



# MARS 2.0

## Authority Control Planning Guide





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# About This Guide

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## SCOPE OF SERVICES

The **MARS 2.0 Authority Control Planning Guide** from Backstage Library Works explains the range of options available through our MARC record services:

- Bibliographic Cleanup & Validation
- Authority Cleanup & Matching
- Standard & Optional Reports
- Ongoing Services
- Remaster, Manual Review, RDA

## PLANNING GUIDE

This guide is also freely available on the MARS 2.0 Authority Control website:

<http://ac.bslw.com/mars/guide>

The information contained within this guide should be shared with cataloging managers and system managers. You may also want to share it with your local system representatives.

## FORMAT

The guide is divided into six chapters which describe authority control processing options, demonstrate the processes through specific examples, and provide instructions for completing each step of the MARS 2.0 profile.

Each section begins with a summary page that includes a synopsis of the step, information about working with your ILS, along with an at-a-glance listing of concepts and terminology to be covered.

Within each step, detailed information is presented for those interested in taking a closer look at our authority control processing. Acting as a guideline, we have also included default choices for each step of the profile.

We hope this guide helps you find what you're looking for and informs you along the way.

At your service,

*The MARS Authority Control Team*

# Introduction

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## OVERVIEW

Our Authority Control service provides a variety of services that enhance your patron access by improving heading consistency within your catalog as well as with national-level systems like Library of Congress Subject Headings (LCSH). Our Authority Control team can assist you in completing each step of your profile.

An ongoing dialogue between you and your staff helps us better understand your needs and expectations as well as your specific system-related issues. Throughout your project, our staff is available to answer any questions, providing you with the highest quality and most cost-effective support possible.

If your particular custom needs are not outlined in this guide, please contact your project manager for further options.

## 6 STEPS

Over the years, we have continually made improvements to this guide in order to simplify the process of completing each step. We hope that our guide still provides the in-depth details and examples that you are used to and manages to guide you along at an intuitive pace.

To customize your Authority Control service, complete these **6** steps:

1. **Database:** Data exchange format specifications
  2. **Cleanup:** Standard changes made to the bibliographic file
  3. **Matching:** Bib and Authority record matching preferences
  4. **Output:** Bib and Authority file distribution
  5. **Reports:** Format and layout options for reports
  6. **Ongoing:** Master authority file updates and new bib processing
- **Appendix:** Information on other services available

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## ONLINE PROFILE SUPPORT

We think it is only natural that, as you look through this planning guide or fill out the profiles online, you may have questions. Each question in our online profile also contains a direct Wiki link that corresponds to this planning guide.

In addition to online help, we are always available to answer any questions or concerns you may have about your profile options or processing results. In fact, we recommend filling out the online profile with our support once you and your staff have had a hand at selecting your desired options.

In addition to the profile guide being freely available on our site online, our Authority Control staff is available by phone **800.288.1265** or email [info@bslw.com](mailto:info@bslw.com) to answer any of your questions.

## ILS HANDLING

Typically, an **Integrated Library System** (ILS) has very specific criteria when it comes to exporting and importing the bibs or authorities from your library. Knowing which ILS a library uses helps us understand the needs and expectations of your library.

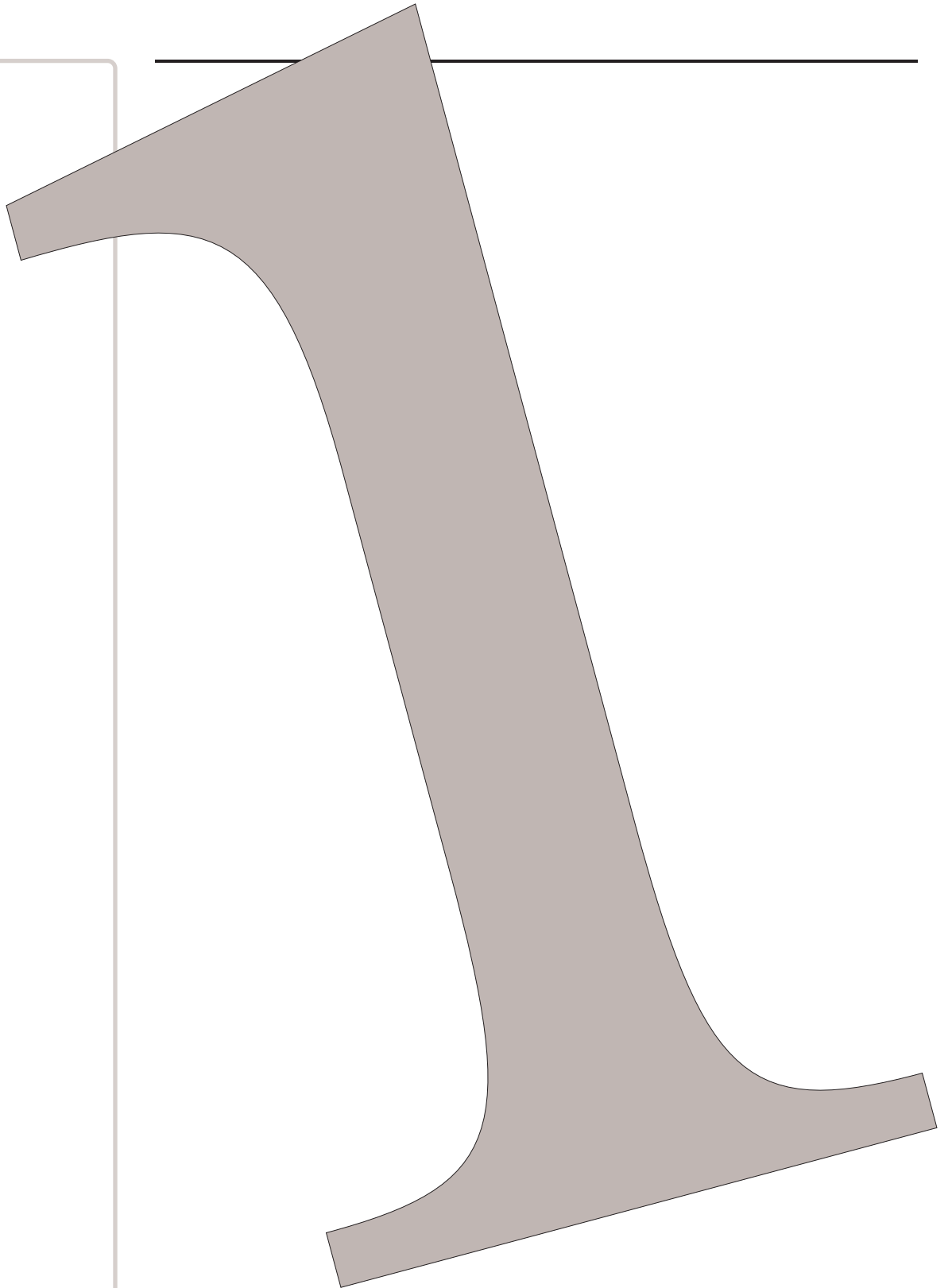
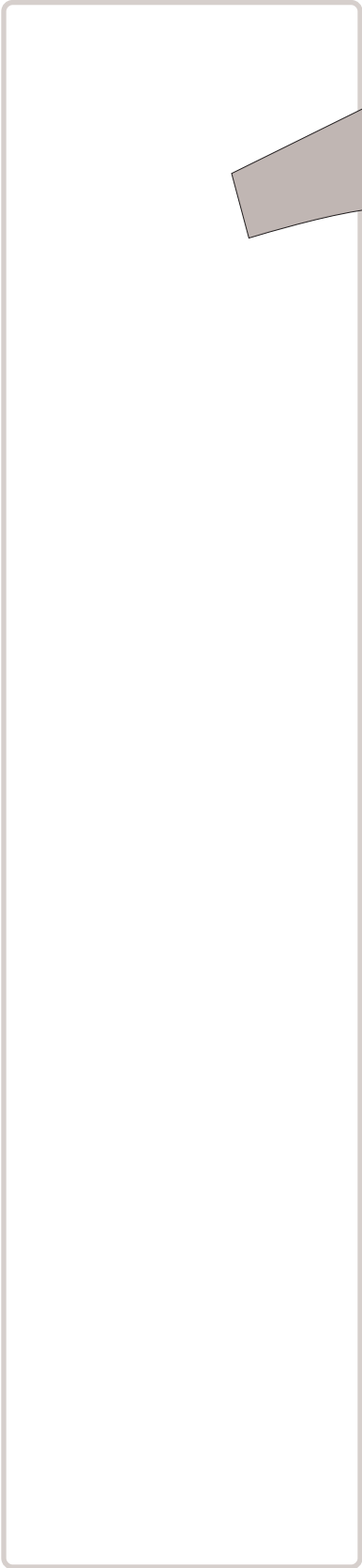
Your ILS may have a different methodology when it comes to importing vs exporting records. Contacting your ILS vendor will help clear these steps up.

Since our Authority Control service can process bibliographic records in MARC 21 format from almost any source, it may be necessary to contact your ILS vendor regarding the best way to export the records in the proper format.

Bibliographic records in a library's local ILS are often the only copies that contain all the updates, modifications and enhancements made over the years. Most systems have an export feature that can create files of bibliographic or authority records in MARC format.

Some ILS allow export by date or record number ranges, enabling a library to periodically send files of new and updated records for our Authority Control processing.

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## Step 1: Database

### SYNOPSIS

Step 1 details the setup information for transferring your bibliographic or authority records. This setup includes inputs on record source and format, as well as instructions for transferring the files to Backstage Library Works via the MARS 2.0 online interface.

### ILS LINK

A library's ILS has specific procedures for exporting and importing MARC records. Checking with your vendor about these parameters will help when you send records to or retrieve records from authority control processing.

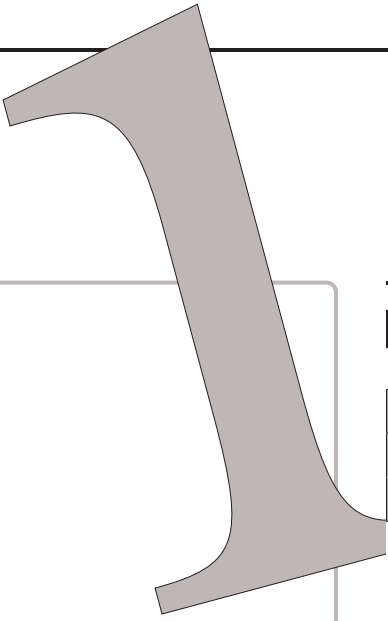
### AT A GLANCE

- ILS handling
- Format of records being sent or delivered
- Sending and receiving records through the MARS 2.0 website

### KEY TERMS

- ILS
- Web, FTP
- MARC-8, UTF-8
- Recommended file size

## NOTES



NOTES

**PROFILE STEP 1.1**

**1.1 - Records Uploaded to Backstage (check all that apply)**

<input type="checkbox"/> Website	<input type="checkbox"/> FTP
<input type="checkbox"/> MARC-8	<input type="checkbox"/> UTF-8

**BIBLIOGRAPHIC RECORDS**

There are all kinds of records nowadays, comprising many different formats: MARC, MARCXML, ONIX, etc. Files of these types may contain similar information, yet it is broken up into different fields or elements, depending on format.

While MARS 2.0 processes natively in MARC format, we have many tools available to successfully convert to or from any of the other formats listed above.

A library can process all or part of the bibliographic records from its local ILS system or process bibliographic records purchased from a different cataloging source.

**FILE HANDLING**

At Backstage, we enjoy providing our customers with options. Each part of our profile is geared to be as customizable as possible, providing you with a few different options to get you started. Any part of the profile may then be expanded upon in order to match your expectations to the desired results.

Our preferred method of file-handling is through our website portal. Each customer will have their own login and password to access the site. Once logged in, our customers can view or edit their profile at any time, upload new files for processing, or retrieve files at their convenience.

We also recognize that our customers may already have upload and download scripts written on their side. So it may make more sense to use a traditional FTP method to transfer files between Backstage and your system.

In this first step, we think it is a good time to also discuss the format of your MARC records. Here you can let us know which format the file submitted will be sent as: MARC-8 or UTF-8. If you do not know, chances are excellent that we can easily inform you once you upload your file to us.

The default way to upload files is through our website.

**PROFILE STEP 1.2****1.2 - Records Delivered by Backstage (check all that apply)**

- |                                  |                                |
|----------------------------------|--------------------------------|
| <input type="checkbox"/> Website | <input type="checkbox"/> FTP   |
| <input type="checkbox"/> MARC-8  | <input type="checkbox"/> UTF-8 |

**UTF-8 vs MARC-8 FORMAT**

The MARC-8 character set uses 8-bit characters. Due to the limitation of characters that this allows, MARC-8 also includes methods to extend the displayable characters: spacing based characters (for cursor movement) and non-spacing characters (diacritics).

MARC-8 also employs the use of alternate character sets in order to tackle the diacritic display issue. This is done by using escape sequences, which are special codes to indicate which character set is being selected for display: subscripts, superscripts, CJK characters, etc.

While these methods allow for many additional characters to be used, it is still limited and somewhat burdensome.

UTF-8 is a standard based on 16-bit characters. It is a method of encoding characters into sequences of from 1 to 3 bytes. Unicode has definitions for non-spacing characters like MARC-8, except these characters are handled differently for UTF-8.

UTF-8 also includes many precomposed characters. These are spacing characters that are equivalent to one or more diacritic characters and a spacing character. To handle the various ways a composite character could be displayed, normalization forms have been defined.

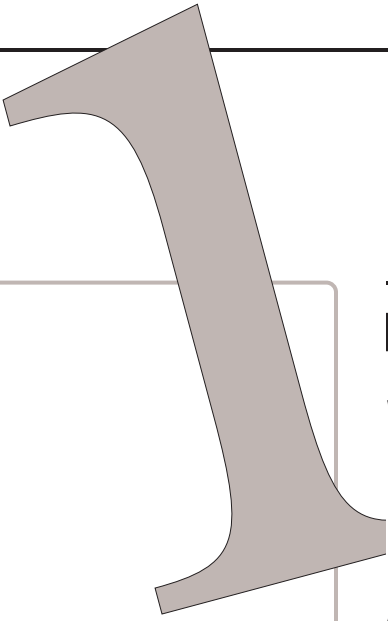
Normalization Form Decomposed (NFD) and Normalization Form Composed (NFC) are standardized forms for handling composite characters.

In NFD, every character that can be decomposed is converted to its most decomposed form following rules for canonical decomposition.

In NFC, the characters are first decomposed as in NFD, then composed into precomposed (composite) forms following canonical rules. This may result in the sequence of characters for a given character changing into an alternate, equivalent form.

The default format is decomposed UTF-8.

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**USING THE WEBSITE**

**WEBSITE PORTAL**

<http://ac.bslw.com/mars>

Our customers can login to the site listed above at anytime in order to view or edit their profile settings, upload new files for processing, or retrieve files.

As our team continues to refine the user experience for navigating our website portal, including screen shots in this guide will be kept to a minimum to avoid inconsistencies.

**PROFILE OPTIONS**

Each of the 6 steps in the online profile has an option to fill in the defaults listed within this guide. The defaults are intended as guideposts only. Every part of the profile can be customized according to your preference.

Multiple staff members can fill out the online profile at the same time, as long as they are in different steps when they do so. This allows our customers to assign certain steps based on priority without worrying about the need to exit the profile while doing so.

Each step can be saved at anytime, whether the step has been completely filled out or is only partially finished. This ensures that should any questions arise during the profile, those can be addressed with the assistance of your MARS 2.0 project manager.

Profiles can also be printed, either one step at a time or in their entirety in summary format.

Multiple profiles can be established, depending on processing criteria desired. Please contact your Project Manager if you wish to have multiple profiles.

**PROFILE QUESTIONS**

Every question has an associated Wiki link next to it. The link corresponds to the printed information contained in this guide, but in online format. This is especially useful when more information is necessary in order to choose the appropriate option for each question.

The default for each question will be highlighted or offset from the other options in order to make it easier to discern.

Steps should be saved before navigating to other parts of the online profile, otherwise any changes made will be lost. However, profile steps can be saved multiple times in case many different changes need to be made to the same step.





## Step 2: Bibliographic Record Validation

### SYNOPSIS

Step 2 introduces the Bibliographic Cleanup service, listing all of the options standard with bringing your records up to MARC21 standards. If your institution has a need that isn't met in this chapter, please consult with your Project Manager.

### ILS LINK

Bibliographic records sometimes require cleanup due to older practices (AACR1 vs. AACR2). If your system has been upgraded to AACR2 or RDA, running our Bibliographic Cleanup is a great way to get your database up to date.

### AT A GLANCE

- MARC 21 Validation
- Fields, subfields, indicators and other standardization options

### KEY TERMS

- Leader, Tag, Subfield, Indicator
- Special conversions and additions
- Initial article handling
- GMD standardization

NOTES



## BIBLIOGRAPHIC CLEANUP OVERVIEW

MARS 2.0 makes changes in over 100 different MARC fields within your bibliographic record. Our *Bibliographic Cleanup* service updates many elements in MARC bibliographic records to conform with current MARC 21 standards, providing increased consistency within your bibliographic files.

The level of MARC update is entirely configurable by you and your staff. The update process is tailored to your expectations of what you'd like to see happen within your bibliographic records.

### STANDARD MARC 21 VALIDATION

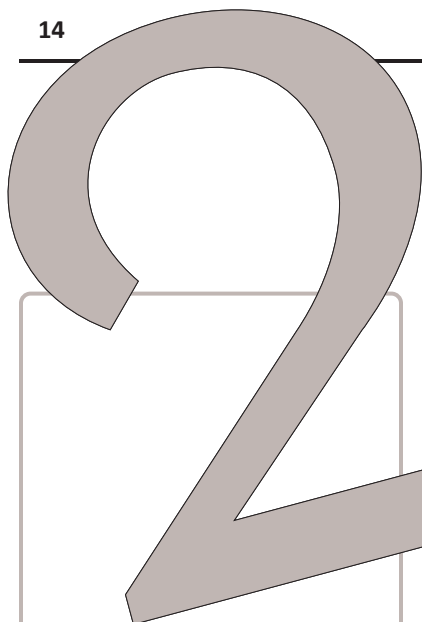
As soon as we receive your files, they are prepared for processing. The MARS 2.0 programs check **all** files of MARC records submitted to ensure they conform to the basic structural requirements of the MARC 21 communications format. Our validation programs ensure that all records meet the following criteria:

- Leader is present and correctly structured
- Directory is present and correctly structured
- No record exceeds 99,999 characters. Including bib records larger than 99,999 byte maximum size prevents successful processing of the input files. Records cannot be segmented (broken apart into multiple *physical* records) to reach the maximum size limit. These records will be output as potentially corrupt for the library to review
- No field exceeds 9,999 characters (MARC 21 directory limitation)
- If a record exceeds the character or field size it is not processed. If there is a large number of rejected records our programmers will contact the library project manager to determine a course of action
- All records contain the following standard MARC delimiters:
  - Record terminators (ASCII 1D16)
  - Field terminators (ASCII 1E16)
  - Subfield delimiters (ASCII 1F16)
- All records contain valid characters (either in MARC8 or UTF-8)
- Any null characters (hex 00) are changed to spaces when records are loaded
- MARS 2.0 will also delete empty fields or subfields as records are loaded

**Note:** MARS 2.0 programs can process MARC 21 records that lack 001, 008 or other fields.







NOTES

## PROFILE STEP 2.1

### 2.1 - LCCN, ISBN, ISSN, CCMD Validation (check one)

- Yes
- With these modifications

### NUMERIC FIELD VALIDATION

MARC fields that are incorrectly formatted often cause user searches to fail and prevent items in the collection from being included in the system indexes. MARS 2.0 software can validate the structure of numeric data in the following fields:

- 010 - LCCN                      Library of Congress Control Number
- 020 - ISBN                      International Standard Book Number
- 022 - ISSN                      International Standard Serial Number
- 034 - CCMD                      Coded Cartographic Mathematic Data

Please indicate on Step 2.1 what kind of validation you would like performed on your 010, 020, 022 or 034 fields. Choosing “Yes, With these modifications” means that you would like the MARS 2.0 software to perform a modified validation (e.g., validate fields 020 and 022, but not fields 010 or 034).

The default is to validate all fields listed above.

### PRE-2001 LCCN

LCCN Structure A (2000 and earlier) numbers are formatted according to the following 6 divisions (separated by hyphens):

1	2	3	4	5	6
nb#	71	005810	#	/AC	/r86

1. 3-character **prefix** with **lowercase letters** and/or **blanks**
2. 2 digits, usually the last 2 digits of the **year**
3. 6-digit **serial number**, with zeroes padded to the left to make 6 digits
4. Blank **space**
5. Optional variable length **suffix** and/or alphabetic identifier
6. Optional **revision date**





NOTES

### STRUCTURE A CORRECTIONS

If the LCCN in the 010 \$a is identified as a Structure A LCCN and does **not** have a valid structure, MARS 2.0 programs make the following format corrections (all changes are subsequently checked for validity):

- 3 blanks (###) are inserted before LCCN when no prefix is present:

original: **95-156543**    corrected to: **###95156543#**

- Prefixes are padded to 3 characters with blanks (#) as necessary:

original: **nb95-156543**    corrected to: **nb#95156543#**

- Hyphens are replaced and padded with a **0** if there are not 6 digits present (for a total of 8 digits). A hyphen will also cause a **0** to be added when the number before the hyphen is a single digit:

original: **nb#9-156543**    corrected to: **nb#09156543#**

original: **nb#95-6543**    corrected to: **nb#95006543#**

- Suffixes are removed in accordance with the revised LC standard for Structure A LCCNs:

original: **nb#95-516543//r86**    corrected to: **nb#95156543#**

- Blank (#) is added if the LCCN does not end with one:

original: **nb#95-516543**    corrected to: **nb#95156543#**

- LCCN Structure As with 4 prefix characters or exceeding 8 digits are changed from \$a to \$z, and reported (R50 - see Step 5 for more information)

- LCCN Structure A prefixes (below) are corrected to the valid format (# = blank):

<b>#a#</b>	→	<b>a##</b>
<b>##a</b>	→	<b>a##</b>
<b>#bc</b>	→	<b>bc#</b>
<b>#</b>	→	<b>###</b>
<b>##</b>	→	<b>###</b>

## STRUCTURE B CORRECTIONS

If the LCCN in the 010 subfield \$a is identified as a Structure B LCCN and does **not** have a valid structure, MARS 2.0 programs attempt to correct it by making these conversions (all changes are subsequently checked for validity):

- 2 blanks (##) are inserted before LCCN when no prefix is present:

original: **2005-256543**    corrected to: **##2005256543**

- Prefixes are padded to 2 characters with blanks (#) as necessary:

original: **n2005-256543**    corrected to: **n#2005256543**

original: **nb2005-256543**    corrected to: **nb2005256543**

- Hyphens are replaced and padded with a 0 if there are fewer than 6 digits present (for a total of 10 digits):

original: **nb2005-6543**    corrected to: **nb2005006543**

- LCCN Structure Bs with 3 prefix characters or exceeding 10 digits are changed from \$a to \$z, and reported (see Step 5.2, R50)

- LCCN Structure B prefixes are corrected to the valid format (# = blank):

#a	→	a#
#bc	→	bc
#	→	##

NOTES



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## 020 FIELD

Some automated systems do not index an ISBN if the format is invalid. An ISBN in field 020 subfield \$a should be 10 digits or 13 digits. If the ISBN in 020 subfield \$a does not have the valid structure, MARS 2.0 programs attempt to correct the ISBN structure by performing the following conversions:

- ISBNs with 9 digits are padded with a 0 at beginning:

original: **873671008**    corrected to: **0873671008**

- Hyphens are deleted:

original: **1-873671-008**    corrected to: **1873671008**

- Lowercase **x** is converted to uppercase **X**:

original: **187367100x**    corrected to: **187367100X**

- If the ISBN is 13 digits, first 3 digits are verified to be **978** or **979**.

- As an optional service, MARS 2.0 will correct the order of the ISBN (i.e. pairs of 13/10 and 13/10)

- As an optional service, MARS 2.0 will convert ISBN-10 to ISBN-13 (includes check-sum value for both 10 and 13 length ISBNs):

original: **1873671008**    corrected to: **9781873671000**

- ISBN-10s that exceed 10 digits or ISBN-13s that exceed 13 digits are changed from \$a to \$z, and reported (see Step 5.2, R50)

## ORDERING 020 FIELDS

LC will accept both an ISBN-13 and an ISBN-10 for the same manifestation. These numbers are shown by publishers according to guidelines issued by the IIA, which call for grouping the pairs of ISBNs by manifestation. In printed products the ISBN-13 appears first, and each number is preceded by a print constant as in the following example:

**ISBN-13:**    **978-1-873671-00-0**

**ISBN-10:**    **1-873671-00-8**

## REPEATING ISBN SUBFIELDS

MARS 2.0 validates an 020 for correct subfield repeatability. If the ISBN contains multiple \$a, each \$a is placed in a separate 020:

**020 \$a 11111111 \$a 22222222**

corrected to:

**020 \$a 11111111**

**020 \$a 22222222**

## BINDING INFORMATION IN 020s

Prior to 1978, binding information was placed in \$b. Older bibliographic records may have binding information in \$b rather than as a parenthetical qualifier in \$a.

If the 020 contains a \$b and an 020 \$a exists:

- 020 \$b data is enclosed in parentheses (if absent)
- 020 \$b data, enclosed in parentheses, is moved to end of 020 \$a data
- 020 \$a 1873671008 \$b pbk. → 020 \$a 1873671008 (pbk.)

## 020 WITH MISSING \$a

If the 020 contains \$b and no \$a exists, the \$b code will be changed to \$c:

**020 \$b pbk. → 020 \$c pbk.**

## 020 WITH MULTIPLE \$c

If the 020 contains multiple \$c, each \$c is placed in a separate 020:

**020 \$c 4.95 (lib. bdg.) \$c 3.60 (pbk.)**

corrected to:

**020 \$c 4.95 (lib. bdg.)**

**020 \$c 3.60 (pbk.)**

## 020 WITH MULTIPLE \$a AND \$c

MARS 2.0 correctly handles 020s with multiple \$a and \$c:

**020 \$a 11111111 \$c 4.95 \$a 22222222 \$c 3.60 \$c 8.97 \$b pbk.**

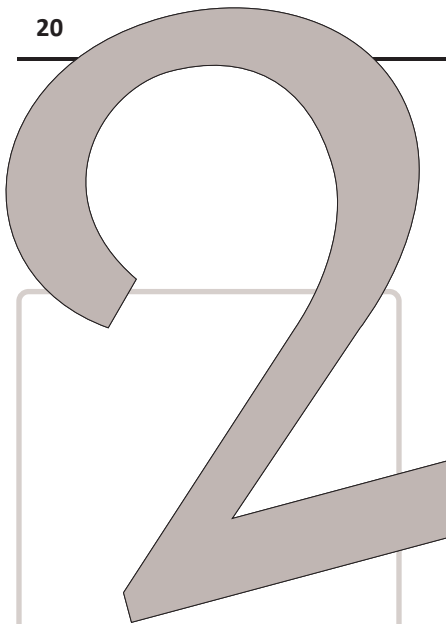
corrected to:

**020 \$a 11111111 \$c 4.95**

**020 \$a 22222222 \$c 3.60**

**020 \$c 8.97 (pbk.)**

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### 022 FIELD

MARS 2.0 can validate the format of the ISSN in field 022 \$a. Some automated systems do not index an ISSN if the format is invalid. A valid ISSN in field 022 \$a has the following structure: 4 digits, hyphen, 4 digits (or 3 digits and an X):

\$a 1067-3253	\$ 0896-9469
\$a 0610-4850	\$ 0273-142X

If the ISSN in field 022 \$a does not have the valid structure, MARS 2.0 attempts to correct it by making these conversions:

- Missing hyphen is added between the 4th and 5th digits:  
original: **12345678**    corrected to: **1234-5678**
- Lowercase **x** is converted to uppercase **X**:  
original: **1234-567x**    corrected to: **1234-567X**
- ISSNs that exceed 8 digits are changed from \$a to \$z, and reported (see Step 5.2, R50)

### 034 FIELD

MARS 2.0 can validate field 034 CCMD (Coded Cartographic Mathematical Data) for correct format. If the 034 field 1st indicator has value **2** and the 034 field contains multiple \$a, MARS 2.0 attempts to correct it by making these conversions:

- Each \$a placed in separate 034 field
- Changes each 034 field 1st indicator to value **1**

**034 2\_ \$ aa \$b 100000 \$aa \$b 120000**

corrected to:

**034 1\_ \$ aa \$b 100000**

**034 1\_ \$ aa \$b 120000**



**PROFILE STEP 2.2****2.2 - Leader & Fixed Field Updates (check one)** Yes With these modifications**LEADER & FIXED FIELD UPDATES**

MARS 2.0 provides a variety of updates and corrections to values in the Leader and fixed fields (006, 007, 008).

