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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 Sales 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. 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 Sales Representative is available to answer any questions you may have.

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 that we are ready to start! Our MARCIVE Production Department will send instructions via email for the FTP or secure website transfer 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 Changed Authorized Terms Report to see access points before and after processing. Review any other reports selected.
11. Ask questions!
12. Return the Production Sample Approval Form to us so that processing can proceed. This form is supplied by our MARCIVE Production Department.

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.

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."

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. Options for reports can be found in Sections 8.1, 8.5 and 8.6.

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, 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, page 58](#).

History File Replacement. (recommended) If you've recently done authority work with another vendor, or aren't in the market for backfile authorities processing, we can perform authority work on newly created bib records while maintaining your current authority file. We will accept a file(s) of authority records, extract the control numbers and use these numbers to pull the most current version of the LC authority records, and return them to the library. These control numbers will be used to establish the library's authority history with MARCIVE, and will be used for future processing. Only authority records which are in the LC authority database at the time will be supplied. For example, if there are records in the file supplied by the library that have been deleted by LC or records that do not contain an LC control number (for example a local authority record) these records will not be sent to the library and the control numbers will not be used in the library's authority history file. Alternatively, the library may send files of the authority control numbers instead of the entire authority records. This updated authority file will be used for future work through Standard Notification Service. Additional cost.

History File Creation. As with History File Replacement, we will extract the control numbers from it a file of authority records to create a history file. The difference is that MARCIVE uses the control numbers provided to establish an authority history file for the library, but no authority records are returned to the library. With this method, it is assumed that the library

has the most current version of the authority records and does not need the authority records in their system brought up to date. This file is used for future work through Standard Notification Service. Additional cost.

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)

Comprehensive Notification Service (CNS) is a way to maintain both 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. Options are described in Sections 8.5 and 8.6. If you do not want any authority records, state so 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 in a previous 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 resulting from the reprocessing of the library's bibliographic records

3. Inclusion of any CHANGED authority records that we have provided in previous processing and any authority records deleted by LC. It additionally includes differentiated authority records which were formerly undifferentiated.

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.

4. Partial matches that become full-string matches:

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.

5. Fields that reflect changes in RDA

Incoming bib record:	600	10	\$a Mozart, Johann Chrysostom Wolfgang Amadeus, \$d1756-1791. \$t Works, \$m chorus. \$k Selections.
Becomes	600	1_	\$a Mozart, Wolfgang Amadeus, \$d 1756-1791. \$t Choral music. \$k Selections.

3. Source and Format of the bibliographic records

3.1 Source of the 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, Ex Libris Alma, Koha, etc.).

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 the MARCIVE Production Department 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.

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 ensure 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 secure website (default) or FTP (File Transfer Protocol) 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 secure website (alternatively, 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.

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.

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. If no institutional code is supplied, we will create \$aMVI and \$cMVI.

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.

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.

Choose only one option in this section. 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.

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:

<u>Incoming</u>	<u>Outgoing</u>
[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:

<u>Incoming</u>	<u>Outgoing</u>
[DVD]	[DVD] (retained rather than changed to videorecording per AACR2 list)
[multi-media]	[multimedia] (not on AACR2 list)
[video recording : DVD]	[videorecording (DVD)] (different from the 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.

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.

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, and 720

MARC fields examined for \$j and \$4: 111, 611, and 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 about other RDA fields such as the 384 and the 385.

The 34X fields are generated with a \$0 subfield containing the URI for the term at the RDA Registry. Example: 347 \$a audio file \$2 rdaft \$0 <http://rdaregistry.info/termList/fileType/1001>. If you do not wish to have this information included in your 34X fields, please check the box in the profile to have \$0 removed.

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. One 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. Another exception is adding 040 \$e rda. Current RDA practice is to limit use of \$e rda to those cataloging records created manually according to RDA guidelines. Our RDA Conversion Service is an automated process that adds or changes fields per RDA guidelines. As these records are not re-cataloged by an actual person, they are more correctly termed hybrid records that may contain a mix of cataloging rules. While PCC recommends that hybrid records should not include 040 \$e rda, libraries can choose to have this information added.

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 Sales 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.

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 that can be identified by tagging and/or coding (second indicators, subfield \$2) such as NASA, FAST, MeSH, and BISAC. Terms from other vocabularies or thesauri can be specified as "Other global deletes," for example, "remove all 6XX_7 \$2 swd".

Remove invalid subfields (as defined by LC) from genre terms (655) that do not map to other appropriate fields. Because other vocabularies and thesauri have used subdivisions in genre terms, this processing only applies to LCGFT and GSAFD coded terms.

