MARCIVE® INC.

AUTHORITY CONTROL PROFILE
Part 1: Customer Specifications

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

Part 1 (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
> **Notification Service** ....ongoing authority file maintenance
> **NewMatch** ....finding new authorities for previously unmatched access points
> **RDACS** ....Resource & Description Access Conversion Service

Part 2 is a Guide that contains information about each option.

To initiate service:

1. Complete Part 1: Customer Specifications, pages 1-12. Please check just one option for each, unless we have indicated that multiple answers are appropriate. Default answers have been bolded; they do not necessarily reflect choices for your library. You may either fill this out directly in the Word 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 $35. 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 30 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.

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

Authorized signature:	
Name:	Title:
Institution:	

MARCIVE® INC.

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	
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

Customer Authorization

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) ☐ Local authority practice (may entail extra cost) Additional requests: _____
☐ **Overnight Authorities** (authority control for new bibliographic records)	Estimated number of bibliographic records you will send per year: _____ ☐ Use same specifications for backfile and ongoing ☐ Include RDA Conversion Service (no extra cost) Special requests: ☐ History file creation (extra cost) ☐ Local authority practice (may entail extra cost) Additional requests: _____
☐ **Notification Service** (ongoing authority file maintenance)	☐ **Use authority file resulting from backfile processing as a base.** ☐ Use special history file creation as a base. ☐ Library subscribes to MARCIVE GPO services or Documents Without Shelves. Add results of processing GPO records to Notification Service (no extra cost). ID code for GPO services: _____
☐ **NewMatch** (find new authorities for previously unmatched access points)	☐ Free with Notification Service ☐ $330 annually without Notification Service
RDACS (Resource Description and Access Conversion Service)	RDA Conversion Service processing is available with backfile authority control and Overnight Authorities, at no extra cost. Please check appropriate box(es) above.

3. Source and format of bibliographic data

Description of bib records submitted for backfile and ongoing authority control.	
3.1 Source(s) of bib records	_____
3.2 Control number	MARC field in the records you send us which contains the control number that you will use to overwrite database records:

3. Source and format of bibliographic data

3.3	How will your records be sent to MARCIVE?	☐ **FTP** (preferred for backfile, required for ongoing) ☐ Other. Please describe: _____
3.4	In what character coding scheme will the records be sent to MARCIVE?	☐ MARC-8 (standard MARC) ☐ UTF-8 (Unicode MARC) ☐ Other. Please describe: _____

4. Database update

Specifications for backfile and ongoing authority control. No extra cost.

4.1	Update obsolete MARC content designation	☐ **Update obsolete MARC content designation to current standard.** ☐ Do not change MARC fields and subfields except as part of authority control.
4.2	Normalize numeric field format	☐ **Do not examine the 010, 020, or 022 fields.** ☐ Normalize LCCN (010 field). ☐ Normalize ISBN (020 field). ☐ Normalize ISSN (022 field).
4.3	Process initial articles and filing indicators	☐ **Correct filing indicator in all standard title fields.** ☐ Correct filing indicator in 245 title only. ☐ Do not examine filing indicators.
4.4	Remove initial article in 240 fields	☐ **Remove the initial article and zero the filing indicator in 240 title.** ☐ Preserve initial article in 240.
4.5	Remove initial article in 830 fields	☐ **Remove the initial article and zero the filing indicator in 830 title.** ☐ Preserve initial article in 830.
4.6	Remove the word "The " from the beginning of certain $t subfields. Please mark all that apply.	☐ **Remove the word "The " from the beginning of the subfield $t in the following fields: 400, 410, 411, 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. ☐ Do not remove the word "The ".
4.7	Normalize brackets in $h (GMD terms)	☐ **Normalize brackets in 245 $h (GMD terms)** ☐ Delete any brackets in $h. ☐ Do not examine title $h subfield for brackets. To update the GMD terms themselves, you need to have checked 4.1 "Update obsolete MARC content designation."

4. Database update

4.8	Remove subfield $w	☐ **Remove obsolete subfield $w in selected fields.**
		☐ Do not remove subfield $w.
4.9	Process relator subfields. Please mark all that apply.	☐ **Do not process relator subfields.**
		☐ Convert the subfield $4 (relator code) to subfield $e and $j (relator term).
		☐ Convert the subfield $e and $j (relator term) to subfield $4 (relator code).
		If you choose either of the "Convert" options, please indicate how any unmatched terms should be handled.
		☐ For any term that cannot be converted, *delete* the subfield and its contents.
		☐ For any term that cannot be converted, *retain* the subfield and its contents.
		Special requests: _____
4.10	Custom changes, including requests for differences between backfile and ongoing processing	☐ **No custom changes are necessary.**
		☐ Some custom changes are necessary. _____
		For instructions, please see the guide.

5. Authority control

Specifications for backfile and ongoing authority control. No extra cost.

