile.

Please fill in the answers directly into Part I of the profile, print, sign, and return to your MARCIVE representative. You may mail, send a PDF, or fax the signed Part I.

**This profile and a purchase order serve as a contract for this work.**

Part I is the profile that tells us what processing you want for your authority control project. We have indicated which options need to be completed as a part of the work to be performed, along with our recommendations based on what libraries have commonly chosen. If you do not want a particular option, you may leave it blank.

**Part II (this document) is a Guide that contains information about each option.**

Your Marketing Representative is available to answer any questions you may have.

# Customer Authorization

## 1. Customer information

### 1.1 Customer address.

We use this information to enter your institution into our database, so it is important for it to be complete and accurate.

### 1.2 Billing address. Leave blank if same as above.

If invoices are to go to a different address, please enter that address here, and give us the name of the person to whose attention the invoice should go.

### 1.3 Contact Names.

Typically, the person who is managing the project would go in the primary contact area. A week or so after the project begins, the primary contact will be notified that the Specifications Test is ready. The primary contact should be available to load, view, and approve the test so that work can begin.

The file preparation contact may be the IT person in your library who will be outputting your bibliographic database or it may be the representative at your automated system vendor if they are handling the database output.

### 1.4 Who should be notified when files are ready?

List the names and email addresses of all the people who should be notified when your authority products are ready. It is important to retrieve files promptly, even if you do not plan to load them immediately.

Are you already receiving authority records from MARCIVE? If you wish to have us deduplicate authority records against the records we have already sent you, please alert us to the MARCIVE ID codes under which this processing is being performed.

MARCIVE authority control project: If you performed authority control with us in the past and are keeping it up-to-date with Notification Service, good for you! Please let us know how this new project should be incorporated into your current services.

## HOW TO GET STARTED:

Once the signed profile and financial commitment have been received, we'll assign a MARCIVE ID and our Business Office will notify you via email or fax that we are ready to start! Our Director of Production will send instructions via email for the FTP of the bibliographic data.

**IMPORTANT TIMING INFORMATION. Please convey to your staff. From the time your bibliographic database goes to MARCIVE until you reload it, you:**

### **CAN**

- Catalog new materials
- Batch load new records
- Add or modify holdings (unless deduplication is being performed)
- Develop procedures for sending bib records through Overnight Authorities service (if elected)
- Develop procedures for loading authority records from the monthly *Standard Authorities Notification Service* or *Comprehensive Authorities Notification Service* (if elected)
- Hold RDA review and training sessions or other activities which do not modify data sent to MARCIVE.

### **CANNOT**

- Modify bib records
- Delete bib records
- Perform global changes or deletions

If your staff use this time to clean up your bibliographic records, their changes will be lost when you re-load the database from MARCIVE, unless certain fields are protected at the point of overlay.

## REVIEWING SPECIFICATIONS TEST RESULTS: TIPS

1. Load the authorities and bibliographic files into a test region of your local system, **not only** into MarcEdit. The MarcEdit tool is excellent for reviewing purposes, but does not reflect how the bibliographic and authorities records display and index in the ILS. Nor does it indicate how the overlay process works.
2. If appropriate and possible, check to see that the corrected records are replacing the old records based on control number.
3. Look at each of the indexes in your local system, especially genre, MeSH, or Children's terms if applicable, to make sure index generation is working properly.
4. Follow see references and see also references if you have browsable indexes.
5. Examine a bibliographic record with diacritic or special characters.
6. Examine a bibliographic record that had been cataloged under AACR2, if you requested RDACS. Look in the catalog to see how new fields and subfields are displaying.
7. Check a record that would have been affected by any special processing you requested.
8. Make sure the authority records are loading and displaying properly.
9. If elected, check to see if any added enrichment (such as Lexile) is displaying and indexing properly.
10. Look at the Unrecognized Invalid Terms Report to see access points before and after processing. Review any other reports selected.
11. Ask questions!
12. Return the Specifications Test Approval form to us so that processing can proceed. This form is supplied by our Director of Production.

## 2. Authority services requested

**Backfile authority control** (for existing bibliographic records). Check this box to indicate that you do want to have MARCIVE process a copy of your existing backfile or legacy data. If you are completing this profile only for ongoing processing, leave this section blank.

**Number of bibliographic records in project.** This is the number of bibliographic (not item) records you expect to send to us. Estimate as close as possible.

**Date you will make the records available to us.** It is not necessary to fill this in now, but be sure to contact us when you have sent the records. At that time we will want to know so we can check for them.

**Date you expect the project to be completed.** It is not necessary to fill this in unless you have specific deadlines. Using the time line provided on the quotation we sent, you can estimate the completion date. If you have special considerations, such as scheduled training, please let us know.

**Include RDA Conversion Service.** Check this box if you want descriptive bibliographic data and access points updated, and Content-Media-Carrier data created for your backfile project. If you check this box, please complete section 4.6, "RDA conversion service options." There is no additional cost, unless you select custom CMC creation or RDA reports.

### Special requests:

**Deduplication of bibliographic records.** Can be provided as a special request at an additional cost.

Authority records are deduplicated automatically as part of the process. This question refers to the removal of duplicates of *bibliographic* records using some criteria understandable to a computer program (matching on a control number such as OCLC number, or on a key composed of author, title, and publication data). In some cases, the library's local system handles the merge of the holdings data; in others, we are expected to handle the merge. Pricing is dependent on the complexity of the task and can only be quoted once we have specifications and a large sample that includes holdings.

**Local authority practice.** If your library has practices that differ from Library of Congress, please let us know. In many cases, your practice can be accommodated.

## 2. Authority services requested

***Overnight Authorities*** (authority control for new bibliographic records). Check this box to indicate that you do want to have MARCIVE examine your ongoing cataloging. The library will export new cataloging to MARCIVE for examination against current authority records, and correct them as specified in the library's profile. The results are returned the next business day.

**Estimated number of bibliographic records you expect to send per year.** This is the approximate number of bibliographic (not item) records you send to MARCIVE over the course of a year. This helps us with the creation of a quote for your budgeting purposes.

**Include RDA Conversion Service.** Check this box if you want descriptive bibliographic data updated, access points examined, and Content-Media-Carrier data created for your ongoing cataloging. There is no additional cost, unless you select custom CMC creation. If you check this box, please complete section 4.6, "RDA Conversion Service Options."

### **Special Requests:**

**History File Creation** (additional cost): If you have done authority control in-house or with another vendor recently and don't wish to do backfile processing at this time, you can send us your existing authority file to use as a "history file" against which all future work will be compared. We will extract the control numbers from it to create a history file, and immediately begin checking for changes to it through *Standard Notification Service*.

**History File Replacement** (additional cost): As with History File Creation, we will accept the library's authority records and extract the control numbers, but use these numbers to in order to pull the most current version of the LC authority records and return them to the library. This updated authority file will also be used for future work through *Standard Notification Service*.

**Local authority records (may entail extra cost).** Talk to us about how you would like us to use your locally created authority records.

***Standard Notification Service*** (ongoing **authority** file maintenance)

**Use authority file resulting from backfile processing as a base.** MARCIVE maintains a dynamic list of authority record control numbers that have been sent to the library. As new authorities are matched through *Overnight Authorities Service*,

## 2. Authority services requested

authorities processing programs determine which records have already been sent to the library. Duplicate authority records are suppressed. Once a month, *Notification Service* uses the library's history file to determine which changed authority records, as well as deleted records should be distributed to the library. An authority file that was created as a result of MARCIVE backfile processing is referred to as a "clean" history file, because every authority record matches an associated bibliographic access point. We can also use authority files created through History File Creation and History File Replacement, but we have no way of knowing whether they accurately match to bib access points since we have no access to the legacy bib file.

**Use special history file creation or history file replacement as a base.** If either type of history file management has been chosen in the preceding special requests, it will be used as the starting point for *Standard Notification Service*. For more information, see [Authorities & Bibliographic Database Processing](#), pages 56-57.

### **Library subscribes to MARCIVE GPO services or Documents Without Shelves.**

MARCIVE offers two subscription services that provide MARC records for government documents. There is no extra cost to add the results of processing either subscription to your *Notification Service*. If you check this option, please provide the MARCIVE ID code associated with your government document processing.

**NewMatch** (find new authorities for previously unmatched access points) With this option, MARCIVE will compare all previously unmatched access points to the current authority file(s) to determine which access points now match an authority record, and which authority records should be provided to the library.

*Standard Notification Service* customers receive this service with their monthly files at no additional cost.

Standalone *NewMatch* subscribers receive this service monthly at an additional cost.