Step 2.2 can be customized according to your preference. If there is other information you wish to convey to us on this step, fill in "With these modifications" with more details.

The default is to update all specified leader & fixed field values.

**COUNTRY CODE & LANGUAGE CODE CORRECTIONS**

As of April 2019 we are updating obsolete Country Codes (pos. 15-17) and Language Codes (pos. 35-37) in the 008 Fixed Field as found in the Library of Congress MARC codes for [Countries](#) and [Languages](#).

**FIXED FIELD UPDATES**

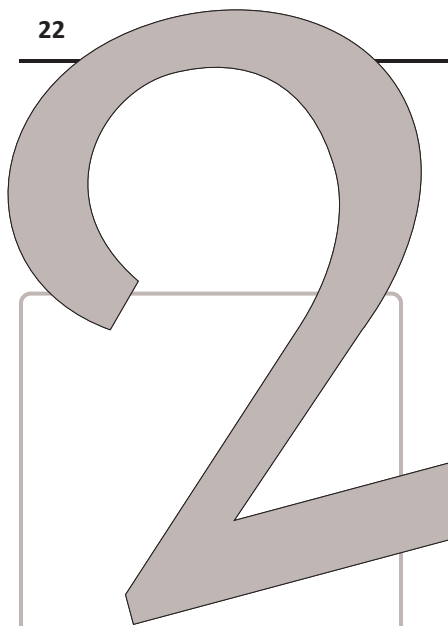
Changes to MARC 21 replaced many fixed field values or made them obsolete. In the leader, for example, the value **p** designating a "Record in partial ISBD form" in byte 18, Descriptive Cataloging Form, was made obsolete in 1987 and is now coded using value **I** (ISBD). MARS 2.0 converts a **p** value in Leader byte 18 to **i**.

Bytes 18 (Frequency) and 19 (Regularity) in the 008 fixed field for Computer files/Electronic resources format materials were made obsolete in 1995.

Additionally, 008 bytes 18-19 are undefined (should not be used) for Mixed materials format.

MARS 2.0, therefore, converts any values in 008 bytes 18-19 to blanks for Computer files/Electronic resources and mixed materials records.

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### MARS 2.0 LEADER & FIXED FIELD UPDATES TABLE

In the following table, byte position is counted with the first byte being "00" (zero) to be consistent with MARC 21 Bibliographic Format documentation. The table uses the following symbols:

- # = blank space
- | = fill character

Format codes are as follows:

Type	Definition
BK	Books
CF	Computer files / Electronic resources
MP	Maps
MU	Music
CR	Continuing resources (serials, etc)
VM	Visual materials
MP	Mixed (Archival, Manuscript, etc)

### RECORD FORMAT TABLE

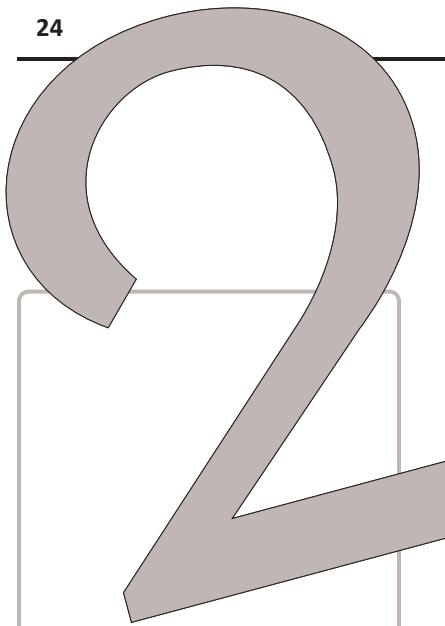
Type	LDR 06 Value	LDR 07 Value
BK	t or a	a or c or d or m
CF	m	
MP	e or f	
MU	c or d or i or j	
CR	a	b or i or j
VM	g or k or o or r	
MP	p	

Note: 'x' denotes record types affected

### LEADER

Byte	From	To	BK	CF	MP	MU	CR	VM	MX
06	h b n	a	x	x	x	x	x	x	x
18	p	i	x	x	x	x	x	x	x
18	r	i	x	x	x	x	x	x	x





NOTES

**008 FIELD, POS. 25-26**

Byte	From	To	BK	CF	MP	MU	CR	VM	MX
25	any	#		x				x	x
25	h	f	x						
25	j	i				x			
25	n	#				x			
25	x	t	x						
25	3	k	x				x		
25	4	q	x				x		
26	any	#			x			x	x
26	h	f	x						
26	j	i				x			
26	n	#				x			
26	x	t	x						
26	3	k	x				x		
26	4	q	x				x		

**008 FIELD, POS. 27-34**

Byte	From	To	BK	CF	MP	MU	CR	VM	MX
27	any	#		x	x			x	x
27	h	f	x						
27	j	i				x			
27	n	#				x			
27	x	t	x						
27	3	k	x				x		
27	4	q	x				x		
28	any	#							x
28	n	o	x				x	x	
28	j	i				x			
28	n	#				x			
29	any	#		x					x
29	j	i				x			
29	n	#				x			
30	any	#		x	x		x	x	x
31	any	#		x			x	x	x
32	any	#	x	x	x	x	x	x	x
33	any	#		x					x
33	a b c d f g h m q	z			x				
33	E	V						x	
33	#	0	x						
34	any	#		x		x			x
34	a b c d f g h m q	z			x				
34	d m t						x		
34	#	n						x	



**PROFILE STEP 2.4****2.4 - Subfield Updates & Deletes**

- Yes
- With these modifications

**SUBFIELD UPDATES & DELETES**

The tables below detail the kinds of updates and deletes made to the subfields of specific fields. Each correction can be tailored to meet your expectations and preferences.

The default is to apply all specified subfield updates & deletes.

**SUBFIELD UPDATES TABLE**

MARS 2.0 converts these subfield codes:

Tags	From	To
024	\$b	\$d
050	\$d	\$a
111	\$b	\$n
242, 245, 246, 247	\$d	\$n
242, 245, 246, 247	\$e	\$p
411, 611, 711, 811	\$b	\$n

**SUBFIELD DELETES TABLE**

MARS 2.0 deletes these subfields:

Tags	Subfield
052	\$c
100, 110, 111, 130, 240	\$h
100, 110, 111, 130, 240, 247	\$w
400, 410, 411	\$w
500	\$l, \$x, \$z
600, 610, 611, 630	\$h
600, 610, 611, 630, 650, 651	\$w
700, 710, 711, 730	\$h
700, 710, 711, 730	\$w
760, 762, 765, 767, 770, 772, 773, 774	\$q
775, 776, 777, 780, 785, 786, 787	\$q
800, 810, 811, 830	\$w
830	\$h, \$x
850	\$b
850	\$d
850	\$e

## RELATOR SUBFIELD \$e DELETIONS

Current cataloging practice restricts the use of Relator Term \$e in 100 Main Entry and 700 Added Entry-Personal Name fields. A common exception is the continued use of the relator term **ill.** for **illustrators**. Since there are many variants of **ill.**, MARS 2.0 will look for these as well.

## RELATOR TERMS TABLE

MARS 2.0 deletes \$e and its data in fields 100 and 700 if it contains one of these Relator Terms. If not found in this list, the information remains unchanged:

arr.	ed.	joint ed.
author	editor & translator	joint editor
comp. & arr.	editor and translator	joint tr.
comp. & tr.	editor	jt. auth.
comp. and arr.	joint auth.	jt. author
comp. and tr.	joint author	jt. ed.
comp.	joint authors	tr. & ed.
compiler	joint comp.	tr. and ed.
ed. & arr.	joint compiler	tr.
ed. & tr.	joint ed. & tr.	trans.
ed. and arr.	joint ed. and tr.	translator
ed. and tr.		

## TERMS TABLE FOR “ill.” CHANGES

MARS 2.0 also changes the following variations to **ill.** in \$e in fields 100 and 700:

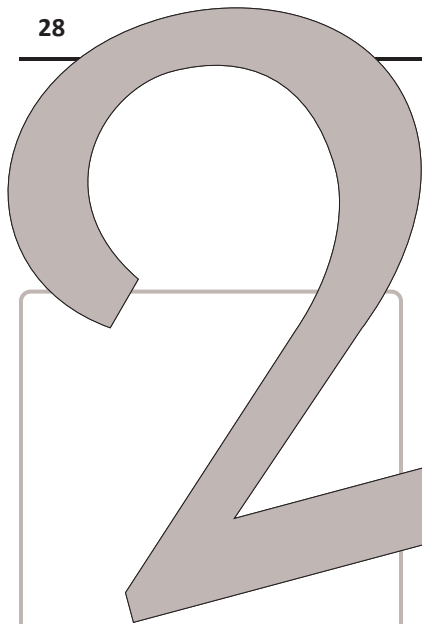
comp. & illus.	ed. and illus.	jt. illus
comp. & ill.	ed. and ill.	jt. ill.
comp. and illus.	ill	tr. & illus.
comp. and ill.	illus	tr. & ill.
ed. & illus.	illustrator	tr. and illus
ed. & ill.	joint illus	tr. and ill.

**Note:** These are AACR2 tables. Some or all entries within RDA tables may be different. RDA processing options can be found in our separate *MARS 2.0 RDA Enrichment guide*.

## 043 SUBFIELD VALIDATION

MARS 2.0 will validate the coding within the 043\$a. Any coding that is obsolete, and has a replacement, will be updated. Any coding that is obsolete and does not have a replacement will be left as is. The coding will be kept up-to-date through the [MARC Code List for Geographic Areas](#)

NOTES



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**PROFILE STEP 2.5**

**2.5 - Indicator Updates**

- Yes
- With these modifications

**INDICATOR UPDATES**

The following tables show the standard updates to 1st and 2nd indicators.

**1ST INDICATOR UPDATES TABLE**

MARS 2.0 makes these changes to the 1st indicator:

Tags	From	To
017	any	#
048	012	#
082	#	0
082	2	1
100	#2	1
110, 111	#	2
130	#	0
210	#	1
222	any	#
240, 243	2	0
240, 243	3	1
260	01456789	#
400	#2	1
410, 411	#	2

Tags	From	To
505	#	0
511	#23	0
534	01	#
535	03	1
550	any	#
600	#2	1
610, 611	#	2
630	#	0
700	#2	1
710, 711	#	2
730	#	0
800	#2	1
810	#	2
811	#	2

**2ND INDICATOR UPDATES TABLE**

MARS 2.0 makes these changes to the 2nd indicator:

Tags	From	To
050	#123	0
051	0123	#
060	#123	0
061	0123	#
070, 071	0123	#
072	#	0
100, 110, 111, 130	any	#

Tags	From	To
210	123456789	#
260	any	#
440	#	0
490	any	#
600, 610, 611, 630	#	0
650, 651	#	0
700, 710, 711, 730, 740	013	#

The default is to update all specified indicator changes.





## NOTES

**007 FIELD**

MARS 2.0 can add an 007 Physical Description Fixed Field when missing. MARS 2.0 takes into account various fields within the Bib record, such as the 300/33X/34X fields, in order to populate the 007 field as accurately as possible. There may be some instances in which an 007 cannot be populated. MARS 2.0 attempts to add a missing 007 for the following: maps, sound recordings, video recordings, and microform.

**1XX MAIN-ENTRY-IS-SUBJECT**

In the past, a value of **1** in the 2nd indicator meant the 1XX heading represented both the **main entry** and a **topical subject** access point. A MARC update in 1990 made use of the 1XX 2nd indicator for this purpose obsolete.

MARS 2.0 generates a 6XX Subject Added Entry field when the 1XX Main Entry field has 2nd indicator value **1** (main entry is subject). The 2nd indicator of the 1XX Main Entry field is changed to a **blank**—the only value currently authorized for a 1XX 2nd indicator. The 1st indicator of the new 6XX field will match the 1XX field and the 2nd indicator will be '0'.

**245 \$h ADDED (MEDIUM-AACR2)**

MARS 2.0 can check for the absence of a \$h (Medium) in the 245 Title Statement and add a missing General Material Designation (GMD) in some cases:

.....  
245 10 \$a Olympia town square /\$c by Fred Smith.

changes to:

245 10 \$a Olympia town square \$h [cartographic material]  
/\$c by Fred Smith  
.....

The following 245 \$h GMDs are added based on the values indicated:

245 \$h	LDR Byte 06 Value	008 contains
[cartographic material]	e or f	
[electronic resource]	m	
[electronic resource]	a or t	byte 33 = f
[electronic resource]	e or f	byte 29 = q
[filmstrip]	g	byte 33 = f
[kit]	o	
[microform]	a or t	byte 23 = a, b or c
[motion picture]	g	byte 33 = m
[slide]	g	byte 33 = s
[sound recording]	i or j	
[transparency]	g	byte 33 = t
[videorecording]	g	byte 33 = v

---

MARS 2.0 can also standardize GMDs already present in the 245 \$h subfield. MARS 2.0 GMD Standardization is described in Step 2.8.

**Note:** *\$h (Medium) data in other title fields and subfields are normally deleted in keeping with current cataloging practice (see the Subfield Deletes table in Step 2.4).*

### 017 FIELD

MARS 2.0 adds \$b (Source) if not present in field 017 Copyright Registration Number. The \$b in field 017 carries the name of the agency assigning the copyright registration number.

Because the \$b is now required, and records input before 1980 do not contain it, MARS 2.0 can add the appropriate \$b code and data "U.S. Copyright Office" to field 017.

### 028 FIELD

If the subfield order in an 028 field is \$b \$a, MARS 2.0 reorders the subfields so they follow the current standard order of \$a \$b.

### 032 FIELD

MARS 2.0 adds \$b (Source) if not present in field 032 Postal Registration Number. The \$b in the 032 field carries the name of the agency assigning the postal registration number.

Because \$b is now required and records input before the subfield was defined do not contain it, MARS 2.0 can add the appropriate \$b code and data "USPS" to field 032.

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## 260 FIELD

MARS 2.0 can convert field 260 \$d to field 028 \$a. Field 260 \$d was defined as “Plate or publisher number,” but was made obsolete when field 028 Publisher Number for Music was defined.

If a 260 \$d exists in a bibliographic record and the value in Leader byte 06 is **c**, **d**, **i** or **j**:

- **028** field with indicator values **02** is **generated**
- **260 \$d** is **moved** to **028 \$a**
- **260 \$b** is **copied** to **028 \$b**
- Punctuation in the 260 field is corrected, if necessary

The 260 field conversion option includes special routines that update the punctuation in all 260 fields in the bibliographic records being processed.

These punctuation routines update much of the punctuation in 260 fields to the current standards, including:

- <space> + <colon> before \$b
- <comma> before \$c
- Final field punctuation, as necessary

## 262 FIELD

Field 262 is restricted to pre-AACR2 records for sound recordings. Field 260 is valid for use with all music materials including sound recordings for the data contained in the 262 \$a \$b \$c. Field 028 was defined for the data in the 262 \$k \$l (lowercase 'l').

If field 262 exists in a bibliographic record:

- 262 is **changed** to 260
- Changes both indicators of new 260 to blank
- Retains these subfield codes: \$a \$b \$c

For each 262 \$k present:

- 028 field with indicator values 02 is **generated**
- 262 \$k is **moved** to 028 \$a
- 262 \$b is **copied** to 028 \$b

For each 262 \$l (lowercase 'l') present:

- 028 field with indicator values 12 **generated**
- 262 \$l is **moved** to 028 \$a





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### 300 FIELD

Field 300 Physical Description of the described item includes validation and cleanup for language materials only (Leader byte 06 = a). Non-print bibliographic records (i.e. media, electronic resources, microforms) are not updated during this process. Each option described below can be customized according to your preference.

The following changes are made to the 300 \$a:

- unp. or n.p. is **changed** to 1 v. (unpaged)
- Comma is added to page numbers if missing (e.g., 1264 p. becomes 1,264 p.)
- l. is **changed** to leaves
- approx. is **changed** to ca.
- p.l. is **removed** (e.g., 4 p.l., xv, 20 p. becomes xv, 20 p.)
- unnumbered is **removed** and **brackets added** (e.g., 48 unnumbered leaves becomes [48] leaves)
- [various pagings] is **changed** to (various pagings)

The following changes are made to the 300 \$b:

- Illustrative matter is rearranged to be in correct order
- Obsolete illustrative matter is replaced with ill. (e.g., tables or fronts. becomes ill.)
- ill. is **removed** if followed by parenthetical illustrative matter (e.g., ill. (ports.) becomes ports.)
- illus. is **changed** to ill.

The following general changes are made to the 300:

- Various punctuation and spacing issues updated
- Adds ;\$c cm. if missing
- Adds 300 \$a p. ;\$c cm. if record is monograph and 300 does not exist
- Numbered plate data in \$b is **moved** to \$a; if plate designation is not numbered, it is **removed**

**301 FIELD**

In 1983, field 301 was made obsolete for visual materials. Physical description data is now carried in field 300 Physical Description, with the formerly separate color (\$c), sound (\$b), and videorecording speed (\$f) data recorded in 300 \$b.

If field 301 exists in a bibliographic record:

- 301 is **changed** to 300, with indicator values <blank><blank>
- **Retains \$a** and **\$e**, with data
- \$d is **changed** to \$c
- \$b \$c \$f data is **combined** into single \$b

**305 FIELD**

Field 305 Physical Description for Sound Recordings is a pre-AACR2 field made obsolete by format integration. Field 305 was functionally replaced by field 300 Physical Description.

If field 305 exists in a bibliographic record:

- 305 is **changed** to 300, with indicator values <blank><blank>
- **Retains \$a** and **\$c**, with data
- \$b \$d \$e \$f data is **combined** into single \$b
- Updates the punctuation

For each \$m present in the 305 field:

- 305 \$m is **moved** to 028 \$a with indicator values 02
- 260 \$b is **copied** to 028 \$b

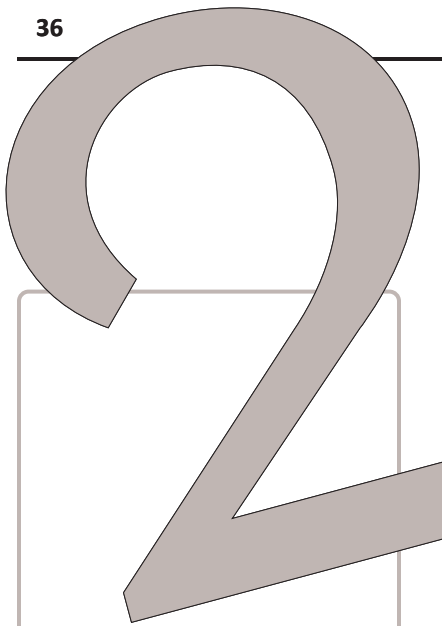
.....  
 260 \$a New York, NY \$b **Columbia**, \$c 1959.  
 300 \$a 1 sound disc (20 min.) :\$b analog, 33 1/3 rpm, stereo.  
 ;\$c 12 in. \$m **STMA 8007**

changes to:

028 02 \$a STMA 8007 \$b Columbia  
 260 \$a New York, NY \$b Columbia, \$c 1959.  
 300 \$a 1 sound disc (20 min.) :\$b analog, 33 1/3 rpm, stereo. ;\$c 12 in.  
 .....

NOTES

A large rectangular box on the right side of the page, containing the word "NOTES" at the top and several horizontal lines for writing.



NOTES

For each \$n present in the 305 field:

- 305 \$n is **moved** to 028 \$a with indicator values 11
- 260 \$b is **copied** to 028 \$b

300 \$a 1 sound disc (18 min.) \$c 10 in. \$b 74 rpm \$d standard  
 \$e monaural \$m STMA 3059 \$n L27410X

changes to:

028 02 \$a STMA 3059

028 11 \$a L27410X

300 \$a 1 sound disc (18 min.) :\$b 74 rpm, standard, monaural \$c 10 in.

### 705 & 715 FIELD CONVERSION

MARS 2.0 converts 705 fields to the equivalent 700 field and 715 fields to 710 field, while also adding a Relator Code \$4. The default content of the added \$4 is **prf**, the code for **performer**.

**Note:** Indicate in Step 2.6 if you would like a value different from **prf** in the new subfield \$4.

### X11 CONFERENCE NAME HEADINGS

MARS 2.0 updates Conference Name fields **111, 611, 711, 811** to conform to AACR2 and current MARC 21 standards. To change the obsolete \$b code to \$n, MARS 2.0 rearranges the subfields in AACR2 order and corrects the punctuation.

Pre-AACR2

711 01 \$a International Conference on the Chemistry and Uses of Molybdenum, \$b 1st, \$c University of Reading, \$d 1973

changes to AACR2 form:

711 0 \$a International Conference on the Chemistry and Uses of Molybdenum \$n (1st :\$d 1973 :\$c University of Reading)



**PROFILE STEP 2.7****2.7 - Initial Articles**

- Yes
- Exclude Corporate Name (X10) Headings
- With these modifications

**INITIAL ARTICLES AND INDICATORS**

MARS 2.0 supports the standard practice of omitting most initial articles even if a nonfiling character indicator has been defined for the field.

Initial articles are retained, and the filing indicator correctly set, for the 245 Title Statement and 440 Series Statement/Title Added Entry fields.

The MARS 2.0 Initial Article Table is an important part of the initial article processing routines. A copy is included at the end of this section. It is based on the Initial Definite and Indefinite Articles table that starts on page 40.

The default is to exclude specified initial articles.

**CORPORATE HEADING INITIAL ARTICLE CHECK**

You can choose to have corporate heading fields checked for initial articles. This MARS 2.0 option examines \$t in fields **110, 410, 610, 710, and 810**.

If \$t begins with **The**, the initial article is deleted and the first letter of the subsequent word is capitalized. Additionally, if the first word is **A** or **An**, MARS 2.0 includes it in the Possible Leading Articles report (see Step 5.2, R14).

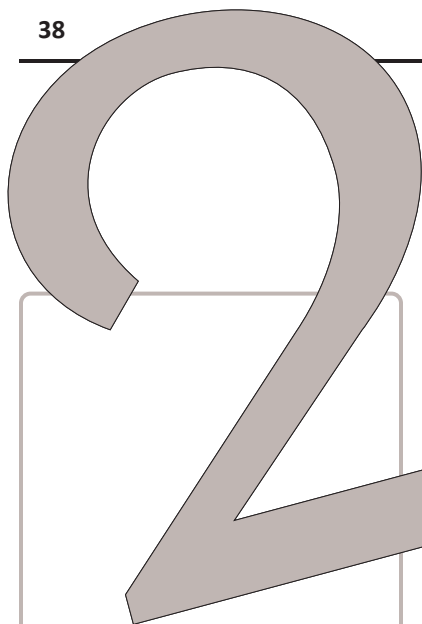
**245 & 440 FIELDS**

MARS 2.0 checks \$a for any initial article in the language of the item (as coded in fixed field 008, bytes 35-37). If an initial article is found in field 245 or 440, the 2nd indicator (Nonfiling Characters) is set to the value in the MARS 2.0 Initial Article Table.

If the field does not begin with an article in the language of the item, and the Nonfiling Characters indicator contains a number, no processing is done. This prevents setting an incorrect indicator value when a heading has been correctly coded for an initial article in a language other than that of the item as a whole.

If the 2nd indicator contains a blank (or any other character except a number), MARS 2.0 looks for the presence of an initial **A**, **An**, or **The**. If the heading begins with one of these three text strings, the heading is included in the Possible Leading Articles report (see Step 5.2, R14).

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If no other condition is satisfied, a blank Nonfiling Characters indicator is set to zero.

MARS 2.0 initial article processing is fully compliant with the February 20, 2003 Library of Congress change in counting non-filing characters.

Diacritics associated with the initial letter of the following word are no longer included in the filing indicator.

.....  
245 05 \$a **Der** öffentliche Dienst ...

440 5 \$a **Los** últimos alazapas ;\$v 2

changes to:

245 04 \$a **Der** öffentliche Dienst ...

440 4 \$a **Los** últimos alazapas ;\$v 2

Diacritics associated with the initial article and special characters other than diacritics, however, continue to be included in the filing indicator as shown in the examples below:

245 05 \$a [**The** Part of Pennsylvania that ... townships].

245 15 \$a **The** "other" person ...  
.....

MARS 2.0 does **not** examine \$p.

**OTHER FIELDS**

MARS 2.0 examines the beginning of each instance of these fields and subfields for initial articles:

SUBFIELD \$a		
130	210	240
630	211	242
730	212	243
740	214	246
830	222	247

SUBFIELD \$t		
100	110	111
400	410	411
600	610	611
700	710	711
800	810	811

For fields that have a Nonfiling Characters indicator defined, the initial word is extracted based on the filing indicator and is compared with all articles in the MARS 2.0 Initial Article Table.

If the initial word is an article:

- The word is deleted
- The first letter of the subsequent word is capitalized
- The filing indicator is reset to zero

If the article is not found, MARS 2.0 includes the field in the **Suspicious Filing Indicators Report** for local review (see Step 5.2, R13).

MARS 2.0 uses a different process if:

- The filing indicator is a zero or a blank
- No filing indicator has been defined for the field
- The subfield being examined is a \$t subfield
- If the subfield begins with **The**
- The initial article is deleted
- The first letter of the subsequent word is capitalized
- The filing indicator (if defined) is reset to zero

Additionally, if the first word is **A** or **An**, it is included in the **Possible Leading Articles Report** (see Step 5.2, R14).

### COUNTING NONFILING CHARACTERS

With the advent of MARC 21, the method of counting non-filing characters was clarified. On February 20, 2003 the Library of Congress implemented a change in practice for counting non-filing characters to reflect the MARC 21 clarification.

This change applies when definite or indefinite articles are present and the first filing word following the article begins with a character modified by a diacritic. When an initial article is present, the rule for counting non-filing characters is as follows:

*Count the article, diacritics associated with the article, any blank space, an alif, an ayn, or any mark of punctuation preceding the first filing character.*

*Do not count a diacritic associated with the first filing character (the alif and ayn are not diacritics, they are special spacing characters not considered for filing).*

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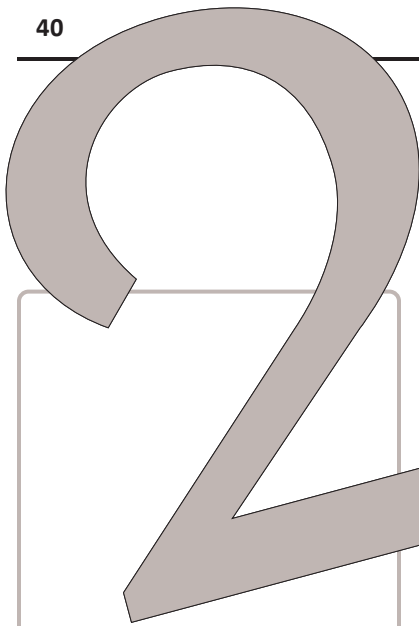
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NOTES

This practice is best illustrated by the following examples.

Old practice:

- 245 13 \$a L'été ...
- 245 15 \$a Los últimos ...
- 245 05 \$a Der öffentliche Dienst ...
- 245 15 \$a al-'Ālam ...

New practice:

- 245 12 \$a L'été ...
- 245 14 \$a Los últimos ...
- 245 04 \$a Der öffentliche Dienst ...
- 245 14 \$a al-Ālam ...

Other helpful examples with and without initial articles (these do **not** reflect a change in practice):

- 245 04 \$a al-'Arabīyah ...
- 245 14 \$a Hē Monē ...
- 245 12 \$a L'enfant criminal.
- 245 05 \$a [The Part of Pennsylvania that ... townships].
- 245 15 \$a The "other" person ...
- 245 10 \$a [Diary] ...
- 245 10 \$a "Full steam ahead!" ...

**Note:** *The following characters can be considered candidates as "the first filing character":*

latin letters	ō - eth	ø - slashed o
arabic numbers	ı - turkish i	þ - icelandic thorn
super or subscript numbers	ł - polish L	# - hatch mark
Æ - AE diagraph	ℓ - script L	& - ampersand
Œ - OE diagraph	o - hooked o	+ - plus sign
Đ - crossed d	u - hooked u	

**MARS 2.0 INITIAL ARTICLE TABLE**

The table shown on the next four pages is used in the MARS 2.0 processing. It lists each initial article, and the associated filing indicator, by language.

