



MARS 2.0

AUTHORITY CONTROL PLANNING GUIDE





STEP 3: AUTHORITY CLEANUP & MATCHING

SYNOPSIS

Through numerous examples, Step 3 details the cleanup and matching options available for your bibliographic headings. This is a great place to find specific explanations for much of our processing.

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 system vendor about what kinds of changes to expect with the headings.

AT A GLANCE

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

KEY TERMS

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

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

MARS 2.0 first cleans up headings to facilitate matching on national-level authority records. 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 common direct geographic subdivisions to their indirect form
- Deleting subject subdivisions which have been canceled or discontinued
- Correcting spacing, capitalization, and punctuation



NOTES

DIRECT-TO-INDIRECT GEOGRAPHIC CONVERSION

MARS 2.0 Authority Cleanup uses a table to convert 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 subfield \$z **and** there is only one subfield \$z in the heading:

Direct Subdivision	Changes to	In Field/Subfield
\$zParis	\$zFrance\$zParis	LC 6XX fields
\$zJefferson Co., Kan.	\$zKansas\$zJefferson County	LC 6XX fields
\$zJefferson County, Kan.	\$zKansas\$zJefferson County	LC 6XX fields

CHRONOLOGICAL CONVERSION

MARS 2.0 Authority Cleanup 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
\$yTwentieth century	\$y20th century	LC 6XX fields
\$z20th century	\$y20th century	LC 6XX fields
\$y20th centry	\$y20th century	LC 6XX fields

DELETE OBSOLETE SUBDIVISIONS

MARS 2.0 Authority Cleanup uses a subfield deletion table to eliminate canceled subfields from LC bibliographic headings. Authority Cleanup deletes 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

The subfield deletion table also includes common misspellings and typographical errors:

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



NOTES

AUTHORITY MATCHING OVERVIEW

The second phase of MARS 2.0 Authority Control is Authority Matching. While Authority Cleanup improves authority controlled headings using proprietary MARS 2.0 correction tables, authority matching compares each authority controlled heading in your bibliographic records against authority record headings from any of a number of national and other authority files. Authority files available in MARS 2.0 Authority Control processing are:

NATIONAL AUTHORITY FILES

- NAF — LC Name Authority File
- SAF — LC Subject Authority File
- ACF — LC Children’s Authority File
- MeSH — National Library of Medicine MeSH Authority File
- NLC — Library and Archives Canada Canadiana Authority File
- NLC — Library and Archives Canada Canadian Subject Headings Authority File
- AAT — The Art & Architecture Thesaurus
- GSAFD — Guidelines on Subject Access to Individual Works of Fiction, Drama, etc.

OTHER AUTHORITY FILES

- Your local Authority File
- MARS 2.0 Auxiliary File





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SUBFIELDS DISREGARDED

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



EXAMPLES

- 810 2 \$aJohn Bartholomew and Son.\$tBartholomew world travel series ;\$v10.
- 130 0 \$6880-01\$a"Hsūūan lai his kan" his lieh.
- 440 4 \$aRomanica Gothoburgensia ;\$v12, 16\$x0080-3863

SUBFIELDS MATCHED OR IGNORED

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

MARC Tag	Subfields Retained During Matching	Subfields Ignored During Matching
100, 400, 700, 800	abcdefghijklmnopqrstyz	eu vwx23456
110, 410, 710, 810	abcdefghijklmnoprstyz	eu vwx23456
111, 411, 711, 811	abcdefghijklmnopqrstuyz	vw x23456
130, 830	abcdefghijklmnoprstxyz	vw 2356
730	abcdefghijklmnoprstyz	vw x2356
440	anp	vw x6
600	abcdefghijklmnopqrstvxyz	eu w23457
610	abcdefghijklmnopqrstvxyz	eu w23456
611	abcdefghijklmnopqrstuvxyz	23456
630	abcdefghijklmnopqrstvxyz	w 2356
650	abcdvxyz	ew 236
651	abvxyz	w 236
655	abcvxyz	ew 236

NORMALIZATION

Headings from both your bibliographic records and the MARS 2.0 authority files (LC, MeSH, etc.) are normalized before they are compared for matching. Backstage 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



EXAMPLE

Bib record heading:

\$aArchitecture\$zBrazil\$xS’ao Paulo (State)

Normalized heading:

ARCHITECTURE\$BRAZIL\$SAO PAULO STATE

Notice the subfield codes and the diacritic in S’ao Paulo have been discarded when constructing the normalized form of the heading. Because the subfield codes are ignored during the authority matching process, invalid subfield codes do not affect the matching and may be corrected during the process.

For this example, the normalized form of the established heading (1XX) in the authority record is:

Authority heading:

\$aArchitecture\$zBrazil\$zS~ao Paulo (State)

Normalized heading:

ARCHITECTURE\$BRAZIL\$SAO PAULO STATE

Since the normalized forms of the bibliographic and authority headings are the same, the established form in the authority record replaces the form in the bibliographic record. The bibliographic heading then contains the correct diacritic (~ instead of ’) and the subfield code for “S’ao Paulo” has been corrected to \$z.

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PROFILE STEP 3.2

2 - Normalization of Generic Name Headings (check one)
<input type="radio"/> Yes - Flip Generic Name headings and leave as standard MARS processing
<input type="radio"/> No - Do not Flip Generic Name headings

NORMALIZATION OF 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, not the data within \$a). Name headings are defined as bib tags 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:

Example	Bibliographic Record	Authority Record
Un-normalized form	\$aCampbell, James,\$d1826-1900	\$aCampbell, James,\$d1826-1900 \$aCampbell, James,\$d1826-1900 \$aCampbell, James,\$d1826-1910
Normalized form	CAMPBELL, JAMES\$d1826-1900	CAMPBELL, JAMES\$1826 CAMPBELL, JAMES\$1826 1900 CAMPBELL, JAMES\$1826 1910
Match	\$aCampbell, James,\$d1826-1900	

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 an optional report **R10 - Heading Matches Established Headings in Multiple Authority Records** (see Step 5 of the Planning Guide).

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.



BIBLIOGRAPHIC TEXT REPLACED

When a heading matches a 1XX authorized heading or a 4XX unauthorized heading in an authority record, MARS 2.0 Authority Control 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 “Tag changes” 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 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.

From the example below, if your bib authority heading was **\$aCampbell, James**, your new bib authority heading would become:

100 1 \$aCampbell, James,\$d1826-1910

This would link to the authority below:

001 n 2001026796

005 20010614121312.0

008 010614n| acannaabn |n aaa

010 \$an 2001026796

100 1 \$aCampbell, James, \$d1826-1910

400 1 \$aCampbell, James

**670 \$aDirect your letters to San Jose,
2000:\$bt.p. (James Campbell)**

CIP data (Campbell, James 1826-1910)

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

NOTES

SEE FROM TRACINGS

The 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).

EXAMPLE

- 650 0 \$aPhilippine American War, Philippines, 1899-1902.
- 651 0 \$aPhilippines\$xHistory\$yInsurrection, 1899-1901.
- 651 0 \$aUnited States\$xHistory\$yPhilippine Insurrection, 1899-1902.