5.1	Fields to be examined and upgraded	☐ **Process all standard fields, with exceptions as noted in this section.**
		☐ Do not process the following fields:
5.2	Personal names: Matching	☐ **Match personal names to LC form using standard criteria.**
		☐ Restricted matching:
		☐ $c. Match bibliographic personal name access points to LC authority record only if the $c (Title and words associated with a name) in both match.
		☐ $d. Match bibliographic personal name access points to LC authority record only if the $d (Dates associated with a name) in both match.

5. Authority control

5.3	Personal name access points: Special processing of fiction	☐ **Our library does not need this option.** ☐ Special processing of fiction. Standard criteria. ☐ Special processing of fiction. Preprocess to force certain categories to show as fiction. Possible extra cost. Criteria: _____
5.4	Canadian name access points (1XX, 7XX, 8XX)	☐ **Our library does not need this option.** ☐ Examine names against the LCNA files first, then against the Library and Archives Canada files.
5.5	Untraced series statement (490 0_)	☐ **Examine MARC field 490, first indicator 0.** ☐ Do not examine untraced series (490 0_).
5.6	Library of Congress subject access points(6XX _0)	☐ **Process LC subject access points.** ☐ Do not process LC subject access points. ☐ Retag 650 Genre/Form terms as 655. Special requests: _____
5.7	Library of Congress Children's subject access points (6XX _1)	☐ **Process LC Children's subject access points.** ☐ Do not process LC Children's subject access points.
5.8	National Library of Medicine MeSH subject access points (6XX _2 and 655 _2 or 655 _7 $2 mesh)	☐ **Do not process MeSH subject access points.** ☐ Process MeSH subject and MeSH genre access points.
5.9	Canadian subject access points (6XX_ 0 and _5)	☐ **Our library does not need this option.** ☐ Examine names and subjects against the LAC files first, and then against the LCSH files.

5.10	Sears subject access points (6XX _7, $2 sears or other identifiable tagging)	☐ **Our records do not contain Sears access points.**
		
		☐ Our records contain Sears access points, identified as _____ .
		
		   ☐ Do not examine Sears access points.
		
		   ☐ Examine all Sears access points and retain as the current Sears subject.
		
		   ☐ Flip Sears access points to LCSH.
		
		Special requests: _____

5.11	Local subject access points (69X)	☐ **If 69X access points are found in our records, they should remain unchanged.** ☐ Permanently change 69X fields to 6XX before beginning processing. ☐ Delete all 69X fields.

5. Authority control

5.12	Genre/Form Terms (655 _0 and 655 _7 $2 lcsh and 655_7 $2 lcgft as well as 655_7 $2gsafd)	☐ **Process Genre access points as coded.** ☐ Do not process Genre access points. ☐ Force all 655 to 655 _7 $2 lcgft and process. ☐ Force 655 _7 $2 gsafd to 655 _7 $2 lcgft and process. ☐ Match 655 to GSAFD terms first then to LCGFT if unrecognized. ☐ Remove invalid subdivisions from 655. Special requests: _____
5.13	Divided subject access points	☐ **Replace with all authorized matches.** ☐ Leave obsolete access points unchanged.
5.14	Custom changes, including requests for differences between backfile and ongoing processing	☐ **No custom changes are necessary.** ☐ Some custom changes are necessary. For instructions, please see the guide.

6. Authority control products

6.1 MARC Record Enrichment

6.1.1	Add Syndetic Solutions data to record	☐ Table of Contents (TOC) ☐ Fiction/Biography ☐ Summaries If any of these are checked, we request that you also complete a MARC Record Enrichment Profile.
6.1.2	Add reading notes	☐ Accelerated Reader ☐ Lexile® Framework for Reading ☐ Reading Counts!
6.1.3	Add reading note report	If you selected Accelerated Reader, Lexile, and Reading Counts!, add a report of records enriched, for a one time set-up fee of $35. ☐ Reading Notes Report ☐ No report

6. Authority control products

6.2 Reports for authority control

6.2.1	Free report	☒ **Statistical report**
6.2.2	Report control number for listings	Maximum length: 12 characters ☐ **Use control number from MARC 001 field.** ☐ Use local control number stored in other MARC field. MARC field: _____ Subfield code: _____
6.2.3	Reports of *bibliographic* activity: You can receive up to two reports at no additional charge. Additional backfile reports cost $0.005 per bib record with a $350 maximum. Additional ongoing reports cost $0.01 per bib record.	☐ Unrecognized main headings ☐ Multi-matches ☐ Heading changes ☐ Undifferentiated/conditionally authorized personal names _____ ☐ Partial match Choose one of the following formats: ☐ Tab-delimited, full MARC 21 ☐ Tab-delimited, ASCII text character set only ☐ CSV, full MARC 21 ☐ CSV, ASCII text character set only

6.3 Output of records to library

6.3.1	Destination system	_____
6.3.2	Physical format	☐ **FTP** **Please indicate email address of person(s) who should be notified when files are ready, if different from section 1.3:** _____ For either CDs or DVDs, please indicate shipping method: ☐ UPS Ground ☐ Other: _____ ☐ DVD ☐ CD-ROM

