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# AUTHORITY CONTROL PROFILE

## Part I: Customer Specifications

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

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

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

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

**To initiate service:**

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

### Customer Authorization

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

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

Date of last quote: \_\_\_\_\_ Date of authorization: \_\_\_\_\_  
 (Date supplied by MARCIVE representative) (Date you signed this profile)

Authorized signature: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Institution: \_\_\_\_\_

## 1. Customer information

### 1.1 Customer address

Institution name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

City \_\_\_\_\_

State/Province \_\_\_\_\_

Zip/Postal Code \_\_\_\_\_

### 1.2 Billing address. Leave blank if same as above (in 1.1).

Attention \_\_\_\_\_

Paperless invoice. Email address to send to:  
\_\_\_\_\_

Institution name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

City \_\_\_\_\_

State/Province \_\_\_\_\_

Zip/Postal Code \_\_\_\_\_

### 1.3 Contact names

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

**Primary contact** \_\_\_\_\_

Title \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_

FAX \_\_\_\_\_

**File preparation contact** \_\_\_\_\_

Title \_\_\_\_\_

Email \_\_\_\_\_

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

Name \_\_\_\_\_

Email \_\_\_\_\_

Name \_\_\_\_\_

Email \_\_\_\_\_

Name \_\_\_\_\_

Email \_\_\_\_\_

### 1.5 Additional information

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

## 2. Authority services requested. Mark all that apply.

**Backfile authority control**  
(for existing bibliographic records)

Number of bibliographic records in project:  
\_\_\_\_\_

Date you will make the records available to us:  
\_\_\_\_\_

Date you expect the project to be completed:  
\_\_\_\_\_

Include RDA Conversion Service (**no extra cost**)

Special requests: \_\_\_\_\_

Deduplication of bibliographic records. (extra cost)  
\_\_\_\_\_

Estimated number of bibliographic records you will  
send per year: \_\_\_\_\_

Changed bibliographic records only returned

Include RDA Conversion Service. (no extra cost)

Special requests: \_\_\_\_\_

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

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

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

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

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

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

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

## 2. Authority services requested. Mark all that apply.

**NewMatch** (find new authorities for previously unmatched access points)

Free with Standard Notification Service.

Without Notification Service. (additional annual cost)  
(Not needed with Comprehensive Notification Service)

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

Update bibliographic and authorities records **yearly**

Update bibliographic and authorities records **semiannually**

Update bibliographic and authorities records **quarterly**

## 3. Source and format of bibliographic data.

### 3.1 Source(s) of bib records

Extracted from (system): \_\_\_\_\_

Loading to (system): \_\_\_\_\_

### 3.2 Control number

MARC field in the bibliographic records you send us which contains the control number that you will use to overwrite database records:

MARC 001 field.

Other: MARC field: \_\_\_\_\_ Subfield code: \_\_\_\_\_

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

FTP

CD or DVD

Other

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

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

Tab delimited file.

XML.

Other. Please describe:

## 4. Bibliographic data update

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

### 4.1 Update obsolete MARC content designation

- Update obsolete MARC content designation and coding to current standard. Check all that apply. (recommendation is all)
- Leader and Fixed Field coding.
- Variable Fields and Subfields.
- Geographic/Country Codes.
- Language Codes.

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

- Normalize LCCN (010 field).
- Normalize ISBN (020 field).
- Normalize ISSN (022 field).
- Supply missing 040 (\$a, \$b, \$c) data. **(Please provide organizational code below)**

Library organizational code (from [MARC Code List for Organizations](#) : \_\_\_\_\_ or supply OCLC membership code (<http://www.oclc.org/contacts/libraries.en.html>) : \_\_\_\_\_)

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

- Correct filing indicators:
  - In all standard title fields. **OR**
  - In 245 title field only.
- Remove the initial article and zero the filing indicator:
  - In 240 title field.
  - In 830 title field.
- Remove the word "The" from the beginning of the subfield \$t in the following authorized fields: 600, 610, 611, 630, 700, 710, 711, 730, 800, 810, 811, and 830.
- Remove the word "The" from the beginning of the \$t subfields in the 505 field.