The normalized headings from the bibliographic records are compared to the normalized authorized (1XX) and unauthorized (4XX) authority record headings. The headings above match headings contained in LC subject authority record sh 85100792 (only portions of the authority record are shown below):

- 005 19980416161019.4
- 010 \$ash 85100792
- 151 0 \$aPhilippines\$xHistory\$yPhilippine american War, 1899-1902
- 450 0 \$aFilipino American War, Philippines, 1899-1902
- 450 0 \$aPhilippine American War, Philippines, 1899-1902
- 450 0 \$aPhilippine Insurrection, Philippines, 1899-1902
- 451 0 \$aPhilippines\$xHistory\$yInsurrection, 1899-1901
- 451 0 \$aUnited States\$xHistory\$yPhilippine Insurrection, 1899-1902

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

- 151 0 \$aPhilippines\$xHistory\$yPhilippine American War, 1899-1902

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The MARS 2.0 software will then merge or de-duplicate the three identical authority headings to form one heading:

650 0 \$aPhilippines\$xHistory\$yPhilippine American War, 1899-1902.



EXAMPLES

100 1 \$aOliver, Kyle Gaius,\$d1965-

Matches: LC name authority record n 96112589

Changes to:

100 1 \$aOliver, K. G.\$q(Kyle Gaius),\$d1965-

650 2 \$aCare, Intraoperative.

Matches: NLM MeSH authority record D007430

Changes to:

650 2 \$aIntraoperative Care

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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 headings to be updated.

In the following examples, normalized headings are constructed for each level of hierarchy in the heading:



EXAMPLE 1

Original Form of Heading in Bibliographic Record:

```
650 0 $aElectronic digital computers
      $xProgramming$vCongresses.
```

“Levels of Hierarchy” for this Heading:

```
650 0 $aElectronic digital computers
650 0 $aElectronic digital computers$xProgramming
650 0 $aElectronic digital computers$xProgramming
      $vCongresses
```

Partial Match to 4xx Heading in LC Subject Authority Record sh 85107310:

```
150 0 $aComputer programming
450 0 $aElectronic digital computrs$xProgramming
```

Corrected Form of Heading in Bibliographic Record (a partial “flip” or conversion):

```
650 0 $aComputer programming$vCongresses.
```

.....



EXAMPLE 2

Original Form of Heading in Bibliographic Record:

100 02 \$aGregory,\$cof Nazianzus, Saint.\$tOrations
.\$nOration 27-31.\$lGerman & Greek.

Partial Match to 4xx Heading in LC Name Authority Record
n 90662896

100 00 \$aGregory,\$cof Nazianzus, Saint
.\$tTheological orations.

400 00 \$aGregory,\$cof Nazianzus, Saint
.\$tOrations.\$nOration 27-31

Corrected Form of Heading in Bibliographic Record (a
partial “flip”):

100 02 \$aGregory,\$cof Nazianzus, Saint
.\$tTheological orations.\$lGerman & Greek.

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.



EXAMPLE

Full Heading:

700 12 \$aFreud, Sigmund,\$d1856-1939.\$tSelections
.\$f1980

Highest Level Heading:

700 12 \$aFreud, Sigmund,\$d1856-1939.

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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

The MARS 2.0 software 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:

MARC Tag	Subfield 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 present a unique challenge. Name/Title headings are often coded as a subfield \$a/\$t combination in either a 7XX or 6XX field. In the following examples, LC authority records containing the full Name/Title headings have been established and would be matched during normal MARS 2.0 authority matching.

**EXAMPLE**

600 10 \$aTwain, Mark,\$d1835-1910.\$tInnocents abroad.

710 1 \$aCanada.\$tTreaties, etc.\$d1992 Oct. 7.

.....

NAME/TITLE SPLIT AND TEMPORARY HEADINGS

At other times, however, the Name/Title heading is split between 2 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.



EXAMPLE

Bibliographic Fields

100 0 \$aAristotle.

240 10 \$aWorks.\$lEnglish.\$f1984

Become:

100 0 \$aAristotle.\$tWorks

.....

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 \$aAristotle.\$tWorks.\$lEnglish.\$f1984.

400 \$aAristotle.\$tComplete works of Aristotle.\$f1984

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

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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, any authority records for the higher levels of the heading will be matched and provided.



EXAMPLE 1

110 1 \$aUnited States.\$bCongress.\$bHouse.\$bSelect
Committee on Hunger.
\$tProgress report of the Select Committee
on Hunger (1992)

Closest match (LC n 82270415):

110 10 \$aUnited States.\$bCongress.\$bHouse.\$bSelect
Committee on Hunger.



EXAMPLE 2

100 0 \$aAristotle.\$tDe pomo.

Closest match (LC n 79004182):

100 0 \$aAristotle.

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

If the bibliographic heading has been used inappropriately, an error report is produced and no conversion will occur. For example, if a heading is used as a series added entry in a bibliographic record but the authority record indicates that the heading is not valid for use as a series, the heading will not convert.



PROFILE STEP 3.3**3 - Normalization of 6XX Fields (check all that apply)**

- Match & Flip
- Match X00, X10, X11 & Flip to any of these
- Match X50, X51 & Flip to either of these

TAG FLIPPING

MARS 2.0 programs can flip certain fields 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 fields can be set to match against different tags regardless of the information within the original field:

**EXAMPLE**

Bibliographic heading:

650 0 \$aItaly (Rome)

650 0 \$aEuropean Union.

Match as tag (flip):

651 0 \$aItaly (Rome)

610 20 \$aEuropean Union.

.....

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—unless “Do Not Flip” is selected. 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.

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TAG FLIPPING RULES

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

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

Note: An R09 (Step 5) report includes headings in which MARS 2.0 programs were 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 R32 report includes tags that were changed during automated processing.

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PROFILE STEP 3.4**4 - Flip 2nd Indicators for Partial Matches (check one)**

- Yes - Flip 2nd indicators for partially matched headings
- No - Do not Flip 2nd indicators for partially matched headings

FLIP SECOND 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 second 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 second indicators flipped.

**EXAMPLE**

Bibliographic subject heading:

650 4 \$aEnglish language\$xForeign elements\$xGreek
\$vTextbooks.

Closest match (LC sh 85043541):

\$aEnglish language\$xForeign elements

Second Indicator Flipped for Partial Match:

650 0 \$aEnglish language\$xForeign elements\$xGreek
\$vTextbooks.

Note: Only subject headings (6XX) are candidates for having their second indicator flipped when a partial match is found.

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DUPLICATE HEADINGS

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

The final step in every MARS 2.0 Authority Control Project is duplicate field resolution (“deduping”) of 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 second indicator of **0** (LC subject heading) and a 650 field with a second indicator of **2** (MeSH 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**. A report of all unmatched bibliographic headings is available for you to review (see Step 5, report 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 (see **Manual Review** in Step 7.2 of the Planning Guide).