This table is not intended as a comprehensive list, but rather a tool that is used within a specific automated process. Generally, initial articles that cannot be correctly converted in all headings without manual review are not included in the table.

Language	Article	Ind
<i>language not coded</i>	a	2
<i>or language code not</i>	an	3
<i>found in this table</i>	the	4

Afrikaans	die	4
	'n	3

Arabic	al-	3
	el-	3

Baluchi	al-	3
---------	-----	---

Basque	bat	4
--------	-----	---

Catalan	el	3
	els	4
	en	3
	l'	2
	la	3
	les	4
	un	3
	una	4

Danish	de	3
	den	4
	det	4
	en	3
	et	3

Dutch	de	3
	een	4
	eene	5
	het	4
	'n	3
	't	3

Language	Article	Ind
English	a	2
	an	3
	d'	2
	de	3
	the	4

Esperanto	la	3
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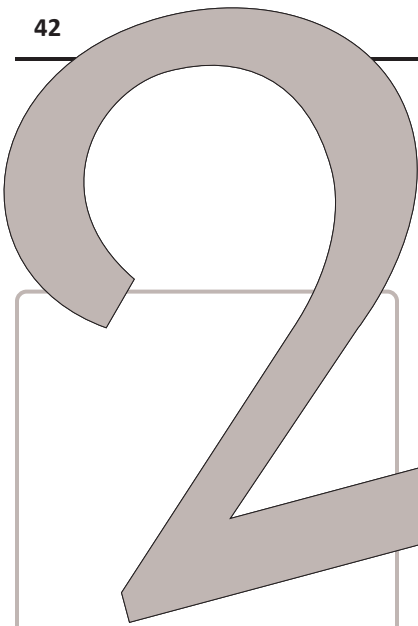
French	l'	2
	la	3
	le	3
	les	4
	un	3
une	4	

Frisian	de	3
	'e	3
	in	3
	it	3
	'n	3
	't	3

Gaelic	a'	3
	am	3
	an	3
	an t-	5
	na	3
	na h-	5

Gallegan (Galician)	a	2
	as	3
	o	2
	unha	5

NOTES



NOTES

**MARS 2.0 INITIAL ARTICLE TABLE (2 OF 4)**

Language	Article	Ind
German	das	4
	dem	4
	den	4
	der	4
	des	4
	die	4
	ein	4
	eine	5
	einem	6
	einen	6
	einer	6
	eines	6
	's	3

Greek, Ancient	hai	4
	hē	4
	ho	3
	hoi	4
	ta	3
	tais	5
	tas	4
	tē	4
	tēn	5
	tēs	5
	to	3
	tō	4
	tois	5
	ton	4
tōn	5	
tou	4	

Language	Article	Ind
Greek, Modern	hai	4
	hē	4
	heis	5
	hen	4
	hena	5
	henas	6
	ho	3
	hoi	4
	mia	4
	ta	3
	tēn	5
	tēs	5
	to	3
ton	4	
tōn	5	
tou	4	

Hawaiian	he	3
	ka	3
	ke	3
	kekahi	7
	na	3
	o	2

Hebrew	ha-	3
	he-	3
	ho-	3

Hungarian	a	2
	az	3
	egy	4

**MARS 2.0 INITIAL ARTICLE TABLE (3 OF 4)**

Language	Article	Ind
Icelandic	hin	4
	hina	5
	hinar	6
	hinir	6
	hinn	5
	hinna	6
	hinnar	7
	hinni	6
	hins	5
	hinu	5
	hinum	6
	hio	4
'r	3	

Irish	an	3
	an t-	5
	na	3
	na h-	5

Italian	gl'	3
	gli	4
	i	2
	il	3
	l'	2
	la	3
	le	3
	lo	3
	un	3
	un'	3
	una	4
uno	4	

Malagasy	ny	3
----------	----	---

Maltese	il-	3
	l-	2

Language	Article	Ind
Norwegian	de	3
	dei	4
	den	4
	det	4
	e	2
	ei	3
	ein	4
	eit	4
	en	3
et	3	

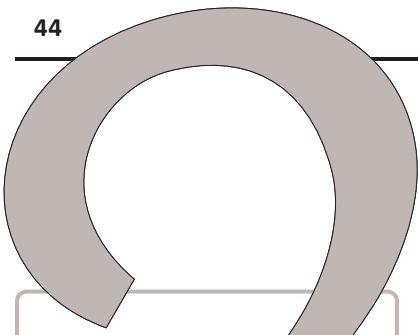
Panjabi	al-	3
---------	-----	---

Perisian	al-	3
----------	-----	---

Portuguese	a	2
	as	3
	o	2
	os	3
	um	3
uma	4	

Provençal	ih-	3
	il	3
	l'	2
	la	3
	las	4
	le	3
	les	4
	lh	3
	lhi	4
	li	3
	lis	4
	lo	3
	los	4
	lou	4

NOTES



NOTES

**MARS 2.0 INITIAL ARTICLE TABLE (4 OF 4)**

Language	Article	Ind
Provençal (cont.)	lu	3
	un	3
	una	4
	uno	4
	uns	4
	us	3

Language	Article	Ind
Romanian	a	2
	al	3
	o	2
	un	3
	unei	5
	unui	5

Language	Article	Ind
Scots	a	2
	an	3
	ane	4

Language	Article	Ind
Spanish	el	3
	la	3
	las	4
	lo	3
	los	4
	un	3
	una	4

Language	Article	Ind
Swedish	de	3
	den	4
	det	4
	en	3
	ett	4

Language	Article	Ind
Tagalog	ang	4
	ang mga	8
	mga	4
	ñga	5
	sa	3
	sa mga	7
	si	3
	siná	6

Language	Article	Ind
Turkish	al-	3

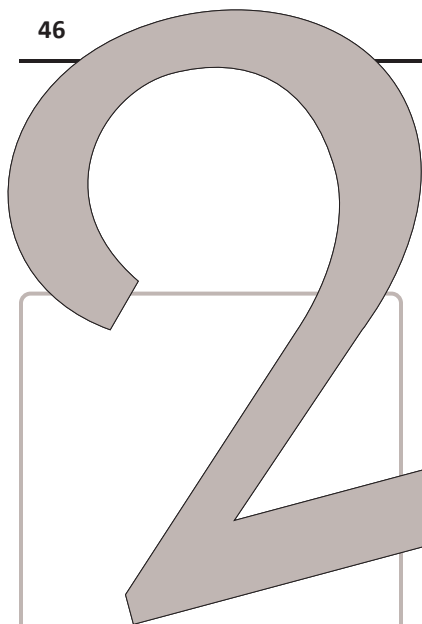
Language	Article	Ind
Urdu	al-	3

Language	Article	Ind
Welsh	y	2
	yr	2

Language	Article	Ind
Yiddish	a	2
	an	3
	der	4
	di	3
	die	4
	dos	4
	eyn	4
eyne	5	







NOTES

**AACR2 STANDARD TERMS (LEVEL 1)**

In the AACR2 Standard Terms option (GMD Level 1), MARS 2.0 will convert as many GMDs as possible to the terms authorized in the current edition of AACR2.

For example, both **\$h[computer file]** and **\$h[computer fille]** would be modified to **\$h[electronic resource]**. A list of the terms in both processing levels is shown on pages XX and XX.

**COMMON PRACTICE TERMS (LEVEL 2)**

In some local catalogs, there may exist GMDs which are not included in the AACR2 list of authorized GMDs (AACR2 paragraph 1.1C). The MARS 2.0 Level 2 GMD list contains **common** terms used in many libraries.

For example, using the Level 2 Common Practice Terms table, the GMD **\$h[audiocassette]** would be corrected to **\$h[audiocassette]**, while in the AACR2 Standard Terms option (Level 1) **\$h[audiocassette]** would be corrected to the standard AACR2 GMD **\$h[sound recording]**.

Obsolete terms (i.e., terms that were once authorized by AACR2 and have been replaced by a different term) are normally updated to the replacement term even in Level 2. For example, **\$h[computer file]** is replaced by the newer term **\$h[electronic resource]**.

**CUSTOM TERMS**

You can easily modify either of the GMD term options available in MARS 2.0. For example, if you would like to standardize all your GMDs to the AACR2 Standard Terms, but retain the non-standard terms “microfiche” and “microfilm”, simply notate it in Step 2.9 under Additional Information.

**UNRECOGNIZED TERMS**

If the MARS 2.0 GMD tables do not contain a particular GMD variant, that GMD will be included in the **Unrecognized GMD Report** (See Step 5.2, R51).

**BRACKETS**

MARS 2.0 can also add square brackets around the GMD if not present. Similarly, if the GMD is enclosed in parentheses, angle brackets, etc. MARS 2.0 changes them to square brackets. MARS 2.0 can also remove brackets from GMDs to support systems in which the brackets cause display problems.



NOTES

### MARS 2.0 GMD TABLE – GMD COMMON TERMS (SPELLING VARIANTS NOT SHOWN)

Level 2 - Common Terms		
activity card	globe	record
art original	government document	serial
art reproduction	graphic	slide set
atlas	kit	sound recording
audiocassette	large print	sound recording (cassette)
braille	laser disc	sound recording (compact disc)
cartographic chart	LP	sound recording (CD)
cartographic material	manuscript	sound recording (LP)
cartographic material (tactile)	map	study print
CD recording	map (tactile)	technical drawing
CD-ROM	microfiche	text
CDV	microfilm	text (large print)
chart	microform	toy
chart (large print)	microopaque	transparency
compact disc	microprint	US document
diorama	microscope slide	VHS
DVD	model	video CD
DVD-ROM	motion picture	video single disc
electronic resource	music	videocassette
electronic resource (CD-ROM)	music (braille)	videodisc
federal document	newspaper	videodisc (DVD)
filmstrip	periodical	videorecording
flash card	photograph	videorecording (DVD)
floppy	picture	videorecording (VHS)
game	realia	VSD



# NOTES

## Lexile Measures

For more information about Accelerated Reader, quiz points, and reading levels please visit [www.lexile.com](http://www.lexile.com):

The Lexile framework is a scientific way to match readers with text using the same scale. Recognized as the standard for matching readers with texts, Lexile® measures connect learners of all ages with resources at the right level of challenge. Lexile measures provide a clear way to monitor progress toward college and career readiness.

There are currently over **500,000 ISBNs** represented within the Lexile database.

Here is an example of a before/after record with the Lexile enrichment:

### original record:

100 1# \$a Paige, D. M.  
 245 10 \$a Dorothy must die :\$b stories /\$c Danielle Paige.  
 300 ## \$a377, 27 pages ;\$c 21 cm.

### updated record

100 1# \$a Paige, D. M.  
 245 10 \$a Dorothy must die :\$b stories /\$c Danielle Paige.  
 300 ## \$a377, 27 pages ;\$c 21 cm

521 8# \$a HL720L \$b Lexile



## NOTES

Here is an example of a before/after record adding a matching authority identifier:

**original record**

100 1# \$a Bouchardon, Edme, \$d 1698-1762, \$e illustrator.

245 15 \$a L'anatomie necessaire pour l'usage du dessein /\$c par Edme Bouchardon.

650 #0 \$aAnatomy, Artistic.

650 #2 \$aAnatomy, Artistic.

**updated record**

100 1# \$a Bouchardon, Edme, \$d 1698-1762, \$e illustrator. \$0 nr 99034050

245 15 \$a L'anatomie necessaire pour l'usage du dessein /\$c par Edme Bouchardon.

650 #0 \$aAnatomy, Artistic. \$0 sh 85004836

650 #2 \$aAnatomy, Artistic. \$0 D000716

Please note that, in addition to adding identifiers from Library of Congress, the processing also added a matching identifier from the National Library of Medicine.

SPECIAL NOTE: The TIND LMS requires the \$0 with the Authority ID to be inserted after each portion of the heading for which an Authority record exists. So the \$0 may appear *between* subfields.

Adding the actual URIs is very similar to the examples above, except the full URI link is added to the corresponding \$0:

**original record**

100 1# \$a Bouchardon, Edme, \$d 1698-1762, \$e illustrator.

245 15 \$a L'anatomie necessaire pour l'usage du dessein /\$c par Edme Bouchardon.

650 #0 \$aAnatomy, Artistic.

650 #2 \$aAnatomy, Artistic.



**updated record**

100 1# \$a Bouchardon, Edme, \$d 1698-1762, \$e illustrator. \$0 <http://id.loc.gov/authorities/names/nr99034050>

245 15 \$a L'anatomie necessaire pour l'usage du dessein /\$c par Edme Bouchardon.

650 #0 \$aAnatomy, Artistic. \$0 <http://id.loc.gov/subjects/sh85004836>

650 #2 \$aAnatomy, Artistic. \$0 <http://id.nlm.nih.gov/mesh/D000716>

Depending on your ultimate goal with receiving identifiers vs URIs will help inform your decision as to which one to receive within your bibliographic records. If you select this option in your profile, our *default* is to add the full URI in the \$0.

\*\*At the end of 2019 we updated the URI processing to better reflect the "best practices" for name/title matches when the name/title appear in a 1XX & 240 field. New best practices are to include a URI for the name in the 1XX field and a URI for full name/title in the 240 field.

**original record**

100 1# \$a Alderman, Naomi, \$e author.

240 10 \$a Power. \$l Spanish

**updated record**

100 1# \$a Alderman, Naomi, \$e author. \$0 <http://id.loc.gov/authorities/names/n2006034931>

240 10 \$a Power. \$l Spanish \$0 <http://id.loc.gov/authorities/names/no2018156991>

We have two alternative options to this new standard for the 1XX/240. Please notify us if you would prefer either of these alternates.

1. Add name-only URI in the 1XX field; no URI to the 240
2. Add name/title URI to the 240; no URI to the 1XX

NOTES

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### Add \$4 for relator terms

In the past, the \$4 in access points was defined for use for the relator "code" and was often used in place of the \$e relator term. The \$4 has now been redefined to ALSO include the URI for the relator. Our process will check the \$e relator term and/or \$4 relator code against [id.loc.gov/vocabulary/relators](http://id.loc.gov/vocabulary/relators) to identify the appropriate URI for the relator.

Example:

100 1# \$a Bouchardon, Edme, \$d 1698-1762, \$e illustrator. \$4 [id.loc.gov/vocabulary/relators/ill](http://id.loc.gov/vocabulary/relators/ill)

### Add \$0 URIs to non-access points

With the continued conversations of moving beyond MARC to a linked data environment, the greater library community is continuing to explore other MARC fields that could potentially have URIs added. The MARS 2.0 service can currently add URIs to the following MARC fields: 043, 050, 33X, 34X.

Examples:

043 ## \$a n-us--- \$0 <http://id.loc.gov/vocabulary/geographicAreas/n-us>

050 14 \$a KF27 \$b .E5525 2010b \$0 <http://id.loc.gov/authorities/classification/K>

336 ## \$a text \$2 rdacontent \$0 <http://rdaregistry.info/termList/RDAContentType/1020>

337 ## \$a unmediated \$2 rdamedia \$0 <http://rdaregistry.info/termList/RDAMediaType/1007>

338 ## \$a volume \$2 rdacarrier \$0 <http://rdaregistry.info/termList/RDACarrierType/1049>

340 ## \$a plastic \$2 rdamat \$0 <http://rdaregistry.info/termList/RDAMaterial/1029>

### Add \$1 URIs to matching bibliographic access points

In addition to having a \$0 with the URI for the authority added, you may also opt to have a \$1 for a Real World Object (RWO) added. Current sources available are the Virtual International Authority File (VIAF), the International Standard Name Identifier (ISNI), LC Agents and WikiData.

Example:

100 1# \$a Bouchardon, Edme, \$d 1698-1762, \$e illustrator. \$1 <http://viaf.org/viaf/64206515> \$1 <http://isni.org/isni/0000000122809802>





## Step 3: Authority Cleanup & Matching

### SYNOPSIS

Through numerous examples, Step 3 details the cleanup and matching options available for your bibliographic headings and authority records. This section contains many of the details that you will need to inform your decisions during this step.

### ILS LINK

Since the great majority of your bibliographic headings will be manipulated in some way in Step 3, it might help to confer with your ILS vendor about what kinds of changes you can expect with the headings.

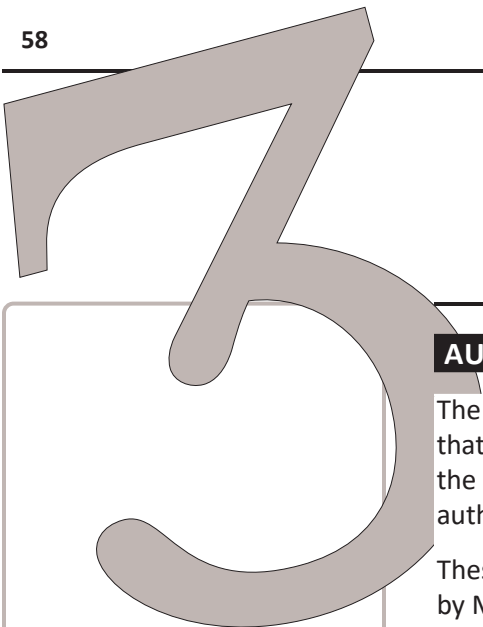
### AT A GLANCE

- Authority cleanup of bibliographic headings (typos, misspellings, etc.)
- 6XX fields with different 2nd indicators and how they should be handled
- Partial match handling
- Series processing
- Genre/form processing
- Other Subject vocabularies
- Local authority file, local authority fields to be retained, etc.

### KEY TERMS

- Normalization
- Split headings
- Form subdivisions
- LC Child, MeSH, Canadian, local headings
- DEI Initiatives

NOTES



NOTES

**AUTHORITY CLEANUP OVERVIEW**

The first phase of MARS 2.0 Authority Control comprises a battery of routines that update and correct individual subfields and contiguous pairs of subfields, the purpose of which is to increase the likelihood of finding the appropriate authority match.

These corrections are based on a number of subfield update tables, maintained by MARS 2.0 authorities librarians.

MARS 2.0 Authority Cleanup subfield correction routines include:

- Updating obsolete forms of subdivisions to the current form
- Correcting common typographical errors
- Expanding abbreviations in subject subfields to their fuller form
- Converting direct geographic subdivisions to their indirect form
- Deleting subject subdivisions which have been canceled or discontinued
- Correcting spacing, capitalization, and punctuation

**UPDATE OBSOLETE SUBDIVISIONS**

MARS 2.0 uses a number of subfield correction tables to correct common errors in Library of Congress (LC) subdivisions:

.....

-- Relations **(General) with the** United States

changes to:

-- Relations -- United States

.....

**CORRECT TYPOGRAPHICAL ERRORS**

MARS 2.0 also uses the subfield correction tables to correct common spelling errors in LC subdivisions:

Error	Changes to	In Field/Subfield
Histroy	History	LC 6XX \$x subfields
Untied States	United States	LC 650 \$z and 651 \$a subfields

## EXPAND ABBREVIATIONS

The subfield correction tables also support the expansion of outdated or invalid abbreviations in LC headings to the full form. Changes are made only when the outdated or invalid form is the entire text of the subfield:

Outdated/Invalid	Changes to	In Field/Subfield
Hist. & crit.	History and criticism	LC 6XX \$x subfields
U.S.	United States	LC 651 \$a, X10 \$a and 6XX \$z subfields
Econ. cond.	Economic conditions	LC 6XX \$x subfields

## DIRECT-TO-INDIRECT GEOGRAPHIC CONVERSION

MARS 2.0 uses a table to convert many direct geographic subdivisions to the indirect form. Changes are made by the direct-to-indirect subfield conversion program only when the invalid form is the entire text of the \$z **and** there is only one \$z in the heading:

Direct Subdivision	Changes to	In Field/Subfield
\$z Paris	\$z France \$z Paris	LC 6XX fields
\$z Jefferson Co., Kan.	\$z Kansas \$z Jefferson County	LC 6XX fields
\$z Jefferson County, Kan.	\$z Kansas \$z Jefferson County	LC 6XX fields

## CHRONOLOGICAL CONVERSION

MARS 2.0 uses a table to convert chronological headings' \$y to their correct form. Corrections are made to spelling and punctuation as well as to format:

Subdivision	Changes to	In Field/Subfield
\$y Twentieth century	\$y 20th century	LC 6XX fields
\$z 20th century	\$y 20th century	LC 6XX fields
\$y 20th centry	\$y 20th century	LC 6XX fields

## DELETE OBSOLETE SUBDIVISIONS

MARS 2.0 uses a subfield deletion table to eliminate canceled subfields from LC bibliographic headings, deleting subfields only when the invalid form is the entire text of the subfield:

Deleted	Field/Subfield
Addresses, essays, lectures	6XX \$x subfields
Addresses, sermons, etc.	6XX \$x subfields
Collected works	6XX \$x subfields

NOTES



NOTES

The subfield deletion table also includes common misspellings and typographical error removals:

Error	Field/Subfield
Adresses, essays, lectures	6XX \$x subfields
Addressses, essays, lectures	6XX \$x subfields
Collected work	6XX \$x subfields

### RETAIN SELECTED SUBDIVISIONS

The subfield deletion table includes a section that prevents subfield conversions and deletions in headings meeting specific criteria:

.....

-- Yearbooks

changes to:

-- Periodicals

*except when - Yearbooks is part of the subfield pair:*

-- Students -- Yearbooks

.....

### CORRECT SPACING, CAPITALIZATION, AND PUNCTUATION

Most errors in spacing, capitalization and punctuation are corrected as an integral part of the authority cleanup and matching processes. Routines are also run to correct spacing and punctuation on the following fields:

**1XX, 240, 243, 245, 260, 4XX, 6XX, 7XX, 8XX**

These processes eliminate any excess spaces in each field, makes sure each field has the correct punctuation within and between each subfield, and makes sure each field has ending punctuation.

.....

original headings:

100 10 \$a Black, Adam, \$d 1974- .~~\$t~~ Crested geckos

111 20 \$a IEEE 1394 (FireWire) Workshop \$d (2001, ~~\$c~~ Berlin, Germany)

changes to:

100 10 \$a Black, Adam, \$d 1974- ~~\$t~~ Crested geckos

111 20 \$a IEEE 1394 (FireWire) Workshop \$d (2001 :~~\$c~~ Berlin, Germany)

.....







NOTES

### FIELDS UNDER AUTHORITY CONTROL

MARS 2.0 corrects and updates the full range of authority controlled headings. The following bibliographic headings / fields are included in MARS 2.0 authority control processing:

Name, Title, and Series Authority Controlled Headings	
Personal Names	100, 700
Corporate Names	110, 710
Conference Names	111, 711
Uniform Titles	130, 240, 730
Uniform Titles in a \$t	600, 610, 611, 700, 710, 711
Series	400, 410, 411, 440, 800, 810, 811, 830

Subject Authority Controlled Headings	
Personal Names	600
Corporate Names	610
Conference Names	611
Uniform Titles	630
Topical	650
Geographic	651
Genre/Form	655

### SUBFIELDS DISREGARDED

A number of MARC subfields are disregarded during MARS 2.0 authority matching. In the examples below, the volume designations in fields 810 and 440 \$v, the heading linkage information in field 130 \$6, and the ISSN in field 440 \$x, are all examples of subfield information which is not under authority control:

.....

810 2 \$a John Bartholomew and Son. \$t Bartholomew world travel series ;\$v 10.

130 0 \$6 880-01 \$a "Hsūān lai his kan" his lieh.

440 4 \$a Romanica Gothoburgensia ;\$v 12, 16 \$x 0080-3863

.....

## SUBFIELDS MATCHED OR IGNORED

The table below shows the subfields that are included in the MARS 2.0 authority matching process:

MARC Field	Subfields Retained During Matching	Subfields Ignored During Matching
100, 400, 700, 800	abcdefghijklmnopqrstyz	ewvwx23456
110, 410, 710, 810	abcdefghijklmnoprstyz	ewvwx23456
111, 411, 711, 811	abcdefghijklmnopqrstuyz	vwx23456
130, 830	adfgklnoprstxyz	vw2356
730	adfgklnoprstyz	vwx2356
440	anp	vwx6
600	abcdefghijklmnopqrstvxyz	ew23456
610	abcdefghijklmnopqrstvxyz	ew23456
611	abcdefghijklmnopqrstuvxyz	23456
630	adfgklnoprstvxyz	w2356
650	abcdvxyz	ew236
651	abvxyz	w236
655	abcvxyz	ew236

## NORMALIZATION

Headings from both your bibliographic records and the MARS 2.0 national authority files are normalized before they are compared for matching. MARS 2.0 uses the NACO normalization standard. During normalization:

- Alphabetic characters are converted to **uppercase**
- The **first comma will be retained** in the 'a' subfield for personal name headings
- All other punctuation is **removed**
- Certain **diacritics** and **hyphens** are left in for JACKPHY normalization
- All other diacritics are **removed**
- Special characters are replaced by an **alphabetic equivalent**
- Subfield codes are **removed**
- Subfield delimiters for **all but first subfield** will be left in

NOTES

**PROFILE STEP 3.1****3.1 - Generic Name Headings**

- Flip Generic Name Headings
- Search Generic Names against VIAF

**NORMALIZATION AND MATCHING OF GENERIC NAME HEADINGS**

Normalization of the name headings is different. All information in the personal name heading is considered when determining matches. Only \$a of the name heading is removed (i.e., the delimiter and subfield code, not the data within \$a).

Name headings are defined as bib fields 100 (along with 240/243), 600, 700, and 800. Death date and other information in the bib heading date will always be considered. A bib heading with a death date will not match against an authority heading without one.

Normalization of a name heading is as follows:

Original Bib Heading	Authority Record
700 1 \$a Pinsent, John, \$d 1922-	400 1 \$a Pinsent, John, \$d 1922-
	100 1 \$a Pinsent, John, \$d 1922-1995
Original Bib Heading - NORMALIZED	Authority Record - NORMALIZED
700 1 <b>PINSENT, JOHN \$ 1922</b>	400 1 <b>PINSENT, JOHN \$ 1922</b>
	100 1 PINSENT, JOHN \$ 1922 1995
Original Bib Heading - Matched	Authority Record - Control No
700 1 \$a Pinsent, John, \$d 1922-1995	n 50011026

In this case, the original heading contained a birth date yet lacked a death date. However, when a valid cross-reference exists (e.g., the older form used in this example) the match can then be updated with the death date.

When multiple matches occur on personal name headings, the bib heading will not be replaced with any of the matches. In the case with multiple potential authority matches, the program cannot know which one to take over the others and so the bib heading remains unchanged. The multiple potential authority matches will be reported to the user in **Heading Matches Multiple Authority Records** (see Step 5.2, R10).

During the final phase of Authority Control, the incorrect form of the heading in the bibliographic record is replaced by the established form of the authority record. The corrected heading contains missing or changed diacritics.

Generic names are searched, by default, against VIAF to improve matching, [see p. 71](#) for more information.

The default is to flip generic name headings when a match exists.

**BIBLIOGRAPHIC TEXT REPLACED**

When a heading matches a 1XX authorized heading or a 4XX cross-reference in an authority record, MARS 2.0 processing:

- Replaces the bibliographic heading text with the text from the 1XX field of the authority record
- Replaces the second and third characters of the bibliographic tag with the second and third characters of the 1XX authority heading tag, as appropriate (see “6XX Field Flipping” in Step 3.2 of the Planning Guide)

This replacement process corrects errors in capitalization, punctuation, spacing, subfield coding and some tagging errors. MARS 2.0 ensures that the appropriate ending punctuation is supplied in the bibliographic heading.

**MATCHING OF GENERIC NAME HEADINGS**

Currently if you have a **generic name heading** (no date or full form of name) in your bib record and a match is found on a See reference **400** of an LC Personal Name authority record, MARS 2.0 will automatically flip the authority heading to reflect the new authority:

.....

generic bib heading:

100 10 \$a Campbell, John

finds match to authority below:

001 n2001026796

100 10 \$a Campbell, John, \$d 1826-1910

**400 10 \$a Campbell, John**

generic bib heading changes to:

100 10 \$a Campbell, John, \$d **1826-1910**

.....

Choosing to flip on **generic name headings** will give you a greater match rate, but it can cause **mismatched headings**. MARS 2.0 allows for the flip of all name authority headings including the **generic name heading** if there is a match to a See reference 400 in the LC authority record.

NOTES

Lined area for notes.





NOTES

**SEE FROM TRACINGS**

MARS 2.0 Authority Matching software looks at both the authorized (or established) form of a heading in the authority record’s 1XX field and the unauthorized form in the 4XX fields (*See From* tracings):



original bib headings:

- 650 0 \$a Philippine American War, Philippines, 1899-1902.
- 651 0 \$a Philippines \$x History \$y Insurrection, 1899-1901.
- 651 0 \$a United States \$x History \$y Philippine Insurrection, 1899-1902.