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).

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

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

If this option is chosen, subfield \$0 control numbers will be added for the following vocabularies: AAT, ACP, FAST, GSAFD, HOMOSAURUS, LAC, LCSH, LCGFT, MeSH, NASA, NLA, RBMS, Sears, and TGM.

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.

If this option is chosen, subfield \$0 URIs will be added for the following vocabularies: AAT, ACP, FAST, HOMOSAURUS, LCSH, LCGFT, MeSH, RBMS, and TGM.

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

FAST (Faceted Application of Subject Terminology) access points can be examined and flipped as one of the many options found in profile option 5.5. Matching authority records can be supplied. As an additional no-cost option, we can generate FAST access points based on LC subject access points. It is achieved only when 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. This processing is based on the presence of the LC authority record control number in the 7XX field of the FAST authority record. Matching authority records will automatically be supplied, unless the library has chosen not to receive them.

Example:

LC access point: 650_0 \$aRivers.

FAST access point supplied:

650_7 \$aRivers. \$fast OR

650_7 \$aRivers. \$fst01098312 (Subfield 0 added if the library has chosen the addition of identifiers as a part of the processing).

The access point was generated based on the presence of:

750_0 \$aRivers \$(DLC)sh 85114250 in the FAST authority record.

Note to CNS subscribers: You can ask that this processing be added with your next update at no additional charge.

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

Homosaurus (HOMOIT) access points can be examined and flipped as one of the many options found in profile option 5.5. Matching authority records can be supplied. As an additional no-cost option, we can generate Homosaurus access points based on LC subject access points. The Homosaurus Editorial Board has provided a list of approximately 400 Library of Congress Subject heading terms that they have identified as exact matches to a Homosaurus term.

As a preprocessing step, we will examine the 650_0 terms in your data and add the equivalent Homosaurus term when available. Homosaurus terms do not have subdivisions, so any subdivision in the LC heading will not be copied into the new Homosaurus term. This processing does not involve actual authorities processing (matching a term to the Homosaurus authority file) at this point. This step is a mapping function based on terms identified by the Homosaurus Editorial Board, and is a separate step from the comparison of headings to authority records. Therefore, in order to add a URI or control number in subfield \$0 or output the matching authority record for the newly added term, Homosaurus processing must also be selected in section 5.5.

Examples:

LC Access point: 650_0 \$a Gay authors \$z United States. *(retained in bib record)*

Added term: 650_7 \$a Gay authors. \$2 homoit

LC Access point: 650_0 \$a Online chat groups. *(retained in bib record)*

Added term: 650_7 \$a Chatrooms. \$2 homoit \$0 <https://homosaurus.org/v3/homoit0000250> (with URI after authorities processing)

Note to CNS subscribers: You can ask that this processing be added with your next update at no additional charge.

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. We can only put a stamp into a single field or subfield. It should be a field that is not already being used for another purpose (e.g. holdings information).

Example:

Add a MARC 930 field that reads “MARCIVE YYYY.” We can also add the exact date of processing. Example: “MARCIVE 04302022 or Processed April 30, 2022.”

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.

All name headings will be searched in the Library of Congress Name Authority file. If you have other requests for name searching, please discuss them with your Sales Representative. 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 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.

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 Addition of local subject headings (optional)

If you would like local subjects added to your records based on existing data in the record please list the criteria here. If it is more than a few terms/criteria, please provide a cross reference list. Note that **we do not delete the original subject heading**. When an LC authority record with a 4XX of the term in question is supplied that contains the new term, they then can be verified and updated in an automated process.

Libraries by and large do not agree which particular terms are preferred, nor are they unified in their views on which preferred ones should be added to their bibliographic records, and in what manner. For that important reason, there is no “one size fits all” option to be selected. For more information, request our FAQ on this topic. Please contact us to discuss your list of alternative subject terms.

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. 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 \$aTeach, Edward,\$dd. 1718

Changed by MARCIVE to: 600 11 \$aBlackbeard,\$d-1718

Incoming bib record: 650 _1 \$a Navel.

Changed by MARCIVE to: 650 _1 \$a Belly button.

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.

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.

Incoming heading: 650 2 \$a Skin \$x physiology.

Incoming heading: 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.

LAC Name Authority Records are now part of the Library of Congress Name Authority File.

Therefore, if you request we examine 6XX_5 access points, the name subjects (600, 610, 611, and 630) will be searched against LC. The only subjects maintained by LAC are topical and geographic.