### **Comprehensive Notification Service (CNS: maintain both bibliographic and authority records)**

**We will retain both bibliographic and authority records produced as a part of backfile authorities processing.** With this subscription, we will retain the library's bibliographic and authority records resulting from initial processing and *Overnight Authorities Service*, and reprocess them according the time frequency chosen. The same processing performed for the backfile work will be provided, including the

## 2. Authority services requested

specialized pre-processing tasks. Each access point will be compared against the LC and other selected thesauri authority files, and if that access point has changed, the revised bibliographic record will be supplied to the library. In addition to the bibliographic records that have changed as a result of the bib processing, the following will be provided: authority records that were newly matched, authority records changed by LC or other agency, deletes distributed by LC, and replacement authority records. Because all access points (including ones previously unmatched) are searched, the *NewMatch* option is not needed with this subscription.

## 3. Source and format of bibliographic data

### 3.1 Sources of bib records.

If the records will be output from your local system, please give us the name (e.g., Innovative Interfaces, Inc., Sierra; SirsiDynix Symphony, Koha, etc.). Only if you are going to be sending us records directly from OCLC, should you indicate OCLC.

If we are to create a shared database from multiple libraries and perform authority control against the results, please indicate that we are to “see attached list,” then provide a separate table indicating the name of each library, source of records, and number of records. Please indicate if these records will be loaded back into the same system or if this is a part of a migration, indicate the new system.

### 3.2 Control number.

For libraries loading into a system for the first time or migrating to a new system, the bibliographic control number issue may not be important because there is no need to match a corrected bib record to an existing bib database record.

If your library plans to output data from your current system and then reload and overwrite the existing database record, the choice of control number location is an important issue. You will want to use your local automated system’s control number, so that the cleaned-up records will overwrite the uncorrected records in your database. When you output your records for authority control, you may have to do something special to put the control number into a MARC field in the record. Please verify with your MARCIVE representative that the specified field and subfield that you are going to use is appearing with content (not blank) in the records that we receive from you.



### 3. Source and format of bibliographic data

If we did not receive a control number, the returned corrected bibliographic record will not have a matching point in the database and may create a duplicate record. Not the desired result!

If you are going to have MARCIVE keep your bibliographic records and process them periodically through *Comprehensive Notification*, the Control Number location you specify in the profile must exist in all bibliographic records. This control number will be used to track, update, and deduplicate your bibliographic records. Please insure that a Control Number exists in all records as specified and can be used for overlay. Any records processed that do not have a control number (as indicated by the library) will not be loaded into the library's *Comprehensive Notification* bibliographic database and will not participate in the *Comprehensive Notification Service* processing.

#### 3.3 How will your records be sent to MARCIVE?

*Backfile processing.* We will give you instructions for sending your records via FTP once your account has been established. If you plan to send the records on physical media such as CD, please indicate that here.

*Ongoing processing.* We accept records via FTP for *Overnight Authorities*.

#### 3.4 In what format will the record be sent to MARCIVE?

Generally, records are sent in MARC21 format. If your records are in another format such as Excel (tab delimited), or XML, please indicate that here.

### 4. Bibliographic data update

#### 4.1 Update obsolete MARC content designation.

MARCIVE has a large set of corrections based on the ever-changing MARC format. We recommend that you select the default, which is to have all these corrections applied. It will improve your database and make future updates and format migrations easier.

Some obsolete content will be updated as part of authority control, but even more good is accomplished with the "Update obsolete MARC content designation—Variable Fields and Subfields," which is why we strongly recommend it. This section must be completed. For more information, see [Authorities & Bibliographic Database Processing: A Detailed Description](#), pages 12-14.

The 440 field is automatically updated to 490(1)/8XX.

## 4. Bibliographic data update

The fixed fields are checked for obsolete codes and updated to current ones, along with many other important corrections. Obsolete fields are mapped to the current standard, including changing subfield codes and order. Sample change: If the record contains a 301 field, Physical Description for Films, map the 301 \$a to a 300 \$a, map the 301 \$b \$c and \$f subfields to 300 \$b, separated by commas, map the 301 \$d to 300 \$c, and the 301 \$e to 300 \$e.

The language and geographic codes are covered as a separate option.

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

You may elect to leave numeric fields as is. Optionally, you can select among LCCN, ISBN, ISSN and 040 modification.

For LCCN upgrade, both the \$a and \$z subfields are scanned for either of the two recognized standard forms of LC control numbers and the information is reorganized as necessary.

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Incoming bib record:	010__	\$a 76-4557
Changed by MARCIVE to:	010__	\$a 76004557

---

The processing of the ISBN (020 field) updates obsolete cataloging practices. For example, we create a 020 field for each \$a \$z set and keep the existing subfields, as well as change any \$b to \$q. Some abbreviated terms are spelled out.

The normalization of ISSN involves converting it to a valid format which is 4 numbers, a dash and 4 numbers (or three numbers and an X). The dash is important and it is not removed. All \$a, \$z and \$y subfields are scanned and reorganized as necessary into this standard form, right justified and zero filled, no leading or imbedded blanks. Any trailing data is preserved unchanged.

For 040 processing, we will supply subfields \$a, \$b, or \$c if they are missing.

### 4.3 Initial articles and filing indicators.

There are a variety of ways that filing indicators and initial articles can be edited. The **recommendation** is to have us examine and correct the filing indicator in all appropriate MARC fields. We check the language code in the fixed field (008/35-37). If any one of 40 codes is present, we check to see if particular words are found at the beginning of the title and make the appropriate changes.

## 4. Bibliographic data update

Some words cannot be unambiguously identified as an article (they might mean the number "one" in that language) and when these words begin the title, the filing indicator is not examined or changed. The exception to that rule occurs when the filing indicator would cause filing on a letter in the middle of a word, in which case we change the indicator to a zero.

We have a proprietary list of situations in which a word should not be treated as an initial article. Examples of titles in which the nonfiling indicator is properly coded as a zero (0): "A is for apple" and "Le Corbusier : essai".

You have the option of limiting processing to the 245 title or examining all title fields. You may also select to have the initial article removed and zero the filing indicator for either the 240 or 830 fields, or both.

Alternatively, you may choose not to examine and edit the filing indicators. Just don't check any boxes.

**Remove the word "The" from the beginning of certain \$t subfields.** Please mark all that apply.

You may elect to remove "The" from the beginning of the subfield \$t in the following fields: 600, 610, 611, 630, 700, 710, 711, 730, 800, 810, 811, and 830. The first letter of the following word is capitalized.

You can also choose to remove the word "The" from the beginning of the \$t subfields in 505 fields and capitalize the first letter of the following word.

### 4.4 GMD cleanup, creation, updates and removal.

Resource Description and Access (RDA) note: The General Material Designation (GMD subfield \$h) is not used in RDA. However, subfield \$h will be retained unless you specifically request that it be removed. You should verify how your automated system will use the RDA 3XX fields in place of the \$h GMD before requesting that we remove it. If you want the GMD moved to another field for reference or system use, please indicate that there. If we move the GMD to another field, the 245 \$h will be deleted.

If you don't want us to do anything to the GMD, do not choose any options.

Each library system has unique requirements for identifying the GMD for users. The use of this data will determine what is best for your library.

## 4. Bibliographic data update

If your system depends on the 245\$h to identify the GMD for users, MARCIVE can add missing 245\$h terms based on other data in the record. Updating and standardization of common terms is possible based either on the official AACR2 list or an expanded list of terms in popular usage.

When we are requested to retain the GMD (either in the 245 \$h or by moving it to another field), we can standardize the terms based on the AACR2 list. Alternatively, we can use an extended AACR2 list that includes popular usage terms. Capitalization in your GMD will be made lower case as part of this processing. Some examples of the AACR2 list:

[audiocassette]	[sound recording]
[DVD] .....	[videorecording]
[map] or [maps].....	[cartographic material]
[globe].....	[cartographic material]
[computer file] .....	[electronic resource]
[interactive media] .....	[electronic resource]
[movie].....	[motion picture]
[soundrecordings].....	[sound recording]
[sound recordings].....	[sound recording]
[video recording : DVD] .....	[videorecording]
[videorecordings] .....	[videorecording]
[Video Cassette].....	[videorecording]

Some examples of the extended list that are either not on the AACR2 list or are different from the AACR2 list:

[DVD]	[DVD] (retained rather than changed to videorecording per AACR2 list)
[multi-media]	[multimedia] (not on AACR2 list)
[video recording : DVD]	[videorecording (DVD)] (different AACR2 list)

### 4.5 Relator terms processing.

If you do not want relator terms examined, do not check any boxes. Two kinds of change are involved in this option. The first processing involves standardizing content found in subfields \$e and \$j. You can limit the standardization to just common terms for example; "illus." to "illustrator" and "edt." To "editor". Indicate this and any special processing in section 5.11.

## 4. Bibliographic data update

You may also request that we use the MARC Code List for Relators OR the RDA Relationship Designators where there is a conflict. Example: “arranger” (MARC List) or “arranger of music” (RDA List). If you request that we standardize common terms and do not select one of the options for conflicting terms, relator terms may contain conflicting data.