PROFILE STEP 3.6

6 - Series Processing (check one)

- Standard
- Do Not Collapse 440 (only 490-0 or 490-1/830 in final record)
- Collapse 440 (if matched / unmatched)
- Trace All (all series 4XX headings generate equivalent 8XX field)
- Custom (describe): _____
- None - Do not provide authority control for any 4XX or 8XX fields

SERIES PROCESSING

The MARS 2.0 Authority Control software provides a variety of different processing options for series headings. Local library cataloging practices and local system indexing of series headings are central factors in determining which MARS 2.0 series processing option would be most effective for any particular catalog.

TRACED vs. UNTRACED

A series added entry (8XX) is made on the record for each work in a series if it is judged to be a useful access point. When an added entry for a series is made, we say that the series is “traced.” The traced record can be found by performing a search for the series as a title search in the OPAC. If a series is “untraced” there is no added entry made for the title of the series on the records of works in that series. Those records cannot be found by performing a search for the series as a title search in the OPAC.

Indicate if “Standard”, “Trace All”, “Custom” or no series processing is desired. If you need custom series processing, describe the processing and outcome for each of the 4 types of series heading fields (400/410/411, 440, 490/8XX, and 490-0). You can also add brief custom specifications to custom option Step 3.6 or a more elaborate specification to Step 3.16.

Series are treated as **traced** if:

- An LC authority record contains field 645 \$a coded “t” **OR**
- 008[12] = ‘a’ or ‘b’ or ‘z’

Series are treated as **untraced** if:

- The authority match does not have a 645 \$a “t” **AND**
- 008[12] = ‘c’

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CURRENT STANDARD SERIES PROCESSING: POST-JULY 2008

Backstage Library Works has always had parameters in place to accommodate libraries who did not want to collapse the 490/830 tags to 440 tags. Since the July 2008 MARBI announcement:

June 6th 2006, 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."

Standard MARS 2.0 series processing will be to **not collapse** the 490/830 tag to a 440 tag. A duplicate 8XX tag will be temporarily generated for both the 490 second indicator **0** and the 490 second indicator **1** tags. If a match is found the 490 will remain or be changed to 490-1 and the associated 8XX tag will remain for tracing. If a match is not found or the match is untraced the 490 will be changed to a 490-0 and the 830 trace tag will be removed.

We at Backstage understand that many of you may not desire to move forward with abolishing the use of the 440 tag. To accommodate your needs we have kept as an option the ability to collapse the 490/830 tag to a 440. A description of how this option works follows.

PREVIOUS STANDARD SERIES PROCESSING: PRE-JULY 2008

Previous standard MARS 2.0 series processing provides automated Authority Control supporting AACR2 and MARC 21 standards and current cataloging practices, including the distinction between traced and untraced series.

The series tracing practice as recorded in the LC authority record plays a significant role in MARS 2.0 standard series processing. An authority record containing a Series Tracing Practice field (645 \$a) coded "t" indicates a series is to be traced. A series is treated as traced during MARS 2.0 processing if an authority record contains **any** 645 \$a coded as "t."



400/410/411 SERIES STATEMENTS

The pre-AACR2 400/410/411 fields serve as both descriptive notes (Series Statements) and access points (Series Added Entries). Each 400/410/411 heading is converted to the MARC 21/AACR2 form of a separate Series Statement (490-1; Series traced differently) and Series Added Entry (8XX).

The MARS 2.0 programs generate a parallel 800/810/811 for each 400/410/411 heading. The tag of the 4XX series statement is changed to 490 with first indicator value 1 (Series traced differently). Data from the original series note is retained in field 490, while the heading in the 8XX series added entry is changed to the established form of the heading.



EXAMPLES

Original headings:

```
100 1 $aStrong, Anna Louise,$d1885-1970.
400 11 $aHer.$tLetters from China,$vv. 2
```

Updated headings:

```
100 1 $aStrong, Anna Louise,$d1885-1970.
490 1 $aLetters from China,$vv. 2
800 1 $aStrong, Anna Louise,$d1885-1970$tLetters
      from China ;$vv. 2.
```

.....

Original heading:

```
490 1 $aEmma Lord mystery
800 1 $aDaheim, Mary.$tEmma Lord mystery.
```

Updated heading:

```
490 0 $aEmma Lord mystery
```

.....

Since the authority record for the above example is untraced (lacks 645 \$a "t"), the 800 field is removed and the 490-1 is changed to 490-0. MARS 2.0 Series processing can retain untraced 8XX fields if the library requests it.

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NOTES

MAIN ENTRY REPRESENTED BY PRONOUN

Special pronoun processing routines are used whenever field 8XX is generated. There are 2 phases of the MARS 2.0 4XX series note processing.

4XX SERIES NOTE PROCESSING

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



EXAMPLES

Original headings:

110 11 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau.

410 11 \$aIts.\$tResearch bulletin,\$v78-RB-3

Updated headings:

110 11 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau.

490 1 \$aItsResearch bulletin,\$v78-RB-3

810 1 \$aWisconsin.\$bLegislature.\$bLegislative Reference Bureau. \$tResearch bulletin ; \$v78-RB-3.



PRONOUN SERIES PROCESSING

In fields 400/410/411 with a second indicator of **0** (main entry not represented by a pronoun), MARS 2.0 processing 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.



EXAMPLE

Original heading:

410 10 \$aWisconsin.\$bLegislature.\$bLegislative
Reference Bureau. \$tResearch bulletin,
\$v78-RB-3

Update headings:

490 1 \$aResearch bulletin ;\$v78-RB-3
810 1 \$aWisconsin.\$bLegislature.\$bLegislative
Reference Bureau. \$tResearch bulletin ;
\$v78-RB-3.

.....
Note that pronoun processing is not appropriate for 440 fields, as some established series titles begin with a pronoun (for example, His master's voice).

NOTES

Lined area for taking notes.



NOTES

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 processing did not change field 440 (Series Statement/ Added Entry) 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 field 490 (Series Statement) with first indicator value 1 (series traced differently)
- Field 8XX (Series Added Entry) was added containing the established form of the heading

**EXAMPLE**

Original heading:

440 0 \$aDepartment of the Army pamphlet ;\$v27-50

Updated headings:

490 1 \$aDepartment of the Army pamphlet ;\$v27-50

830 0 \$aDA pam ;\$v27-50.

.....

INITIAL ARTICLE SERIES NOTE PROCESSING FOR COLLAPSED 490/830 TO 440: PRE-JULY 2008

The established form of series headings in LC authority records contains initial articles. To accommodate this practice, the MARS 2.0 software 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 software ignores **The** during matching based on the filing indicator. The MARS 2.0 software checks the following languages during this step: English, French, German, Italian, Spanish.



EXAMPLE

Original heading:

440 4 \$aThe Rare book tapes.\$nSeries 1 ;\$v5

Updated headings:

490 1 \$aThe Rare book tapes. Series 1 ;\$v5

830 0 \$aRare book tapes. Pt 1, Series 1 ;\$v5.



EXAMPLE

Original headings:

490 1 \$aBulletin/Maine Agricultural Experiment
Station : 1975-1977

810 2 \$aLife Sciences and Agricultural Experiment
Station.\$tBulletin.