The normalized headings from the bibliographic records are compared to the normalized authorized 1XX and the unauthorized 4XX authority record headings.

The headings above match headings contained in sh 85100792 - LC subject authority record:

- 001 sh 85100792
- 151 0 \$a Philippines \$x History \$y Philippine American War, 1899-1902
- 450 0 \$a Filipino American War, Philippines, 1899-1902
- 450 0 \$a Philippine American War, Philippines, 1899-1902**
- 450 0 \$a Philippine Insurrection, Philippines, 1899-1902
- 451 0 \$a Philippines \$x History \$y Insurrection, 1899-1901**
- 451 0 \$a United States \$x History \$y Philippine Insurrection, 1899-1902**

The three unauthorized headings in the bibliographic record would all be replaced by the established form of the heading:

- 151 0 \$a Philippines \$x History \$y Philippine American War, 1899-1902

MARS 2.0 then merges or deduplicates the three identical authority headings to form one heading:

- 651 0 \$a Philippines \$x History \$y Philippine American War, 1899-1902



## HIERARCHY

Unauthorized headings (*See From* tracings) are often included only in the authority record for the highest level of a heading. The authority record for **Apples**, for instance, contains the older form of the heading, **Apple**. The authority record for the fuller heading, **Apples—Marketing**, however, does not contain a tracing for **Apple—Marketing**.

Using all hierarchy levels during Authority Matching, i.e., the highest level **Apples** plus all fuller forms such as **Apples—Marketing** and **Apples—Washington (State)—Marketing**, allows a greater number of heading updates.

Normalized headings are constructed for each level of hierarchy in the heading:

.....  
original bib heading:

650 0 \$a **Electronic digital computers \$x Programming** \$v Congresses.

levels of hierarchy for this heading:

650 0 \$a Electronic digital computers

650 0 \$a Electronic digital computers \$x Programming

650 0 \$a Electronic digital computers \$x Programming \$v Congresses

partial match to 4XX heading in LC subject sh 85107310:

150 0 \$a Computer programming

450 0 \$a **Electronic digital computers \$x Programming**

corrected form of heading in bib record (a partial match):

650 0 \$a **Computer programming** \$v Congresses.  
.....

## CONSTRUCTING MULTIPLE LEVELS OF HIERARCHY

When constructing multiple levels of hierarchy for a heading, the shortest form of the heading that is matched against the authority file is referred to as the **highest level** of the heading:

.....  
full heading:

700 12 \$a Freud, Sigmund, \$d 1856-1939. \$t Selections. \$f 1980

highest level heading:

700 12 \$a **Freud, Sigmund, \$d 1856-1939**  
.....

NOTES



NOTES

**HIERARCHY RECORD DELIVERED TO MARC FILE**

When a hierarchy match is found not only is the authority heading replaced with the appropriate authority record, but the hierarchal version of the authority record is delivered to your MARC authority file allowing appropriate cross references to be connected to your new heading.

**SUBFIELDS REPRESENTING HIGHEST LEVEL HEADING**

MARS 2.0 drops the right-most subfield(s) in generating a higher-level heading and it stops (it has reached the highest level heading) when it encounters any subfield code in the following table:

Subject Codes Indicating Highest Level Heading	
100, 400, 600, 700, 800	a b c d q
110, 410, 610, 710, 810	a b
111, 411, 611, 711, 811	a b
130, 430, 630, 730, 830	a d
440	a
650	a c d
651	a
655	a

**NAME/TITLE HEADINGS**

Name/title headings, which are often coded as a \$a/\$t combination in either a 7XX or 6XX field, present a unique challenge. LC authority records containing the full name/title headings have been established and would be matched during normal MARS 2.0 authority matching:

.....

name/title combined headings:

600 10 \$a Twain, Mark, \$d 1835-1910. \$t Innocents abroad.

710 1 \$a Canada. \$t Treaties, etc. \$d 1992 Oct. 7.

.....



## NAME/TITLE SPLIT AND TEMPORARY HEADINGS

At other times, however, the name/title heading is split between two fields, a 1XX Main Entry and a 240 Uniform Title. In order to correctly process 1XX/240 name/title headings, temporary headings are built whenever a record contains both a 1XX and 240 field:

.....

bib headings:

100 0 \$a **Aristotle.**

240 10 \$a **Works.** \$l English. \$f 1984

changes to:

100 0 \$a Aristotle. **\$t Works**

Using normal matching, the 100 field above would match the authority record for Aristotle. There is no authority record, however, for the uniform title found in the 240 field. The two fields (100/240) are combined during the matching process only.

The temporary MARS 2.0 authority heading would then match the correct LC authority record **n 8242241:**

100 0 \$a **Aristotle. \$t Works.** \$l English. \$f 1984

400 0 \$a Aristotle. \$t Complete works of Aristotle. \$f 1984

.....

## NAME/TITLE TRACING

Inclusion of LC authority records in a library's record distribution is an important MARS 2.0 service. Most local systems use the 400 *See From* tracing in the above authority record to guide patrons from the unauthorized to the authorized heading using a display similar to the following:

.....

Aristotle - Complete works of Aristotle - 1984

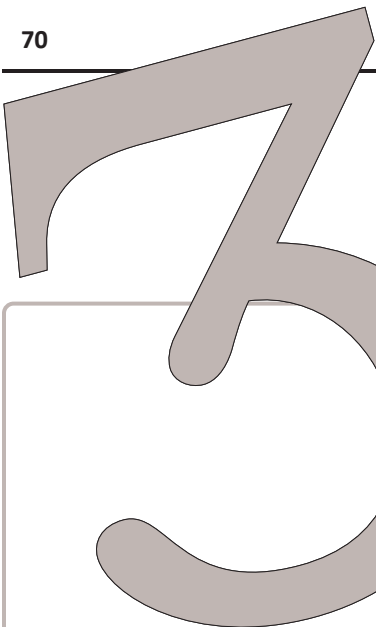
*See* **Aristotle - Works - English - 1984**

.....

## NAME/TITLE HIERARCHY

Use of all levels of hierarchy also affects matching using MARS 2.0 authority name/title headings. If there is no authority record containing the complete name/title heading, all matching hierarchy levels of the heading can be matched and provided.

NOTES



NOTES

**USAGE CODES**

The matching process checks the authority record heading use codes from the authority record (008 bytes 14-16 and the type of series code 008 byte 12) to ensure that the bibliographic heading has been used appropriately:

- 008 [12] – Type of series
- 008 [14] – Main or added entry
- 008 [15] – Subject added entry
- 008 [16] – Series added entry

A report of the matches in which the bibliographic usage and the authority record authorized usage codes conflict is available in the **Heading Usage Not Authorized** report (see Step 5, R11).

**REFERENCE RECORDS**

LC has created **reference** authority records, which are not authorized for use in bibliographic records. These records are identified by a value **b** or **c** in byte **9** of the **008** field. MARS 2.0 does not match bibliographic headings against an LC reference record. No heading is converted from reference authority records.

**MARS 2.0 AUXILIARY FILE**

MARS 2.0 also matches bibliographic headings against authority headings in the MARS 2.0 Auxiliary File. The auxiliary file contains records with additional validated headings and additional cross-references not present in national authority files. The additional cross-references convert incorrect or obsolete forms to the authorized form of the headings. Authority records from this file are used during authority matching only and are not distributed to libraries.

For example, **concentration camps** were previously tagged as 651 headings, with the authority records in the LC SAF. When the tagging was changed to X10 and the authority records moved to the LC NAF, no 4XX *See From* tracings were added to the LC authority records for the obsolete form of the heading. The MARS 2.0 staff created records in the MARS 2.0 Auxiliary File that make the following conversion:

.....

bib heading:

**651** 0 \$a Husum-Schwesing (**Germany** : Concentration camp)

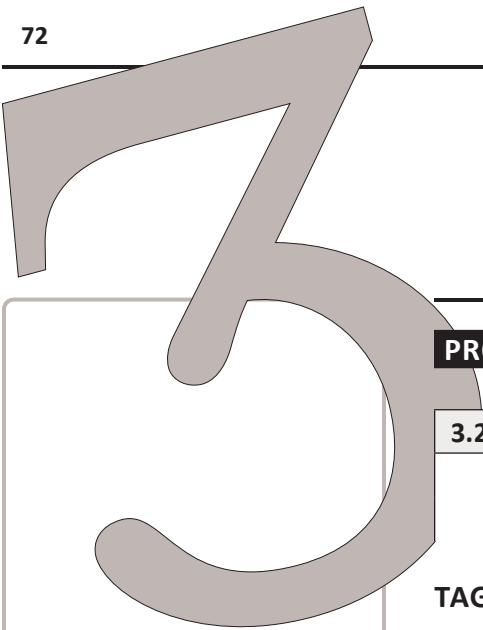
changes to:

**610** 20 \$a Husum-Schwesing (Concentration camp)

.....







NOTES

**PROFILE STEP 3.2**

- |   |
|---|
| <b>3.2 - Tag Flipping</b>   |
| <input type="checkbox"/> Match X00, X10, X11, and Flip to Any of These    |
| <input type="checkbox"/> Allow 600, 610, 611 tags to flip to and from 650 |

**TAG FLIPPING**

MARS 2.0 can flip certain tags between each other during the authority matching process. Sometimes bibliographic records have been generated with information appearing in the wrong field. With **Tag Flipping** turned on, these tags can be set to match against different tags regardless of the information within the original tag:

.....

bib headings:

- 650 0 \$a Italy (Rome)
- 650 0 \$a European Union.

match as tag (flip):

- 651 0 \$a Italy (Rome)
- 610 20 \$a European Union.\*

*\*the **European Union flip** will only happen if the optional 650-flip is added*

.....

If the authority record causes the tag flip (difference in usage between 1XX and 4XX), then tags will always be flipped regardless of any other rule.

The rule that only subjects can flip to/from X50 and X51 also applies here. The MARS 2.0 Auxilliary File will **not** be included in this rule.

The default is to match and flip between all tags listed in this step.



## TAG FLIPPING RULES

If Tag Flipping is marked, then the following rules apply:

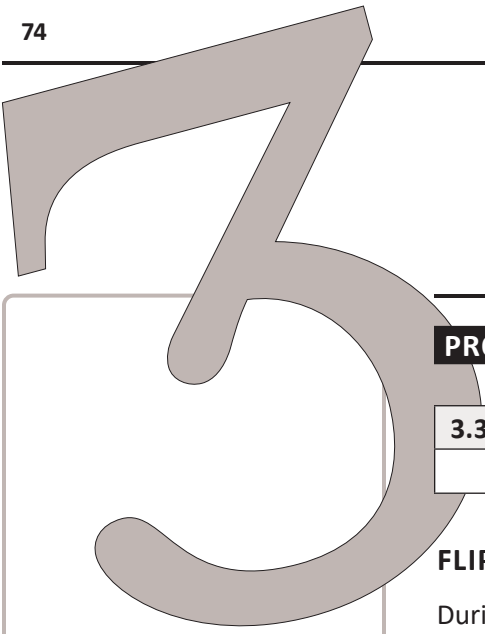
1. If 100, 110, 111, 700, 710, 711 matches X51 (authority) and the bib tag 1st indicator is **1**, and the field only contains **\$a**, then the tag is **forced to X10**
2. If **\$a** contains a **single word** or **initials**, no flip is allowed between X00 and X10
3. Only **subjects** can flip to **X50** or **X51** based on an authority match:
  - a. If the bib tag is 600 or 611, flip to a 610
  - b. If the bib tag is 610 and is only \$a or is \$a and the second subfield is \$v, \$x, \$y, \$z then the bib heading can be flipped
  - c. If the bib tag is 610 and it contains other subfields than above, it will not be allowed to flip
4. Tags X50 and X51 **can** flip between each other
5. Tags can **never\*** flip from X51, **except** X50
6. Tags can **never\*** flip to or from 655
7. Tags can **never\*** flip to or from X30 **unless** the authority record causes the tag flip
8. Tags will **never\*** flip from matches to 18X subdivision authority records
9. Any flips not explicitly included above are allowed: X00, X10, X11 can flip between themselves

**Note:** A **Possible Invalid Tags** report (see Step 5.2, R09) includes headings in which MARS 2.0 was programmed **not** to flip the tag, even though the tags in the bibliographic and authority records did match.

For example, a 130 tag is never flipped to a 100; similarly, a 710 is never allowed to flip to a 651. The **Tags Flipped** report (see Step 5.2, R32) includes tags that were changed during automated processing.

\* Never say **never** in these rules, as we can also create a custom match rule that would allow these particular flips, upon request.

NOTES



NOTES

**PROFILE STEP 3.3**

**3.3 - Partial Matches**

Change 2nd Indicators to 0 & Update Partially Matched Headings

**FLIP 2ND INDICATORS FOR PARTIAL MATCHES**

During the MARS 2.0 authority matching process, partial matches are found for subject headings in which not all of the subject heading has been authorized.

Frequently, enough of the subject heading has been **validated** to warrant changing the 2nd indicator to reflect the match found. Even though the rest of the subject heading may not match (likely due to LC not creating authority records for every possible subdivision on a subject heading), libraries can still have the 2nd indicators flipped:

.....  
bib subject heading:

650 4 \$a English language \$x Foreign elements \$x Greek \$v Textbooks.

closest match **sh 85043541:**

150 \$a English language \$x Foreign elements

2nd indicator changed to **0** for partial match:

650 **0 \$a English language \$x Foreign elements** \$x Greek \$v Textbooks.  
.....

**Note:** *Only subject headings (6XX) are candidates for having their 2nd indicator flipped when a partial match is found. Headings will also be updated when partially matched.*

The default is to change 2nd inds to 0 & update partially matched headings.



NOTES

### DUPLICATE HEADINGS

When MARS 2.0 Authority Control is completed, a small number of bibliographic records may contain duplicate headings. This can occur when a heading has been updated to a form already in the bibliographic record, or when two different headings update to the same form.

MARS 2.0 resolves this by **deduping** all authority controlled headings to ensure that headings in your bibliographic records will be unique. MARS 2.0 deduping compares heading text character by character.

For example, a 650 field with a 2nd indicator of **0** (LC subject heading) and a 650 field with a 2nd indicator of **2** (Medical subject heading) are not considered duplicates.

### UNMATCHED HEADINGS

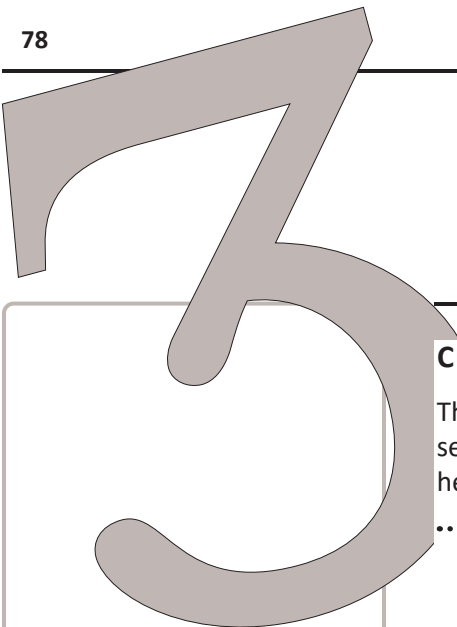
If the normalized bibliographic heading does not match a normalized established heading in an authority record, the heading is **unmatched**. An **Unmatched Primary Headings** report is then generated (see Step 5.2, R07). You can use the report to make additional corrections to bibliographic headings in your local system.

MARS 2.0 also creates a brief authority record out of the unmatched heading and tries to match against the national authority database during **Notification** services (see Step 6 of the Planning Guide). If a match is then found a new authority record is delivered to the library (see **Ongoing Services** in Step 6 for more details).

Alternatively, the MARS 2.0 staff can manually review bibliographic headings which do not match an authority record. For more details about this service, please contact your MARS 2.0 project manager.







NOTES

**CURRENT LIBRARY OF CONGRESS POLICY**

The Library of Congress currently has no policy on how to handle **unmatched** series headings. By overwhelming demand, Backstage treats unmatched series headings as **traced**:

.....  
bib series headings:

490 1 \$a Press release

810 0 \$a Press release (United States. Mission to the United Nations) ;\$v no. 4353.

no authority match is available:

490 0 \$a Press release

810 0 Press release (United States. Mission to the United Nations) ;\$v no. 4353.

or, available authority match is **untraced**:

490 0 \$a Press release

810 0 **removed from record**  
.....

MARS 2.0 programs can also **retain unmatched 8XX** fields if desired.

**CURRENT STANDARD SERIES PROCESSING: POST-JULY 2008**

MARS 2.0 adheres to the June 2008 MARBI announcement regarding series processing:

*June 6<sup>th</sup> 2008, MARC Proposal No. 2008-07 presented by MARBI Committee will make field 440 obsolete and will redefine the first indicator value 1 of the 490 field to mean **series traced in 8XX field**.*

Thus, standard MARS 2.0 series processing is to convert all **4XX/8XX** pairs to either **traced 490-1/8XX** or **untraced 490-0**.

MARS 2.0 processing also allows many varied forms of series processing. As long as you can describe what you would expect to see returned for your series headings, our MARS 2.0 staff will work with you to make that happen.





NOTES

**4XX SERIES NOTE PROCESSING**

If a 400/410/411 field contains a 2nd indicator with a value of **1** (main entry represented by pronoun), the 4XX \$a data is replaced by the 1XX main entry in fields 800/810/811. The pronoun remains in resulting field 490:

.....  
original headings:

110 11 \$a Wisconsin. \$b Legislature. \$b Legislative Reference Bureau.

**410** 11 \$a Its. \$t Research bulletin, \$v 78-RB-3

updated headings:

110 11 \$a Wisconsin. \$b Legislature. \$b Legislative Reference Bureau.

**490** 1 \$a Its Research bulletin, \$v 78-RB-3

**810** 1 \$a Wisconsin. \$b Legislature. \$b Legislative Reference Bureau.

\$t Research bulletin ;\$v 78-RB-3.  
.....

**PRONOUN SERIES PROCESSING**

In fields 400/410/411 with a 2nd indicator of **0** (main entry not represented by a pronoun), MARS 2.0 checks the first **6** characters for any of the following words: **Its, His, Her, or Their**.

If one of those words is found, it is replaced by the 1XX main entry in the 800/810/811 field. The pronoun remains in the resulting 490 field. Pronoun processing is not appropriate for 440 fields, as some established series titles begin with a pronoun (e.g., **His master's voice**).

**COLLAPSED 490/830 TO 440 SERIES STATEMENTS: PRE JULY 2008**

The 440 field served the dual purposes of a **series statement** and a **series added entry**. MARS 2.0 did not change field 440 if a related series authority record was not found (i.e., the heading was **unmatched**).

Field 440 was also not changed if the series heading was not changed during the authority control process (i.e., the heading matched the established heading form as recorded in field 1XX of an authority record and the punctuation in the heading remained unchanged).

If the LC authority record indicated the established form of a series heading was different than the form recorded in field 440:

- The field was retagged as **490 series statement** with 1st indicator **1 series traced** differently
- Field **8XX series added entry** was added containing the **established form** of the heading

original heading:

440 4 \$a Department of the Army pamphlet ;\$v 27-50

updated headings:

490 1 \$a Department of the Army pamphlet ;\$v 27-50

830 0 \$a **DA pam** ;\$v 27-50

### INITIAL ARTICLE SERIES NOTE PROCESSING: PRE JULY 2008

The established form of series headings in LC authority records contains initial articles. To accommodate this practice, MARS 2.0 ignores initial articles **A** and **An** when matching a 440 series heading, regardless of the value in the filing indicator.

If the 440 field, for example, contains the heading **A Barna report**, the matching software automatically checks for an authority record matching the form **Barna report**. Additional initial articles are ignored if the filing indicator is set.

In the following example, the system ignores **The** during matching based on the filing indicator. MARS 2.0 checks the following languages during this step: **English, French, German, Italian, Spanish**.

original heading:

440 4 \$a **The** Rare book tapes. \$n Series 1 ;\$v 5

updated headings:

490 1 \$a The Rare book tapes. Series 1 ;\$v 5

830 0 \$a Rare book tapes. \$n Series 1 ;\$v 5.

NOTES



NOTES

original headings:

- 490 1 \$a Bulletin/Maine Agricultural Experiment Station : 1975-1977
- 810 2 \$a Life Sciences and Agricultural Experiment Station. \$t **Bulletin.**

authority record:

- 130 0 \$a **Bulletin (Life Sciences and Agriculture Experiment)**
- 410 2 \$a Life Sciences and Agricultural Experiment Station. \$t Bulletin.

updated headings:

- 490 1 \$a Bulletin/Maine Agricultural Experiment Station : 1975-1977
- 810 0 \$a **Bulletin (Life Sciences and Agriculture Experiment)**

**SUMMARY OF 490/830 FIELDS NOT REVERTED: POST-JULY 2008**

1. Expand **440** to **490-1/830** pairs
2. Match **830** during authority control
3. If the 830 **does not match** or if it **matches untraced authority** record (645 \$a n), the **490-1/830** pair **converts** to **490-0**
4. If a **match is found**, the **490-1/830** pair **remains** in the record

**SUMMARY OF 490/830 FIELDS REVERTED TO 440: PRE-JULY 2008**

1. Expand **440** to **490-1/830** pairs
2. Match **830** during authority control
3. If the 830 **does not match** or if it **matches untraced authority** record (645 \$a n), the **490-1/830** pair **reverts** to **490-0**
4. After **matching**, if the **490-1** and **830** are **identical**, they are **reverted** back to **440**
5. If they **differ**, the **490-1/830** pair **remains**

**490-0 SERIES STATEMENTS (SERIES NOT TRACED)**

Series statements for **untraced** series (**490** fields with 1st indicator **0**) function as descriptive statements only and are not normally subject to Authority Control. Series tracing practice, however, has changed significantly over the years. LC had previously traced few series, so many series titles were recorded in a **490 series statement** and coded as **series not traced** (1st indicator **0**). Current practice is to trace most series. Standard MARS 2.0 series processing brings many bibliographic series statements in line with current practice.

In standard MARS 2.0 series processing, a **490-0 series not traced** field is not changed if a related series authority record could not be found (i.e., the heading is **unmatched**).

Field 490-0 also remains unchanged if the heading matches the established heading in field 1XX of an authority record, and the authority record indicates the series should not be traced (645 \$a n):

.....

original heading:

490 0 \$a American Paper Institute instrumentation program report

authority record:

130 0 \$a American Paper Institute instrumentation program report

645 \$a n

updated heading (no change):

490 0 \$a American Paper Institute instrumentation program report

.....

Field 490-0 is changed to field 490/8XX if the heading matches a heading in an authority record that indicates the series should be traced (645 \$a t):

.....

original heading:

490 0 \$a Campbell County history and genealogy

authority record:

100 1 \$a **Hartman, Margaret Stregel. \$t Campbell County history & genealogy**

430 0 \$a Campbell County history and genealogy

645 \$a t

updated headings:

490 1 \$a Campbell County history and genealogy

800 1 \$a **Hartman, Margaret Stregel. \$t Campbell County history & genealogy.**

.....

NOTES



NOTES

### COPY ALL SERIES PROCESSING

A special MARS 2.0 series processing option is provided for libraries that need to have all series headings recorded in 8XX fields, often due to local system indexing requirements. In the MARS 2.0 **Copy All** series processing option:

- Field 800/810/811 **series added entry** is created for each pre-AACR2 field 400/410/411 **series statement/added entry**
- Field 830 **series added entry** is created for each field 440 **series statement/added entry**
- Field 830 **series added entry** is created for each field 490-0 **series statement, series not traced**
- Field 830 **series added entry** is created for each field 490-1 **series statement, series traced differently** when the bibliographic record does not contain field 8XX series added entry

After field 8XX **series added entry** has been created for each series heading, the 8XX fields are subjected to normal MARS 2.0 Authority Control. Since the goal of MARS 2.0 Copy All series processing is to provide an indexable 8XX field for every series heading, an 8XX **series added entry** is created for every series heading regardless of the tracing practice or match status of the headings. The 4XX field is not altered in any way.

**Note:** *Please check with your local system vendor before selecting the Copy All option.*

### CUSTOM SERIES PROCESSING

MARS 2.0 Authority Control supports additional options for processing series headings. If the series processing options described do not meet your requirements, please discuss your requirements with your MARS project manager.



**PROFILE STEP 3.6**

3.6 - Subdivision Updates
<input type="checkbox"/> Preserve existing \$v subdivisions
<input type="checkbox"/> Preserve existing \$x subdivisions
<input type="checkbox"/> Update \$x subdivisions to \$v

**FORM SUBDIVISIONS**

The use of \$v for form subdivisions (periodical, bibliography, etc.) was authorized in the MARC Bibliographic Format in 1995. Introduced first by NLM in MeSH headings, LC began distributing both bibliographic and authority records containing \$v in February 1999.

The default is to preserve existing \$v and update all form subdivisions in \$x.

**LC STANDARD FORM**

An increasing number of authority records include subdivisions coded as \$v. When a heading in a bibliographic record matches an authority record heading, MARS 2.0 modifies the subfield codes to conform to those in the authority record as part of the matching process:

**PRESERVATION**

Many libraries have begun coding form subdivisions as \$v in their new catalog records. MARS 2.0 can preserve your \$v codes in subject headings regardless of the existence of an LC authority record for the heading:

original heading:

650 0 \$a Stocks \$x Prices \$v Databases.

authority record **sh 87003018**:

650 0 \$a Stocks \$x Prices \$x Databases.

If you **preserve existing \$v**, the original \$v will be retained even though the LC authority record codes **databases** as \$x. The heading on the bibliographic record would be your original heading:

650 0 \$a Stocks \$x Prices \$v Databases.

You may also opt to preserve your \$x subdivision in the same way that \$v can be preserved

NOTES



NOTES

### UPDATE HEADINGS

You can also elect to have all form subdivisions coded as \$v:

.....

original heading:

650 0 \$a Stocks \$x Prices \$x Databases.

authority record **sh 87003018**:

650 0 \$a Stocks \$x Prices \$x Databases.

In this example, you have chosen **update \$x subdivisions to \$v** regardless:

650 0 \$a Stocks \$x Prices \$v Databases.

.....

MARS 2.0 would convert your bibliographic heading to the new \$v form **whether or not** an authority record contained that form. MARS 2.0 programs only modify a subfield code if the subdivision meets a number of specific conditions, set by LC and MARC 21. To be eligible for updating to \$v, the subdivision must be:

- Part of a subject (6XX) heading
- The last subfield, or last pair of subfields, in a heading

Exceptions:

- Eligible subfields can be followed by geographic \$z
- Eligible subfields can be followed by \$x containing a language

Other exceptions are also supported by the MARS 2.0 \$v system and are found in our programming set of rules. The MARS 2.0 staff has made many additional changes to other MARS 2.0 tables so that obsolete subdivisions will be updated to the correct \$v form. If you have a question about a particular \$v conversion, please contact your MARS 2.0 project manager.

MARS 2.0 programs apply an extensive table of over a thousand form subdivisions consisting of both single and multiple subdivisions to \$v processing. This table was developed based on LC and MARC 21 form subdivision documents, plus analysis of library headings by the MARS 2.0 Authority Control team. Subdivisions that can be correctly coded by either a \$x or \$v are always converted to a \$v if this option is selected.

A **Subfield Code Changed from \$x to \$v** report is generated for all headings containing ambiguous headings that have been flipped to \$v (see Step 5.2, R39).

Two subdivisions that appear at the end of a heading are not converted to \$v unless the pair has been included as an acceptable combination in the form subdivision table.



In this example, both **gazetteers** and **bibliography** can be form subdivisions:

.....  
original heading:

651 0 \$a France \$x Gazetteers \$x Bibliography.

The combination of these two \$x subdivisions, however, is not an authorized form subdivision, so only the final subdivision would be recoded as \$v:

651 0 \$a France \$x Gazetteers \$v Bibliography.  
.....

### AUTHORITY RECORDS

MARS 2.0 processes described previously in this section are applied to bibliographic headings only. Many LC authority records contain potential form subdivisions coded as \$x.

Both preserving \$v codes you enter and having MARS 2.0 update form subdivisions to the \$v code will result in bibliographic headings coded differently than the established headings in LC authority records.