### Example:

Incoming data:

100 \$a Navarro, Guillermo \$e cinematographer. (This term is on the MARC Code List for Relators)  
700 \$a Fenton, George \$e arranger of music. (This term is on the RDA Relationship Designators list)  
700 \$a Akers, George \$e edt.

Result if only “Standardize common terms” option is chosen

100 \$a Navarro, Guillermo \$e cinematographer. (MARC term retained)  
700 \$a Fenton, George \$e arranger of music. (RDA term retained)  
700 \$a Akers, George \$e editor. (Common term expanded to standard form)

Result if both “Standardize common terms” AND “Use MARC Code...” options are chosen

100 \$a Navarro, Guillermo \$e cinematographer. (MARC term retained)  
700 \$a Fenton, George \$e arranger. (Changed to MARC term)  
700 \$a Akers, George \$e editor. (Common term expanded to standard form)

Result if both “Standardize common terms” AND “Use RDA Relationship...” options are chosen

100 \$a Navarro, Guillermo \$e director of photography. (Changed to RDA term)  
700 \$a Fenton, George \$e arranger of music. (RDA term retained)  
700 \$a Akers, George \$e editor. (Common term expanded to standard form)

The second type of processing involves changing **coding** (MARC subfields \$4, \$e, and \$j). You may choose to have us convert relator codes in subfield \$4 to terms (\$e and \$j) or terms in subfields \$e and \$j to codes (\$4). Library of Congress bibliographic records most recently use the \$e and \$j, rather than \$4. If your library follows this practice, you would select the option to change \$4 to \$e or \$j. Because relator codes only exist in the MARC Code List for Relators, all codes on the MARC list will be converted to the MARC term.

## 4. Bibliographic data update

Example:

Incoming data:	100 \$a Navarro, Guillermo \$4 cng
Result – code to term	100 \$a Navarro, Guillermo \$e cinematographer.
Incoming data:	100 \$a Navarro, Guillermo \$e cinematographer.
Result – term to code	100 \$a Navarro, Guillermo \$4 cng

Regardless of your selection in this section (codes to terms or terms to codes), please let us know if we should delete the term or code if it is not converted. The relator data will remain unchanged if this option is not selected.

MARC fields examined for \$e and \$4: 100, 110, 600, 610, 630, 650, 651, 654, 662, 700, 710, 720

MARC fields examined for \$j and \$4: 111, 611, 711.

How do you make the decision? It will be easier for you and your patrons to have one scheme for coding this information. Our **recommendation** is to make \$e and \$j your standard because of the movement away from codes and abbreviations in RDA. Look at how your local system indexes the relator subfield.

### 4.6 Record Enhancement and RDA Conversion Service Options

Resource Description & Access (RDA) is the current cataloging standard, replacing AACR2. RDA Conversion Service (RDACS) is MARCIVE's service to change the records during authority processing to conform more closely to RDA. MARCIVE authority control matches access points to the current authority file, and records may be AACR2 or RDA, regardless of whether you choose any special RDACS processing.

New fields are regularly defined to allow greater data granularity. Legacy records can benefit from mapping existing data to new fields or conversion to the new practices. Records can be enhanced by expanding the physical description fields to include the content, media, and carrier types (336, 337, and 338) as well as 34X fields.

Fields generated by the 34X option are: Physical medium (340), Sound characteristics (344), Projection characteristics of moving image (345), Video characteristics (346), Digital file characteristics (347) and Format of notated music (348). Ask a MARCIVE Representative about other RDA fields such as the 384 and the 385.

## 4. Bibliographic data update

Not all fields are appropriate for all records; therefore not all fields will be generated in every case. Because these fields are generated using the fixed fields, some notes fields, and other descriptive fields in the records, the extensiveness of the information in the record will determine the level of enhancement performed for that record.

For example, not all 260 fields will be changed to 264. The MARCIVE programming for RDA conversion of the 260 field follows the PCC recommendation for automated conversions. Records coded as serials, integrating resources, or multi-volumes will not reflect the 260 to 264 correction.

The **recommendation** is to select RDA Conversion, and to choose all options. The exception is the edition statement. Since automated processing cannot tell if the piece itself has an abbreviation or spelled-out edition statement, some libraries choose not to have the 250 field converted. Select all appropriate boxes for any RDACS processing and record enhancements you want. There is no extra cost, unless custom changes are requested.

For more information on RDA Conversion and adding 33X and 34X fields, please see [Authorities & Bibliographic Database Processing](#).

### 4.7 Global changes

Common requests for global changes to data include modifying some fields or subfields or terms to force the data to a preferred tag or term. Custom global changes should be discussed with your MARCIVE representative. If you do not want any global changes performed, you may skip this section.

**Force 490(0) to 490(1)/830.** It is not necessary to force this change unless it is necessary to always have the 830 to provide better access. You may request that all 490(0) be forced to 490(1)/830 or you can request that 490(0) be examined in 5.1 and flipped only if it matches an authorized term.

**Local subject access points (69X).** The **recommendation** is to leave local subject access points that have been tagged as 69X unchanged.

## 4. Bibliographic data update

If the option to change the 69X fields and indicators to LC is chosen, the following permanent changes will take place. Then standard LC processing will be performed as specified elsewhere in the profile.

690	changes to	650 _0
691	changes to	651 _0
692	changes to	600 _0

**Force 6XX content designation/source codes.** If you have 6XX source codes that you want globally changed to another code, you can specify them in section 5.11 (custom changes).

### 4.8 Global deletes

Whether it be because of changes in practices or programs, libraries often find there is data they no longer need or want. While we are processing their data for other issues they may find it beneficial to have old data removed.

**Remove subfield \$w.** The **recommendation** is to remove this obsolete OCLC subfield from the following fields: 100, 110, 111, 130, 240, 600, 610, 611, 630, 650, 651, 69X, 700, 710, 711, and 730.

It is not removed from the 800, 810, 811, and 830, as \$w is now defined in those fields.

Remove specified terms such as NASA, FAST, MeSH, or BISAC.

Remove invalid subfields (as defined by LC) in the 655 fields.

You may request other global deletes in this section. Provide the appropriate criteria. If you do not want any global deletes, you may skip this section.

### 4.9 Outgoing bibliographic record processing options

*Add subfield \$0 to matched terms.*

With the focus on linked data, libraries now request that we provide the information when a bib term is matched to an appropriate authority record. We can insert the control number of the authority record or the URI of the authority record into subfield \$0 of the bib record (recommended).



## 4. Bibliographic data update

Example of control number in subfield \$0 of a bib record:

```
650_0 $a Drawing. $0 (DLC) sh 85039408
```

Example of a URI in subfield \$0 of a bib record:

```
100 1 $a Kelly, Katy, $0 http://id.loc.gov/authorities/names/n88121754  
$e author.
```

### *Sort bibliographic tags after processing by all three digits*

Full sort will sort bibliographic tags after processing by all three digits, with the exception of the 3XX and 5XX. During MARCIVE processing, bibliographic fields may be changed, resulting in the reordering of MARC tags. While the order of the tags is not crucial in most automated systems, some libraries may have other reasons to prefer them in a certain order. Standard processing sorts bibliographic tags based on the first digit, and retains the original order based on the first tag (e.g., 6XX tags will be returned in the same order as received even if 650 is before 600 in your record).

### **4.10 MARCIVE processing stamp**

Libraries commonly request us to insert a field that indicates the record has already been processed by MARCIVE. This enables your system to determine which records do not need to be sent to MARCIVE for authority control, thereby saving you money.

For simple changes such as the following, write your request directly into 4.10.  
Examples:

- Add a MARC 902 field that reads "Mvl" to all records.
- Add a MARC 945 field that reads "MARCIVE YYYY." We can also add the exact date of processing. Example: "MARCIVE 01012018" or Processed Jan 1, 2018."

If you don't want a stamp, just skip this section.

## 5. Authorities processing

### 5.1 Fields to be examined and upgraded.

Our standard processing examines all access points listed below, unless you indicate that there are specific fields you wish us to omit from processing. This section must be completed. Standard fields:

100	Main entry, personal name
110	Main entry, corporate name
111	Main entry, meeting or conference name
130	Main entry, uniform title term
240	Uniform title term
600	Subject term, personal name
610	Subject term, corporate name
611	Subject term, meeting or conference name
630	Subject term, uniform title
650	Subject term, topical
651	Subject term, geographic name
655	Index term—Genre/form
700	Added entry, personal name
710	Added entry, corporate name
711	Added entry, meeting or conference name
730	Added entry, uniform title term
800	Series added entry, personal name
810	Series added entry, corporate name
811	Series added entry, meeting or conference name
830	Series added entry, uniform title term

You may also request that we examine the untraced series (490 0\_) and if recognized, retag it as 490\_1/8XX.