Authority record:

130 0 \$aBulletin (Life Sciences and Agriculture
Experiment)

410 2 \$aLife Sciences and Agricultural Experiment
Station.\$tBulletin

Updated headings:

490 1 \$aBulletin/Maine Agricultural Experiment
Station : 1975-1977

830 0 \$aBulletin (Life Sciences and Agriculture
Experiment)

NOTES



NOTES

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

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

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

1. Expand **440** fields to **490-1/830** pairs
2. Match the **830's** during authority control
3. If the 830 **does not match** or **if it matches an untraced authority record** (645 \$a "n"), the **490-1/830** pair collapses into a **490-0**
4. If, **after matching**, the **490-1** and **830** are **identical**, they are **collapsed back to a 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 first indicator zero) 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 (first indicator zero). 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").



EXAMPLE

Original heading:

490 0 \$aAmerican Paper Institute instrumentation
program report

Authority record:

130 0 \$aAmerican Paper Institute instrumentation
program report

645 \$an

Updated heading (no change):

490 0 \$aAmerican 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").



EXAMPLE

Original heading:

490 0 \$aCampbell County history and genealogy

Authority record:

100 1 \$aHartman, Margaret Stregel.\$tCampbell County
history & genealogy.

430 0 \$aCampbell County history and genealogy

645 \$at

Updated headings:

490 1 \$aCampbell County history and genealogy

800 1 \$aHartman, Margaret Stregel.\$tCampbell County
history & genealogy.

NOTES

Lined area for taking notes.



NOTES

TRACE 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 **Trace 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 Trace 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.

Note: Please check with your local system vendor before selecting the *Trace 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



NOTES

PRESERVATION

Many libraries have begun coding form subdivisions as subfields \$v in their new catalog records. MARS 2.0 can preserve your subfield \$v codes in subject headings regardless of the existence of an LC authority record for the heading. For example, if a library had created a bibliographic record with the following heading:

Library bibliographic heading for database about stock prices:

650 0 \$aStocks\$xPrices\$vDatabases.

LC authority record sh 87003018:

650 0 \$aStocks\$xPrices\$xDatabases.

Selection of the **Preserve existing \$v** option in Step 3.7 would preserve the subfield \$v code, even though the LC authority record coded **Databases** as a subfield \$x. The heading left on the bibliographic record would be the library's original heading:

650 0 \$aStocks\$xPrices\$vDatabases.

UPDATE HEADINGS

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



EXAMPLE

If the heading above was present in your database, with Databases coded as subfield \$x:

650 0 \$aStocks\$xPrices\$xDatabases.

.....
This MARS 2.0 option would convert your bibliographic heading to the new subfield \$v code form whether or not an authority record contained that form.



MARS 2.0 programs only modify a subfield code if the subfield meets a number of specific conditions, set by LC and MARC 21. To be eligible for updating to the subfield \$v code, the subfield 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 subfields \$z
- Eligible subfields can be followed by a subfield \$x containing a language

Other exceptions are also supported by the MARS 2.0 subfield \$v software 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 subfield \$v form. If you have a question about a particular \$v conversion, please contact your Project Manager.

MARS 2.0 programs apply an extensive table of over a thousand form subdivisions consisting of both single and multiple subfields to subfield \$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 subfield \$x or \$v are always converted to a subfield \$v if this option is selected.

A report of all headings containing ambiguous headings that have been flipped to subfield \$v is available for review by the library (see Step 5, report R39).

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

In the following heading, both **Gazetteers** and **Bibliography** can be form subdivisions:



EXAMPLE

651 0 \$aFrance\$xGazetteers\$xBibliography.

The combination of these 2 headings, however, is not an authorized form subdivision, so only the final subfield would be recoded as a subfield \$v. The updated heading would be:

651 0 \$aFrance\$xGazetteers\$vBibliography.

NOTES

Handwritten notes area with horizontal lines.

NOTES

AUTHORITY RECORDS

The 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 subfield \$x. Both preserving subfield \$v codes you enter and having MARS 2.0 update form subdivisions to the subfield \$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:



EXAMPLES

Bibliographic record (for a work about early maps, in which the cartographic material is secondary):

651 0 \$aUnited States\$xMaps\$xEarly works to 1800.

Bibliographic record (for a work containing actual maps or reproductions):

651 0 \$aUnited States\$vMaps\$vEarly works to 1800.

Authority record LC ARN **sh 86006684** (distributed for both forms of the heading shown above):

151 \$aUnited States\$xMaps\$xEarly works to 1800

Bibliographic record (for a work about various collections of manuscripts):

650 0 \$aManuscripts\$xCollections.

Bibliographic record (for a work containing a collection of manuscripts):

650 0 \$aManuscripts\$vCollections.

Authority record LC ARN **sh 85080674** (distributed for both forms of the heading shown above):

150 \$aManuscripts\$vCollections

Note: *MARS 2.0 is not currently providing LC subdivision (18X) authority records. The MARS 2.0 staff is interested in discussing any situation in which distribution of subdivision authority records would be beneficial within your current local system.*

PROFILE STEP 3.8**8 - LC Children Heading Matching (6xx second indicator 1) - (check db and order to search)**

- LC Child
- LC Adult
- Remove or Retain?
 - Remove unmatched headings
 - Retain unmatched headings
- Change or Do not Change?
 - Change 2nd Indicator
 - Do not Change 2nd Indicator
- Ignore / Do not Process Canadian Headings
- Remove (6xx second indicator 5) without processing

NATIONAL LC CHILDREN'S AUTHORITY FILE

MARS 2.0 processing can match bibliographic headings against the headings in the LC Children's Authority File. The LC Children's authority file contains just over 950 authority records.

FIELDS MATCHED

The following fields are matched against the LC Children's Authority Files:

LC Children's Authority Controlled Headings

Subject Headings*	600, 610, 611, 630, 650, 651
-------------------	------------------------------

** Only those with a 2nd indicator of '1' are Children's Headings*

IGNORE/DO NOT PROCESS

Some libraries have catalogs that do not contain subject headings coded as LC Children's headings. Other libraries have bibliographic records in their catalog that contain Children's headings, but their local system is profiled to exclude them from the OPAC indexes. Most libraries in which the Children's headings are not used and are not causing any problems for patrons select the "Do Not Process" option for Step 3.8. Under this option, MARS 2.0 ignores the Children's headings during Authority Control Processing.

NOTES

REMOVE WITHOUT PROCESSING

Under this option, all subject headings with a second indicator of **1** are removed from the bibliographic records.