These subjects generally are those that are not found in LC and provide access to subject content of Canadian topics. For these headings (650_5 and 651_5) you must specify whether we are to process them against just LAC or just LC. If you want us to use both LAC and LC, you must state the order of preference.

Incoming LAC topical subject matched can be matched to an LAC authority record and retained as received.

Incoming bib record: 650 _5 \$a Women authors, Canadian (English)\$y 20th century \$xFamily relationships.

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

Incoming access points coded as LAC (IND2 of 5) can also be matched only to LC, and the indicator changed accordingly. The LC authority record can be provided.

Incoming bib record: 650 _5 \$a Lakes \$x Fertilization

Changed by MARCIVE to: 650 _0 \$a Lakes \$x Fertilization

Results for terms that only appear in LAC, if LAC processing only is chosen, or LAC first or second is chosen:

Incoming bib record: 650 _5 \$a Welsh Canadians \$z Canada

Changed by MARCIVE to: 650 _5 \$a Welsh Canadians

Result if LC only processing is chosen:

Incoming bib record: 650 _5 \$a Welsh Canadians \$z Canada

Not found by MARCIVE and returned as is. 650 _5 \$a Welsh Canadians \$z Canada

For terms that appears in both LAC and LAC with slight differences, the order of selection will result in different changes to the access point, and different authority records will be output. Please note that there are very few terms that are in both LAC and LC.

Incoming bib record: 650 _5 \$a French-Canadians \$z Canada

If LC then LAC is chosen, the heading is updated to the LC form:

Changed by MARCIVE to: 650 _0 \$a French-Canadians \$z Canada

If LAC then LC is chosen, the heading is updated to the LAC form:

Changed by MARCIVE to: 650 _5 \$a French Canadians

***The Art & Architecture Thesaurus*® (AAT).** This vocabulary is intended to provide terminology and other information about the objects, artists, concepts, and places important to various disciplines that specialize in art, architecture, and material culture. These access points are identified by 650_7 or 655_7 with a subfield \$2aat.

Examples:

Incoming bib record: 650 _7 \$a Votives (candles) \$2 aat

Changed by MARCIVE to: 650 _7 \$a Votive candles \$2 aat

Incoming bib record: 655 _7 \$a Pricelists \$2 aat

Changed by MARCIVE to: 655 _7 \$a Price lists \$2 aat

Homosaurus vocabulary (HOMOIT). Homosaurus is a vocabulary of Lesbian, Gay, Bisexual, Transgender and Queer (LGBTQ) terms, created and maintained by the Homosaurus Editorial Board. These access points are identified by 650 _7 or 655 _7 with \$2 homoit.

Examples:

Incoming bib record: 650 _7 \$a Travesti \$2 homoit

Changed by MARCIVE to: 650 _7 \$a Travestis \$2 homoit

Incoming bib record: 655 _7 \$a LBGTQ films \$2 homoit

Changed by MARCIVE to: 650 _7 \$a LGBTQ+ films \$2 homoit

Queens Library Spanish language subject headings (QLSP). The Queens Borough Public Library created Spanish subject and genre headings from the Library of Congress headings used in the library's catalog. These Spanish headings have not been updated since 2008 and the Queens Borough Public Library is no longer maintaining them. These access points are identified by 650_7 or 655_7 with a subfield \$2qlsp.

Examples:

Incoming bib record: 650 _7 \$a Habitantes de apartamentos \$2 qlsp

Verified by MARCIVE as: 650 _7 \$a Habitantes de apartamentos \$2 qlsp

Incoming bib record: 655 _7 \$a Materiales en español \$2 qlsp

Verified by MARCIVE as: 655 _7 \$a Materiales en español \$2 qlsp

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_7 \$2 sears.

Example:

Incoming bib record: 650 _7 \$a Availability of health services. \$2sears

Changed by MARCIVE to: 650 _7 \$a Access to health care. \$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. If the obsolete subject term comes in with subdivisions, all replacement authorized terms will have these subdivisions.

An exception to this practice for our standard processing is the treatment of “Illegal aliens.” The Library of Congress replaced this heading in November 2021 with “Noncitizens” and “Illegal immigration.” Subdivisions describing a class of persons that are suitable to follow “Illegal aliens” are not valid to follow “Illegal immigration.” If we run across such invalid subdivisions while splitting “Illegal aliens,” we will make the heading of “Noncitizens” with the incoming subdivisions, but we will not make the heading of “Illegal immigration” at all. This is also true if the incoming heading is “Children of illegal aliens”, “Illegal alien children”, and “Women illegal aliens.”

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”).