### 5.2 Name terms: databases to search.

Standard matching uses the Library of Congress Name Authority File (LC-NAF) for name access points. However, some libraries also use the Library and Archives Canada Name Authority File (LAC) along with LC-NAF. Specify whether you want to also use LAC and which authority file takes preference in matching. If the bib term is not found in the one authority file it will be searched in the other name authority file. Generally

## 5. Authorities processing

all names will be searched with the same priority but you may specify a different hierarchy based on the tagging.

X00 LC-NAF first, then LAC

X10 LAC first, then LC-NAF

X11 LC-NAF first, then LAC

Most authority records in the LAC Name Authority File consist of names not in the Library of Congress Name Authority File.

---

Not found in LC-NAF	700	1_	\$a Lawson, Tim, \$d 1953-
Verified in LAC	700	1_	\$a Lawson, Tim, \$d 1953-

---

When matching authority records are to be provided along with verification of bibliographic access points, this access point would now have a matching authority record. If the LAC file had not been checked, it would have appeared as an unrecognized access point. Some LAC records contain more, less, or different information than the Library of Congress records. If a match is made in the LC-NAF however, no further examination of the access point will take place.

This section must be completed.

### 5.3 Restricted matching criteria.

**Series treatment.** The 645 field in authority records defines Series Treatment Practice for individual institutions (such as LC). Subfield \$a of this field contains a code that indicates whether the series is traced as a series added entry, or not traced as a series added entry.

MARCIVE processing offers the option to follow the practice specified in the 645 tag (honoring the code in subfield \$a), or not to follow the practice by ignoring the code in the 645 \$a.

If the option to honor series treatment is chosen, the authority record 645 \$a is taken into consideration. If a bibliographic record contains an added entry series title (800-830) that matches an authority record but the 645 \$a in that authority record indicates the series should not be traced, it will be reported as Not Found. If there are two codes, one indicating to use it as a series added entry and the other indicating not to

## 5. Authorities processing

use it, the code to use it as a series added entry takes priority. The authority record will be provided for informational purposes to the library.

Some libraries may prefer that the series practice in their records be honored, meaning the added entry series title should be matched and the authority record provided, regardless of the instructions in the 645 \$a.

Example of honor series option. This will not be considered a match and will appear on the Unrecognized or invalid Terms Report (if requested).

830\_0 \$a African literature today (bib heading)

645 \$an \$5DLC (authority record n 90002915)

If the option to ignore series treatment practice is chosen, this will be considered a match. In both cases, the authority record will be provided.

**Standard matching.** The standard processing matches personal names to the current LC form wherever possible. Standard matching gives more weight to the \$d date subfield and uses \$c (Title and words associated with a name) primarily in special cases, such as \$c Mrs. If a personal name term without any dates matches one and only one record in the authorities file, and that authority record has dates, we add dates to the library's bib term. **This is the processing we will perform unless you choose restricted matching.** If you don't want restricted matching, you may skip this section.

**Restricted match on \$c.** As an alternative, you can choose to have subfield \$c participate more prominently in the match, where the existence of a \$c in the bibliographic record necessitates the same \$c in the matching name authority record. Matches will still occur between names when both do not have a \$c, and will never happen if the \$c in both are not the same. The reason why this alternative may be chosen is to prevent matches in which the only distinguishing information is in the \$c of unique names where one has a \$c and the matching name does not. For the most restrictive match, choose both \$c and \$d.

**Restricted match on \$d.** The library can opt for a tighter match by requiring that the \$d in the bibliographic term must be in the authority record. For the most restrictive match, choose both \$c and \$d. Restrictive matching will leave more unmatched access points.

## 5. Authorities processing

### Example:

**\$a Abrams, Nathan** is a unique authorized name. There is only one Nathan Abrams in the LC-NAF. If the bibliographic record has **\$a Abrams, Nation, \$d1972-** it will match with standard matching. However, a restricted match on \$d will prevent this match. If the bib record has **\$a Abrams, Nathan, \$c senior lecturer in films studies,** the restricted matching on \$c will prevent this match, but standard matching would allow it. In both of these examples, the match would be valid in both cases. For this reason, restricted matching may not be desired.

However, the bibliographic records could just as easily have dates and/or other qualifiers that point to another Nathan Abrams. Libraries with a high percentage of unqualified names for a unique collection may benefit from restricted matching.

**Disable VIAF auxiliary database to validate names.** Frequently several authors have the same name, but the bib record only has a subfield \$a. In these cases, an exact match is not automatically accepted without checking for additional confirmation. One of the resources used is the [Virtual International Authority File](#) (VIAF), which is made available under the [ODC Attribution License](#).

Although VIAF can facilitate a good match it does have some titles associated with the wrong author, so incorrect matches may occasionally occur. If you prefer, we can disable validation of names in the VIAF auxiliary database for your library.

### 5.4 Personal names terms: Special processing of fiction

The default is to use our standard processing of fiction. If you do **not** want special processing of fiction, you may **skip** this section.

When a main entry personal name matches an LC authorized term, MARCIVE will verify and upgrade the term, and supply the matching LC authority record. This is **standard** processing.

In **special** processing of fiction, we examine the fixed field of the bibliographic record. If the 008/33=1 ("Fiction"), we apply special rules to the processing of Main Entry Personal Name fields (MARC 100).

There is no additional cost for special processing of fiction using the MARCIVE criteria described above. The exception to this is if we need to force certain categories of

## 5. Authorities processing

materials to show as “fiction,” in which case we will provide a price once we have criteria and can see the whole database, or a representative sample.

When a bibliographic record is identified as representing a work of fiction, the “Special Processing of Fiction” option permits the library’s choice of name to be retained. Birth and death dates are added, where appropriate, and errors in capitalization corrected.

Incoming bib record:	Call #	Fiction MCCOY-J
	100 1_	\$a McCoy-Miller, Judith.
Matches authority:	100 1_	\$a Miller, Judith, \$d 1944-
Special handling:	100 1_	\$a McCoy-Miller, Judith, \$d 1944-

In standard authority control with matching authority records, the access point of *McCoy-Miller, Judith* would be changed to *Miller, Judith, \$d 1944-* and an authority record would be output. In special processing of fiction, the library will not receive this authority record. The match to the bibliographic access point is based on the 400 field, rather than 100 field, and is therefore suppressed.

Not output in special processing of fiction	Matches
\$a n 99055839	
100 \$a Miller, Judith, \$d 1944-	Name (personal)
400 \$a McCoy-Miller, Judith, \$d 1944-	

However, in the following example, the match to the bibliographic access point is based on the 100 field, rather than the 400 field, and is therefore verified and an authority record provided.

Incoming bib record:	Call #	Fiction TWAIN-M
	100 1_	\$a Twain, Mark, \$d 1835-1910
Matches authority:	100 1_	\$a Twain, Mark, \$d 1835-1910
	500 1_	\$w nnc \$a Clemens, Samuel Langhorne, \$d 1835-1910
Verified by MARCIVE as:	100 1_	\$a Twain, Mark, \$d 1835-1910

The following authority record is supplied, in both special processing of fiction and in standard authority control. If the work had been published under the name *Clemens*, rather than *Twain*, the Clemens authority record would have matched and that authority record supplied.

## 5. Authorities processing

Output in special processing of fiction	Matches
\$a n 79021164 \$a Twain, Mark, \$d 1835-1910 \$a Tven, Mark, \$d 1835-1910 \$w nnc \$a Clemens, Samuel Langhorne, \$d 1835-	Name (personal)

LC has distributed authority records for most pseudonyms, reducing the need for the “Special Processing of Fiction” option. However, if you feel your library needs this processing, please provide some examples of author names to your representative for review.

### 5.5 Subject terms to examine

Specify which 6XX access points should be examined. The default is to match these as coded. If you want access points matched other than as coded, please check “other” and describe your special matching criteria. The default for 6XX\_4 processing is to match to Library of Congress vocabularies. As with names you may specify if you want LAC used along with LCSH. This section must be completed.

**Library of Congress Subject access points (6XX\_0).** The standard processing is for LCSH processing to be performed based on content designation. If additional sources should be processed as LCSH, you must specify those here.

**Library of Congress Children’s subject access points (6XX\_1).** LC Children’s subject access points are also known as LC Headings for Children’s Literature and LC Annotated Card Program (ACP).

Access points that match in the LC Children’s file are examined and corrected if necessary.

Incoming bib record:	600	11	\$a Antoninus, Marcus , \$d 83?-30 B.C.
Changed by MARCIVE to:	600	11	\$a Antony, Mark, \$d 83 B.C.-30 B.C.
Incoming bib record:	650	_1	\$a Navel.
Changed by MARCIVE to:	650	_1	\$a Belly button.