The following examples show some headings from bibliographic records with differing subfield coding and the form of the heading in the LC authority records, which would be distributed to the library:

.....  
bib heading (cartographic material is **secondary**):

651 0 \$a United States \$x Maps \$x Early works to 1800.

bib heading (work **containing** actual maps or reproductions):

651 0 \$a United States \$v Maps \$v Early works to 1800.

authority **sh 86006684** (valid for **both forms** listed above):

151 \$a United States \$x Maps \$x Early works to 1800  
.....

bib heading (work **about** various collections of manuscripts):

650 0 \$a Manuscripts \$x Collections.

bib heading (work **containing** a collection of manuscripts):

650 0 \$a Manuscripts \$v Collections.

authority **sh 85080674** (valid for **both forms** listed above):

150 \$a Manuscripts \$v Collections  
.....

NOTES

**PROFILE STEP 3.7****3.7 - Childrens Subject Matching (6XX 2nd ind 1)**

- |   |  |
|---|--|
| <input type="checkbox"/> Ignore Childrens Subjects      | <input type="checkbox"/> Remove Childrens Subjects |
| <input type="checkbox"/> Child 1st, Adult 2nd           | <input type="checkbox"/> Adult 1st, Child 2nd      |
| <input type="checkbox"/> Child Only                     | <input type="checkbox"/> Adult Only                |
| <input type="checkbox"/> Remove Unmatched               | <input type="checkbox"/> Change 2nd Ind to 0       |
| <input type="checkbox"/> Add Juvenile Form Subdivisions |  |

NOTES

**LC ANNOTATED CARD PROGRAM SUBJECTS AUTHORITY FILE (CYAC)**

MARS 2.0 processing can match bibliographic headings against the headings in the **Annotated Card Program Subjects Authority File** (hereafter referred to as **Childrens**). Childrens contains just over 960 authority records.

**FIELDS MATCHED**

The following fields are matched against Childrens:

Childrens Authority Controlled Headings	
Subject Headings*	600, 610, 611, 630, 650, 651

*\* only those with 2nd indicator of 1 are Childrens Subjects*

**IGNORE OR REMOVE WITHOUT PROCESSING**

Some libraries have catalogs that do not contain subject headings coded as Childrens. Other libraries have bibliographic records in their catalog that contain Childrens headings, but their local system is profiled to exclude them from the OPAC indexes.

Most libraries in which the Childrens headings are not used and are not causing any problems for patrons select **ignore**, where MARS 2.0 ignores the Childrens headings during authority control processing.

Alternatively, you may wish all Childrens subject headings with a 2nd indicator of **1** are removed from the bibliographic records.

The default is to ignore Childrens subjects in bibliographic records.



## NOTES

For those headings that match a heading in LC Adult, the indicator is changed from **1** to **0**.

Headings that match a cross-reference in LC Adult are flipped to the established (adult) form of the heading and the 2nd indicator is again changed from **1** to **0**.

After the matching is completed, all remaining Childrens headings (i.e., those that did not match a heading in LC Adult) are **removed** from the records.

Or, you could choose that any Children's headings that fail to match LC Adult are **retained** in the bibliographic record with the original 2nd indicator value of **1**.

### SEARCH CHILDRENS 1ST, LC ADULT 2ND

Some libraries prefer to search their Childrens headings against Childrens first. Any matches found will update the heading, but the 2nd indicator value will remain as **1**.

However, unmatched Childrens headings could then be searched against LC Adult. Any matches found during this procedure would change the value of the 2nd indicator from **1** to **0**:

#### 3.7 - Childrens Subject Matching (6XX 2nd ind 1)

- |   |  |
|---|--|
| <input type="checkbox"/> Ignore Childrens Subjects      | <input type="checkbox"/> Remove Childrens Subjects |
| <input type="checkbox"/> Child 1st, Adult 2nd           | <input type="checkbox"/> Adult 1st, Child 2nd      |
| <input type="checkbox"/> Child Only                     | <input type="checkbox"/> Adult Only                |
| <input type="checkbox"/> Remove Unmatched               | <input type="checkbox"/> Change 2nd Ind to 0       |
| <input type="checkbox"/> Add Juvenile Form Subdivisions |  |

In this option, MARS 2.0 retains **unmatched** Childrens headings, with a 2nd indicator value of **1**, to be searched at a later date by the library (of course, **remove unmatched** could instead be chosen above if the library preferred that option).

Matched headings for this option could **either** have a 2nd indicator value of **1** for matches found within Childrens or a 2nd indicator value of **0** for matches found within LC Adult.

This option is particularly useful for libraries interested in updating and retaining their Childrens headings if possible, with the option to upgrade them to LC Adult headings if there is no match during the first pass against the Childrens.

Changing the **search order** (Adult 1st, Child 2nd) **reverses the order** in which headings are matched.

**ADD JUVENILE FORM SUBDIVISIONS TO MATCHED HEADINGS**

Adding **juvenile form subdivisions** to **matched headings** will update the LC Adult matched headings with **\$v Juvenile literature** (or whatever is specified by the library) to the heading:

```
.....
childrens heading:

650 1 $a Rain forests.
650 1 $a Collies $v Fiction.

matched LC Adult with juvenile form subdivisions applied:

650 0 $a Rain forests $v Juvenile literature.
650 0 $a Collies $v Juvenile fiction.
.....
```

If your requirements either fall outside of these options or you have questions about Step 3.7, please contact your MARS 2.0 project manager.

If there is an existing \$v that contains **juvenile** anywhere in the subfield, then nothing is added. If there is an existing \$v and it does not contain **juvenile**, the program will lowercase the first letter of the **last** \$v, then insert **Juvenile** at the beginning of that subfield.

**JUVENILE RULES**

If there is no \$v in the tag, the program adds \$v according to certain criteria within the Leader (LDR) fixed field. If the record is a book (LDR[06] = **a** or **t**), then the 008[33] is checked to determine what kind of **\$v Juvenile ...** is added:

- 008[33] = 1 : add **\$v Juvenile fiction**
- 008[33] = d : add **\$v Juvenile drama**
- 008[33] = h : add **\$v Juvenile humor**
- 008[33] = p : add **\$v Juvenile poetry**

Similarly, for software, films, music, and sound recordings each will have its own \$v added according to the values in the LDR or 007 fields.

For maps (LDR[06] = **e** or **f**), the program adds **\$v Maps for children** on the end of the heading. All other formats will have **\$v Juvenile literature** added to the heading.

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**PROFILE STEP 3.8****3.8 - MESH Matching (6XX 2nd ind 2)**

- |  |   |
|--|---|
| <input type="checkbox"/> Ignore MESH           | <input type="checkbox"/> Remove MESH Subjects |
| <input type="checkbox"/> MESH 1st, LC 2nd      | <input type="checkbox"/> LC 1st, MESH 2nd     |
| <input type="checkbox"/> MESH Only             | <input type="checkbox"/> LC Only              |
| <input type="checkbox"/> Remove Unmatched      | <input type="checkbox"/> Change 2nd Ind to 0  |
| <input type="checkbox"/> Copy 001 to 010 Field |   |

NOTES

**NATIONAL AUTHORITY FILE**

MARS 2.0 can match bibliographic headings against headings in the **National Library of Medicine Medical Subjects Authority File** (hereafter referred to as **MESH**). The current Medical authority file contains just over 615,000 authority records for descriptors, qualifiers, and descriptor/qualifier combinations.

**FIELDS MATCHED**

The following fields are matched against MESH:

MESH Authority Controlled Headings	
MESH	600, 610, 611, 630, 650, 651

*\* only those with 2nd indicator of 2 are MESH*

**IGNORE OR REMOVE WITHOUT PROCESSING**

Some libraries have catalogs that do not contain subject headings coded as MESH. Other libraries have bibliographic records in their catalog that contain MESH, but their local system is profiled to exclude them from the OPAC indexes.

Most libraries in which the MESH are not used and are not causing any problems for patrons choose to **ignore** these headings.

Alternatively, you can choose to **remove without processing** any MESH that MARS 2.0 encounters during processing.

The default is to ignore MESH in bibliographic records.



## DATABASES AND SEARCH ORDER

If you choose to have your MESH processed, you also have the choice of which database to search against as well as in which order the databases should be searched. The two databases available to search are:

- MESH Authority File
- LC Authority File

### SEARCH MESH AUTHORITY FILE ONLY

3.8 - MESH Matching (6XX 2nd ind 2)	
<input type="checkbox"/> Ignore MESH	<input type="checkbox"/> Remove MESH
<input type="checkbox"/> MESH 1st, LC 2nd	<input type="checkbox"/> LC 1st, MESH 2nd
<input type="checkbox"/> MESH Only	<input type="checkbox"/> LC Only
<input type="checkbox"/> Remove Unmatched	<input type="checkbox"/> Change 2nd Ind to 0
<input type="checkbox"/> Copy 001 to 010 Field	

In this option, MARS 2.0 matches MESH against MESH only. For those headings that match a heading in MESH, the indicator remains as **2**.

Headings that match a cross-reference in MESH are flipped to the established form of the heading and the 2nd indicator is again retained as a **2**.

After the matching is completed, all remaining MESH (i.e., those that did not match a heading in MESH) are **retained** in the records.

### SEARCH MESH AGAINST LC ONLY

In the catalogs at some libraries, the presence of MESH in their bibliographic records creates duplicate and sometimes confusing index entries for patrons. These libraries may wish to consider choosing this option:

3.8 - MESH Matching (6XX 2nd ind 2)	
<input type="checkbox"/> Ignore MESH	<input type="checkbox"/> Remove MESH
<input type="checkbox"/> MESH 1st, LC 2nd	<input type="checkbox"/> LC 1st, MESH 2nd
<input type="checkbox"/> MESH Only	<input type="checkbox"/> LC Only
<input type="checkbox"/> Remove Unmatched	<input type="checkbox"/> Change 2nd Ind to 0
<input type="checkbox"/> Copy 001 to 010 Field	

NOTES



NOTES

In this option, MARS 2.0 first matches the MESH against the LC Authority File as if the headings had a 2nd indicator of **0** instead of **2**.

For those headings that match a heading in LC, the indicator is changed from **2** to **0**. Headings that match a cross-reference in LC are flipped to the established form of the heading and the 2nd indicator is again changed from **2** to **0**.

After the matching is completed, all remaining MESH (i.e., those that did not match a heading in an LC authority record) are **removed** from the records.

Or, you could choose that any MESH that fail to match an LC authority record are **retained** in the bibliographic record with the original 2nd indicator value of **2**.

.....

original bib medical heading:

650 2 \$a Neoplasms.

MARS 2.0 compares the heading against the LC Subjects file. The heading would match a cross-reference (4XX) in LC **sh 850138553**:

150 \$a Tumors

450 \$a **Neoplasms**

updated bib medical heading:

650 0 \$a **Tumors**.

When subject headings are converted from MESH to LC, MESH subdivisions that are not part of the matching LC authority are **retained** in their original form. For example, the heading below does not have an LC record for the full MESH:

650 2 \$a Neoplasms \$x **diagnosis**.

The main part of the heading \$a would match on the same LC authority listed above. A higher-level conversion would occur in which the \$a is converted to LC, while \$x is **retained** in its original form:

650 0 \$a Tumors \$x **diagnosis**.

.....



SEARCH MESH 1ST, LC 2ND

Some libraries prefer to search their MESH against the MESH Authority File first. Any matches found will update the heading, but the 2nd indicator value will remain as 2.

However, unmatched MESH could then be searched against LC. Any matches found during this procedure would change the value of the 2nd indicator from 2 to 0:

<b>3.8 - MESH Matching (6XX 2nd ind 2)</b>	
<input type="checkbox"/> Ignore MESH	<input type="checkbox"/> Remove MESH
<input type="checkbox"/> MESH 1st, LC 2nd	<input type="checkbox"/> LC 1st, Medical 2nd
<input type="checkbox"/> MESH Only	<input type="checkbox"/> LC Only
<input type="checkbox"/> Remove Unmatched	<input type="checkbox"/> Change 2nd Ind to 0
<input type="checkbox"/> Copy 001 to 010 Field	

In this option, MARS 2.0 processes would retain unmatched MESH, with a 2nd indicator value of 2, to be searched at a later date by the library (of course, remove unmatched could instead be chosen above if the library preferred that option).

Matched headings for this option could either have a 2nd indicator value of 2 for matches found within MESH or a 2nd indicator value of 0 for matches found within LC.

Changing the search order (LC=1, MESH=2) reverses the order in which headings are matched:

.....

original bib medical heading:

610 22 \$a Johns Hopkins University. \$b School of Medicine. \$b Division of Medical Genetics.

matches LC n 85363832:

110 2 \$a Johns Hopkins University. \$b Division of Medical Genetics.  
410 2 \$a Johns Hopkins University. \$b School of Medicine. \$b Division of Medical Genetics.

updated bib MESH:

610 20 \$a Johns Hopkins University. \$b Division of Medical Genetics.

.....

**NOTES**

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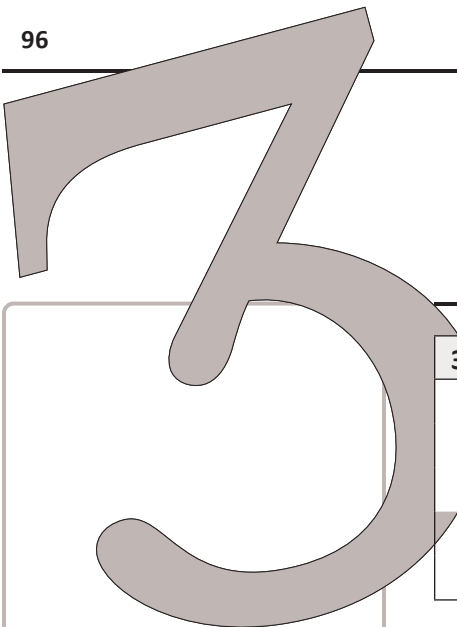
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NOTES

**3.8 - MESH Matching (6XX 2nd ind 2)**

- Ignore MESH
- MESH 1st, LC 2nd
- MESH Only
- Remove Unmatched
- Copy 001 to 010 Field
- Remove MESH
- LC 1st, MESH 2nd
- LC Only
- Change 2nd Ind to 0

**MESH AUTHORITY CONTROL NUMBERS**

MESH authority records carry the control number in field 001. However, some systems use the 010 field as the only control number, or include the 010 field in a system control number index:

.....

MESH control number in 001 field only:

- 001      D0206980D0009
- 150    \$a Duodenoscopes \$x adverse effects

MESH control number in 001 and 010 fields:

- 001      D0206980D0009
- 010    \$a D0206980D0009**
- 150    \$a Duodenoscopes \$x adverse effects

.....



NOTES

## DATABASES AND SEARCH ORDER

If you choose to have your Canadian headings processed, you also have the choice of which database to search against as well as in which order the databases should be searched. The two databases available to search are:

- Canadian Authority Files
- LC Authority File

## SEARCH CANADIAN AUTHORITY FILE ONLY

### 3.9 - Canadian Matching (6XX 2nd ind 5)

- |   |   |
|---|---|
| <input type="checkbox"/> Ignore Canadian Headings | <input type="checkbox"/> Remove Canadian Headings |
| <input type="checkbox"/> Canadian 1st, LC 2nd     | <input type="checkbox"/> LC 1st, Canadian 2nd     |
| <input type="checkbox"/> Canadian Only            | <input type="checkbox"/> LC Only                  |
| <input type="checkbox"/> Remove Unmatched         | <input type="checkbox"/> Change 2nd Ind to 0      |

In this option, MARS 2.0 matches the Canadian headings against the Canadian Authority File. For those headings that match a heading in Canadian, the indicator remains as **5**.

Headings that match a cross-reference in Canadian are flipped to the established form of the heading and the 2nd indicator is again retained as a **5**.

After the matching is completed, all remaining Canadian headings (i.e., those that did not match a heading in an Canadian authority record) are **retained** in the records.

## SEARCH CANADIAN AGAINST LC ONLY

In the catalogs at some libraries, the presence of Canadian headings in their bibliographic records creates duplicate and sometimes confusing index entries for patrons. These libraries may wish to consider choosing this option:

### 3.9 - Canadian Matching (6XX 2nd ind 5)

- |   |   |
|---|---|
| <input type="checkbox"/> Ignore Canadian Headings | <input type="checkbox"/> Remove Canadian Headings |
| <input type="checkbox"/> Canadian 1st, LC 2nd     | <input type="checkbox"/> LC 1st, Canadian 2nd     |
| <input type="checkbox"/> Canadian Only            | <input type="checkbox"/> LC Only                  |
| <input type="checkbox"/> Remove Unmatched         | <input type="checkbox"/> Change 2nd Ind to 0      |

In this option, MARS 2.0 first matches the Canadian headings against the LC Authority File as if the headings had a 2nd indicator of **0** instead of **5**.

For those headings that match a heading in LC, the indicator is changed from **5** to **0**.

Headings that match a cross-reference in LC are flipped to the established form of the heading and the 2nd indicator is again changed from **5** to **0**.

After the matching is completed, all remaining Canadian headings (i.e., those that did not match a heading in an LC authority record) are **retained** in the records with the original 2nd indicator value of **5**.

Or, you could choose that any Canadian headings that fail to match an LC authority record are **removed** from the bibliographic record.

### SEARCH CANADIAN 1ST, LC 2ND

Some libraries prefer to search their Canadian authorities against the Canadian Authority File first. Any matches found will update the heading, but the 2nd indicator value will remain as **5**.

However, unmatched Canadian authorities could then be searched against LC. Any matches found during this procedure would change the value of the 2nd indicator from **5** to **0**:

3.9 - Canadian Matching (6XX 2nd ind 5)	
<input type="checkbox"/> Ignore Canadian Headings	<input type="checkbox"/> Remove Canadian Headings
<input type="checkbox"/> Canadian 1st, LC 2nd	<input type="checkbox"/> LC 1st, Canadian 2nd
<input type="checkbox"/> Canadian Only	<input type="checkbox"/> LC Only
<input type="checkbox"/> Remove Unmatched	<input type="checkbox"/> Change 2nd Ind to 0

In this option, MARS 2.0 processes would retain unmatched Canadian headings, with a 2nd indicator value of **5**, to be searched at a later date by the library.

Matched headings for this option could **either** have a 2nd indicator value of **5** for matches found within Canadian or a 2nd indicator value of **0** for matches found within LC.

This option is particularly useful for libraries interested in updating and retaining their Canadian headings if possible, with the option to upgrade them to LC headings if there is no match during the first pass against Canadian, as the following examples on the next page show:

NOTES



NOTES

LC n 79102766:

- 100 1 \$a Atwood, Margaret Eleanor, \$d 1939-
- 400 1 \$a Atwood, Margaret, \$d 1939-

canadian authority 0100H2190:

- 100 1 \$a Atwood, Margaret, \$d 1939-
- 400 1 \$a Atwood, Margaret
- 400 1 \$a Atwood, Margaret Eleanor
- 400 1 \$a Atwood, Margaret Eleanor, \$d 1939-

original canadian bib headings in sample records:

- (1) 100 1 \$a Atwood, Margaret, \$d 1939-
- (2) 700 1 \$a Atwood, Margaret Eleanor, \$d 1939-
- (3) 100 1 \$a Atwood, Margaret
- (4) 700 1 \$a Atwood, Margaret Eleanor

The headings above would be converted as follows, based on authority match option selected:

LC 1st, Canadian 2nd (LC preferred):

- (1) 100 1 \$a Atwood, Margaret **Eleanor**, \$d 1939- *LC updated heading*
- (2) 700 1 \$a Atwood, Margaret Eleanor, \$d 1939- *LC matched heading*
- (3) 100 1 \$a Atwood, Margaret, **\$d 1939-** *CAN updated heading*
- (4) 700 1 \$a Atwood, Margaret, **\$d 1939-** *CAN updated heading*

Canadian 1st, LC 2nd (Canadian preferred):

- (1) 100 1 \$a Atwood, Margaret, \$d 1939- *CAN matched heading*
- (2) 700 1 \$a Atwood, Margaret, \$d 1939- *CAN updated heading*
- (1) 100 1 \$a Atwood, Margaret, **\$d 1939-** *CAN updated heading*
- (2) 700 1 \$a Atwood, Margaret, **\$d 1939-** *CAN updated heading*





**PROFILE STEP 3.11****3.11 - Genre Form Matching (655 fields)**

- |   |                                   |
|---|-----------------------------------|
| <input type="checkbox"/> LCGFT  | <input type="checkbox"/> AAT      |
| <input type="checkbox"/> GSAFD  | <input type="checkbox"/> MESH     |
| <input type="checkbox"/> RBMS   | <input type="checkbox"/> TGM      |
| <input type="checkbox"/> FAST   | <input type="checkbox"/> OLACVGGT |
| <input type="checkbox"/> Cartographic Update: Change \$v value & create 655 |                                   |

NOTES

**GENRE FORM HEADING MATCHING**

MARS 2.0 can match bibliographic genre form headings (655) against a variety of authority files. MARC 655 fields are available for libraries to record the genre, form, and/or physical characteristics of the materials being described.

Standard published lists are used as sources for the genre and form terms. The source of each heading is designated by an abbreviation entered into **\$2 source of term**.

The default is to match headings against LCGFT.

**LIBRARY OF CONGRESS GENRE FORM TERMS**

All LCGFT headings will have 2nd indicator **7**, though there are still some LC genre headings with 2nd indicator **0** that have not yet been moved over into LCGFT. MARS 2.0 recognizes LCGFT identified by either method, and will retain the method of identification used by the cataloged record:

.....  
 use of \$2 in heading:

**655 7 \$a Fiction films \$2 lcsh**

updated to 650 tag:

**650 7 \$a Fiction films \$2 lcgft**  
 .....

**GENRE FORM TERMS IN TOPICAL 650 HEADINGS**

Terms in **topical subject headings** (650) are always updated in accordance with the practice of the heading system indicated by the 2nd indicator of the field.

Topical subject headings are not affected in any way by the options selected for genre form headings.

Terms in **genre form headings** (655) are always updated in accordance with the practice of the heading system indicated by the rules governing that genre.

In the example below, the 655 field has been updated based on a cross-reference in an LC authority record, while the term in the 655 field has been updated based on a cross-reference in the related GSAFD authority record:

Matching against **LCGFT**:

**obsolete** 655 heading:

655 0 \$a **Sitcoms (Television programs)**

**updated** 655 heading:

655 7 \$a **Situation comedies (Television programs)** \$2 lcgft

Matching against **GSAFD**:

**obsolete** 655 heading:

655 7 \$a **Sitcoms.** \$2 gsafd

**updated** 655 heading:

655 7 \$a **Comedy television programs.** \$2 gsafd

### GENRE FORM UPDATE REPORTS

Updates for genre form headings are included in the **Updated Headings** report (see Step 5.2, R30).

### AAT AUTHORITY RECORDS

MARS 2.0 also provides authority control for genre form terms authorized for use in the **Getty Art & Architecture Thesaurus** (hereafter referred to as **AAT**):

**obsolete** 655 heading:

655 7 \$a **catalogs, on-line.** \$2 aat

**updated** 655 heading:

655 7 \$a **online catalogs.** \$2 aat

**Note:** *AAT authorities also contain many extraneous subfields immediately following \$a, which may present challenges to your ILS when trying to index or load the records. MARS 2.0 can strip these (uppercase alphabetic) subfields, leaving only the lowercase subfields in place.*

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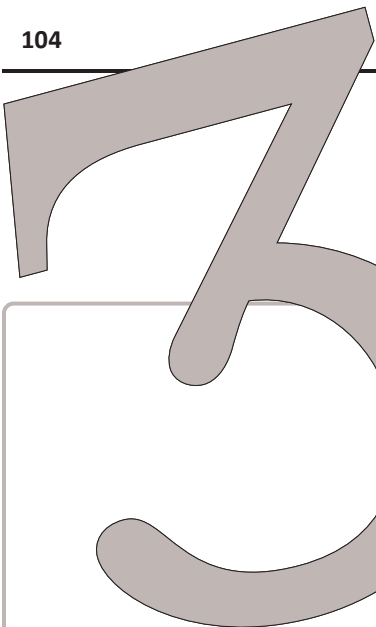
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**GSAFD AUTHORITY RECORDS**

The following example shows an update for a genre term extracted from **Guidelines on Subject Access to Individual Works of Fiction, Drama, etc** (hereafter referred to as **GSAFD**):

.....  
**obsolete** 655 heading:

655 7 \$a **Utopias**. \$2 gsafd

**updated** 655 heading:

655 7 \$a **Utopian fiction**. \$2 gsafd

.....  
\*\*MARS 2.0 can also convert GSAFD headings to LCGFT if preferred.  
.....

**MESH GENRE AUTHORITY RECORDS**

MARS 2.0 also provides authority control for the list of genre terms authorized by the **National Library of Medicine** for use in 655 fields:

.....  
**obsolete** 655 heading:

655 7 \$a **Meeting Reports**. \$2 mesh

**updated** 655 heading:

655 7 \$a **Congresses**. \$2 mesh  
.....

In 2002, a change to the MARC21 standards was authorized that allows identification of Medical genre terms either by using 2nd indicator **7** plus **\$2**, or by use of 2nd indicator **2** without **\$2**. MARS 2.0 recognizes Medical genre terms identified by either method, and will retain the method of identification used by the cataloged record:

.....  
use of \$2 in 655:

655 7 \$a Almanacs. **\$2 mesh**

updated 2nd indicator **2**:

655 2 \$a Almanacs.  
.....



## RARE BOOKS MANUSCRIPTS SECTION VOCABULARIES

MARS 2.0 can match against the **Rare Books and Manuscript Section** genre authority files (hereafter referred to as **RBMS**). RBMS is a set of eight different thesauri provided with the generous assistance of the **Association of College and Research Libraries**, as well as **Folger Shakespeare Library**.

These vocabularies provided a standardized means for retrieving special collections materials by genre, form, or by various physical characteristics that are typically of interest to researchers and special collections librarians.

These thesauri are for relating materials to individuals or corporate bodies:

Rare Books and Manuscript Section Vocabularies		
rbbin	binding terms	307 records
rbgenr	genre terms	501 records
rbpap	paper terms	290 records
pri	printing evidence	152 records
rbprov	provenance evidence	82 records
rbpub	publishing evidence	39 records
rbrel	relator terms	71 records
rbtyp	type evidence	130 records

There is a combined Authority file in progress to replace RBMS called CVRMC (Controlled Vocabulary for Rare Materials Cataloging). Once this vocabulary is live, Backstage will reconcile RBMS with it.

## OLACVGGT (OLAC VIDEO GAME GENRE TERM)

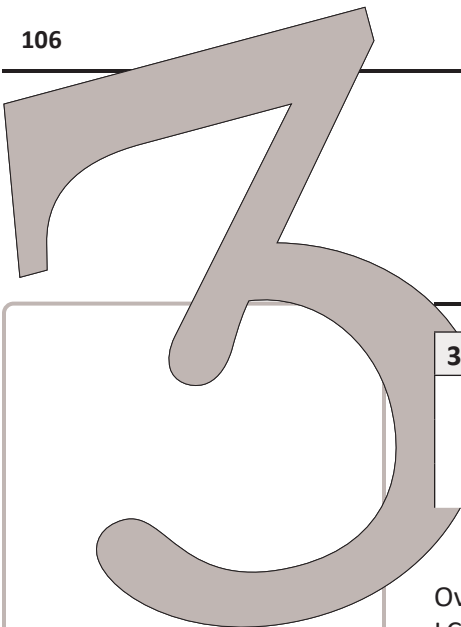
The OLAC Video Game Graphic Terms were implemented in 2018 and are not intended to be updated.

## THESAURUS FOR GRAPHIC MATERIALS

The Thesaurus for Graphic Materials is a tool for indexing visual materials by subject and genre format. The thesaurus includes subject terms to index topic shown or reflected in pictures, and genre form terms to index types of photographs, prints, design drawings, ephemera, and other categories:

Thesaurus for Graphic Materials		
gmgpc	genre terms	670 records
lcgtm	subject terms	7,142 records

NOTES



NOTES

**3.12 - Subject Term Conversions**

- |  |  |
|--|--|
| <input type="checkbox"/> LCSH to FAST            | <input type="checkbox"/> GSAFD to LCGFT            |
| <input type="checkbox"/> LCSH to HOMOIT          | <input type="checkbox"/> Indigenous people         |
| <input type="checkbox"/> Undocumented immigrants | <input type="checkbox"/> Other: with modifications |

Over the years there has been growing interest in either supplementing existing LCSH vocabulary or replacing outdated/obsolete terminology as part of local DEI Initiatives. WE offer a few different options to help meet your needs in term conversions.