DATABASES AND SEARCH ORDER

If you choose to have your LC Children's 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:

- LC Children's Authority File
- LC [Adult] Authority File
- Other National Files available (please check with with your Project Manager)

SEARCH LC CHILDREN'S AUTHORITY FILE ONLY

8	- LC Children Heading Matching (6xx second indicator 1) - (check db and order to search)
<input checked="" type="checkbox"/>	LC Child
<input type="checkbox"/>	LC Adult
<input checked="" type="checkbox"/>	Remove or Retain?
<input type="radio"/>	Remove unmatched headings
<input checked="" type="radio"/>	Retain unmatched headings
<input checked="" type="checkbox"/>	Change or Do not Change?
<input type="radio"/>	Change 2nd Indicator
<input checked="" type="radio"/>	Do not Change 2nd Indicator
<input type="radio"/>	Ignore / Do not Process Canadian Headings
<input type="radio"/>	Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes match the Children's headings against the LC Children's Authority File. For those headings that match a heading in the LC Children's Authority File, the indicator is remains as **1**. Headings that match a cross-reference in the LC Children's Authority File are flipped to the established form of the heading and the second indicator is again retained as a **1**. After the matching is completed, all remaining Children's headings (i.e., those that did not match a heading in an LC Children's authority record) are **retained** in the records.

NOTES

NOTES

SEARCH LC CHILD AGAINST LC ADULT ONLY

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

8 - LC Children Heading Matching (6xx second indicator 1) - (check db and order to search)

- LC Child
- LC Adult
- Remove or Retain?
 - Remove unmatched headings
 - Retain unmatched headings
- Change or Do not Change?
 - Change 2nd Indicator
 - Do not Change 2nd Indicator
- Ignore / Do not Process Canadian Headings
- Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes first match the Children's headings against the LC [Adult] Authority File as if the headings had a second indicator of **0** instead of **1**. For those headings that match a heading in the LC Authority File, the indicator is changed from **1** to **0**. Headings that match a cross-reference in the LC Authority File are flipped to the established (adult) form of the heading and the second indicator is again changed from **1** to **0**. After the matching is completed, all remaining Children's headings (i.e., those that did not match a heading in an LC [Adult] authority record) are **removed** from the records. Or, you could choose that any Children's headings that fail to match an LC [Adult] authority record are **retained** in the bibliographic record with the original second indicator value of **1**.

SEARCH LC CHILD FIRST, LC ADULT SECOND

Some libraries prefer to search their LC Children's authorities against the LC Children's Authority File first. Any matches found will update the heading, but the second indicator value will remain as **1**. However, unmatched LC Children's authorities could then be searched against the LC [Adult] Authority File. Any matches found during this procedure would change the value of the second indicator from **1** to **0**. Choosing this option would look like this for Step 3.8:

8 - LC Children Heading Matching (6xx second indicator 1) - (check db and order to search)
<input checked="" type="checkbox"/> LC Child <u>1</u>
<input checked="" type="checkbox"/> LC Adult <u>2</u>
<input checked="" type="checkbox"/> Remove or Retain?
<input type="radio"/> Remove unmatched headings
<input checked="" type="radio"/> Retain unmatched headings
<input checked="" type="checkbox"/> Change or Do not Change?
<input checked="" type="radio"/> Change 2nd Indicator
<input type="radio"/> Do not Change 2nd Indicator
<input type="radio"/> Ignore / Do not Process Canadian Headings
<input type="radio"/> Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes would retain unmatched LC Children's headings, with a second indicator value of **1**, to be searched at a later date by the library (of course, **Remove unmatched headings** could instead be chosen above if the library preferred that option). Matched headings for this option could *either* have a second indicator value of **1** for matches found within the LC Children's Authority File or a second indicator value of **0** for matches found within the LC [Adult] Authority File. This option is particularly useful for libraries interested in updating and retaining their Children's headings if possible, with the option to upgrade them to LC Adult headings if there is no match during the first pass against the LC Children's Authority File. Changing the search order (LC Adult=1, LC Child=2) reverses the order in which headings are matched.

NOTES

ADD "JUVENILE" TO MATCHED HEADINGS

Choosing **Add "Juvenile" to matched headings** will update the LC Adult matched headings with \$v "Juvenile literature" (or whatever is specified by the library) to the heading.

EXAMPLES

Child heading:

650 1 \$aRain forests.

650 1 \$aCollies\$vFiction.

Matched LC adult with "Juvenile" description added:

650 0 \$aRain forests\$vJuvenile literature.

650 0 \$aCollies\$vJuvenile fiction.

.....
If your requirements either fall outside of these options or you have questions about Step 3.8, please contact your MARS support representative.

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 a \$v according to certain criteria within the Leader (LDR) fixed field. If the record is a book (LDR byte 06 = "a" or "t"), then the 008 byte 33 is checked to determine *what kind of \$vJuvenile ...* is added to the heading:

- = "1" : add "\$vJuvenile fiction"
- = "d" : add "\$vJuvenile drama"
- = "h" : add "\$vJuvenile humor"
- = "p" : add "\$vJuvenile 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 byte 06 = "e" or "f"), the program adds **\$vMaps for children** on the end of the heading. All other formats will have **\$vJuvenile literature** added to the heading.

NOTES

NOTES

REMOVE WITHOUT PROCESSING

Under this option, all subject headings with a second indicator of **2** are removed from the bibliographic records.

DATABASES AND SEARCH ORDER

If you choose to have your Medical 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:

- NLM MeSH Authority File
- LC Authority File
- Other National Files available (please check with with your Project Manager)

SEARCH NLM MESH AUTHORITY FILE ONLY**9 - Medical Heading Matching (6xx second indicator 2) - (check db and order to search)**

- MeSH
- LC Adult
- Remove or Retain?
 - Remove unmatched headings
 - Retain unmatched headings
- Change or Do not Change?
 - Change 2nd Indicator
 - Do not Change 2nd Indicator
- Ignore / Do not Process Canadian Headings
- Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes match the MeSH headings against the MeSH Authority File. For those headings that match a heading in the MeSH Authority File, the indicator is remains as **2**. Headings that match a cross-reference in the MeSH Authority File are flipped to the established form of the heading and the second indicator is again retained as a **2**. After the matching is completed, all remaining MeSH headings (i.e., those that did not match a heading in an MeSH authority record) are **retained** in the records.

SEARCH NLM MESH AUTHORITY FILE AGAINST LC ADULT ONLY

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

9 - Medical Heading Matching (6xx second indicator 2) - (check db and order to search)	
<input type="checkbox"/>	MeSH
<input checked="" type="checkbox"/>	LC Adult
<input checked="" type="checkbox"/>	Remove or Retain?
<input checked="" type="radio"/>	Remove unmatched headings
<input type="radio"/>	Retain unmatched headings
<input checked="" type="checkbox"/>	Change or Do not Change?
<input checked="" type="radio"/>	Change 2nd Indicator
<input type="radio"/>	Do not Change 2nd Indicator
<input type="radio"/>	Ignore / Do not Process Canadian Headings
<input type="radio"/>	Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes first match the Medical headings against the LC Authority File as if the headings had a second indicator of **0** instead of **2**. For those headings that match a heading in the LC Authority File, the indicator is changed from **2** to **0**. Headings that match a cross-reference in the LC Authority File are flipped to the established form of the heading and the second indicator is again changed from **2** to **0**. After the matching is completed, all remaining Medical headings (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 Medical headings that fail to match an LC authority record are **retained** in the bibliographic record with the original second indicator value of **2**.