## 5. Authorities processing

Many Children's terms are identical to LCSH, although without a "Juvenile" subdivision. The access point will be validated against ACP/LCSH, updated if necessary, and a matching authority record provided.

Typically, the LCSH term and Children's term would not be exact duplicates because the LCSH will have a subdivision of "Juvenile [literature.]" and the Children's term does not.

If the library does not maintain a separate Children's subject index, you can request all 6xx\_1 fields to be changed to 6XX\_0 in Section 4.7 of the profile.

### Medical access points (MeSH)

#### SIMPLE REPLACEMENTS

By far the largest number of corrections in topical MeSH subject headings are to be found in the replacement of an old term with one in more common usage or more accurate construction.

Incoming heading:	650 2	\$a Surgical Nursing \$x methods.
Corrected by MARCIVE to:	650 2	\$a Perioperative Nursing \$x methods.
Incoming heading:	650 2	\$a Immunology.
Corrected by MARCIVE to:	650 2	\$a Allergy and Immunology.
Incoming heading:	650 2	\$a Christmas Disease.
Corrected by MARCIVE to:	650 2	\$a Hemophilia B.
Incoming heading:	650 2	\$a Medical Assistance, Title 19.
Corrected by MARCIVE to:	650 2	\$a Medicaid.

#### INVERSIONS

In some cases the only difference between the obsolete heading and its current form is the difference between direct and indirect order.

Incoming heading:	650 2	\$a Anesthesia Adjuvants.
Corrected by MARCIVE to:	650 2	\$a Adjuvants, Anesthesia.

#### MULTIPLE SUBFIELDS

MARCIVE software examines the entire subject heading including subdivisions to find a match in the NLM file.

Incoming heading:	650 2	\$a Hand \$x abnormalities.
Corrected by MARCIVE to:	650 2	\$a Hand Deformities, Congenital.



## 5. Authorities processing

Incoming heading: 650 2 \$a Skin \$x physiology.  
Corrected by MARCIVE to: 650 2 \$a Skin Physiological Phenomena.  
Incoming heading: 650 2 \$a Cornea \$x transplantation  
\$x congresses.  
Corrected by MARCIVE to: 650 2 \$a Corneal Transplantation  
655 2 \$a Congresses.

**Canadian access points.** If you request we examine 6XX\_5 access points, you must specify whether we are to process them against just LC or whether we are to use both LAC and LCSH, and in which order of preference.

LAC Subject Headings is a list of subject terms in the English language, using controlled vocabulary, to access and express the subject content of documents on Canada and Canadian topics.

---

Incoming bib record:	650	_5	\$a Women authors, Canadian (English) \$y 20th century \$x Family relationships.
Verified by MARCIVE as:	650	_5	\$a Women authors, Canadian (English) \$y 20th century \$x Family relationships.

---

When the LC database is chosen as the first database to be examined, the access point will be retained or flipped according to LC practice if matched. In some cases, that may mean the language of the access point is changed, depending on how LC established the name.

First choice LCSH yields this result:

---

Incoming bib record:	610	20	\$a Quebec Federation of Labour \$x History.
Changed by MARCIVE to	610	20	\$a Fédération des travailleurs du Québec \$x History

---

If Canadian Subject Heading processing is chosen with LAC as the first database, the access point would not be changed but the indicator would be, to show that it was matched in the LAC database.

First choice LAC yields this result:

---

Incoming bib record:	610	20	\$a Quebec Federation of Labour \$x History.
Changed by MARCIVE to	610	25	\$a Quebec Federation of Labour \$x History.

---

## 5. Authorities processing

**Sears subject headings.** School libraries (and many publics) have used the Sears List of Subject Headings because they felt they were simpler than LCSH and more in line with the needs of young users. That sentiment is changing, in part because over 75% of the access points are the same as LCSH. These access points are coded as 650\_4 \$2 sears.

Example:

---

Incoming bib record:	650	_0	\$a Cows.
Changed by MARCIVE to:	650	_7	\$a Cattle. \$2 sears.

---

**Thesaurus for Graphic Materials (TGM).** Libraries with collections of ephemera and specialized graphic arts items may use the *Thesaurus for Graphic Materials* for access points. This is a tool for indexing visual materials by subject and by genre/format. These access points are identified by 650\_7 with a subfield \$2 lctgm and 655\_7 with a subfield \$2gmGPC.

Example:

---

Incoming bib record:	650	_7	\$a Buttons \$2 lctgm
Changed by MARCIVE to:	650	_7	\$a Buttons (Fasteners) \$2lctgm

---

### 5.6 Subject terms (6XX): divided terms.

Standard processing replaces an obsolete term with all authorized matches and this is the processing that will be performed unless you instruct us otherwise.

Some obsolete topical subject terms have been divided into two or more authorized forms. This usually happens when a relatively broad term is divided into several more specific terms, which subdivide the same subject area. For example, "Child study" was a formerly authorized LCSH term which has been replaced by the two more specific terms "Child development" and "Child psychology." When the MARCIVE authority control system encounters such a divided subject term, it is normally replaced by the current terms into which the variant term has been associated.

Alternatively, the library may elect to leave the divided subject terms unchanged. A report is available which shows all currently authorized forms of the term ("Multimatch").

## 5. Authorities processing

Terms which are variants in multiple authority records, but were not former authorized terms will not have authority records supplied. These terms will always appear on the “Multimatch Report.”

### 5.7 Genre term generation

Genre terms are used extensively by systems to identify items of the same genre/form and to distinguish different formats of an item that represent the same work. Not all systems can identify the form of an item by fixed field codes, and some records have incorrect codes or no codes at all. Additionally, not all systems index 6XX \$v (form subdivision) separately, so the ability to limit searches by these terms may make it beneficial to users to have these terms added as a separate 655 field.

With this option, the LDR, 007, 008, and 6XX\$v are used to generate 655 tags for maps, music, visual materials, continuing resources, and books.

Examples of genre/form terms generated:

Maps	655 7 \$aGlobes\$2lcgft
Music	655 7 \$aPiano scores\$2lcgft 655 7 \$aSound recordings\$2lcgft
Visual materials	655 7 \$aPictures\$2lcgft
Continuing resources	655 7 \$aIndexes\$2lcgft
Books	655 7 \$aBiographies\$2lcgft

The 6xx\$v term used to generate the 655 field can be retained in the 6XX field (option #1), or it can be removed from the 6XX field when it is used to generate a 655 tag (option #2). The newly generated 655 fields will contain only recognized lcgft genre terms. Any \$v that is not a recognized term will not be used to generate a 655 field and will remain in the original tag regardless of the option chosen.

#### **First option:**

Incoming:

000/06 of “e” and 008/25 of “e”

Generates:

655 \_7 \$aAtlases.\$2lcgft

## 5. Authorities processing

**OR**

Incoming:

007/00-01 of "ad"

Generates:

655 \_7 \$aAtlases.\$2lcgft

**OR**

651 \_0 \$aFrance\$vAtlases.

Generates:

655 \_7 \$aAtlases\$2lcgft

And retains \$v

651 \_0 \$aFrance\$vAtlases. (\$v Atlases is retained.)

**Second option:**

Incoming:

000/06 of "e" and 008/25 of "e"

Generates:

655 \_7 \$aAtlases.\$2lcgft

**OR**

Incoming:

007/00-01 of "ad"

Generates:

655 \_7 \$aAtlases.\$2lcgft

**OR**

651 \_0 \$aFrance\$vAtlases.

Generates:

655 \_7 \$aAtlases\$2lcgft

And removes 6XX\$v

651 \_0 \$aFrance. (\$v Atlases is removed.)

## 5. Authorities processing

If you do not want either of these options, you may skip this section.

### 5.8 Topical terms processing criteria.

Legacy data may require special processing criteria. Often older records have the genre/form term (describing what the item is) recorded in the 650 field (for what the item is about) instead of the 655 field, which is defined for genre/form. Libraries may request that any 650 field with no other alpha subfields be matched against genre authority records. If recognized, they will be retagged as 655. If this option is selected, the 650 fields will be matched to genre vocabularies (lcfgft and gsaafd) using the same criteria as is specified in Section 5.10, "Matching criteria for genre/form terms."

There are still some older records with the term "Negro" which need to be flipped. In most cases we can use data in the record to determine whether "African American" or "Black" is the appropriate replacement. However, in inconclusive cases we will use the term preferred by the library. You must choose one of the two options to resolve these terms.

### 5.9 Genre/form processing.

There are several sections that reference the processing of 655 fields: 5.1, 5, 7, 5.8 and 5.10, and it is important to examine each one carefully so that your specifications are not conflicting. Please feel free to contact us with any questions.

### 5.10 Genre/form terms to examine.

If you don't want genre processing, skip this section.