**LCSH TO FAST**

Some institutions find merit in adding FAST when they are missing from a Bibliographic record. Some are utilizing FAST as an additional, faceted search option while others are moving towards an easier way to do Subject Analysis. Regardless, an automated approach is often needed to address existing items in the catalog. The FAST will be added to supplement LCSH:

**LCSH 650 heading:**

650 0 \$a **Capitol Riot, Washington, D.C., 2021 \$v Pictorial works.**

**New FAST 6XX headings:**

647 7 \$a **Capitol Riot \$c (Washington, D.C. : \$d 2021).** \$2 fast

648 7 \$a **2021.** \$2 fast

**GSAFD TO LCGFT**

GSAFD predates the formation of LCGFT. As LCGFT became more widely accepted, the use of GSAFD waned. We have the ability to convert legacy GSAFD terms into LCGFT where they exist. There are some instances where conversion is not achievable since there is not a 1:1 correlation.

**original heading:**

655 7 \$a **Mystery comic books, strips, etc.** \$2 gsafd

**updated heading:**

655 7 \$a **Detective and mystery comics.** \$2 lcgft

### LCSH TO HOMOIT

The Homosaurus vocabulary has been developed and is maintained by multiple volunteers within the Library Community. Many institutions are incorporating this vocabulary during Original & Copy Cataloging but are seeking solutions to address their existing MARC. We have created a [crosswalk](#) in order to add this vocabulary to supplement LCSH when it is not currently present in Bib records.

LCSH 650 heading:

650 0 \$a **Buddhist gays**

New HOMOIT 6XX headings:

650 7 \$a **Gay Buddhists.** \$2 homoit

650 7 \$a **LGBTQ+ Buddhists.** \$2 homoit

### INDIGENOUS PEOPLE

There has been a push to remove the term "Indian" from the catalog where possible. Backstage will change "Indians of ..." to "Indigenous peoples \$z" and remove the use of "Indians" in tribal/community names. Special handling of indigenous populations of Alaska and Canada are also included. [Full list](#) of terms changed is available.

original heading:

650 0 \$a **Asto Indians.**

650 0 \$a **Indians of North America \$x Boats \$z Alaska.**

updated heading:

655 7 \$a **Asto.** \$2 indig

655 7 \$a **Alaska Natives \$x Boats.** \$2 indig

### UNDOCUMENTED IMMIGRANTS

Prior to LC's final decision that uses "Noncitizens" plus "Illegal immigration" we developed a process to change these "Illegal aliens" to "**Undocumented Immigrants**".

NOTES



NOTES

3.13 - Other Subject Vocabulary Matching (if pre-existing in the BIB)	
<input type="checkbox"/> LCMPT	<input type="checkbox"/> LCDGT
<input type="checkbox"/> NASA	<input type="checkbox"/> EMBNE
<input type="checkbox"/> QLSP	<input type="checkbox"/> ERIC
<input type="checkbox"/> HOMOIT	

You have access to other subject vocabularies in order to match/update against these terms when they pre-exist in your Bib records.

Abbrev.	Updates	Size
LCMPT	TBD	876
LCDGT	TBD	1,316
NASA	TBD	18,336
EMBNE (Nat. Lib. Spain)	TBD	4,085,978
QLSP (Queens Library Spanish)	Frozen	11,745
ERIC	TBD	4,552
HOMOIT	Semi-annual	3,408

As always, if you have a specific vocabulary that you add to your Bib records that you need maintained, let us know and we'll see what we can do about incorporating matching.



**PROFILE STEP 3.14**

<b>3.14 - Local Fields in Authority Records</b>
<input type="checkbox"/> Retain Local Notes in Authorities (\$5 code)

**LOCAL AUTHORITY FIELD MERGE**

Sometimes catalogers insert fields into their local system’s LC authority records. Ordinarily during authority control processing, these local fields would be ignored as the authorized version would replace the authorities in the ILS.

MARS 2.0 can retain your local authority fields within matching updated authorities, which are then delivered to you to overlay at your end.

A \$5 with a special code (e.g., usually the Institution's OCLC or MARC code) is a typical stamp within the authority record that offsets field(s) inserted locally by catalogers. When MARS 2.0 finds these \$5 fields, it will retain that particular field and insert it into the matched authority record:

.....  
original authority from library:

```
001      n 50006324
100 1   $a Morse, John Torrey, $d 1840-1937
670    $a From his works on Thomas Jefferson, with special notes $5 BLW
```

LC match with **\$5 local note retained**:

```
001      n 50006324
040    $a DLC $c DLC $d DLC
100 1   $a Morse, John Torrey, $d 1840-1937
400 1   $a Morse, John T. $q (John Torrey), $d 1840-1937
670    $a From his works on Thomas Jefferson, with special notes $5 BLW
```

.....

After the fields have been inserted into the updated authority records, the records are returned to your institution. Next, you would overlay those authority records into your system, overwriting the copies you have with those furnished by our MARS 2.0 system.

The **local notes** within your original authority files would be **retained** in the updates that are delivered by Backstage.

The default is to not retain local authority notes.

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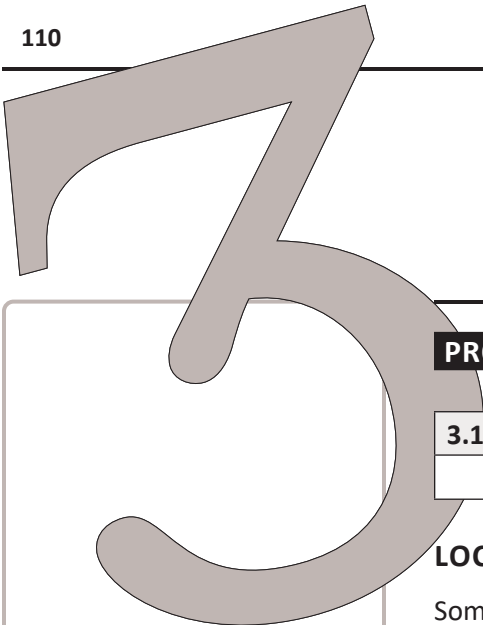
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NOTES

**PROFILE STEP 3.15**

**3.15 - Local Authority Master**

Match Before National File       Match After National File

**LOCAL AUTHORITY FILES**

Sometimes a library has local authority records with local rules governing their relationship to the bibliographic record. MARS 2.0 can recognize your library's local authority file and govern its matching criteria according to what your library needs.

The default is to not match against your local authority master file.

**LOCAL AUTHORITY FILE MATCHED BEFORE NATIONAL FILE**

An example of a library using a form of a heading that is in conflict with the form chosen by LC. This occurs most often for series titles:

.....  
If your library decided to use the following heading in a set of bib records:

440 0 \$a West Group's tax practice series

This is in conflict with the cross-reference in the LC authority for this title:

010 \$a n 00090467

130 0 \$a Tax practice series (St. Paul, Minn.)

430 0 \$a West Group's tax practice series  
.....

Normally, a heading that matches a 4XX **See From** tracing in an LC authority record would convert to the authorized form in the 1XX field.

To prevent this heading flip, you must provide a file of locally generated authority records against which your headings are matched **first**.

If a heading first matches a local authority record, it will **not** convert based on the LC authority. No further matching occurs when a bibliographic heading matches a heading in a local authority record. The heading form established **according to local practice is retained**.

---

### **LOCAL AUTHORITY FILE MATCHED AFTER NATIONAL FILE**

Matching after a National file is useful for situations where the heading is special to the library and, while it may not be authorized yet by the National file, the library does not want to see the particular heading showing up in the **Unmatched Primary Headings** report (see Step 5.2, R07).

This is especially helpful when the not-yet-authorized heading appears in multiple bibliographic records.

### **LOCAL HEADING MATCHING**

If your library has an established MARC authority file that you want to incorporate into your MARS 2.0 master authority file, you will need to send us a MARC file of these records before we can process your bibliographic files.

**NOTES**



NOTES

## JACKPHY VERNACULAR

### OVERVIEW

The information in this section does not pertain directly to the profile steps, but it is important to your understanding of MARS 2.0 authority control processing.

MARS 2.0 provides special processing for JACKPHY bibliographic records: **Japanese, Arabic, Chinese, Korean, Persian, Hebrew, Yiddish.**

The MARS 2.0 process is designed to preserve all characters in bibliographic records that are designated for use in MARC records, including non-Roman sets.

### JACKPHY VERNACULAR AND 880 FIELDS

The heading text of non-Roman headings is not converted during MARS 2.0 authority control due to the lack of a standard vernacular JACKPHY authority file.

The links between the vernacular headings (880) and romanized heading fields are maintained during MARS 2.0 processing.

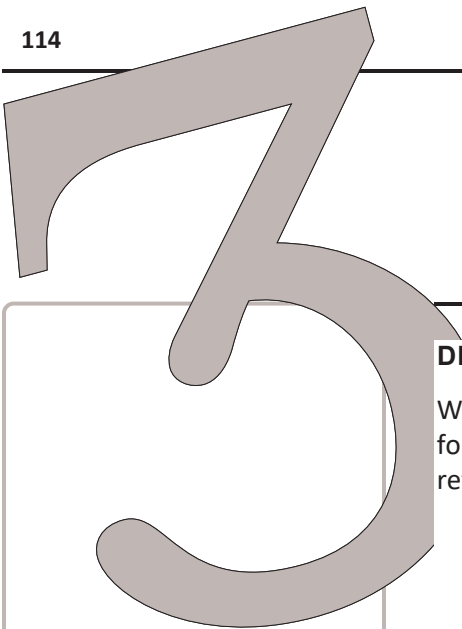
If romanized heading fields are deleted or added (e.g., due to a split) the occurrence number in the **\$6 linkage** is modified appropriately. Similarly, the linking tag portion of the \$6 linkage is modified to reflect any tag conversions in the romanized heading fields.

An **Associated Linked Field in \$6 Not Found** report (see Step 5.2, R18) is generated. This report lists all 880 fields which do not link to a romanized heading field due to incorrect data in the \$6 linkage. All other 880 field data is untouched during processing.

MARS 2.0 processing does not convert the romanized portions of 880 headings due to the lack of integrity of the resulting headings.

However, a **Linked Field in \$6 Changed Heading** (see Step 5.2, R86) report is available, which reports all tags that are linked to a vernacular tag with its linked romanized version of the tag changed in the MARS 2.0 process.





NOTES

### DIACRITICS RETAINED

When a bibliographic record is identified as a probable JACKPHY record, the following diacritics (normally disregarded due to the normalization routine) are retained in the normalized headings:

- Alif
- Ayn
- Breve
- Circumflex
- Hyphen
- Macron
- Umlaut

The preservation of these diacritics prevents matching a normalized JACKPHY personal name heading to the incorrect LC authority record.

## PSEUDONYMS

### OVERVIEW

The information in this section does not pertain directly to the profile steps, but it is important to your understanding of MARS 2.0 authority control processing.

Prior to the adoption of AACR2, each work was to be cataloged under the actual name of the author.

All works written under the pseudonym, **Mark Twain**, were to be cataloged under the author's actual name, **Samuel Langhorne Clemens**. LC authority records were constructed in such a way that all **Mark Twain** headings would be flipped to **Samuel Langhorne Clemens** during authority control processing.

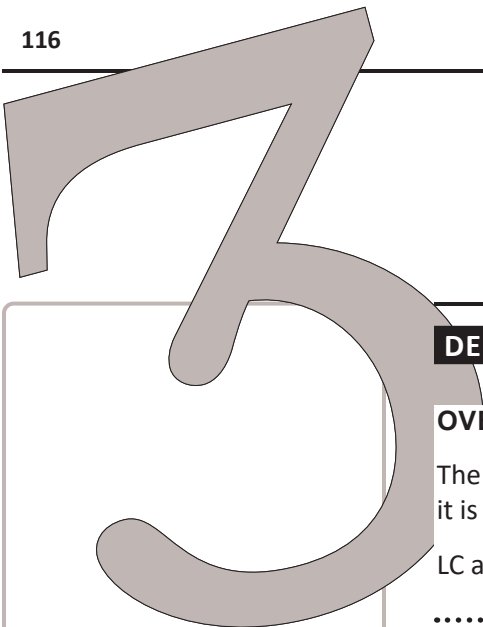
With the adoption of AACR2 in 1988 and its concept of bibliographic entities, works could be cataloged under the name the author chose to use.

Prior to that time, works written under the pseudonym Mark Twain could not be cataloged under that name. Now, Mark Twain is an authorized heading and books penned by Mark Twain are cataloged under that name.

LC has steadily added new authority records for bibliographic entities (or pseudonyms), and changed the 4XX See From xref under the author's actual name to 5XX See From Also xrefs.

This effort has been essentially completed and there remain few, if any, LC name authority records that contain a pseudonym as a See From field.

## NOTES



NOTES

**DEBLINDING XREFS**

**OVERVIEW**

The information in this section does not pertain directly to the profile steps, but it is important to your understanding of MARS 2.0 authority control processing.

LC authority records are constructed so that they are naturally **self debinding**:

.....

established heading:

150 \$a Fishing

see from heading:

450 \$a Sport fishing

see from also heading:

550 \$a Wildlife-related recreation

.....

**SEE FROM XREFS**

Most ILS generate a heading based on the 150 and 450 fields in the authority above:

.....

**Sport fishing**

*See Fishing*

.....

The See heading informs a patron searching for records using the entry term **Sport fishing** that **works related to that topic** can be found under the **preferred term Fishing**.

This record is **self debinding** since the display **Sport fishing, See Fishing** is not generated unless you have works cataloged under that term.

If you have works cataloged under the term **Fishing**, MARS 2.0 will include the authority record above in your authority file.

If you have no works in your catalog under the topical subject heading Fishing, MARS 2.0 **does not distribute** the **Fishing** authority record to you.





---

## SEE FROM ALSO XREFS

In addition to the See cross-reference, most local systems will also generate a See Also display based on fields 150 and 550 in an authority record:

.....

**Wildlife-related recreation**

*See also Fishing*

.....

The See Also heading informs a patron searching for works related to **Wildlife-related recreation** that a search for the more general term **Fishing** should be considered.

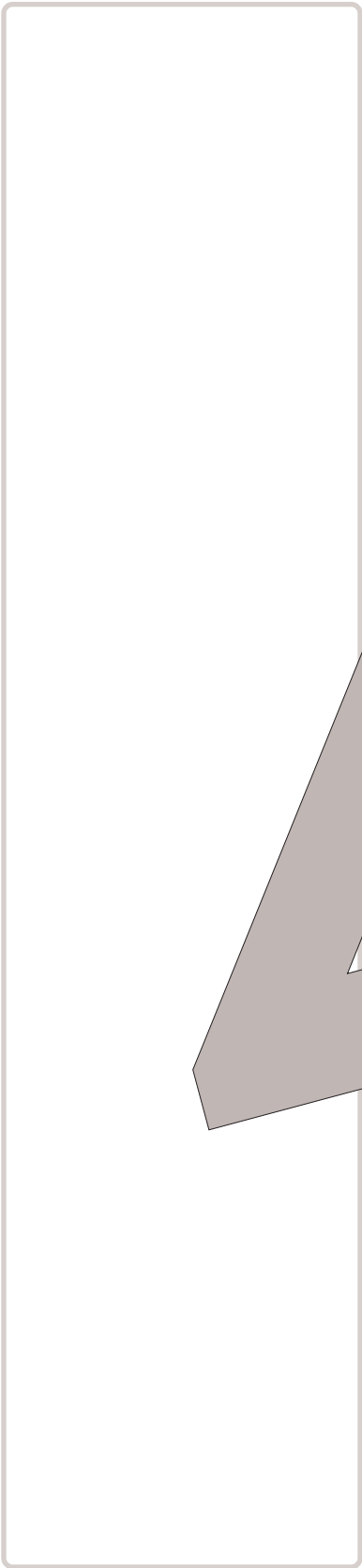
The See Also display helps patrons find works in your collection that may be related to the concept they are seeking. Whether your collection contains any works on the specific heading **Wildlife-related recreation**, the provision of the additional entry term is beneficial to the patron.

Deblinding See Also xrefs would prevent the above See Also display from being generated, usually by either deleting the 5XX xrefs from the authority records or changing the 5XX tag to a 4XX if your collection contains no works cataloged under that specific heading.

MARS 2.0 staff does not recommend the removal of 5XX fields from authority records, or converting a 5XX tag.

The available See Also xref in your ILS will direct the patron to the related term of Fishing found in your catalog.

Then if you were to later acquire works cataloged under **Wildlife-related recreation**, the necessary See Also display would not appear, as the underlying 550 field had been removed from the authority record. Or a See xref would be generated incorrectly indicating your catalog possessed no works on the primary heading.



## Step 4: Output Options

### SYNOPSIS

Step 4 lists the options available for distributing your bibliographic and authority output files. You may select distribution options for all records returned or for a specific subset of these records.

### ILS LINK

Many ILS are able to overlay updated records based on certain key-pairs (i.e. unique control numbers) within the records being returned. Checking your ILS for this unique ID will facilitate merging any records you receive from Authority Control.

### AT A GLANCE

- Type of bibliographic records returned (all, changed)
- Change stamps within bibliographic records
- Authority file segmentation (type, usage, etc.)
- Authority record cleanup of obsolete/invalid LC fields

### KEY TERMS

- Change stamps (bibliographic)
- MARS brief files
- Hierarchy

## NOTES



## Step 4: Bibliographic & Authority Output

### PROFILE STEP 4.1

#### 4.1 - Bibliographic File Output

- |   |   |
|---|---|
| <input type="checkbox"/> All Bib Records Returned | <input type="checkbox"/> Changed Only Bibs Returned |
| <input type="checkbox"/> Max Number of Bibs       | <input type="checkbox"/> No Bibs Returned           |

#### ALL BIB RECORDS

Since many libraries request MARS 2.0 authority control when implementing or migrating to a new ILS, or when building a consortial database, returning all records is usually necessary to build a new catalog.

#### CHANGED BIBS ONLY

Encompasses all changes made during MARS 2.0 processing. Selecting this option often results in return of a majority of bibliographic records (80-95% is common). This option includes changes made during Step 2 (Bibliographic Cleanup) as well as Step 3 (Authority Cleanup).

#### BIBLIOGRAPHIC FILE SEGMENTATION

ILS limitations or requirements for loading and indexing updated records are a consideration in determining maximum bibliographic output size.

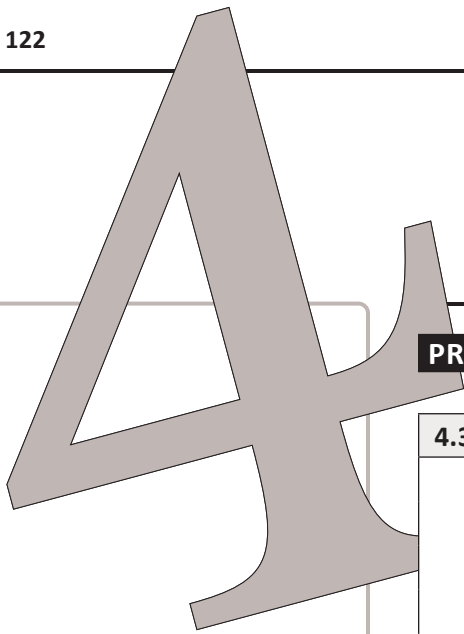
The response time in some local systems is sometimes degraded during prolonged loads. In other ILS, essential online system tasks cannot be performed during a load.

While MARS 2.0 can handle files in excess of 1,000,000 records, we can also distribute files broken up into more appropriate chunks to facilitate the loading and indexing processes at your side.

The default is to return all bibliographic records in a single file.

NOTES





NOTES

PROFILE STEP 4.3

4.3 - Authority Segmentation by Type

Combined	Separated
<input type="checkbox"/> LC	<input type="checkbox"/> LC
<input type="checkbox"/> Childrens	<input type="checkbox"/> Childrens
<input type="checkbox"/> Medical	<input type="checkbox"/> Medical
<input type="checkbox"/> Canadian	<input type="checkbox"/> Canadian
<input type="checkbox"/> Brief	<input type="checkbox"/> Max Number of Auths

**AUTHORITY FILE DISTRIBUTION**

Examine your library’s workflow, the organization of local catalog indexes, and ILS features to determine which authority records you will load into your local system and how the files of authority records should be organized when you receive them.

MARS 2.0 has a wide range of options that allow you to select the specific set of authority records desired and then arrange them in files that support your local requirements.

The default is to combine all national authorities into a single LC file.

**AUTHORITY FILE SEGMENTATION BY TYPE**

It may be necessary to restrict distribution files to a specific source of authority records due to local system indexing capabilities:

.....

**combined example:**

Your library is using LC Adult and Childrens records in your local authority file **AND** you would like both types of records distributed in the same file.

You would choose LC and Childrens in one combined file

**separated example:**

Your library is using LC Adult and Childrens records in your local authority file **BUT** you would like both types of records distributed in the separate files.

You would choose LC and Childrens in separate files

.....

## PROFILE STEP 4.4

4.4 - Authority Segmentation by Usage	
Combined	Separated
<input type="checkbox"/> Names	<input type="checkbox"/> Names
<input type="checkbox"/> Subjects	<input type="checkbox"/> Subjects
<input type="checkbox"/> Series	<input type="checkbox"/> Series
<input type="checkbox"/> Titles	<input type="checkbox"/> Titles
<input type="checkbox"/> Genre	<input type="checkbox"/> Genre

### AUTHORITY FILE SEGMENTATION BY USAGE

MARS 2.0 can distribute authority records in single- or multiple-file combinations. The number of files that are used to distribute your authority records should **mirror** the setup of authority indexes in your system.

If all authority records in the ILS are in a single file, regardless of whether a record links to a main/added entry heading or a subject heading, all files can be **combined**.

If the local authority file is divided into multiple files based on heading usage within bibliographic records, files should be **separated** to mirror your ILS.

The default is to combine all usages into a single authority file.

The following table shows the distribution of authority records by authority tag and bibliographic usage:

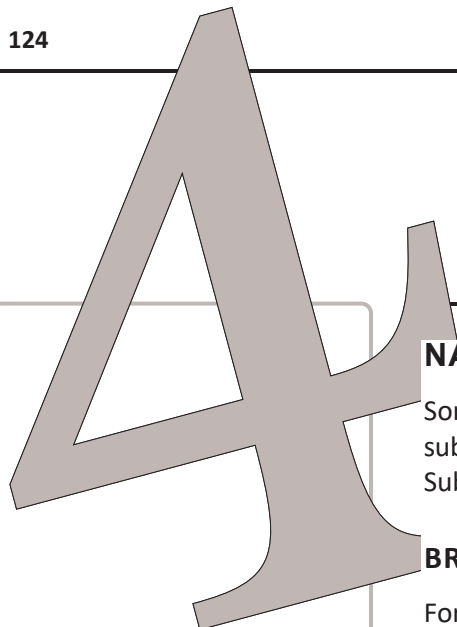
Files	Authority Tags	Bibliographic Usage	Authority Usage
Name	100, 110, 111	1XX*, 7XX*	name
Subject	100, 110, 111, 150, 151	6XX* (excludes 655)	subject
Series	130	4XX*, 8XX*	series
Title	100, 110, 111	130, 440, 630, 730, 830	name.title, subject.title, ser.title
Genre	155	655	genre

\* excludes bib 130, 440, 630, 730, 830 for these entries with asterisk

It may be that your ILS requires certain combinations in order to load the indexes properly. MARS 2.0 can combine or separate the usage files in whatever method is desired.

For instance, if your ILS requires Subjects be loaded separately, MARS 2.0 will send you one file with **Subjects** and one file with **Names** (which contains the combined authorities for Series, Title, and Genre).

NOTES



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### NAMES AS SUBJECTS

Some authority records for names are coded for use as both a name and a subject. MARS 2.0 is able to distribute those names in the Name file, in the Subject file or in both files, as determined by the usage of the bib heading.

### BRIEF AUTHORITY RECORDS

For headings in bibliographic records which do not **fully** match a heading in any of the selected authority files, MARS 2.0 automatically generates **brief** authority records in MARC 21 Authority Format.

For libraries that subscribe to the **Authority Notification Service** (see Step 6), these brief authority records allow the program to track the library's unmatched headings. During each update cycle, MARS 2.0 Notification Service uses these brief authority records to trigger distribution of new national-level authority records for unmatched headings in your database.

Most modern local systems either do **not** require an authority record to index unmatched bibliographic headings or can generate authority records for any heading not linked to an authority record. Therefore, most libraries do not need to have brief authority records included in their authority distribution files.

### LC VALIDATION RECORDS

MARS 2.0 includes LC validation records as part of the match and delivery processing.

### AUTHORITY NOTIFICATION SERVICE

After completing your bibliographic basefile processing, Backstage retains a copy of your authority records to build a **Master Authority File** for your library. This file is used when you **subscribe** to the **Authority Notification** or **Current Cataloging Services** (see Step 6).

### AUTHORITY FILE RETENTION

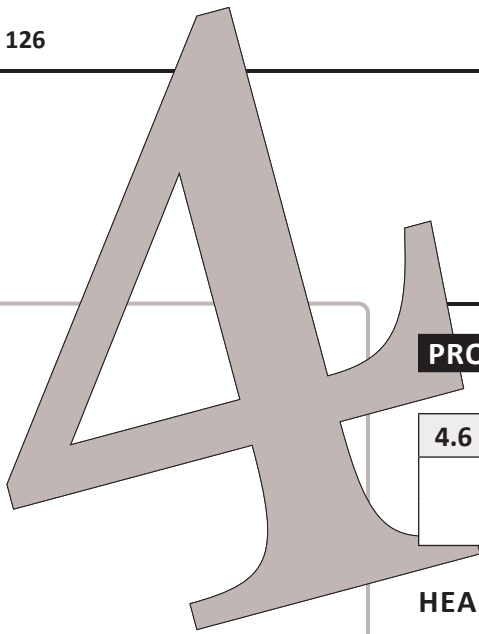
Backstage retains archive copies of your authorities distribution files for a minimum of one year following completion of MARS 2.0 projects. The Master Authority File for users of the Authority Notification or Current Cataloging Services will remain archived for at least 3 years.

### MARC 21 FORMAT

All authority records provided by MARS 2.0 are in MARC 21 format. If necessary, files can also be output as MARCXML.







NOTES

**PROFILE STEP 4.6**

**4.6 - Hierarchy**

- All Levels of Hierarchy Authority Matches
- Full Heading Strings Only Authority Matches

**HEADING HIERARCHY**

MARS 2.0 can provide an authority record for each level of hierarchy or for full headings only.

The default is to all levels of hierarchy authority matches.

**ALL LEVELS**

MARS 2.0 staff recommends matching authority records for all levels of hierarchy to improve patron access to the collection. Library of Congress often provides cross-references only in the authority record for the highest level of a hierarchal heading:

.....  
bib record with **full heading**:

**Puppies - Diseases**

see also from 5XX xref necessary to generate proper display:

**Dogs**

See also **Puppies**

An authority record matching the higher-level heading **Puppies** would not be distributed to you if you chose **full headings only**.  
.....

**FULL HEADINGS ONLY**

Some libraries choose **full heading strings only** because their ILS will not index an authority heading that doesn't appear in its entirety in a bib record.

MARS 2.0 continues to match the **higher level headings** and update the bib headings with any flips or other changes that occur.



**PROFILE STEP 4.7****4.7 - Authority Record Cleanup**

- Remove All 9XX Fields
- Delete Ending Punctuation
- Change 2nd Ind from 0 to Blank in 1XX Fields

**AUTHORITY RECORD CLEANUP**

Library of Congress continues to make updates to its authority records, including punctuation and indicator changes.

However, not all of the LC authority records have been updated yet and fields such as local LC notes (9XX) or obsolete 2nd indicators may cause problems for your ILS.

The default is to not perform cleanup in the LC authorities.

**9XX FIELD REMOVAL**

Library of Congress will sometimes insert their local notes fields (9XX) into their authority records.

For many libraries, this does not cause loading issues for their ILS. However, there are a few systems that reject these authorities because of the new 9XX fields. MARS 2.0 can remove all of the local LC notes (9XX) from the authority records before they are delivered to your library.

**ENDING PUNCTUATION**

Some headings in LC authority records have ending punctuation. This may cause problems in linking and overlaying authority headings in a few local ILS.

In deleting the ending punctuation, MARS 2.0 will not remove a period that is part of the final word in the heading (e.g., abbreviations).

NOTES









## REPORTING OVERVIEW

MARS 2.0 offers a variety of reports designed to assist in your database maintenance tasks. You choose the reports that are appropriate for your project and circumstances.

These are the four basic types of reports that are available in this section:

- Statistical Summary
- Bibliographic Reports
- Authority Change Reports
- Authority Delete Reports

### REPORT FORMATS

MARS 2.0 reports are provided in electronic format so they can be downloaded at the same time the MARC records are distributed. All MARS 2.0 reports are in HTML format.

