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BACKFILE AUTHORITIES/RDA CONVERSION FAQ

1. What are the steps in an authorities processing backfile project?

1.1. The library determines the specifications desired. MARCIVE will help the library select profile options which will produce the desired results from pre-processing, authorities processing, and any other optional services that will be combined with the authority project.

1.1.1. Mapping of fields to a new system's specifications, especially if RDA Conversion is performed.

1.1.2. Brief Record Upgrade to overlay extremely brief records with full MARC records.

1.1.3. Deduplication needed for a merged catalog

1.1.4. Creation of item fields for a shared catalog or need barcode production.

1.1.5. MARC Record Enrichment Service

1.2. The library submits the profile(s) and a purchase order.

1.3. The library outputs its entire bibliographic database, or the subset which is going to be processed. Usually the records are placed on the MARCIVE server via FTP. Instructions will be provided.

1.4. MARCIVE loads the records, paying close attention to the profile specifications that the library supplied. The library and MARCIVE make sure all necessary parameters are defined.

1.5 MARCIVE will provide the library with a test approximately two or three days after the records are sent. The sample is usually every 100th record and processed with the library's specifications. If RDA Conversion is elected, or enrichment such as TOC or Reading Notes, this will also be a part of the test. The library contact receives an email message stating that the test results have been posted to our server for FTP retrieval. Attached to the email message is an approval form.

1.6 The library loads the sample file (both bibliographic and authority records) into a test region of their automated system. They verify that the records load, overlay, index, and display as expected. Adjustments may need to be made to the system load tables or other system parameters or to the profile selections. Once all details are worked out, the library must approve the test in writing. If many changes are requested, a new test will be required.

1.7 MARCIVE will process and output the products as specified. Processing of the entire file is accomplished very quickly, with the actual length of time depending on the library's specifications and its place in the queue; standard projects are usually completed 1-2 days after approval. More complex projects may take a little longer.

1.7.1. Obsolete MARC tags and indicators are brought up to current practice.

1.7.2. If requested, changes are made to conform to RDA specifications.

1.7.3. Custom changes are made, such as converting relator codes to relator terms.

1.7.4. Authorized access points are matched against the appropriate authorities files.

1.7.5. The bibliographic and authority records are output for the library to retrieve via FTP.

1.8 The library retrieves the bibliographic and authority records and loads them in their system. The library ideally should delete the existing authority file and load the new authority file in its place, but this is a system-specific decision. Bibliographic records are usually loaded by overlaying the existing bibliographic records. The local system creates indexes from the new authority records and bibliographic access points.

2. How many records should I put in my sample file?

Please send your entire database for processing. MARCIVE creates the sample data file for the library. Once we have received your entire database, we load the entire file and select a random set of bibliographic records for the test file. Normally, every 100th record is selected for the sample. We will set up specifications according to the profile options selected by your library. The sample records will be re-processed as a part of the entire file once the library approves the test.

3. How long does it take MARCIVE to generate the sample file?

Creation of the sample data file normally takes one or two days, depending on the current work load at MARCIVE and the library's specifications.

4. Do I need to load the sample file in a test environment?

Since each automation environment is different, this is a question that is best answered by your system representative. Usually, data should be loaded in a test environment just as it would be in your live database. You need to test the overlay and indexing process with the sample bib and authority records that will be provided. It is imperative that these records be loaded into the library system, and not just into a MARC editor, as this method will not demonstrate how the records will behave in the automated system.

5. What should I look for in the sample file?

You should view the sample file as an opportunity to test how the profile specifications, your data, and your local system will interact. Load the bibliographic records and authority records as you will your actual project, and look at them. If RDA conversion is part of your processing, look at the new RDA fields, especially the 264 and the 3XX (CMC) fields. Check

the indexes that were built. Examine any reports that were sent. Examine any reports generated by your system when the records were loaded.

REVIEWING SPECIFICATIONS TEST RESULTS: TIPS

1. Load the authorities and bibliographic files into a test region of your local system, not only into MarcEdit.
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 Changed Authorized Fields Report to see access points before and after processing. Review any other reports selected.
11. Ask questions!

Please feel free to ask any questions. Once you are ready to proceed, sign the Production Sample Approval Form and return it so that processing can proceed.

6. How long does it take to complete the database once I approve the sample file?

Once we receive your required written approval of the sample, normal turnaround time is approximately 1-2 days depending on current work load.

7. Can I make changes to my database while the database is at MARCIVE for processing?

No. The library should not make changes to the *bibliographic* content of the database or delete bibliographic records once the database has been sent to MARCIVE for processing, as these changes will be lost once you load the processed bib records.

You may catalog new materials. Be sure to keep track of the date. You may add or modify holdings (but be careful not to do anything that would modify the bib record).

You may use this time to write your procedures for loading Notification Service files and develop an internal schedule for sending newly created bib records for upgrade through Overnight Authorities.

Important: Instruct your staff to stop modifying and deleting bib records until the conclusion of the project.

8. Which should I load first, the bibliographic records or the authority records?

The sequence of loading bibliographic and authority records is determined by the local system.

Therefore, we suggest that you contact your local system's vendor to determine which sequence should be followed for your library.

9. Should I overlay the authority records, or delete the current authority file?

In general the best results will be obtained when you start with a clean slate and delete your existing authority file. If you try to overlay your existing authority records with the new authority records from MARCIVE, the result may be duplicate authority records existing side by side in the file.

However, every library is different and we encourage you to discuss your circumstances with your MARCIVE representative and local system's representative to develop the best solution for your situation.

10. How can I preserve local authority records?

If you have local authority records (for local authors and places, for example), we hope that you have some way of identifying them so that they can be exported before you delete your old authority file.

Then when you load the new authority file from MARCIVE, you can reload these local authority records.

11. What do I do about the records that are added after the database has been sent for processing?

These bibliographic records can be sent as the first update through *Overnight Authorities* processing.

13. Do we need to exclude our on-order/temporary records?

Yes, you will want to exclude all temporary records which would not benefit from authority processing. If you do not exclude these they will be counted in the processing and billing.

14. What will happen to the library's holdings data during authorities processing?

It is best to exclude holdings data (i.e. tags 945, 852 etc.) when submitting bibliographic records for authorities processing projects. This data is not needed for the processing, and reduces the size of your files which is beneficial in transferring and processing the files. When you load the processed records they will overlay existing bib records and the holdings data will remain.