NOTES



EXAMPLES

If a library requested that their MeSH headings be matched against LC only, and a bibliographic record contained the following subject heading:

650 2 \$aNeoplasms.

MARS 2.0 programs would compare the heading against the LC Subject Authority File. The heading would match a cross-reference (4XX field) in the LC authority record sh 850138553:

150 \$aTumors

450 \$aNeoplasms

The heading in the bibliographic record would be converted to the following new form:

650 0 \$aTumors.

When a subject heading is being converted from MeSH to LC, MeSH subdivisions that are not part of the matching LC authority record are retained in their original form. For example, there is no LC authority record for the full MeSH heading below:

650 2 \$aNeoplasms\$xdiagnosis.

The subfield \$a would match on the same LC authority record sh 850138553 shown above (only if the library has requested MeSH headings matched exclusively against LC headings). A higher-level conversion would occur in which the subfield \$a is converted to the LC form, while the subfield \$x is retained in its original form. The final heading would be:

650 0 \$aTumors\$xdiagnosis.



NOTES

SEARCH MESH FIRST, LC ADULT SECOND

Some libraries prefer to search their Medical authorities against the NLM MeSH Authority File first. Any matches found will update the heading, but the second indicator value will remain as **2**. However, unmatched Medical authorities could then be searched against the LC Authority File. Any matches found during this procedure would change the value of the second indicator from **2** to **0**. Choosing this option would look like this for Step 3.9:

9 - Medical Heading Matching (6xx second indicator 2) - (check db and order to search)
<input checked="" type="checkbox"/> MeSH <u>1</u>
<input checked="" type="checkbox"/> LC Adult <u>2</u>
<input checked="" type="checkbox"/> Remove or Retain?
<input type="radio"/> Remove unmatched headings
<input checked="" type="radio"/> Retain unmatched headings
<input checked="" type="checkbox"/> Change or Do not Change?
<input checked="" type="radio"/> Change 2nd Indicator
<input type="radio"/> Do not Change 2nd Indicator
<input type="radio"/> Ignore / Do not Process Canadian Headings
<input type="radio"/> Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes would retain unmatched Medical headings, with a second indicator value of **2**, to be searched at a later date by the library (of course, **Remove unmatched headings** could instead be chosen above if the library preferred that option). Matched headings for this option could *either* have a second indicator value of **2** for matches found within the NLM MeSH Authority File or a second indicator value of **0** for matches found within the LC Authority File.

This option is particularly useful for libraries interested in updating and retaining their Medical headings if possible, with the option to upgrade them to LC headings if there is no match during the first pass against the NLM MeSH Authority File. Changing the search order (LC Adult=1, MeSH=2) reverses the order in which headings are matched.

NOTES



EXAMPLE

In the headings below, this option would result in a change in form of the 610 heading based on the cross-reference in LC authority record n **85363832** and a change in the second indicator of the 610 field from:

610 22 \$aJohns Hopkins University.\$bSchool of
Medicine.\$bDivision of Medical Genetics.

Changed to:

610 20 \$aJohns Hopkins University.\$bDivision of
Medical Genetics.

Related authority record:

010 \$an 85363832

110 2 \$aJohns Hopkins University.\$bDivision of
Medical Genetics.

410 22 \$aJohns Hopkins University.\$bSchool of
Medicine.\$bDivision of Medical Genetics.

.....
If your requirements either fall outside of these options or you have questions about Step 3.9, please contact your MARS 2.0 support representative.

NOTES

PROFILE STEP 3.10**10 - Canadian Heading Matching (6xx second indicator 5) - (check db and order to search)**

- Canadian _____
- LC Adult _____
- Remove or Retain?
- Remove unmatched headings
- Retain unmatched headings
- Change or Do not Change?
- Change 2nd Indicator
- Do not Change 2nd Indicator
- Ignore / Do not Process Canadian Headings
- Remove (6xx second indicator 5) without processing

NATIONAL AUTHORITY FILE

MARS 2.0 processing can match bibliographic headings against headings in the Library and Archives Canada's Authority Files. The NLC Authority Files contain both the NLC Canadiana and NLC Canadian Subject Heading authority records. The 630,000 NLC Canadiana personal and corporate name authority records contain name headings that appear on publications catalogued for the Canadian National Bibliography and for names contributed by the National Archives of Canada and the Canadian Institute for Historical Microreproductions (CIHM). Some of the records have been authenticated by the NLC for use by the Library of Congress. About 2,000 new and updated records are received in each semi-monthly update.

FIELDS MATCHED

The following fields are matched against the NLC Authority File:

Canadian Authority Controlled Headings	
Name Headings	100, 110, 111, 700, 710, 711
Uniform Titles	130, 240, 730
Series	400, 410, 411, 440, 800, 810, 811, 830
Subject Headings*	600, 610, 611, 630, 650, 651

* Only those with a 2nd indicator of '5' are Canadian Headings

NOTES



NOTES

IGNORE / DO NOT PROCESS

Some libraries have catalogs that do not contain subject headings coded as Canadian headings. Other libraries have bibliographic records in their catalog that contain Canadian headings, but their local system is profiled to exclude them from the OPAC indexes. Most libraries in which the Canadian headings are not used and are not causing any problems for patrons select the “Do Not Process” option for Step 3.10. Under this option, MARS 2.0 ignores the Canadian headings during Authority Control Processing.

REMOVE WITHOUT PROCESSING

Under this option, all subject headings with a second indicator of 5 are removed from the bibliographic records.

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 [NLC] Authority File
- LC Authority File
- Other National Files available (please check with with your Project Manager)



SEARCH CANADIAN AUTHORITY FILE ONLY

10	- Canadian Heading Matching (6xx second indicator 5) - (check db and order to search)
<input checked="" type="checkbox"/>	Canadian
<input type="checkbox"/>	LC Adult
<input checked="" type="checkbox"/>	Remove or Retain?
<input type="radio"/>	Remove unmatched headings
<input checked="" type="radio"/>	Retain unmatched headings
<input checked="" type="checkbox"/>	Change or Do not Change?
<input type="radio"/>	Change 2nd Indicator
<input checked="" type="radio"/>	Do not Change 2nd Indicator
<input type="radio"/>	Ignore / Do not Process Canadian Headings
<input type="radio"/>	Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes match the Canadian headings against the NLC Authority File. For those headings that match a heading in the NLC Authority File, the indicator is remains as **5**. Headings that match a cross-reference in the NLC Authority File are flipped to the established form of the heading and the second 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 NLC authority record) are **retained** in the records.

NOTES

NOTES

SEARCH CANADIAN AUTHORITY FILE AGAINST LC ADULT 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:

10 - Canadian Heading Matching (6xx second indicator 5) - (check db and order to search)

- Canadian
- LC Adult
- Remove or Retain?
 - Remove unmatched headings
 - Retain unmatched headings
- Change or Do not Change?
 - Change 2nd Indicator
 - Do not Change 2nd Indicator
- Ignore / Do not Process Canadian Headings
- Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes first match the Canadian headings against the LC Authority File as if the headings had a second indicator of **0** instead of **5**. For those headings that match a heading in the LC Authority File, the indicator is changed from **5** to **0**. Headings that match a cross-reference in the LC Authority File are flipped to the established form of the heading and the second 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 **removed** from the records. Or, you could choose that any Canadian headings that fail to match an LC authority record are **retained** in the bibliographic record with the original second indicator value of **5**.