The reports can be viewed and printed using any standard browser. They can also be edited with HTML editors and some word processors, however, editing these reports in a word processor may result in the ALA diacritics to display incorrectly.

NOTES





STATISTICAL SUMMARY

A MARS 2.0 Statistical Summary is generated for every project that involves processing bibliographic records for authority control.

The Statistical Summary includes both high-level and detailed statistical information about the records processed. It also includes the number of times selected actions were taken and the number of headings that met certain criteria.

The statistical information is divided into five sections:

- Section 1: Record Overview – A high-level view of the processed file(s). This section includes the number of bibliographic records by type (books, serials, etc.) and how many records were changed during MARS 2.0 processing.
Section 2: Field Distribution – A statistical analysis of the distribution of fields (by tag) within the bibliographic file. Included are how many records had none, one, or two instances of each field, and how many fields changed (by tag). Changes listed in this section correspond with MARC Update Processing (see Step 2 of the Planning Guide).
Section 3: Authority Control – Provides match-rate statistics for fields under authority control examined during MARS 2.0 Authority Control processing (see Step 3 of the Planning Guide).
Section 4: Authority Control Processing – Counts of specific changes made, and conditions found, during MARS 2.0 Authority Control processing (see Step 3 of the Planning Guide).
Section 5: MARC Update Processing – Counts of specific changes made, and conditions found, during MARC Update processing (see Step 2 of the Planning Guide).

Sections 4 and 5 also serve as a list of the reports available. Those reports marked with an asterisk (following the report number) are available as Standard Reports for all MARS 2.0 authority control projects at no additional cost.

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NOTES

**BIB REPORTS**

MARS 2.0 generates two distinct types of bib reports:

- 1. **Actions taken during processing**
- 2. **Specific conditions identified during processing**

The first type provides information about actions taken during MARS 2.0 processing. Examples include headings changed, tags flipped, or subfield codes corrected. Each report shows both the headings before MARS 2.0 processing began and the final form of the heading after processing was completed.

An example from **Tags Flipped** (R32):

.....

ocm57168571:

old: 650 0 \$a European Union.

new: **610 20** \$a European Union.

ocm52341653:

old: 650 1 \$a Outer space \$x Exploration \$v Fiction.

new: **651** 1 \$a Outer space \$x Exploration \$v Fiction.

ocm56334103:

old: 650 0 \$a Pennsylvania \$v Fiction.

new: **651** 0 \$a Pennsylvania \$v Fiction.

.....

The second type of report contains information about specific conditions identified during MARS 2.0 processing that may be helpful in follow-up database or heading maintenance. Examples include unmatched headings or unrecognized \$z. These reports generally show only the final form of the heading after processing was completed but no match was found.

An example from **Unmatched Primary Headings** (R07):

.....

ocm60562678: 700 1 \$a Allan, Dede.

ocm60883370: 700 1 \$a Alonso, Ludmila.

ocm57496196: 100 1 \$a Amadeus. \$t The traveling dog.

.....

## STANDARD REPORTS

MARS 2.0 provides many of the most commonly used bibliographic reports as a standard part of every authority control project. They are available for review (or not) at your discretion.

Custom reports can be developed for conditions not covered by MARS 2.0 optional reports.

**Standard reports are:**

Number	Report Title
R01	Statistical Summary
R06	Partially Matched Headings
R07	Unmatched Primary Headings
R09	Possible Invalid Tags – Tags Unchanged
R10	Heading Matches Multiple Authority Records
R11	Heading Usage Not Authorized
R13	Suspicious Filing Indicators
R14	Possible Leading Articles
R17*	Split Headings – Headings Left Unchanged
R25	Unrecognized \$z Geographic Subfields
R31*	Split Headings
R32	Tags Flipped

*\* Depending on your selection for Step 3.4, you'll receive either R17 or R31, whichever is most relevant.*

## BIB CONTROL NUMBERS

Many ILS use a unique serial number, or **bib control number**, to track and retrieve each bibliographic record. Other systems use standard numbers such as OCLC or LC control numbers.

A report which includes bibliographic control numbers allows your local staff to locate headings in a report using the record's control number.

In many MARS 2.0 bib reports, inclusion of these control numbers is optional. Other bib reports may include control numbers as the information reported can be related to a specific, single bib record.

## REPORT SORTING

Reports are arranged by type of heading (e.g., names, subjects, etc). Headings are arranged first by the 2nd two digits of the tag (1XX), then alphabetically by heading.

For example, in the Names section X00 personal name headings (100, 700 fields) are listed (**sorted**) before X10 corporate name headings (110, 710 fields).

NOTES



NOTES

**PROFILE STEP 5.1**

**5.1 - Reports Display**

- Display Bib ID as Reference in Report
- Display Number of Records for Each Heading

**REPORT FORMAT**

If you choose to display the bib ID within the report, please provide the location of the bib control numbers in your records (e.g., 001 or 907a).

MARS 2.0 can also obtain a control number for a secondary source field if the primary field is not present (e.g., 001, 907a).

If bib control numbers are not included in your MARS 2.0 bibliographic reports, a heading contained in ten bibliographic records will appear in the report only once.

Displaying only the number of records for each heading within a report is usually requested by libraries with an ILS that offers robust global update tools.

When bib control numbers are included in a MARS 2.0 authority control report, a heading contained in ten bibliographic records would be included in your report ten times, each time with a different bibliographic control number.

.....  
display bib ID (**4 separate entries for same heading**):

- ocm47933106: 650 0 \$a Keith, Millie (Fictitious character).
- ocm48085387: 650 0 \$a Keith, Millie (Fictitious character).
- ocm49033700: 650 0 \$a Keith, Millie (Fictitious character).
- ocm49033707: 650 0 \$a Keith, Millie (Fictitious character).

display number of records (**1 entry for all 4 headings**):

- 4 records            650 0 \$a Keith, Millie (Fictitious character).
- .....

The default is to display the bib ID in all standard bib reports.

**REPORT SEGMENTATION**

Each report contains HTML code to insert a page break after every significant portion of displayed text. The page break is not viewable in the report display.

This is useful for when you want to print out the reports and perhaps assign them to staff for further review.





NOTES

### CUSTOM REPORTS

MARS 2.0 can generate custom reports that include information meeting many different combinations.

A library could obtain a list of all the headings that contain a geographic subdivision (\$z) in their state or province, or all subject headings (6XX) that have 2nd indicator 4 (local headings).

Like MARS 2.0 bibliographic reports, custom reports can be sorted by bibliographic record number, or the headings can be deduped and then sorted alphabetically.

Please ask your Project Manager for current cost for generating a custom report (a one-time set-up fee will be required).

### CUSTOM REQUESTS

MARS 2.0 is an extremely flexible service. If the options presented in Step 5 do not adequately address your needs, please discuss your requirements with your MARS 2.0 project manager.

Many different types of reports can be created using the characteristics described in this section (e.g., fields to include, format of the report, sort order). Reports that fall outside the scope of the options in Step 5 can be requested by filling out additional details in your online profile.

To request a custom report, describe the information desired in Step 5.4, **Additional Information for Reports**. Please address the following parameters as appropriate:

- **Records to Include** - All or selected records from a particular library, records containing a certain field, records containing a particular text in a specified field, records of a particular format (for example, videos), or any combination of these or similar conditions.
- **Fields to Include** - All fields in a record or selected fields.
- **Sort Order** - The records can be sorted by almost any field, for example, the local system control number, the main entry, the main entry then title, a call number or hierarchy of call number fields.

## MARS 2.0 BIB REPORTS LIST

MARS 2.0 Standard bib reports are listed first, followed by optional reports.

Standard bibliographic reports are offset with: **STANDARD**

### **STANDARD** R00 NEAR MATCH

Includes two nearest matches (primary, secondary) for each unmatched heading listed within report. Primary near match has at least 75% confidence level in order to decrease potential size of report for review.

### **STANDARD** R01 STATISTICAL SUMMARY

Includes both high-level and detailed statistical information about the files processed. Also includes the number of times selected actions were taken and the number of headings that contain specific conditions related to database and heading maintenance.

### **STANDARD** R02 AUTHORITY ADD REPORT

Authority records which were **added** either through Notification or Current Cataloging (see Step 6, Ongoing Services).

### **STANDARD** R03 AUTHORITY CHANGE REPORT

Authority records which were **changed** either through Notification or Current Cataloging (see Step 6, Ongoing Services). Updated fields are highlighted in this side-by-side report.

### **STANDARD** R04 AUTHORITY DELETE REPORT

Authority records which were **deleted** either through Notification or Current Cataloging (see Step 6, Ongoing Services). Updated fields are highlighted in this side-by-side report.

### **STANDARD** R06 PARTIALLY MATCHED HEADINGS

Fields in this report contain a primary heading which matched an established heading in an authority record, plus additional subfields that were not present in the related authority record. For example, the heading **Washington Press Association—By-laws** contains a primary heading which matched an LC name authority record, plus a free-

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floating subdivision which was not present in an authority record for this body.

Most partially matched headings are valid, but for which an authority record has not been created. Some headings, however, will contain one or more subdivisions which are not valid, not authorized for use in that heading, incorrectly spelled, etc.

#### **STANDARD R07 UNMATCHED PRIMARY HEADINGS**

Fields in this report include a primary heading which did not match an established heading or cross reference in any authority record. The **primary heading** in a field includes different subfields depending on the heading type. For example, the primary heading in a Personal Name (X00) heading includes the **\$a** plus any **\$b**, **\$c**, **\$q** or **\$d** present.

The majority of non-65X headings in this report will normally be headings which are valid, but have not yet been established.

#### **STANDARD R09 POSSIBLE INVALID TAGS**

This report shows authority controlled fields which matched an authority record with a different tag. For example, if a Topical Subject (X50) heading matched a Uniform Title (X30) authority record, the bibliographic heading would be included in this report.

Headings are only included in this report when the tag was not changed due to restrictions within the MARS 2.0 software (e.g., never change an X30 tag to an X50 tag unless based on an authority record cross reference).

Many of the headings in this report will be correct and no action is necessary. For example, the heading **Arizona** might be both a valid Geographic Name (X51) **and** a Uniform Title (X30) heading.

#### **STANDARD R10 HEADING MATCHES MULTIPLE AUTHORITY RECORDS**

Headings in this report matched the established (1XX or 4XX) heading in more than one authority record. Headings are included if either the full heading or just the primary heading matched multiple authority records. Partially matched headings are included only if the full heading did not match any heading in the authority file, but a portion of the heading (one of the higher levels) matched the established heading in more than one authority record. The multiple authority records that matched are **not** delivered to the customer if the heading appears in this report.



**STANDARD R11 HEADING USAGE NOT AUTHORIZED**

Headings in this report matched a heading in the authority file, but the usage codes in the authority record indicate that the heading is not appropriate for the use to which it has been applied in the bibliographic record. An example would be when the authority record indicates that the heading is appropriate for use as a main or added entry, but the heading has been used as a series added entry.

Many of the headings in this report will either need to be changed to a different form, or have their tag changed.

**STANDARD R13 SUSPICIOUS FILING INDICATORS**

The headings in this report meet either of the following conditions:

- Indicator does not represent the length of the initial word
- Indicator may or may not be a leading article based on initial word

.....  
740 15 \$a **The** cat in the hat.

740 1 \$a **De** juramenti promissouri.

740 12 \$a **De** obligatione conscientiae praeteciones decem.

The initial word in these headings was retained in the field. As the filing indicator affects retrieval in many ILS, you may wish to examine these headings to determine correction in the record is required on your ILS.

.....  
**Note:** *MARS 2.0 tests the value of the filing indicator based on the presence of the initial word in a list of initial articles for each language. The language code in the 008 field (bytes 35-37) is used to determine the language of the record.*

**STANDARD R14 POSSIBLE LEADING ARTICLES**

The headings in this report contain an initial word that may or may not be a leading article. For example, although an initial word **A** is normally a leading article in English language word titles, it is not an article in the title **A is for apple**. The initial word in these headings was retained in the field unchanged.

Because the filing indicator affects retrieval in many automated systems, you may wish to examine these headings to determine if the filing indicator is correct or if it needs to be corrected in the bibliographic record on your local system.

NOTES



NOTES

**STANDARD R17 SPLIT HEADINGS - HEADINGS LEFT UNCHANGED**

The headings in this report matched See From xrefs (4XX) in multiple authority records. You may wish to review these potential split headings to determine which heading(s) is most appropriate for the bibliographic record, and make the appropriate changes in your local system.

**STANDARD R25 UNRECOGNIZED \$z SUBFIELDS**

The headings in this report contain one or more geographic subdivisions that were not present in the list of established place names used by MARS 2.0. A heading containing two unrecognized \$z will appear twice in this report.

If a heading does not contain any bolded text, the unrecognized geographic subdivision was corrected during later phases of MARS 2.0 processing.

**Note:** *Any \$z that is unrecognized will be included in this report, even if it contains a subdivision that is obviously not a place name.*

**STANDARD R31 SPLIT HEADINGS**

This report includes all authority controlled headings which were **split** during MARS 2.0 Authority Control processing. Headings can split into multiple headings based on a one-to-many change in a primary heading or a one-to-many change in an individual subfield.

Examples include the change from **Nurses and nursing** to the headings **Nurses** and **Nursing**, and the change from **–Dictionaries and encyclopedias** to the subdivisions **–Dictionaries** and **–Encyclopedias**.

In most cases, retaining all replacement headings will assist users in locating relevant resources. In some cases, however, one or more of the replacement headings is not appropriate for the work represented. In these cases, the library may wish to remove those replacement headings which are less relevant for the work represented.

**STANDARD R32 TAGS FLIPPED**

This report includes all authority controlled headings in which the tag was changed during MARS 2.0 Authority Control processing.

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### R05 MATCHED HEADINGS

Every heading that was matched during MARS 2.0 Authority Control is included within this report.

### R08 GENERIC NAMES

Fields in this report contain a primary name heading which is considered generic (i.e., names without qualifiers such as a date or fuller form of the name). Choosing to flip on generic name headings will give you a larger match rate, but it can cause false matches. MARS 2.0 allows for the flip of all name authority headings including the generic heading if there is a match to a See xref (400) in the authority. This reports lists those headings that were NOT flipped.

### R15 ARTICLE APPEARS TO BE ONLY DATA IN FIELD

Fields are included in this report when the entire heading consists of a leading article. For example, if an entire heading consists of the word **The**, this report would need to be reviewed and make any necessary changes in the bibliographic record on your local system.

### R16 SERIES LEADING PRONOUN PRESENT WITHOUT MAIN ENTRY

This report contains Series Traced Note (4XX) fields which contain a pronoun that takes the place of the 1XX main entry text (e.g., **His Dialogues**). To update this obsolete cataloging practice, MARS 2.0 normally replaces the initial pronoun with the heading in the 1XX main entry field. In these bibliographic records, however, there was no 1XX main entry available. Thus, the pronoun has been retained in the generated 8XX series added entry field. In each of these bibliographic records, you need to correct the 8XX series added entry field and add a 1XX main entry field (if appropriate).

### R18 ASSOCIATED LINKED FIELD IN \$6 NOT FOUND

The linked field represented in the Linkage subfield \$6 in the headings was not found in the bibliographic record. The bibliographic record needs to be examined, and the correct data added to the Linkage subfield.

NOTES



NOTES

### R19 INVALID \$e FOUND IN 100/700 – NOT DELETED/CHANGED

Relator Terms **\$e** that contain text which appears on the list (see Step 2.6) to be deleted (e.g., **joint author**) or corrected (e.g., **illus.** to **ill.**) are deleted or fixed. If the Relator Term subfield contains text which does not appear on either list, the heading is included in this report.

### R20 NON-STANDARD OR MISSING SOURCE CODE IN 655 \$2

Genre Form Headings (655) in this report contain a 2nd indicator **7** yet do not contain the required **source of term** \$2. Headings in this report should be examined to determine if the value in the **source of term** subfield needs to be added.

### R21 ADDED JUVENILE TO EXISTING 6XX \$v

For libraries that choose this option in Step 3.7, **Juvenile** will be inserted at the beginning of **\$v** for any former Childrens heading (6xx 2nd indicator of **1**) that was matched against LC and had its 2nd indicator changed to **0**. As an example, this would result in **\$v Fiction** being changed to **\$v Juvenile fiction**.

### R22 ADDED \$v JUVENILE LITERATURE TO 6XX

For libraries that choose this option in Step 3.7, **\$v Juvenile literature** is added at the end of any former Childrens heading (6xx 2nd indicator of **1**) that was matched against LC and had its 2nd indicator changed to **0**. As an example, **\$a Friendship** would change to **\$a Friendship \$v Juvenile literature**.

### R23 FREE FLOATING SUBDIVISION VALIDATION

Most partially matched headings are valid, but an authority record has not been created for the entire heading. Free floating subdivisions that are valid, invalid, or unknown are displayed in this report (see Appendix, pg 177 for more details about subdivision validation).

### R24 GENERIC NAMES FLIPPED

Fields in this report contain a primary name heading which is considered generic (i.e., names without qualifiers such as a date or fuller form of the name). MARS 2.0 allows for the flip of all name authority headings including the generic heading if there is a match to a See xref (400) in the authority. This report will allow for closer review of those flipped generic name headings.

**R26 TITLE FOUND – UNABLE TO UPDATE**

A title of honor (e.g., **Sir**) was found within the headings in this report, but MARS 2.0 was unable to generate the appropriate \$c.

**R28 UPDATED HEADINGS BY 4XX**

This report includes authority controlled headings which were updated during the Backstage Authority Control process that were matched against a 4XX heading.

**R29 UPDATED HEADINGS BY 1XX**

This report includes authority controlled headings which were updated during the Backstage Authority Control process that were matched against a 1XX heading.

**R30 UPDATED HEADINGS**

This report includes all authority controlled headings which were updated during MARS 2.0 Authority Control processing. Headings **not** included in this report include those fields **not** under authority control such as those with tags **0XX, 245, 3XX, 5XX, 9XX**. Also not included in this report are headings that contain only a **minor** heading change such as a change in form (punctuation, spacing, capitalization) or a subfield code change from \$x to \$v. See **R35 - Minor Heading Changes** for updated headings that contained only a minor heading change.

**R33 SUBDIVISIONS FLIPPED**

This report includes authority controlled headings in which MARS 2.0 changed an out-dated or incorrect subdivision to the correct form. This report does not include headings in which the only updates were made based on a match to a cross reference in an authority record.

**R35 MINOR HEADING CHANGES**

This report includes all authority controlled headings which contained only **minor** heading changes such as a change in form (punctuation, spacing, capitalization) or a subfield code change from \$x to \$v. See **R30 - Updated Headings** for headings that were changed in more significant ways.

**NOTES**

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### R36 LEADING ARTICLE DELETED

A leading (initial) article was found in \$a or \$t of the headings in this report. MARS 2.0 deleted the leading article, converted the resulting first character of the subfield to uppercase (if appropriate) and set the filing indicator to **0** (if appropriate).

### R37 FILING INDICATOR CHANGED

The filing indicator in the headings in this report was corrected based on the correct value as shown in the LC authority files and/or **MARC 21 Format for Bibliographic Data** (Initial Articles and Indicators table—see Step 2.7).

**Note:** *When MARC21 was issued in 1999 the method of counting non-filing characters was clarified. That clarification resulted in a change in practice that the Library of Congress implemented on February 20, 2003 (<http://www.loc.gov/catadir/cpsa/nonfil.pdf>).*

MARS 2.0 sets filing indicators based on this LC clarification.

### R38 CHANGED O AND L TO 0 AND 1 IN DATES

An uppercase **O** was changed to a number **0** or a lowercase **L** was changed to a number **1** in the date \$d for personal names.

### R39 SUBFIELD CODE CHANGED FROM \$x TO \$v

Headings in this report include a subdivision in which a topical \$x subdivision was recoded as a form \$v subdivision.

### R40 BOWKER TOC ENRICHMENT

Table of Contents Enrichment statistics are provided in this report. Also includes side-by-side comparisons of original vs matched records.

### R41 FIELDS CHANGED IN MANUAL REVIEW

Headings in this report represent changes that were made during the Manual Review process (see separate Manual Review Guide).

### R42 INVALID SUBFIELDS

Each field in this report contained an invalid subfield within the bibliographic record based on current standard cataloging practices.

### **R50 INVALID DATA FORMAT IN STANDARD IDENTIFIER FIELDS**

The format of the data in an 010, 020, or 022 field is invalid and could not be corrected through automated processing. A common cause is presence of too many characters. The subfield code has been changed to \$z (invalid) and the data has been retained and unchanged.

### **R51 UNRECOGNIZED GMDs**

MARS 2.0 examines GMDs in the first \$h (Medium) in each 245 Title Statement. This report shows the 245 \$h terms which were not found in the GMD list you selected (either AACR2 terms only, or the expanded set of commonly used GMDs). These GMDs may either be invalid or incorrectly spelled GMDs, or they may be non-standard GMDs used within your local catalog (see Step 2.9)

***Note:** If headings in this report contain GMDs which you treat as authorized in your catalog, you can provide a list of those GMDs to the MARS 2.0 staff. These GMDs will then be treated as authorized for your library and will not appear in future Unrecognized GMD reports.*

### **R54 FIELD TOO LONG TO VALIDATE**

MARS 2.0 does not process fields that exceeded 1000 characters in length. These fields are retained without modification in the bibliographic record. Formatted Contents Note (505) fields are excluded from this report. These long fields sometimes are an indication of a damaged bibliographic record in which multiple fields are being merged into a single field.

### **R57 69X LOCAL TAG FLIPPED**

Libraries with local tags in 69X fields where matching is requested will have headings in this report that found matches and flipped to corresponding LC 6XX tags.

### **R58 XREF MATCH**

Headings that found matches against an authority record's 4XX See tracings are listed in this report.

NOTES

A vertical rectangular box on the right side of the page containing horizontal lines for taking notes. The word "NOTES" is printed in a light gray font at the top left of the box. The box is empty except for the lines.



NOTES

### R60 OBSOLETE TAGS FLIPPED

The tags are corrected based on MARS 2.0 bibliographic cleanup (see Step 2) converts obsolete fields to the current equivalent. This report does not include fields in which the tag was corrected during MARS 2.0 authority control processing.

### R61 OBSOLETE SUBFIELD CODES DELETED

Obsolete subfield codes in each of the headings below are corrected during MARS 2.0 bibliographic cleanup (see Step 2) which converts obsolete subfields to the current equivalent. This report does not include subfield codes which were corrected during MARS 2.0 authority control processing.

**Note:** *Subfield code updates are based on the tag of the field. An incorrect tag can, therefore, result in incorrect subfield code updates.*

### R62 OBSOLETE FIELDS REMOVED

The obsolete fields shown in this report are removed from the bibliographic record(s) based on current standard cataloging practices. Descriptions of these obsolete fields can normally be found in the current edition of the **MARC 21 Format for Bibliographic Data**.

### R63 OBSOLETE SUBFIELDS REMOVED

Each field in this report contained an obsolete subfield which was removed from the bibliographic record based on current standard cataloging practices. Descriptions of these obsolete subfields are found in **MARC 21 Format for Bibliographic Data**.

### R64 EMPTY FIELD DELETED

In each of the records indicated within this report, MARS 2.0 removed a field that contained no information other than delimiters, subfield codes, and spaces.

### R65 LEADER FIXED FIELD VALUES UPDATED

One or more values in the Leader fields are updated during MARS 2.0 bibliographic cleanup (see Step 2). Leader values are updated only if specified in **MARC 21 Format for Bibliographic Data** or if requested by the library.





## NOTES

**R72 ISSN FORMAT CORRECTED**

In the ISSN 022 fields shown in this report, the format of the ISSN was changed to the correct format.

**R73 GMD CHANGED**

The GMD or punctuation in the 245 \$h was modified during GMD Standardization processing (see Step 2.8).

**R74 GMD ADDED**

The GMD in each heading in this report was added during MARS 2.0 bibliographic cleanup (see Step 2). None of the fields in this report contained a 245 \$h prior to bibliographic cleanup.

**R75 GMD BRACKETS ADDED**

Brackets were added to the GMD in the 245h \$h in each of the headings in this report (see Step 2.8).

**R76 GMD MOVED TO DIFFERENT LOCATION IN HEADING**

The 245 \$h GMD was moved to a different location within the field in accordance with placement rules in **MARC 21 Format for Bibliographic Data**.

**R77 ADDED REQUIRED SUBFIELD \$b TO FIELD 017**

The Copyright Number 017 fields in this report did not contain \$b, which is now a required subfield per **MARC 21 Format for Bibliographic Data**. MARS 2.0 added \$b and default data to field 017, as recommended by the Library of Congress.

**R78 ADDED REQUIRED SUBFIELD \$b TO FIELD 032**

The Copyright Number 032 fields in this report did not contain \$b, which is now a required subfield per **MARC 21 Format for Bibliographic Data**. MARS 2.0 added \$b and default data to field 032, as recommended by the Library of Congress. Default data is defined as the name or abbreviation of the agency assigning the number: <http://www.loc.gov/marc/bibliographic/bd032.html>.

### R80 NUMBER OF INDICATORS CORRECTED

The variable fields (010-999 tag) listed in this report did not contain two indicators. MARS 2.0 added one or two blank indicators, or removed extra indicators, as appropriate so the field meets the **MARC 21 Format for Bibliographic Data** requirements.

### R81 UNDEFINED INDICATORS CHANGED TO BLANK

The variable fields (010-999 tag) listed in this report contained a non-blank value in an indicator position that is undefined in **MARC 21 Format for Bibliographic Data** requirements. Since a blank space is the only allowed value in an undefined indicator position, these non-standard values were changed to blank spaces.

### R82 TYPE OF NAME ENTRY ELEMENT INDICATOR CHANGED

The Type of Name Entry Element Indicator in the headings in this report was corrected based on the correct value as shown in the LC authority files and/or **MARC 21 Format for Bibliographic Data**.

### R83 THESAURUS INDICATOR CHANGED

The Thesaurus Indicator (6XX 2nd indicator, or source indicator) in the headings in this report was corrected based on MARS 2.0 authority control matching.

### R84 MISC INDICATORS CHANGED

The indicators in the headings in this report were corrected based on **MARC 21 Format for Bibliographic Data**. This report does not include changes to standard authority control-related indicators such as filing, thesaurus, or name type indicators.

### R85 CONFERENCE SUBFIELDS REARRANGED IN AACR2 ORDER

The order of the subfields in the conference name headings in this report were changed from pre-AACR2 to AACR2 subdivision order.

### R86 LINKED FIELD IN \$6 CHANGED HEADING

The fields in this report include all tags that are linked to (\$6 880) vernacular tags. The linked fields listed within this report represent only changed Romanized linked fields. Their corresponding (\$6 880) vernacular tags have not been changed.

NOTES



NOTES

**R87 MUSIC UNIFORM TITLE \$t MATCH**

The fields in this report include all changed 240, 600-611 and 700-711 tags with a \$t that have a **c,d, i** or **j** in the Leader byte 06 field. This report shows changes made in Uniform Title authority headings for sound recordings or scores.

The MARS 2.0 authority control software cannot differentiate \$t that always, sometimes or never signify breaks in the logical unit. The Uniform Title headings need to be examined to determine if the \$t is appropriate for the new Uniform Title heading.

**Note:** *Title portions of 1XX tags are split off into their own 240 fields. The MARS 2.0 authority control process temporarily builds a 1XX Name/240 Title heading. When the two are put together to form a compound heading (MARS 2.0 authority control does in matching). The \$a from the 240 becomes a \$t in temporary headings to be used for matching. Once a match is found MARS 2.0 authority control splits the new Name/Title heading back to its original state as separate 1XX and 240 tags.. The \$t is converted back to a 240 \$a. The 240 changes will also be included in this report*

**R88 INVALID \$6 LINK FORMAT**

Headings where the \$6 link format does not match acceptable ranges are listed in this report.

**PROFILE STEP 5.3**

5.3 - Authority Change Reports	
<input type="checkbox"/>	All Changed Authorities Included
<input type="checkbox"/>	Only Authorities with Following Fields Changed
<input type="checkbox"/>	Exclude Insignificant Changes

**AUTHORITY CHANGE REPORTS**

MARS 2.0 only generates authority change reports during the Notification or Current Cataloging services (see Step 6).

Authority change reports provide update information to:

- Select and download new authorities from an external source
- Manually edit authority records
- Edit out-of-date headings in bibliographic records
- Keep up with changes in the form of authorized headings

Authority change reports provide side-by-side views of national authority records which have been updated. The out-of-date form of the record is shown on the **left** and the updated record is shown on the **right**.