Wide assortments of vocabularies can be used in shared cataloging environments. It is possible that your catalog will benefit from forcing terms to a single thesaurus.

Alternatively, you may specify the genre vocabularies (based on source coding) to be examined and how they should be processed. A hierarchy for matching can be included, such as match specified fields first against LCGFT and if not found, then match against GSAFD.

When requesting 655 field processing you must specify whether to examine all 655 fields, or only select fields. If you only want certain genre vocabularies processed, specify by source code which 655 fields to examine. After you have specified which 655 fields to examine, you need to specify the matching priority/hierarchy to use.

## 5. Authorities processing

“Match genre terms as coded” means that the source code in the \$2 of the 655 tag will determine which thesaurus is used for matching. For example, all 655\_0 and 655\_7 \$2lcsh and 655\_7 \$2lcgft will be matched against the current file of Library of Congress Genre/Form Terms for Library and Archival Materials (LCGFT) and all 655\_2 and 655\_7 \$2mesh will be matched against the current National Library of Medicine Subject Headings authority file (MeSH). Please refer to the list of available thesauri in Section 5.10 of the Customer Specifications (profile) for vocabularies available for processing and used when “match genre terms as coded” is selected.

If “Match only to LCGFT” is selected, any specified 655 that is recognized will have the content designation changed to 655\_7\$2 lcgft. The unrecognized terms included in the matching process will remain as supplied by the library (655\_7\$2 lcgft or 655\_7\$2 rbmscv) and 655\_7\$2 lcsh will be replaced with 655\_0.

A hierarchy for matching may be specified. For example, examine all LC 655 terms (655\_0, 655\_7\$2 lcsh, 655\_7\$2 lcgft) and GSAFD (655\_7\$2 gsafd) and match first against LCGFT. When the 655 is recognized as LCGFT, it will be changed to LCGFT content designation. Then all the remaining GSAFD and LC 655 access points will be matched against GSAFD and if recognized, will be changed to GSAFD content designation.

You may also request to have subdivisions removed from 655 access points (655\_0, 655\_7\$2 lcsh, 655\_7\$2 lcgft, 655\_7\$2 gsafd) to follow LC practice. (See Section 4.8). Juvenile subdivisions may be retained if desired as a special request in Section 5.11.

Profiling for libraries wishing to use LCGFT as a first choice for genre terms and DO NOT wish to continue using GSAFD, DO want 650 genre terms retagged as 655/LCGFT, and DO want invalid subdivisions removed from 655 tags.

### **4.8 Global deletes**

Select “Remove invalid subdivisions from 655.”

### **5.8 Topical subject terms additional processing criteria**

Select “Move recognized genre terms found in 650 tag to 655.”

### **5.10 Genre/Form terms: matching criteria**

Select both LC coded terms and GSAFD coded terms.

Select “Match only to LCGFT.”

## 5. Authorities processing

Example of matching genre terms to LCGFT:

Incoming bib record	650	_0	\$a Animated films
Incoming bib record:	655	_7	\$a Animated films \$2 lcsh
Incoming bib record:	655	_7	\$a Animated films \$2 gsafd

All of the above will be matched to LCGFT and changed by MARCIVE to:

	<b>655</b>	<b>_7</b>	<b>\$a Animated films \$2 lcgft</b>
--	------------	-----------	-------------------------------------

Example of removal of invalid subdivisions from 655:

---

Incoming bib record:	655	_7	\$a Animated films \$z Canada \$2 lcgft
Changed by MARCIVE to:	655	_7	\$a Animated films \$2 lcgft
Mapped by MARCIVE to:	370		\$c Canada

---

Profiling for libraries wishing to use **GSAFD** as a first choice for genre terms.

### **5.10 Genre/Form Terms: matching criteria.**

Select both LC coded terms and GSAFD coded terms

Select "Match first to GSAFD, then LCGFT."

Example of using GSAFD as a first choice for genre terms:

---

Incoming bib record:	655	_0	\$a Crime stories.
Changed by MARCIVE to:	655	_7	\$a Mystery fiction \$2gsafd

---

### **5.11 Custom changes, including request for differences between backfile and ongoing processing.**

If your library has specific terms you would like globally changed or deleted, you should list them here if you have not done so in the Global Changes or Global deletes sections.

For simple changes write your request directly into 5.11. For more complex changes, please discuss with your marketing representative. We may ask you to send a Word document or email with the following information:

## 5. Authorities processing

1. MARC field(s) requiring change(s).
2. Subfield(s) involved in the required change. If unspecified, all subfields of the specified field will be affected.
3. The exact (including punctuation and spacing) bibliographic data to be found and changed or removed. If unspecified, then all specified fields are affected regardless of the data contained.
4. The exact bibliographic data (including capitalization, spacing and punctuation) which is to replace the above specified existing data, or the action to be taken when all specified elements are found (e.g., to remove the specified field and data).

We will probably also ask you for a fairly large sample of your database so that we can see the problems you describe. We will let you know if there are any additional costs, so you can decide if you want the processing.

## 6. Bibliographic and authority record output specifications : Record delivery

### 6.1 Changed bibliographic records.

We will send back all records processed unless you request that we return only those records which have been changed by the processing. With *Comprehensive Notification Service*, only changed bibliographic records will be distributed (along with new, changed, and deleted authority records). Note: If you ask for Record Enhancement Processing in Section 4.6 of the profile, the number of changed records may be higher immediately after a new enhancement has been added. Other profile changes can also affect the number of records changed.

### 6.2 Source of authority records to be delivered.

Indicate which authority vocabularies, used for processing, are to be supplied to the library. If you do not want any authority records output (default for ExLibris Alma libraries), be sure to check that box.

### 6.3 Usage distribution of authority records.

Matching authority records may be supplied all together in a single file regardless of the bib terms matched, or they may be divided into multiple files corresponding to the configuration of bib term indexes in your local library automation system. Please consult with your local system vendor to determine how matching authority records should be divided for most convenient loading into your local system. Note that NLM (MeSH) authority records are always supplied in a separate file and consist of individual descriptor and qualifier records as well as “descriptor-qualifier” combination



## 6. Bibliographic and authority record output specifications : Record delivery

records. For FAST authority records, you have the choice to have them output separately, or included with LC subject headings.

Record this request in Section 6.3.

**One file:** Authors, Titles, and Subjects and Genre together.

All: 100, 110, 111, 130, 240, 400, 410, 411, 440, 600, 610, 611, 630, 650, 651, 655, 700, 710, 711, 730, 800, 810, 811, and 830.

[MeSH: 6XX second indicator of 2.]

**Two files:** Authors and Titles in one; Subjects and Genre in a second file, plus a file of MeSH. The matching authority records should be divided into two (2) files (one for subjects except MeSH and one for names) according to the following distribution of bib terms which they match:

Subjects: 600, 610, 611, 630, 650, 651 and 655.

[MeSH: 6XX second indicator of 2.]

Names: 100, 110, 111, 130, 240, 400, 410, 411, 440, 700, 710, 711, 730, 800, 810, 811, and 830.

**Three files:** Authors in one; Titles in a second; Subjects and Genre in a third file, plus a file of MeSH. The matching authority records should be divided into three (3) files (subjects except MeSH, authors, and titles) according to the following distribution of bib terms which they match:

Subjects: 600, 610, 611, 630, 650, 651 and 655.

[MeSH: 6XX second indicator of 2.]

Authors: 100, 110, 111, 700, 710, 711.

Titles: 130, 240, 400, 410, 411, 440, 730, 800, 810, 811, and 830.

Genre records, by default, are part of the Subject Authority file. Libraries may request a separate authority file for genre records. First indicate how many

## 6. Bibliographic and authority record output specifications : Record delivery

standard files are to be output and then (if desired), choose Genre records separate from Subjects. Libraries have legitimately coded some LCSH topical terms as genre (655). We retain such terms in the library's bibliographic record. However, the file of matching authorities will not include the LCSH 150 authority record.

MeSH genre records are supplied with all other MeSH authority records.

Other: You have the option of creating a custom distribution based on the bib term field that they match.

### 6.4 Hierarchical authority records.

The default is for us to send you the fullest authority records that match terms in your database. If this is what is desired, you may skip this section.

LC has not created an authority record that contains all three components of the subject term, "Dogs—Diseases—Alaska." With standard processing, you will receive one authority record for the fullest form.

---

Incoming bib record:	650	_0	\$a Dogs \$x Diseases \$z Alaska
Matched to authority:	150	__	\$a Dogs \$x Diseases
Outputs authority record	150	__	\$a Dogs \$x Diseases

---

If you select "authority records for any level in the bibliographic record for which LC has created an authority record," you will receive the following two authority records:

---

Outputs authority record:	150	__	\$a Dogs \$x Diseases
	150	__	\$a Dogs

---

### 6.5 Non-Latin character sets.

We recommend that you keep the authority records complete and intact. Therefore, our standard processing is to retain MARC fields containing non-Latin character sets unless you indicate otherwise. If standard processing is what is desired, you may skip this section.