## 4. Bibliographic data update

### 4.4 GMD standardization creation and removal

- Standardize GMD terms:
    - Use AACR2 list.
    - Use popular usage list. (AACR2 Extended)
  - Move 245\$h:
    - To 500 tag
    - To another field (specify) : \_\_\_\_\_
  - Delete 245\$h.
- 

### 4.5 Relator terms processing

- Standardize relator terms. (force recognized term to standard term)
  - Use MARC Code List for Relators when there is a conflict with RDA Relationship Designators.
  - Use RDA Relationship Designators when there is a conflict with MARC Code List for Relators.
- Convert the subfield \$4 (relator code) to subfield \$e and \$j (relator term).
  - For any \$4 relator code that was not converted, *delete* the subfield and its contents.
- Convert the subfield \$e and \$j (relator term) to subfield \$4. (relator code)
  - For any \$e or \$j relator term that was not converted, *delete* the subfield and its contents.

## 4. Bibliographic data update

### 4.6 Record enhancement and RDA conversion options

(Choose all that apply)

- Add 040 \$e rda to all records, although hybrid. (See "[GUIDE](#)")
  - Title statement.
  - Edition statement.
  - Publication, distribution, etc. (imprint)
  - Physical description.
  - Authorized access points.
  - Generate CMC fields:
    - Use standard list.
    - Use library specific criteria (additional cost).
  - Generate 34X fields (see guide for list of fields).
    - Remove \$0 from all 34X fields.
- 

### 4.7 Global changes

(Choose all that apply)

- Force all 490(0) terms to 490(1)/830 tags prior to authorities processing.
- Permanently change local subjects (69X fields) to 6XX \_0 before beginning processing.

Force 6XX content designation/source codes:

- Force 6XX, 2<sup>nd</sup> indicator "1" (ACP) to "0" (LCSH) and add "Juvenile" to \$v.
- Force Sears (\$2sears) to LCSH. (2<sup>nd</sup> indicator "0")
- Force 6XX, 2<sup>nd</sup> indicator "0" (LCSH) to "1" (ACP) and remove "Juvenile" from \$v.
- Force Sears (\$2sears) to ACP. (2<sup>nd</sup> indicator "1")
- Other. Please describe.

## 4. Bibliographic data update

### 4.8 Global deletes

(Check all that apply)

- Delete obsolete subfield \$w.
- Delete NASA access points. [with subfield "\$2nasat"]
- Delete FAST access points. [with subfield "\$2fast"]
- Delete MeSH access points. [with subfield "\$2mesh" or second indicator "2"]
- Delete BISAC access points. [with subfield "\$2bisac"]
- Delete all invalid subdivisions from genre terms (655) that do not map to other appropriate fields.
- Delete local subjects. (69X tags)
- Other global deletes. Please provide field(s) and subfield(s) to be deleted: \_\_\_\_\_

### 4.9 Outgoing bibliographic record processing options

(Check all that apply)

- Add subfield \$0 to bib records for matched terms:
  - Provide control number in subfield \$0
  - OR**
  - Provide URI in subfield \$0
- Add FAST access points from LC access points where the LC access point has been validated, flipped, or split, and the link between the LC term and the FAST term has been established and verified.

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

- Full sort (based on all numeric digits) See "[GUIDE](#)"

### 4.10 MARCIVE processing stamp

- Add MARCIVE processing stamp:

Field and subfield for processing stamp. \_\_\_\_\_

Text to be inserted in processing stamp. \_\_\_\_\_



## 5. Authority processing

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

### 5.1 Fields to be examined and upgraded

- Process all standard fields, with exceptions as noted in this section. (100, 110, 111, 130, 240, 600, 610, 611, 630, 650, 651, 655, 700, 710, 711, 730, 800, 810, 811, and 830)
- Examine untraced series (490 0\_)
- Do not process the following fields: \_\_\_\_\_  
\_\_\_\_\_

### 5.2 Name terms: databases to search

- Search only Library of Congress Name Authority File for name access points.
- Include Library and Archives Canada Name Authority File for name access points. Choose one option below.
  - Search LC-NAF first, then LAC
  - Search LAC first, then LC-NAF
  - Custom search criteria: \_\_\_\_\_

### 5.3 Restricted matching criteria

Restricted matching. Choose any combination of these options.