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 “Multimatches or High Probability Matches 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

OR

Incoming: 007/00-01 of "ad"

Generates: 655 _7 \$aAtlases.\$2lcgft

OR

Incoming: 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.)

***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 (LCGFT and GSAFD) 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 genre vocabularies and thesauri can be used in shared cataloging environments. Each vocabulary includes preferred and variant terms that may be unique to a defined scope or specific domain. The use of multiple genre vocabularies can therefore provide broader access for patrons.

Because genre terms are often specific to a vocabulary, the searching, update, and matching of those terms (based on \$2 coding) is most often done within that vocabulary or authority file in order to maintain the integrity of the terminology and indexing in the catalog. **This is the default for genre processing.**

For example, if you select LC, MeSH and AAT genre to be examined, matching all as coded, all 655 _0 and 655 _7 \$2lcsh and 655 _7 \$2lcfgt will be matched only against the current file of Library of Congress Genre/Form Terms for Library and Archival Materials (LCGFT). All 655 _2 and 655 _7 \$2mesh will be matched only against the current National Library of Medicine Subject Headings authority file (MeSH). Terms coded as AAT (\$2aat) will be compared to the AAT list of terms.

Alternatively, after you have selected the genre vocabularies (based on source coding) to be examined, you can indicate a different matching hierarchy. Special processing options for GSAFD are offered to accommodate common requests for this type of matching for GSAFD terms, since the list is not updated and libraries often do not want to continue to use the vocabulary.

Example of special hierarchical matching LCGFT and GSAFD genre terms to LCGFT first:

Incoming bib record 655 _0 \$a Animated films

Incoming bib record: 655 _7 \$a Animated films \$2 gsaafd

These headings will both be matched to LCGFT and changed by MARCIVE to:

655 _7 \$a Animated films \$2 lcfgt

Other custom hierarchy for matching genre terms from other vocabularies can be specified as well. Please refer to the list of available thesauri and vocabularies in Section 5.10 of the Customer Specifications (profile) for genre terms available for processing and provide a detailed description of the custom matching criteria requested.

You may also request to have subdivisions removed from 655 access points coded as LCGFT or GSAFD (655 _0, 655 _7 \$2lcsh, 655 _7 \$2 lcfgt, 655 _7 \$2gsaafd) that did not map to other fields, following LC practice. (See Section 4.8). Juvenile subdivisions in genre terms may be retained if desired as a special request in Section 5.11.

Example of removal of invalid subdivisions from 655:

Incoming bib record: 655 _7 \$a Historical poetry \$x African American authors \$z Canada.
2 lcfgt

Changed by MARCIVE to: 655 _7 \$a Historical poetry. \$2 lcgft
Mapped by MARCIVE to: 370 \$c Canada

Controlled Vocabulary for Use in Rare Book and Special Collections Cataloging (RBMS). This thesaurus provides standardized vocabulary for retrieving special collections materials by form, genre, or by various physical characteristics that are typically of interest to researchers and special collections librarians. These access points are identified by 655_7 with a subfield \$2 of rbmscv.

This vocabulary was at one time represented by one of 7 codes in subfield \$2 (rbgenr, rbbin, rbpap, rbpri, rbpub, reprov, or rbtyp). The codes have been consolidated into one code (\$2rbmscv) and many of the terms have been changed. In order to properly update these terms, all RBMS customers will have terms with any of these obsolete codes updated to the \$2 rbmscv code automatically before processing so the term can properly be updated to the current form during the authorities processing step.

Examples:

Incoming bib record: 655 _7 \$a Manila fiber papers \$2 rbmscv

Changed by MARCIVE to: 655 _7 \$a Abaca fiber papers \$2 rbmscv

Incoming bib record: 655 _7 \$a Buckskin bindings \$2 rbmscv **OR**

Incoming bib record: 655 _7 \$a Buckskin bindings \$2 rbbin (obsolete code)

Changed by MARCIVE to: 655 _7 \$a Deerskin bindings \$2 rbmscv

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 Sales Representative. We may ask you to send a Word document or email with the following information:

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.

For backfile processing, it's likely that the majority of the records will be changed so it's best to request all records returned. Plus, it helps to keep the record counts consistent. 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 records. For FAST authority records (or records from another source), you have the choice to have them output separately, or included with LC subject headings.

You can choose one of the listed configurations for the distribution of authority records, or create custom distribution files based on the bib term field match and/or the source of authority records, Choose "Other" in this section and describe the preferred distribution.

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, “Bridges—Accidents—Investigation—Alaska.” With standard processing, you will receive one authority record for the fullest form.