Library of Congress began in 2008 distributing a large number of records with non-Latin character sets. Some libraries have had problems with the display of these fields in their local systems. If your library has had such problems, we recommend that you first contact your system vendor to see if there are ways to retain the fields but

## 6. Bibliographic and authority record output specifications : Record delivery

suppress display, or other workarounds. This way, the authority record is left intact for correct future display.

If a local system solution is not available, we offer a profile option to remove authority record fields containing any non-Latin scripts prior to distribution to the library. This will affect a large number of authority records and you should consider the long-term ramifications before choosing this option.

It is possible to delete all fields containing non-Latin scripts, or to target specific non-Latin scripts.

To target specific ones, list on the profile under "Limit deletion to:" any of the following scripts:

- Hebrew
- Cyrillic
- Arabic
- Greek
- East Asian (EACC)

### 6.6 Character coding scheme (bibliographic records).

If your records were received by MARCIVE as MARC-8, you have the option to output to MARC-8 or UTF-8 (Unicode MARC). Whatever you select for your bib records will need to be selected for authority records. If you sent the records to us in UTF-8, you must select UTF-8 for the output.

Libraries with special requests about the character coding scheme in which the bibliographic records are output should indicate those requests here. A representative will contact you for further discussion.

### 6.7 Transport of records.

The method is FTP. Please provide the email address of the person or persons who should be notified when the files are ready for pickup. You will have 14 days to pick up the files.

## 6. Bibliographic and authority record output specifications : Record delivery

### 6.8 Backup CD-ROM.

A complimentary backup CD is sent to all customers sending us records via FTP for backfile processing. It will be shipped to the person listed as the primary contact (1.3) at the customer address (1.1) unless you give us an alternative address here. You will not receive a free backup if your files were sent to us on physical media.

### 6.9 Sizes of files output to the library

We prefer to receive your records in files of 50,000 and will return them to you the same way. Files of this size have proven to be more manageable throughout the FTP process, authorities processing and output. However, if you need to send or receive your data in different file sizes, please give us the details.

## 7. Reports

### 7.1 Control number for reports.

Specify which field, and subfield if appropriate, has the control number needed for the reports. This is not an OCLC number, but the unique one generated by the system.

### 7.2 Automatic reports of bibliographic activity as a result of authorities processing.

As a part of both backfile and *Overnight Authorities Service* processing, a suite of five reports is automatically supplied at no additional cost. When your bib file is received for backfile processing, this suite of reports will be provided as a part of the testing process. You can then notify the Director of Production if you do not want to receive certain reports as a part of the final project and/or for ongoing work. More optional reports are available, and are charged as listed on the quotation provided by your Marketing Representative.

#### Suite of authorities reports.

All reports are electronic.

- 1. Statistical Summary Report.** Provides the statistics for the processing, broken down by MARC tag.
- 2. Unrecognized or Invalid Terms Report.** Report showing all main access points, which did not appear in any form on the supplementary or master LC authority control files. Sometimes referred to as a “No-Match”, “Not Found” or “terms Left Unchanged” report. Arranged first by MARC field, then alphabetically by access point within that field. The MeSH report is created separately.
- 3. Multiple Matches or High Probability Matches Report.** Report showing the main terms, which matched multiple authorized terms in the supplementary or the master authority files, along with all possible choices for the authorized form. Space on this report is limited and some terms are truncated. Sometimes referred to as the “Multiple Authorized Forms” report.
- 4. Changed Authorized Terms Report.** Reports showing every field (before and after) that was changed by matching to an associated authority record. The report is further divided by types of changes made. The access points that are changed will be separated by tag type [X00, X100, X100, 650, 651, and 655) to enable easier reviewing.

## 7. Reports

- 5. Preprocessing Changes Report.** Report of database cleanup changes. Changes made are not the result of matching to an associated authority record.

Optional reports available at an additional cost:

**Unspecified CMC Fields Report.** This report shows the records for which the 336, 337, and 338 fields are undefined due to the lack of data in the record to properly create them. You may have other criteria for creating custom CMC fields which we can use at an additional cost. Please discuss this with your Marketing Representative.

**Authority Control Partial Match.** Electronic report shows terms, which were matched to an authority record but had additional subfield(s), which did not match. This report is output differently than the other reports in this section. Depending on your data, this may be an extensive report, so you should discuss this with your Marketing Representative before requesting this option.

More information on authorities processing reports can be found at [FAQ-AUTREPORT](#)

## 8. Notification Service Subscriptions and Overnight Authorities Service

### 8.1 Notification Service subscriptions.

#### *STANDARD NOTIFICATION SERVICE*

Once backfile authorities processing has been completed, we immediately begin checking for changes made to authority records distributed to the library.

This is an annual subscription with results delivered **monthly**. This is the only frequency for this subscription.

You receive an invoice once a year. You receive authority record file(s) once a month. If you also get a report, it comes once a month.

There are two subscription options-one with reports, and one without. Please choose just one.

**MARC authority records + optional electronic report of authority changes.** This is a good choice for the librarian who wants to have the authority records to make the changes automatically and the report so s/he can see what has changed. Special characters and diacritics may be retained, changed to a more standard character (e.g., ø becomes o), or omitted in the report only. All special characters and diacritics are correctly retained in the MARC authority records.

## 8. Notification Service Subscriptions and Overnight Authorities Service

**MARC authority records.** If you choose this option, you can skip questions 8.5 and 8.6 (questions about authority reports). You are going to receive changed authority records, but not a report of the changes.

### *Comprehensive Authorities Notification Service*

**Comprehensive Notification Service (CNS)** is a way to maintain the processed bibliographic records and associated authority records. As the library sends new cataloging to us for processing through *Overnight Authorities Service*, those records will also be retained with the initial file for future updates.

CNS is a desirable method of maintaining records if your library's ILS or library service platform does not have the function to update the corresponding bibliographic record with the corrected access point. Sometimes the system has the capability, but has difficulty converting the entire string in an access point. CNS keeps a copy of your bibliographic records and the authority record files provided by MARCIVE. The library chooses how often to update: Quarterly, Semi-annual or Annual. Pricing varies depending on the size of the bibliographic file, and how often you request the update. We ask you to list preferred dates for the bib updates.

This is an annual subscription with results delivered at the frequency of your choosing. You receive an invoice once a year. You receive authority and changed bibliographic record file(s) when we run the update at the frequency of your choice. If you request a Notification report, it accompanies the files. If you do not want any authority records, only check 8.3 in this section to ensure periodic reprocessing of bibliographic records only. The library will only receive matching authority records if they are requested in question 6.2.

### **What's included with the *Comprehensive Authorities Notification Service*?**

1. *Flip of access points to current authorized form.* This includes update of access points that were not recognized when we did the initial processing. This can mean that depending on the types of changes made (especially with new RDA options), the library may get a large file of changed bibliographic records returned.
2. *Inclusion of any NEW authority records on matched access points*
3. *Inclusion of any CHANGED authority records on access points that first matched during the initial processing, and any authority records deleted by LC.* It additionally includes differentiated authority records which were formerly undifferentiated.

## 8. Notification Service Subscriptions and Overnight Authorities Service

### 4. *Undifferentiated-Differentiated:*

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Incoming bib record:	100	_1	\$a Smith, John
Changed by MARCIVE to:	100	_1	\$a Smith, John Henry, \$d 1928-

---

In identified bib records, the access point will now match to a new authority record and the bib record will be changed. Note: several sources are used (e.g. 670 field, VIAF record, etc.) to verify a proper match.

### 5. *Partial matches that become full-string matches:*

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Incoming bib record:	100	10	\$a Colorado. \$ b Division of Water Resources. \$b Dam Safety Branch.
Previously only matched	100	10_	\$a Colorado. \$ b Division of Water Resources.
:			
Now changed to:	100	10	\$a Colorado. \$ b Division of Water Resources. \$b Dam Safety Branch.

### 6. *Fields that reflect changes in RDA*

---

Incoming bib record:	600	10	\$a Mozart, Johann Chrysostom Wolfgang Amadeus, \$d 1756-1791. \$t Works, \$m chorus. \$k Selections.
Becomes:	600	1_	\$a Mozart, Wolfgang Amadeus, \$d 1756-1791. \$t Choral music. \$k Selections.

---

## 8.2 Deleted authority records.

LC, LAC, and NLM occasionally find it necessary to remove particular authority records from their files (e.g., duplicate records, consolidation of terms). When this happens they supply the record to be removed marked as "deleted" (MARC leader byte 5 of "d", "s", or "x"). MARCIVE supplies these deleted authority records as part revised authority records, according to your profiled distribution of authority records. In other words, if you have asked for one file in question 6.3, you will receive one file with all new, revised, and deleted records.