SEARCH CANADIAN FIRST, LC SECOND

Some libraries prefer to search their Canadian authorities against the NLC Authority File first. Any matches found will update the heading, but the second indicator value will remain as **5**. However, unmatched Canadian authorities could then be searched against the LC Authority File. Any matches found during this procedure would change the value of the second indicator from **5** to **0**. Choosing this option would look like this for Step 3.10:

10 - Canadian Heading Matching (6xx second indicator 5) - (check db and order to search)	
<input checked="" type="checkbox"/>	Canadian <u>1</u>
<input checked="" type="checkbox"/>	LC Adult <u>2</u>
<input checked="" type="checkbox"/>	Remove or Retain?
<input type="radio"/>	Remove unmatched headings
<input checked="" type="radio"/>	Retain unmatched headings
<input checked="" type="checkbox"/>	Change or Do not Change?
<input checked="" type="radio"/>	Change 2nd Indicator
<input type="radio"/>	Do not Change 2nd Indicator
<input type="radio"/>	Ignore / Do not Process Canadian Headings
<input type="radio"/>	Remove (6xx second indicator 5) without processing

In this option, MARS 2.0 processes would retain unmatched Canadian headings, with a second indicator value of **5**, to be searched at a later date by the library. Matched headings for this option could *either* have a second indicator value of **5** for matches found within the NLC Authority File or a second indicator value of **0** for matches found within the LC Authority File. 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 the NLC Authority File.



EXAMPLES

Authority records for **Margaret Atwood**

LC authority record n 79102766:

100 1 \$aAtwood, Margaret Eleanor,\$d1939-

400 1 \$aAtwood, Margaret,\$d1939-

NOTES



NOTES

NLC authority record 0100H2190:

- 100 1 \$aAtwood, Margaret,\$d1939-
- 400 1 \$aAtwood, Margaret.
- 400 1 \$aAtwood, Margaret Eleanor
- 400 1 \$aAtwood, Margaret Eleanor,\$d1939-

Assume the following headings appear in various bibliographic records in a library's catalog:

- (1) 100 1 \$aAtwood, Margaret,\$d1939-
- (2) 700 1 \$aAtwood, Margaret Eleanor,\$d1939-
- (3) 100 1 \$aAtwood, Margaret
- (4) 700 1 \$aAtwood, Margaret Eleanor

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

Option Selected: LC First, NLC Second (LC preferred)

- (1) 100 1 \$aAtwood, Margaret Eleanor,\$d1939-
LC updated heading
- (2) 700 1 \$aAtwood, Margaret Eleanor,\$d1939-
LC matched heading
- (3) 100 1 \$aAtwood, Margaret,\$d1939-
NLC updated heading
- (4) 700 1 \$aAtwood, Margaret,\$d1939-
NLC updated heading

Option Selected: NLC First, LC Second (NLC preferred)

- (1) 100 1 \$aAtwood, Margaret,\$d1939-
NLC matched heading
 - (2) 700 1 \$aAtwood, Margaret,\$d1939-
NLC updated heading
 - (3) 100 1 \$aAtwood, Margaret,\$d1939-
NLC updated heading
 - (4) 700 1 \$aAtwood, Margaret,\$d1939-
NLC updated heading
-

SEARCH LC ONLY**10 - Canadian Heading Matching (6xx second indicator 5) - (check db and order to search)**

- Canadian
- LC Adult
- Remove or Retain?
 - Remove unmatched headings
 - Retain unmatched headings
- Change or Do not Change?
 - Change 2nd Indicator
 - Do not Change 2nd Indicator
- Ignore / Do not Process Canadian Headings
- Remove (6xx second indicator 5) without processing

In the catalogs at some libraries, the presence of Canadian subject headings creates duplicate and sometimes confusing index entries for patrons. In this option, MARS 2.0 first matches the Canadian subject headings against the LC Authority File as if the headings had a second indicator of **0** instead of **5**.

For those headings that match a heading in the LC Authority File, the second indicator is changed from **5** to **0**. Headings that match a cross-reference in the LC Authority File are flipped to the established LC form of the heading and the second 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 removed from the records.

NOTES



PROFILE STEP 3.11

11 - Local Authority Field Merge (check one)
<input type="radio"/> Yes - Merge Local Authority Fields <input type="checkbox"/> Local Subfield defined as (e.g., \$5UtOrBLW): _____ <input type="radio"/> No - Do not Merge Local Authority Fields

NOTES

LOCAL AUTHORITY FIELD MERGE

Sometimes libraries insert local fields into their local system’s authority records. Ordinarily during authority control processing, these local fields would be ignored as the authorized version would replace the authorities at the library’s end. MARS 2.0 processing enables the library to retain its local fields within matching updated authorities.

MARS 2.0 programs will look for subfield \$5 within each field in the authority record provided by the library. If it finds subfield \$5 MARS 2.0 programs will retain that particular field and insert it into the matched authority record.

The subfield \$5 information can contain any data that makes sense to the library. MARS 2.0 programs will look for the \$5 with the data specified and retain those particular fields in cases where subfield \$5 data is not consistent throughout the authority records.





EXAMPLE

Original authority record from library:

```
001      n 50006324
100 1  $aMorse, John Torrey,$d1840-1937
670     $aFrom his works on Thomas Jefferson, with
        special notes$5BLW
```

LC authority record match with \$5 local note retained:

```
001      n 50006324
003      DLC
005      20080508130307.0
008      800408n| acannaab          |a aaa
010      $an 50006324
040      $aDLC$cDLC$dDLC
100 1  $aMorese, John Torrey,$d1840-1937
400 1  $aMorse, John T.$q(John Torrey),$d1840-1937
670     $aHis Thomas Jefferson, 1997:$bCIP t.p.
        (John T. Morse, Jr.) data sheet (b. 1840)
670     $aFrom his works on Thomas Jefferson, with
        special notes$5BLW
```

After the fields have been inserted into the updated authority records, the records are returned to the library. The library would then overlay the authority records into their system, overwriting the copies they have with their own local notes retained in the authorized version.

NOTES

PROFILE STEP 3.12

12 - Local Heading Matching (check one)

- Match Local Authority Master
 - Before National File
 - After National File
- Special Local Authority Matching
 - With these modifications: _____
- No Local Authority Master - Ignore completely

NOTES

LOCAL AUTHORITY FILES

Sometimes a library has local authority records with local rules governing their relationship to the bibliographic record. The MARS 2.0 authority software can recognize your library's local authority file and govern its matching criteria according to what your library needs. These local authority records normally do not enhance the MARS 2.0 Authority Control process.