6. Authority control products

6.3.3	Backfile project backup on CD-ROM BACKFILE PROJECT ONLY	You will not receive a free backup if your files were originally output to DVD or CD. ☐ **Provide a 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.
6.3.4	Size of files output to library BACKFILE PROJECT ONLY	☐ **Output bib or authority records in files of maximum 50,000 records.** ☐ Output bib or authority records in files of maximum _____ records.
6.3.5	Character coding scheme (same for bibliographic and authority records)	☐ MARC-8 (standard MARC) ☐ UTF-8 (Unicode MARC) Special requests: _____
6.3.6	Non-Latin character sets	☐ **Retain MARC fields containing non-Latin character sets in authority records.** (Keep records complete and intact.) ☐ Delete MARC fields containing non-Latin character sets in authority records. Limit deletion to:
6.4	**Bibliographic records to be sent to library**	
6.4.1	Changed bibliographic records only	☐ **Send back all records processed by MARCIVE.** ☐ Send back only changed records.

6. Authority control products

6.5 Authority records to be sent to library

6.5.1	Distribution of authority records	☐ **One file.** If you choose to have MeSH processing, the MeSH authority records will be in a separate file.
		☐ Two files: Authors and Titles in one; Subjects and Genre in a second file, plus a file of MeSH.
		☐ Three files: Authors in one; Titles in a second; Subjects and Genre in a third file, plus a file of MeSH.
		☐ Genre separate from Subjects.
		☐ Other:
6.5.2	Cross references only	☐ **Send back all authority records.**
		☐ Send only those which contain a 4XX or 5XX.
6.5.3	Hierarchical authority records	☐ **Send only those authority records which match access points in the library's database.**
		☐ Send authority records for any level in the bibliographic record for which LC has created an authority record.

7. Notification Service and NewMatch

7.1	Notification Service subscription	☐ MARC authority records + electronic report
		☐ MARC authority records only
7.2	NewMatch subscription	☐ Include with Notification Service (no extra cost).
		☐ Initiate standalone service for libraries that do not subscribe to Notification. ($330/year).
7.3	Delivery of new authorities resulting from Overnight Authority control (timing)	Category 3: ☐ New LC, LAC, and MeSH authority records with Notification Service. New Children's and Sears authority records with delivery of bib records.
		Category 2: ☐ New LC, LAC, and MeSH authority records with Notification Service.
		Category 1: ☐ New LC, LAC, and MeSH authority records with delivery of bib records.
7.4	Deleted authorities	☐ Send deleted authority records in with the new and changed records.
		☐ Send deleted authority records in separate file(s) from the new and changed records.
7.5	Missing Link	☐ Insert a 4XX field in changed authority to facilitate replacement in bib records.

7. Notification Service and NewMatch

Notification Service subscribers receive all authority records as specified above. The following specifications only affect the report, not the records. Skip these questions if you are not subscribing to the Notification Service Electronic Report.

7.6	Notification Report: New or changed authorities reporting	☐ Report all new and changed authorities. ☐ Report only changed authorities (no new). ☐ Report only new authorities (no changed).
7.7	Notification Report: Separate or combined reporting	☐ Report A list only. Suppress B list. ☐ Report A list and B list as two separate lists. ☐ Report A list and B list as one combined list.

8. RDA Conversion Service processing

RDACS specifications for backfile and ongoing authority control. No extra cost.

8.1	Update library's bibliographic data to conform to Resource Description & Access (RDA).	☐ No. Do not complete the remaining questions in this section. ☐ Yes.
8.2	Library organizational code (from [MARC Code List for Organizations](#))	_____
8.3	Descriptive data: Title	☐ 245 Title Statement
8.4	Descriptive data: Edition	☐ 250 Edition Statement
8.5	Descriptive data: Publication, Distribution, etc. (Imprint)	☐ 260 Publication, Distribution, etc. (Imprint)
8.6	Descriptive data: Physical Description	☐ 300 Physical Description
8.7	Access points: Name, Subject, Uniform Title	☐ Conform authorized access points to RDA.
8.8	Content-Media-Carrier (CMC)	☐ Generate 336 Content Types 337 Media Types 338 Carrier Types
8.8.1	Customization of Carrier Media Content (CMC) fields	☐ Use standard criteria. (No extra cost) ☐ Create CMC fields based on library-specific data. (Extra cost)

8.	RDA Conversion Service processing	
8.9	General Material Designation (GMD)	☐ Move to new field _____ (designate) and delete 245 $h. ☐ Delete 245 $h. ☐ Retain 245 $h. ☐ Create 245 $h, if one does not already exist. (Extra cost)
8.10	RDA reports for backfile Reports cost $0.005 per bib record with a $350 maximum. RDA reports are not available for ongoing work. BACKFILE PROJECT ONLY	☐ Preprocessing changes report for backfile. Includes but is not limited to RDACS changes. ☐ Unspecified CMC data report for backfile.
8.11	Special requests:	_____