- Series treatment. Follow 645 \$a.
- \$c. Match bibliographic personal name terms to authority record only if the \$c (Title and words associated with a name) in the bib record also exists in the authority record.
- \$d. Match bibliographic personal name terms to authority record only if the \$d (Dates Associated with a Name) are in the bib record and in the authority record. The exception is when a 670 (Source Data Found) or a 672 (Title Related to the Entity) overrides this exclusion.
- Disable VIAF auxiliary database to validate names.

## 5. Authority processing

### 5.4 Personal names terms Special processing of fiction

- Special processing of fiction.
  - MARCIVE criteria
  - Library custom criteria to force certain categories to show as fiction. Possible additional cost.

Criteria: \_\_\_\_\_

\_\_\_\_\_

### 5.5 Subject terms to examine

(Check as many as apply)

- Process LC subject terms. (6XX\_0)
- Process LC Children's terms points. (6XX\_1)
- Process MeSH subject terms. (6XX\_2)
- Process unspecified subject terms. (6XX\_4)
- Process Sears subject terms. (6XX\_7 \$2sears)
- Process TGM subject terms. (6XX\_7 \$2lctgm)
- Process FAST subject terms. (6XX\_7 \$2fast)
- Process AAT subject terms. (6XX\_7 \$2aat)\*  
\*No matching authority records are output for AAT terms.

- Process Canadian subject terms. (6XX\_5)
  - Search LAC first, then LC
  - Search LC first, then LAC
  - Custom search criteria for Canadian subject terms

Other. Please describe: \_\_\_\_\_

## 5. Authority processing

### 5.6 Subject terms (6XX): divided access points

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

- Leave split subject terms unchanged.

### 5.7 Genre term generation

- Create 655 genre terms using fixed fields and 6XX \$v and **retain** 6XX\$v
- Create 655 genre terms using fixed fields and 6XX \$v and **remove** 6XX\$v

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### 5.8 Topical terms processing criteria

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

### CHOOSE ONE

- Resolve "Negro" with "African American" when inconclusive.
- Resolve "Negro" with "Black" when inconclusive.

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### 5.9 Genre/form processing

Sections 5.1, 5.7, 5.8, and 5.10 all reference 655 processing. Please refer to the [GUIDE](#) or your MARCIVE representative should you have any questions.

## 5. Authority processing

### 5.10 Genre/form terms to examine

### Matching criteria for Genre/form terms

- Process all 655 fields
- Process only specified 655 fields (mark all that apply):
  - LC coded terms (655\_0, 655\_7 \$2lcsh or \$2lcgft)
  - GSAFD coded terms (655\_7 \$2gsafd)
  - MeSH coded terms (655\_2, 655\_7 \$2mesh)
  - FAST coded terms (655\_7 \$2fast)
  - Sears coded terms (655\_7 \$2sears)
  - TGM coded terms (655\_7 \$2lctgm or 655\_7 \$2gmgpc)
  - RBMS coded terms (655\_7 \$2rbgenr or \$2rbbin or \$2rbpap or \$2rbprin or \$2rbpub or \$2prov or \$rbtyp)\*
  - AAT coded terms (655\_7 \$2aat)\*

\*No matching authority records are output for either RBMS or AAT terms.

Other source codes. Please describe: \_\_\_\_\_

Match genre terms as coded.

**OR**

Match as specified. Choose only one option:

Match only to LCGFT

Match first to LCGFT, then GSAFD.

Match first to GSAFD, then LCGFT.

Other match criteria. Please describe:  
\_\_\_\_\_

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

## 5. Authority processing

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

Some custom changes are necessary. \_\_\_\_\_

Provide additional documentation if needed.

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

### 6.1 Changed bibliographic records

Send back only changed records. Note: with various chosen options, nearly all records will be changed in **backfile processing**. Examples: 4.6, 4.9, 5.7. If you have chosen any of these options, do not request changed records only.

However, you may request the “changed records only option” for ongoing processing.

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

### 6.2 Source of authority records to be delivered

(Check all that apply.)