Changed, deleted, and newly added fields are highlighted within each change report. However, 005 fields are never highlighted as the 005 field will have been changed in every case during an update.

As with the bibliographic reports, authority change reports are in HTML format and can be viewed by any standard browser.

**CHANGES IN REPORTS**

The best strategy for most institutions is to receive all changes within the authority change reports.

If **any** byte within an authority record has changed due to updates from the national agency, that record will be included as part of the set of change reports returned. This includes changes in punctuation, diacritics, and indicators.

The default is to display all updated authorities in change reports.

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### SIGNIFICANT AUTHORITY CHANGES

One way to reduce the number of updated authorities to review is to limit the changes to those with **significant** changes. A significant change is one in which certain fields (e.g., **010**, **1XX**, **4XX**) experienced an update or change of some sort.

If you limit the change reports to only showing significant changes, then this greatly reduces the volume of records that are displayed within the reports.

This option allows your staff to review changed authorities based on criteria that you consider to be significant.

### INSIGNIFICANT AUTHORITY CHANGES

Another way to reduce the number of updated authorities to review within the change reports is to exclude **insignificant** changes. An insignificant change is where an indicator updates or there is a punctuation or diacritic fix within the field.

This is especially useful in reducing the sheer volume of authorities where the 2nd indicator is changed from **0** to **blank**, but that represents the only change made to the entire authority record.

Even if you choose to exclude insignificant changes from the reports, the authorities for those insignificant changes will still be delivered.

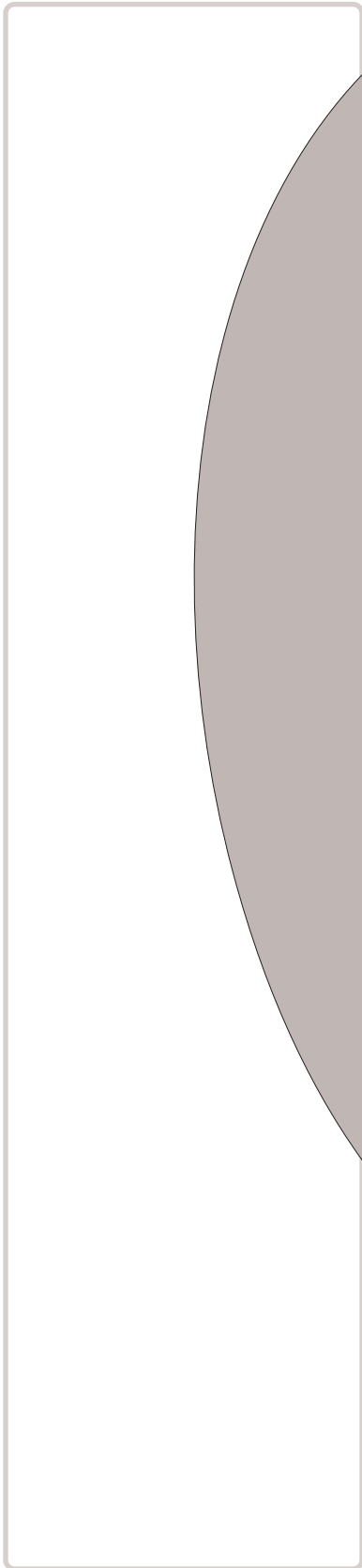
The authority change report can also be limited to only show certain fields such as 010 and 1XX.



# NOTES

A vertical rectangular box with rounded corners and a thin border. Inside the box, there are approximately 25 horizontal lines for writing, starting from the top header and extending to the bottom. The lines are evenly spaced and cover most of the box's height.







## Step 6: Ongoing Services

### SYNOPSIS

Step 6 introduces the ongoing services MARS 2.0 offers to help you keep your bibliographic and authority record databases current.

This chapter explains three related service offerings for ongoing authority control:

- Notification
- Current Cataloging
- Bibliographic Update

### ILS LINK

Library of Congress makes many updates to their authority records and the best way to keep on top of those that your library uses is through ongoing services. Through **Notification** and **Current Cataloging**, an ILS maintains the most current headings and authority records that are available.

For those whose ILS does not maintain current headings, the Notification would be replaced by the Bibliographic Update service.

### AT A GLANCE

- Frequency of updates
- Delete reports
- Local authority deletes or additions

### KEY TERMS

- Notification service
- Current Cataloging service
- Master authority file source
- Bibliographic Update service

NOTES

## Step 6: Notification & Current Cataloging

### OVERVIEW

#### NOTIFICATION SERVICE

The MARS 2.0 Authority Notification Service keeps your authority files up to date by notifying you when authority records are updated, replaced, or deleted, and supplying the updated records to your library. This service is very flexible, with options that make it easy to customize in order to meet local requirements.

With the exception of new records that replaced deleted records and unmatched headings (briefs), you do not receive new authority records through this service. The Current Cataloging Service provides new authority records.

#### CURRENT CATALOGING SERVICE

The focus of the Current Cataloging Service is to incorporate Authority Control for your **new** bibliographic records into your regular cataloging workflow. There are two components to this service:

- Delivery of bibliographic records upgraded by MARS 2.0 Authority Control processing
- Delivery of new authority records not previously distributed to you that match headings in the bibliographic records

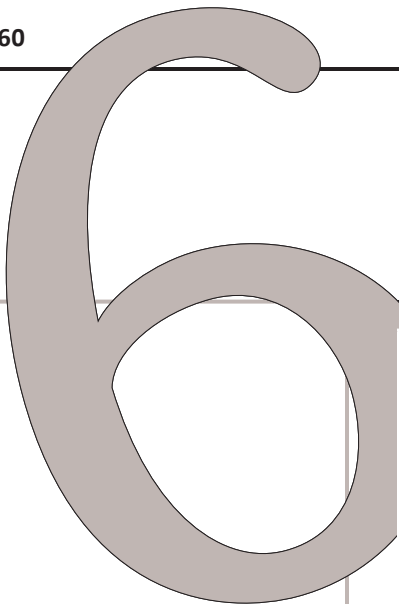
#### MARS 2.0 MASTER AUTHORITY FILE

MARS 2.0 maintains a Master Authority File for your institution that has been supported by any of the MARS 2.0 Authority Control services. Your MARS 2.0 Master Authority File can actually consist of a number of separate authority files, based on the profile options selected by you and your staff:

- National-level authority records (separate files for LC, MeSH, NLC, etc.)
- Locally generated records that conflict with LC practices, but are required for your catalog
- Locally generated records to be replaced by national-level records
- National-level authority records with local tags & subfields to be merged with updates in national records
- MARS 2.0 unmatched heading records for all bibliographic headings that did not fully match a national-level authority record during the MARS 2.0 Authority Control processing of your bibliographic records

NOTES





NOTES

### MARS 2.0 UNMATCHED HEADING RECORDS

Your MARS 2.0 Master Authority File includes a **brief record** generated for each **unmatched** heading during the MARS 2.0 Authority Control processing of bibliographic records.

During every subsequent **Notification Service**, MARS 2.0 programs search for a national-level authority record corresponding to these unmatched headings.

When searching the national files, MARS 2.0 programs always check both the Established Heading (1XX) and See From xrefs (4XX) for potential matches. If one is found, the new authority record will be included in the authority distribution files.

The new national-level authority record will replace the MARS 2.0 unmatched heading record in your Master Authority File.

### AUTHORITY RECORD STATUS

MARS 2.0 automatically sets the Record Status (Leader byte 05):

- New (**n**) - these authorities are **new** to your catalog
- Changed (**c**) - these records **already exist** in your catalog and are **changed**
- Deleted (**d**) - these authorities need to be **removed** from your catalog

**Note:** Authority records issued by LC with a **record status** of **a** (increase in encoding level) are distributed by MARS 2.0 with a record status of **c** (changed), since it is a **change** to a record in your local authority file.

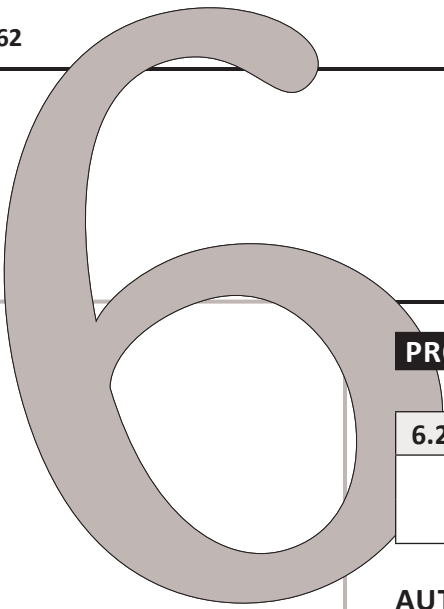
Similarly, authority records issued by LC with a record status of **s** or **x** are distributed by MARS 2.0 with a record status of **d**, since they need to be **deleted** from your local authority file.

### UPGRADING DAMAGED AUTHORITY RECORDS

If authority records have been modified during previous cleanup projects by other vendors, records could be missing a necessary field (e.g., 005) or have damaged or missing LC Authority Record Numbers. Let your MARS 2.0 project manager know if your authority file needs extra attention.







**PROFILE STEP 6.2**

**6.2 - New & Changed Authorities**

- Combined (NEW + CHG)
- Separated (NEW ; CHG)

NOTES

**AUTHORITY FILE SEGMENTATION BY STATUS**

Determine how your organization wants Backstage to distribute the changed and new records that are created during **Notification Services**:

- **Combined** - All new and changed records together in one file
- **Separated** - New records in one file and Changed records in one file

.....  
**combined:**

Your ILS can load both new and changed authorities dynamically, without needing to separate the two in order to index properly

**separated:**

Your ILS needs to load new and changed authorities separately, as there are separate instructions within the load steps to address each respective file  
.....

The default is to deliver new & changed authorities as you determine best.



**PROFILE STEP 6.4****6.4 - Older Forms of Heading**

- Hide 4XX from Patrons
- Exclude Generic Names

NOTES

**OLDER FORMS OF HEADING**

MARS 2.0 can update authorities where the older form of the heading is no longer included as a See xref (4XX). As national authority files are updated, it becomes increasingly likely that older unmatched bib headings will now find a matching authority against which to update.

However, when the older form of the heading does not meet the criteria necessary in order to be added back into the record, it can become difficult to manually link up these headings with the current authorized form.

LC name authority **n 50000918** updated with **death date**:

100 1 \$a Parker, Fan, \$d 1908-2004

400 1 \$a Pockrose, Fania M., \$d 1908-2004

**older form of heading:**

100 1 \$a Parker, Fan, \$d 1908-

**n 50000918** updated with **older form of heading**:

100 1 \$a Parker, Fan, \$d 1908-2004

400 1 \$a Pockrose, Fania M., \$d 1908-2004

400 1 \$w nnea \$a Parker, Fan, \$d 1908- \$5 UtOrBLW

**HIDE 4XX FROM PATRONS**

MARS 2.0 can add \$w nnea to the older forms of the headings in order to hide those specific See xrefs (4XX) from displaying to library patrons within the OPAC.

**EXCLUDE GENERIC NAMES**

Generic names on older headings may potentially lead to false matches, depending on the integrity of the cataloged database. MARS 2.0 can exclude generic names from being included in the older forms of the headings so as to reduce updating headings that should not be considered.

The default is to hide older forms of headings and include generic names.



**PROFILE STEP 6.5****6.5 - Library Collection - Adds & Deletes**

- MARC Record Format
- LCCN List (text, excel, word, email, etc)

**ADDS & DELETES**

Sometimes you and your staff download individual authority records related to a bibliographic record in your catalog. You may also remove records from your local authority file for headings that are no longer present in your catalog. In either case, your MARS 2.0 Master Authority File **will not reflect these changes** made locally by your staff.

MARS 2.0 can apply the adds and deletes to the your MARS 2.0 Master Authority File. This will prevent distribution of authority records that have already been loaded into a local authority file and, more importantly, will provide you with any future updates to the records that have been loaded locally.

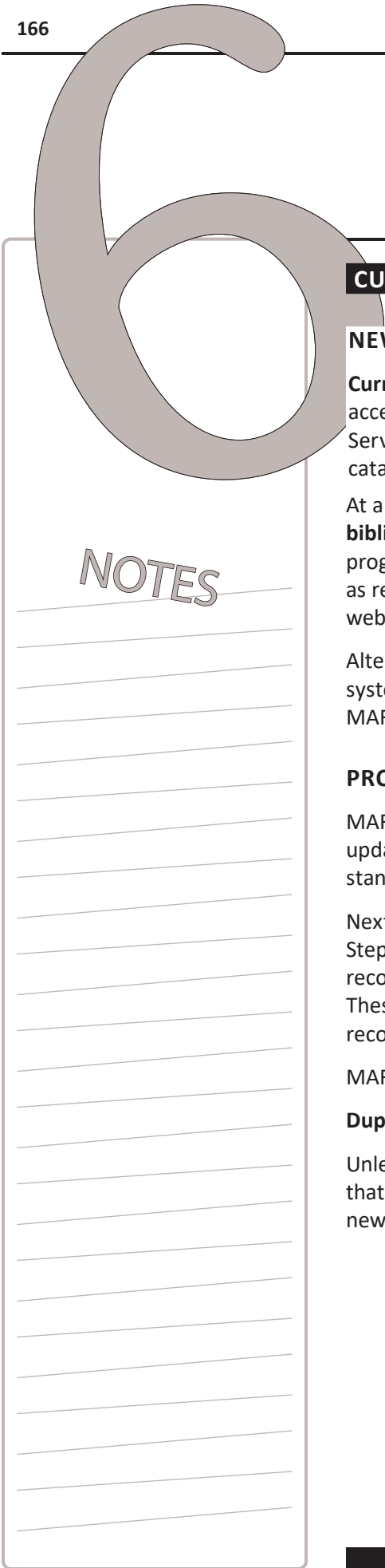
Removing authority records that have been removed from your local authority file from the MARS 2.0 Master Authority File prevents MARS 2.0 from distributing an update to a record that is no longer present in your authority file.

To have local adds and deletes applied to your MARS 2.0 Master Authority File, you would need to provide Backstage with files of added and/or deleted authority records or the LC number corresponding to the authority record.

**Note:** *MARS 2.0 also needs the files or lists submitted according to usage and type. For example, a file called **NAME.DEL** instructs us to only remove the **name usage** for entries listed in that file, as opposed to both name & subject usages.*

The default is to apply any authority adds or deletes that are submitted.

NOTES



**CURRENT CATALOGING SERVICE**

**NEW BIBLIOGRAPHIC RECORDS**

**Current Cataloging Service** provides automated Authority Control on an accelerated schedule and with rapid record turnaround. The Current Cataloging Service provides both Authority Control for the headings in your current cataloging records and the matching authority records.

At a frequency you select, you send a file to Backstage that contains all **new bibliographic records** added to your system **since the last update**. MARS 2.0 programs will perform the same processing on these new bibliographic records as requested for the original file. All files can be submitted and returned via our website.

Alternatively, if you have loaded the new bibliographic records on your local system, you can request that only bibliographic records that were changed by MARS 2.0 processing be returned.

**PROCESS OVERVIEW**

MARS 2.0 bibliographic cleanup performs all of the necessary validation, updates, and corrections necessary in order to bring the records up to MARC21 standards (see Step 2).

Next, MARS 2.0 compares each heading against the authority files specified (see Step 3). During MARS 2.0 Authority Matching, a file containing every authority record that matched a heading in the new bibliographic records is generated. These new authority records are then compared against the file of authority records previously provided: your **MARS 2.0 Master Authority File**.

MARS 2.0 identifies and distributes only new and updated authority records.

**Duplicate copies of authority records are never distributed.**

Unless requested otherwise, MARS 2.0 will use the same profile specifications that were used for your original basefile project in order to process all of your new bibs during the Current Cataloging Service.



**PROFILE STEP 6.6**

<b>6.6 - New Bib Processing Frequency</b>
<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly
<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual

**BIBLIOGRAPHIC RECORD PROCESSING FREQUENCY**

To establish your MARS 2.0 Current Cataloging Service, select the frequency you will be submitting files of new bibliographic records (e.g., weekly, monthly, etc.).

The start date can be selected based on local needs. If a library has chosen quarterly Current Cataloging processing, and has selected to begin the processing in April, the updates processing would be scheduled for: April, July, October, January. Both the frequency and schedule can be changed upon request.

Often a library is uncertain as to how often they should send their current cataloging records. A good measurement for determining the frequency you should send us your records is to determine how often your library creates or brings in 5,000 records.

If you are bringing in 5,000 new records a quarter then send us your records quarterly. If you are bringing in or creating 5,000 new records every month then send us your records monthly.

Submit files of bibliographic records to Backstage for Authority Control processing a few days prior to or during the month you have scheduled for processing.

Please note that process could take up to 5 business days and therefore we cannot guarantee that those files sent in the last week will be completed by the end of the month.

The default is to process your new bibles as often as you send them in.
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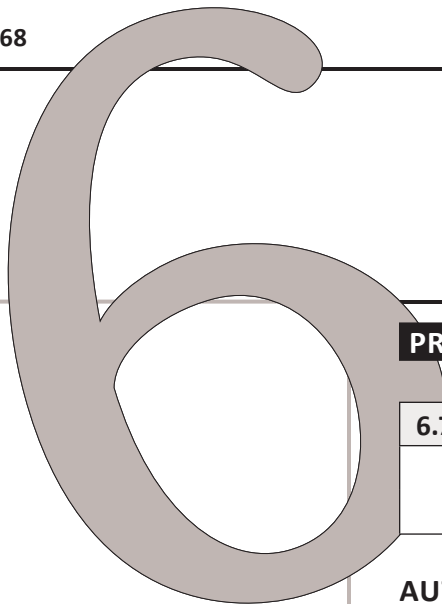
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**PROFILE STEP 6.7**

**6.7 - New & Changed Authorities**

- Combined (NEW + CHG)
- Separated (NEW ; CHG)

NOTES

**AUTHORITY FILE SEGMENTATION BY STATUS**

Determine how your organization wants Backstage to distribute the changed and new records that are created during **Current Cataloging Services**:

- **Combined** - All new and changed records together in one file
- **Separated** - New records in one file and Changed records in one file

**combined:**

Your ILS can load both new and changed authorities dynamically, without needing to separate the two in order to index properly

**separated:**

Your ILS needs to load new and changed authorities separately, as there are separate instructions within the load steps to address each respective file

The default is to deliver new & changed authorities as you determine best.

## BIBLIOGRAPHIC UPDATE SERVICE

### Entire Bibliographic Update

Backstage offers a 3rd ongoing service called **Bibliographic Update Service**.

The process of importing and updating your authority records is straightforward. Control numbers are matched and the newly imported record overlays the old authority record.

However, for some ILS, updating the authority heading is done by a string match on the 1XX or 4XX of the authority record. If the 1XX or 4XX is not the same as the old bibliographic authority heading, some ILS will not automatically match the new authority heading with the authorized heading in the bibliographic record.

Typically, this is done through reports but the effort to reconcile or to populate the authorized heading in the bibliographic record can be a manually time-consuming process depending on the ILS and the library staff available for the task.

### PROCESS

Because of the acceleration of Library of Congress updates to the name and subject files, we have noticed an increase in the amount of updates coming to Backstage each week. As a result, we have a service that updates your bibliographic record at the same time we update the authority heading.

With this service, Backstage maintains your bibliographic records in a Master Bibliographic File. Our **Bibliographic Update Service** will reauthorize every heading within your Bib records at a frequency you determine. We will deliver to you updated bibliographic records along with your updated and new authority records.

## NOTES



**PROFILE STEP 6.9**

**6.9 - Bibliographic Update Service Frequency**

- Quarterly
- Semi-Annual
- Annual

**AUTHORITY FILE SEGMENTATION BY STATUS**

Determine how your organization wants Backstage to distribute the changed and new records that are created during **Current Cataloging Services**:

- **Combined** - All new and changed records together in one file
- **Separated** - New records in one file and Changed records in one file

.....  
**combined:**

Your ILS can load both new and changed authorities dynamically, without needing to separate the two in order to index properly

**separated:**

Your ILS needs to load new and changed authorities separately, as there are separate instructions within the load steps to address each respective file  
.....

The default is to deliver new & changed authorities as you determine best.

NOTES

**PROFILE STEP 6.10**

<b>6.10 - New &amp; Changed Authorities</b>
<input type="checkbox"/> Combined (NEW + CHG) <input type="checkbox"/> Separated (NEW ; CHG)

**AUTHORITY FILE SEGMENTATION BY STATUS**

Determine how your organization wants Backstage to distribute the changed and new records that are created during **Notification Services**:

- **Combined** - All new and changed records together in one file
- **Separated** - New records in one file and Changed records in one file

**combined:**

Your ILS can load both new and changed authorities dynamically, without needing to separate the two in order to index properly

**separated:**

Your ILS needs to load new and changed authorities separately, as there are separate instructions within the load steps to address each respective file

The default is to deliver new & changed authorities as you determine best.

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**PROFILE STEP 6.11****6.11 - Deleted Authorities**

- MARC Records
- Delete Report

**DELETED AUTHORITY RECORDS**

Authority updating often identifies a small number of authority records which have been removed from a national authority file by the appropriate national library. These are usually records that have been replaced by a different record.

MARS 2.0 can provide a machine-readable file and report of the deleted authority records. For records distributed electronically, the Record Status (Leader byte 05) will be set to **d** for all deleted authority records.

The most appropriate distribution of these records depends on the capabilities of your local system. If you are unsure of your system capabilities in regard to deleted authority records please contact your ILS vendor.

The **Authority Delete Report** is only available as an option in the **Notification Service**.

No delete status authority records are distributed as a result of one time MARS 2.0 projects or the **Current Cataloging Service**. This is because only the authority records related to headings in the file of new bibliographic records are examined during authority control processing.

By definition, a heading will never match a deleted authority record, so they will not be examined or distributed as part of Current Cataloging processing.

The default is to deliver deleted authorities as you determine best.

NOTES



**PROFILE STEP 6.12**

6.12 - Older Forms of Heading
<input type="checkbox"/> Hide 4XX from Patrons <input type="checkbox"/> Exclude Generic Names

## NOTES

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**OLDER FORMS OF HEADING**

MARS 2.0 can update authorities where the older form of the heading is no longer included as a See xref (4XX). As national authority files are updated, it becomes increasingly likely that older unmatched bib headings will now find a matching authority against which to update.

However, when the older form of the heading does not meet the criteria necessary in order to be added back into the record, it can become difficult to manually link up these headings with the current authorized form.

.....

LC name authority **n 50000918** updated with **death date:**

100 1 \$a Parker, Fan, \$d 1908-**2004**  
 400 1 \$a Pockrose, Fania M., \$d 1908-2004

**older form of heading:**

100 1 \$a Parker, Fan, \$d 1908-

**n 50000918** updated with **older form of heading:**

100 1 \$a Parker, Fan, \$d 1908-2004  
 400 1 \$a Pockrose, Fania M., \$d 1908-2004  
 400 1 \$w **nnea** \$a Parker, Fan, \$d 1908- **\$5 UtOrBLW**

.....

**HIDE 4XX FROM PATRONS**

MARS 2.0 can add **\$w nnea** to the older forms of the headings in order to hide those specific See xrefs (4XX) from displaying to library patrons within the OPAC.

**EXCLUDE GENERIC NAMES**

Generic names on older headings may potentially lead to false matches, depending on the integrity of the cataloged database. MARS 2.0 can exclude generic names from being included in the older forms of the headings so as to reduce updating headings that should not be considered.

**PROFILE STEP 6.13****6.13 - Library Collection - Bib Changes & Deletes**

- MARC Record Format
- Unique Identifier List

**CHANGES & DELETES**

Sometimes you and your staff edit or weed Bibliographic records that were sent for processing at an earlier date. In either case, your MARS 2.0 Master Bibliographic File **will not reflect these changes** made locally by your staff.

MARS 2.0 can apply the changes and deletes to your MARS 2.0 Master Bibliographic File. This will prevent redistribution of now obsolete records that you have updated or deleted within your catalog.

To have local changes and deletes applied to your MARS 2.0 Master Bibliographic File, you will need to provide Backstage with MARC files of **changed** Bibliographic records and either a TXT list of unique identifiers or a MARC file of records you have deleted from your system.

**Note:** *MARS 2.0 also needs the files or lists submitted according to type. For example, a file called **deletes.d[mmmydd]** instructs us to flag these bibs for deletion while **changed.d[mmmydd]** will overlay the existing copy of the Bib with your updated version.*

The default is to apply any authority changes or deletes that are submitted.

NOTES



## Appendix

NOTES

### SYNOPSIS

The core of this planning guide up to this point has been to provide all of the details necessary in order to process your bibliographic records through our MARS 2.0 Authority Control Service.

As with any service, there are various branches that are grafted onto the existing trunk. And there are services that grow out of other services offered. Some of these services are included, briefly, in this appendix page. Others require a separate document in order to facilitate understanding more easily.

Here are the extra services and products that relate to processing your bibliographic records but perhaps warrant separate documents to discuss:

- **Authority Remaster**
- **Manual Review**
- **18X Subdivision Validation**
- **RDA Bibliographic Processing**

**AUTHORITY REMASTER**

**OVERVIEW**

Some libraries already have a locally established MARS 2.0 authority file that they add to and modify. Many times this file represents a larger group of bibliographic records than the records being sent for MARS 2.0 Authority Control. The library can choose to have this authority file remastered.

To remaster your existing authority file, MARS 2.0 will match the file against the latest national database files using the MARS 2.0 Remaster Service and return the updated MARC authority records to you. In this case the local authority records are not used to override standard heading practice, but rather as a means of selecting and forwarding national authority records in your catalog. This will bring your entire authority database up to current national standards.

For best results the authority files submitted to Backstage should be separated by: **Name, Subject, Series,** and **Title**. The same file separation procedures should be followed as when you load your authorities. For example, if your database maintains two authority files (Names, Subjects) then Backstage will return two updated authority files to sync with your loading procedures.

**NATIONAL DATABASE MATCHING**

Libraries have the option of choosing which national database to search for their authority matching, based on the control number within the library's authority records. If a control number is not present, then the heading is searched as a string. Records that cannot be found via string match are retained in the client brief file for later searching as part of **Notification Services** (see Step 6).

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# NOTES

## MANUAL REVIEW

### OVERVIEW

MARS 2.0 Manual Review provides visual examination of authority controlled headings in your bibliographic records. Manual Review is performed by experienced MARS 2.0 staff librarians and library technicians, and results in a catalog of records with fewer errors and inconsistencies than machine processing alone can provide.

Manual Review editors examine electronic files of headings in your database. These headings, found in reports R06 and R07 (see Step 5.2), are reviewed for errors and then matched against the Library of Congress authority databases to determine if the heading can be matched. Manual Review consists of a careful scan of all headings in these reports coupled with a review of the bibliographic record where these headings reside to determine if the heading can be matched. Additionally, upon request, other reports may be considered as candidates for Manual Review.

### REVIEW CHOICES

The majority of the headings eligible for review are found in **R06 - Partially Matched Headings** and **R07 - Unmatched Primary Headings** reports (see Step 5.2). Each library's partially matched and unmatched headings will be divided into categories and reported to you. If you choose this service a report will be delivered before and after the review so you can follow the progress of your headings and evaluate the value of our service.

### ELEMENTS REVIEWED

The MARS 2.0 Manual Review editors look for and correct errors in:

- Spacing, punctuation, capitalization, and spelling
- Consistency in form of names
- Abbreviations
- Initial articles
- Period subdivision dates
- Missing, invalid, or incorrect usage of MARC 21 subfield codes
- Series headings (excluding volume/sequential designations)
- Conference names
- Mistagged names
- Main heading/subdivision combinations in LC subject headings
- Geographic, form, and language subheadings in MeSH headings



NOTES

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### RESOURCE DESCRIPTION AND ACCESS

PLEASE REFER TO OUR RDA ENRICHMENT PLANNING GUIDE FOR DETAILS ABOUT PROCESSING OPTIONS.



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## EPILOGUE

As you have a chance to look through this guide and review the different options available for processing your bibliographic and authority records, there may be certain questions you have which were not answered.

Our MARS 2.0 staff is ready to open the channels of communication and begin a dialog with you about these questions. Give us a call: **800.288.1265**. Or send us an email: [info@bslw.com](mailto:info@bslw.com).

We welcome your input and look forward to what you have to say. Every part of this profile can be customized by you and your staff. We hope the information contained herein informs your decisions about your collection and where you hope to take it with the help of the MARS 2.0 Authority Control Service.

At your service,

*The MARS Authority Control Team*

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A large vertical rectangular box with a thin border, containing horizontal lines for writing notes. The word "NOTES" is written in a stylized font at the top left of the box.

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