Incoming bib record: 650 _0 \$a Bridges \$x Accidents \$x Investigation \$z Alaska
 Matched to authority: 150 __ \$a Bridges \$x Accidents \$x Investigation
Outputs authority record: 150 __ \$a Bridges \$x Accidents \$x Investigation

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 three authority records:

Outputs authority records: 150 __ \$a Bridges \$x Accidents \$x Investigation
150 __ \$a Bridges \$x Accidents
150 __ \$a Bridges

Selecting the hierarchical authority records option increases the number of authority records you will receive. Here are some additional examples:

Incoming bib record: 630 00 \$a Bible. \$l English. \$s Authorized. \$f 1849
 Matched to authority: 130 _0 \$a Bible. \$l English. \$s Authorized. \$ f 1849
Outputs authority records: 130 _0 \$a Bible. \$l English. \$s Authorized. \$f 1849
130 _0 \$a Bible. \$l English. \$s Authorized
130 _0 \$a Bible. \$l English
130 _0 \$a Bible

Incoming bib record: 100 10 \$a Bacharach, Burt
 240 \$a Songs. \$k Selections; \$o arranged
 Matched to authority: 100 10 \$a Bacharach, Burt. \$t Songs. \$k Selections;
 \$o arranged
**Outputs authority records: 100 10 \$a Bacharach, Burt. \$t Songs. \$k Selections;
 \$o arranged**
100 10 \$a Bacharach, Burt. \$t Songs. \$k Selections
100 10 \$a Bacharach, Burt. \$t Songs
100 10 \$a Bacharach, Burt

Incoming bib record: 710 1_ \$a Canada. \$b Bureau of Mines. \$b Division of
 Economics
 Matched to authority: 110 1_ \$a Canada. \$b Bureau of Mines. \$b Division of
 Economics

Outputs authority records:	110	1_	\$a Canada. \$b Bureau of Mines. \$b Division of Economics
	110	1_	\$a Canada. \$b Bureau of Mines
	151	_	\$a Canada
Incoming bib record:	651	_0	\$a Texas \$x History \$y Revolution, 1835-1836 \$x Campaigns
Matched to authority:	151	_	\$a Texas \$x History \$y Revolution, 1835-1836 \$x Campaigns
Outputs authority records:	151	_	\$a Texas \$x History \$y Revolution, 1835-1836 \$x Campaigns
	151	_	\$a Texas \$x History \$y Revolution, 1835-1836
	151	_	\$a Texas \$x History
	151	_	\$a Texas

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 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 (Legacy MARC), 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. Your MARCIVE Sales Representative will contact you for further discussion.

6.7 Transport of records.

The default method is secure website retrieval. Alternatively, we can accept and output records via 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.

6.8 Backup CD-ROM.

A complimentary backup CD is sent to all customers sending us records via secure website or 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 secure website or 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 of bibliographic activity

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. If no control number is located, we will create one for reporting only, and it will not be added to your bibliographic record.

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. More optional reports are available, and are charged as listed on the quotation provided by your Sales Representative. All reports are electronic.

Statistical Summary Report. Provides the statistics for the processing, broken down by MARC tag. Only available as a text report.

Unrecognized or Invalid Terms Report. Report showing all main access points, which did not appear in any form in the chosen authority 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. Available as a text report or Excel report.

Multiple Matches or High Probability Matches Report. Report showing the main terms, which matched multiple authorized terms in the chosen 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. Available as a text report or Excel report.

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. Available as a text report or Excel report.

Preprocessing Changes Report. Report of database cleanup changes. Changes made are not the result of matching to an associated authority record. Only available as a text report.

7.3 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 Sales 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 Sales Representative before requesting this option. More information on authorities processing reports can be found at [FAQ- AUTREPORT](#).

8. Notification Service Subscriptions Options and Overnight Authorities Service

8.1 Notification Services Report. (Additional Cost)

We offer two different types of ongoing authorities maintenance subscriptions, as described in Section 2. With each service, you’ll get new/changed/deleted authority records if requested. You can optionally request reports of authority record activity for an added cost. These reports are different from the suite of five reports described previously, which are a reports of bibliographic record activity.

This is a good choice for the librarian who wants to have the authority records to make the changes automatically and the report so they can see what has changed. Go to Sections 8.5 and 8.6 for report options if the library chooses to receive them.

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.

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 the Production Department 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.

8.4 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. 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), and changed (if elected).

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

Report changes to authorized terms only

Reports 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.

9. Additional services to include with authorities processing

MARC Record Enrichment Service

9.1 Add Proquest/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.

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

If you were not already provided with a quotation, please ask your Sales 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 Proquest/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.