## 8. Notification Service Subscriptions and Overnight Authorities Service

Alternatively, you can choose to have the authorities coded for deletion separated from the new and revised authority records, again according to 6.3. If you have asked for one file in 6.3 and deleted authorities separate in 8.2, you will receive two files, one containing the new and revised records, and a second containing the deleted records.

6.3 Distribution of authority records	One file	Two files	Three files
6.3 + 8.2 Deletions with New & Revised	1 combined file	2 combined files	3 combined files
6.3 + 8.2 Option: Deletions separate	1 new and revised + 1 deleted = 2 files	2 new and revised + 2 deleted = 4 files	3 new and revised + 3 deleted = 6 files

NOTE: This profile option is not related to deleting the last use of an authority record from your MARCIVE history file, so that future updates for the deleted records are suppressed. If you wish to learn more about sending deletes to your MARCIVE history file, please refer to the [Ongoing Authorities FAQ](#) or contact your authorities representative for instructions.

### 8.3 Missing Link.

The Missing Link option places an extra 4XX in updated authority records to facilitate matching. If the library is receiving MARC authority records, we offer an option to help with any situation in which the LC authority record lacks the old entry.

When the record is loaded in a library's local system, the local system will be better able to identify the obsolete bib term and update it without manual procedures. This option is only useful for *Standard Notification*. It should not be needed for *Comprehensive Notification* because MARCIVE provided the changed bib records.

## 8. Notification Service Subscriptions and Overnight Authorities Service

### 8.4 Delivery of new authorities resulting from *Overnight Authorities* processing.

This question is for libraries that send bibliographic records through *Overnight Authorities* and subscribe to either of the Notification Services.

**Category I – Immediate delivery of all new authority records.** By “new” authority records, we mean authority records which the library has not received from MARCIVE before. These records can be delivered as a result of the library sending new bib records through the *Overnight Authorities Service* processing. With category I, these authority records will be delivered when the authorities processing is completed. This is the only option for libraries subscribing to *Comprehensive Notification Service*. Libraries choosing *Standard Notification Service* may choose either Category I or Category II.

**Category II – Periodic delivery of all authority records.** With Category II, all authority records (new, changed, and deleted) will be delivered to the library monthly, as part of *Standard Authority Notification Service*.

With either Category I or Category II, you can send bibliographic records on any time frame desired: daily, monthly, quarterly, etc.—the frequency does not alter the unit cost of the service, and there is never a minimum order. Naturally, the more often you send records, the more in sync your catalog will be.

### 8.5 Notification Report: New or changed authorities reporting.

If library is getting a *report* in addition to MARC authority records, you will need to decide what you want to appear on the report. The answer is determined by how you are going to use this information.

Report all **new and changed** authorities. (This is the most popular option).

Report **only changed** authorities (no new).

Your decisions about the report do not affect what you will receive from the MARC authority record portion of the subscription.

## 8. Notification Service Subscriptions and Overnight Authorities Service

All Notification reports are in alphabetical order by 1XX. This report is split by new (either a new term supplied through *Overnight Authorities* or through *NewMatch*), changed, and deleted (if elected).

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

This report shows fields that have changed during authorities processing. Each section of changes, based on tag or type of change, starts with a label containing the phrase "begin here" which can be searched for to locate the next section. Each group of text first shows the control number and record number associated with the field.

The + denotes the incoming bibliographic field.

The - denotes the resulting bibliographic field.

#### Changed X00 fields begin here.

999470366802121, 37

+700 1 \$ajones, Thad,\$eperformer

-700 1 \$ajones, Thad,\$eperformer.

999470375402121, 38

+700 1 \$aPelham, Henry Francis.

-700 1 \$aPelham, H. F.\$q(Henry Francis),\$d1846-1907.

#### Changed 650 fields begin here.

999470026402121, 4

+650 0 \$aDesertion, Military\$xPersonal narratives.

-650 0 \$aDesertion, Military\$vPersonal narratives.

#### Changed 655 fields begin here.

9910411885502121, 1470

+655 7 \$aSuspense films.\$2lcgft

-655 7 \$aThrillers (Motion pictures)\$2lcgft

## 8. Notification Service Subscriptions and Overnight Authorities Service

999801542602121, 5069

+655 7 \$aDetective and mystery stories.\$2gsafd

-655 7 \$aMystery fiction.\$2gsafd

**If requested, split subjects will begin here.**

999473879102121, 388

+650 2 \$aRehabilitation\$xin adolescence.

-650 2 \$aRehabilitation.

-650 22 \$aAdolescence.

999477117202121, 709

+650 0 \$aPolymers and polymerization.

-650 0 \$aPolymers.

-650 0 \$aPolymerization.

The Notification Service reports can be very large. To provide a more manageable report, MARCIVE has divided the reports into **two lists**. You can choose one or the other. All Notification reports are in alphabetical order by 1XX field.

### ***Report changes to authorized terms only***

Reports added and deleted authority records plus those records involving a change to the text, diacritics, or interior punctuation of the 1XX fields only.

### ***Report all changes to authority records***

Those authority records involving any other change (for example, indicators in the 1XX or other field and any change to any field other than the 1XX).

This generally places changes affecting an existing or new bib term on the first list while relegating changes which do not involve bib terms to the second list. If you choose this second option, it will include both lists separated.

## Optional Services for Comprehensive Notification (CNS) Users Only

**Comprehensive Notification DB Reload.** Libraries that are unable to keep up with the sending of newly cataloged records through *Overnight Authorities*, or the maintenance of deleted bib records, may wish to request a Bib File Replacement. This means that the library will send us their bib file and we will use it to replace the one we have in-house. This file will then be used as input for the next CNS update. For that reason, it is best to send the bib file replacement right before the next update. At that time, the records will be processed as usual. This is an on-demand service not included in the CNS subscription. It is charged at a flat rate, plus “overage”—the number of bib records counted over the number of the initial backfile project, or last bib file replacement.

**Comprehensive Notification Authority & Bib File Replacement.** Libraries that have not been able to keep up with both bib and authority record adds and deletes may choose to do an Authority & Bib File Replacement. Another reason may be that the library decides to make major profile changes such as (but not limited to): enrichment such as Tables of Contents, changes in how genre access points are handled, addition of or changes to RDA conversion specifications, and distribution of authority records, etc. This can only be done after the library renews the *Comprehensive Notification Service* subscription, and should be submitted shortly before the first update. This is also an on-demand service and is not included in the cost of the CNS subscription. The library sends the entire bib file and we re-process it. The bib files are output to the library with the associated reports, and these become the new base file for future processing. Additionally, a brand new file of matching authority records is output, and also replaces the file in-house for future processing. This option is charged at a flat rate, plus “overage”.

Unlike **Comprehensive Notification DB Reload** described above, this replacement does count as a CNS update. So if a library has subscribed to CNS with quarterly updates, this process counts as the first update, and there are only three more left in the subscription term. There is only one Comprehensive Authority & Bib File Replacement allowed per year.

Please contact a Marketing Representative for pricing and more information.

## 9. Additional services to include with authorities processing

### MARC Record Enrichment Service

#### 9.1 Add Bowker/Syndetic Solutions data.

During your authority control project, we can upgrade your database further with information from our database of Table of Contents (TOC), Fiction and Biography, and Summary data. This adds greater discoverability to your catalog.

Data will be inserted into a MARC field as specified on the profile.

<b>TOC</b>	MARC 505 or 970
<b>Fiction/Biography</b>	You choose the MARC fields that will be indexed.
<b>Summaries</b>	MARC 520
<b>Author notes</b>	You choose the MARC field.

If you were not already provided with a quotation, please ask your Marketing Representative to provide an updated quote. We will need a completed [MARC Record Enrichment Profile: Customer Specifications](#): because some of the MRES profile decisions affect the cost. For help in completing the MRES profile, please see the [MARC Record Enrichment Profile: Guide](#).

This is not a subscription. The data are actually inserted into your MARC record to help with retrieval, as well as relevance determination. You own the data.

The addition of Bowker/Syndetics Solutions enrichment does not impact the timeline for project completion. It will however, affect the total cost of the project.

#### 9.2 Add Reading Notes

At the same time as backfile and/or ongoing authorities processing, we can add one or both of the Reading Notes (Lexile®, Accelerated Reader) data to your bibliographic records, helping you to link users with appropriate reading material. For examples of how this data can be formatted in your bibliographic records, see the [Reading Notes literature](#). We charge only a \$26 set-up fee, which covers both backfile and ongoing work.

**Add Reading Note Report.** You can get an optional electronic list of the titles to which we have added Accelerated Reader or Lexile data for a one-time cost of \$35 per enrichment type.