- Library of Congress adult files (Name/Subject/Genre)
  - Library of Congress Children's file
  - Medical Subject Headings (MeSH) file
  - GSAFD (Guidelines on Subject Access to Individual Works of Fiction, Drama, Etc.) file
  - Sears file
  - Thesaurus of Graphic Materials (TGM) file
  - Faceted Application of Subject Terminology (FAST) file
  - Library and Archives Canada files (Name/Subject)
  - Do not output authority records from any source.
- 

### 6.3 Usage/distribution split of authority records

(Check one)

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

- All types (subjects, genre, names, and titles) together.
  - Subjects and genre together; names and titles together.
  - Subjects, names, and titles together; genre separate.
  - Subjects and genre together; names separate, titles separate.
  - Subjects separate, genre separate; names and titles together.
  - All types (subjects, genre, names, and titles) separate.
  - Other: \_\_\_\_\_
- 

### 6.4 Hierarchical authority records

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

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

### 6.5 Non-Latin character sets

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

Limit deletion to: \_\_\_\_\_

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### 6.6 Character coding scheme

(Same for bibliographic and authority records)

- MARC-8. (standard MARC)
- UTF-8 (Unicode MARC) :
- Single double-wide characters. (default for UTF-8)
  - Double double-wide characters.

- Other. Please describe: \_\_\_\_\_
- 

### 6.7 Transport of records

(Chose one)

- FTP (File Transfer Protocol)

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

\_\_\_\_\_  
\_\_\_\_\_

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### 6.8 Backup of files on CD- ROM BACKFILE PROJECT ONLY

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

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

- (Alternative) Provide backup on DVD.

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

\_\_\_\_\_  
\_\_\_\_\_

- Do not provide a backup CD.
- 

### 6.9 Size of files output to library

**BACKFILE PROJECT ONLY**

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

- Output bib or authority records in files of maximum \_\_\_\_\_ records. (See [GUIDE](#))

## 7. Reports

### 7.1 Control number for reports

- Use control number from MARC 001 field.
  - Use control number stored in other MARC field.  
MARC field: \_\_\_\_\_ Subfield code: \_\_\_\_\_
- 

### 7.2 Automatic reports

- Standard suite of reports of *bibliographic* activity as a result of authorities processing. Includes the reports below.
    - Statistical Summary Report
    - Unrecognized or Invalid Terms Report
    - Multiple Matches or High Probability Matches Report
    - Changed Authorized Terms Report
    - Preprocessing Changes Report
- 

### 7.3 Optional reports

- Unspecified CMC Fields Report. (additional charge)
- Partial Matches Report. (additional charge)

## 8. Notification Service Subscriptions and Overnight Authorities Service

### 8.1 Notification Services

We offer two types of ongoing authorities maintenance subscriptions, and you were given the selections in **Section 2**. There are additional options such as reports associated with the subscriptions below.

#### Standard Notification Service Subscription

- optional electronic report of *authority* activity. **ADDITIONAL COST**. Complete Sections 8.5 and 8.6, below.

#### Comprehensive Notification Service Subscription (CNS)

- optional electronic report of *authority* activity. **ADDITIONAL COST**. Complete Sections 8.5 and 8.6, below.
- Suggested Dates to receive updated files:**
-



## 8. Notification Service Subscriptions and Overnight Authorities Service

### 8.2 Deleted authorities

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

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

### 8.3 Missing Link

(available only for Standard  
Notification)

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

### 8.4 Delivery of new authority records resulting from Overnight Authorities processing.

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

### 8.5 Notification Report: New or changed authority records reporting

- Report all new and changed authority records.
  - Report only changed authority records (no new).
- 

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

- Report changes to **authorized terms only**.
- Report **all** changes to authority records. See [GUIDE](#) for description of changes.

## 9. Additional services to include with authorities processing

### MARC Record Enrichment Service

#### 9.1 Add Syndetic Solutions data to record

(Additional cost)

- Table of Contents (TOC)
- Fiction/Biography
- Summaries

If any of these are checked, we request that you also complete a [MARC Record Enrichment Profile](#).

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#### 9.2 Add Reading Notes.

Only \$26 profile fee and no other record costs.

- Accelerated Reader
- Lexile® Framework for Reading
- Reading Notes Report. (See [GUIDE](#))