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. For example, if your library decided to use the following heading in a set of bibliographic records:

440 0 \$aWest Group's tax practice series

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

010 \$an 00090467

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

430 0 \$aWest 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 authority record 1XX field. To prevent this heading flip, you must provide a file of locally generated authority records against which your headings are matched **first** (see Step 3.12 "Match Before National File").

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.

PROFILE STEP 3.13

13 - Local Tag Matching (6xx second indicator 4)

- Field Item 1
 - Tags: _____
 - 2nd Indicator: _____
 - Match Against: _____
 - Match as Tag: _____
- Field Item 2
 - Tags: _____
 - 2nd Indicator: _____
 - Match Against: _____
 - Match as Tag: _____
- Remove unmatched headings
- Retain unmatched headings
- Change 2nd Indicator to (0): _____
- Do not Change 2nd Indicator

NATIONAL AUTHORITY FILES

MARS 2.0 Authority Control processing can match any bibliographic headings against headings in any authority file. This includes, for example, matching 650 headings coded as local (second indicator **4**) against any of the following authority files:

- LC Name and Subject Authority Files
- LC Children's Authority File
- NLM MeSH Authority File
- NLC Canadiana and Canadian Subject Headings Authority Files

LOCAL BIB TAG MATCHING

MARS 2.0 Authority Control processing matches specified local subject tags (6XX) against designated national subject authority headings. Many libraries create local subject tags in the 6XX field with a second indicator of **4**. Other libraries create local tags in the 69X field.

NOTES



EXAMPLE 2

The following example shows **Step 3.13** completed for a library that wishes to change local headings in 690 fields to the established LC form whenever possible. You must choose a specific tag to match against in this section:

NOTES

13	- Local Tag Matching (6xx second indicator 4)
<input checked="" type="checkbox"/>	Field Item 1
<input checked="" type="checkbox"/>	Tags: <u>690</u>
<input checked="" type="checkbox"/>	2nd Indicator: <u>ANY</u>
<input checked="" type="checkbox"/>	Match Against: <u>LC</u>
<input checked="" type="checkbox"/>	Match as Tag: <u>650</u>
<input checked="" type="checkbox"/>	Field Item 2
<input checked="" type="checkbox"/>	Tags: <u>691</u>
<input checked="" type="checkbox"/>	2nd Indicator: <u>ANY</u>
<input checked="" type="checkbox"/>	Match Against: <u>LC</u>
<input checked="" type="checkbox"/>	Match as Tag: <u>651</u>
<input type="checkbox"/>	Remove unmatched headings
<input checked="" type="checkbox"/>	Retain unmatched headings
<input checked="" type="checkbox"/>	Change 2nd Indicator to (0): <u>0</u>
<input type="checkbox"/>	Do not Change 2nd Indicator

Due to the request for the previous example, the local heading:

691 4 \$aAmerican Civil War, 1861-1865.

Would be flipped to the following form based on LC authority record **sh 85140205**:

651 0 \$aUnited States\$xHistory\$xCivil War, 1861-1865.



The MARS 2.0 options available to deal with local tags and indicators are very flexible. Discuss with your MARS 2.0 Authority Control team any specific requirements that have not been included in the examples above.



NOTES

SOURCE: GSAFD

MARS 2.0 currently provides authority control for terms extracted from four of the most commonly used sources of form and genre terms. The following example shows an update for a genre term extracted from *Guidelines on Subject Access to Individual Works of Fiction, Drama, etc.* (GSAFD).

**EXAMPLE (GSAFD)**

Obsolete heading:

655 7 \$aUtopias.\$2gsafd

Updated heading:

655 7 \$aUtopian fiction.\$2gsafd

.....

Notice the source of the genre term is indicated by the abbreviation **gsafd** in the subfield \$2 (second indicator **7** indicates the source is identified in the \$2 subfield).

SOURCE: AAT

MARS 2.0 also provides authority control for form and genre terms authorized for use in *Getty's Art & Architecture Thesaurus* (AAT). The following example shows an update for an AAT form term based on a cross-reference in a Getty AAT authority record.

**EXAMPLE (AAT)**

Obsolete heading:

655 7 \$acatalogs, on-line.\$2aat

Updated heading:

655 7 \$aonline catalogs.\$2aat

SOURCE: MeSH

MARS 2.0 also provides authority control for the list of genre terms authorized by the National Library of Medicine (NLM) for use in 655 fields. The following example shows an update for a MeSH genre term recorded in a 655 form/genre subject field.

**EXAMPLE 1 (MESH)**

Obsolete heading:

655 7 \$aLaws.\$2mesh

Updated heading:

655 7 \$aLegislation.\$2mesh

.....

In 2002, a change to the MARC 21 standards was authorized that allows identification of MeSH genre terms either by using second indicator **7** plus \$2 subfield, or by use of second indicator **2** without a \$2 subfield. MARS 2.0 recognizes MeSH genre terms identified by either method, and will retain the method of identification used by the cataloger.

**EXAMPLE 2 (MESH)**

Use of \$2 subfield:

655 7 \$aAlmanacs.\$2mesh

Updated second indicator '2':

655 2 \$aAlmanacs.

.....

NOTES



NOTES

SOURCE: LC GENRE

MARS 2.0 also provides authority control for form and genre terms authorized for use in 655 fields issued by the Library of Congress. Although most of the LC Genre headings have second indicator 0, some LC Genre headings have second indicator 7. MARS 2.0 recognizes LC genre terms identified by either method, and will retain the method of identification used by the cataloger.



EXAMPLE (LC GENRE)

Use of \$2 subfield:

655 7 \$aAlmanacs.\$2lcsh

Updated second indicator '0':

655 0 \$aAlmanacs.

GENRE/Form TERMS IN TOPICAL HEADINGS (650)

Terms in topical subject headings (650 fields) are always updated in accordance with the practice of the heading system indicated by the second indicator of the field. Updating 650 fields is controlled by the options selected in Steps 3.8, 3.9, 3.10, 3.13. Topical subject headings are not affected in any way by the options selected for form/genre headings.

Terms in form/genre headings (655 fields) are always updated in accordance with the practice of the heading system indicated by the rules governing that genre. In the example below, the 650 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.





EXAMPLES

Against LC

650 obsolete headings:

650 0 \$aSitcoms.

650 updated headings:

650 0 \$aComedy programs.

Against GSAFD

655 obsolete headings:

655 7 \$aSitcoms.\$2gsafd

655 updated headings:

655 7 \$aComedy television programs.\$2gsafd



DISTRIBUTION OF GENRE/FORM AUTHORITY RECORDS

Step 4.5 of the MARS 2.0 Planning Guide describes the options available for distribution of the form/genre authority records matching headings in 655 fields in your bibliographic records.

GENRE/FORM UPDATE REPORTS

Updates for form/genre headings are included in MARS 2.0 report R30. This report is described in Step 5 of the MARS 2.0 Planning Guide.

NOTES

A large rectangular area with horizontal lines, intended for handwritten notes.



PROFILE STEP 3.15**15 - Retain Form \$v on Subject Strings for MeSH Headings (check one)**

- Yes - Retain form \$v on subject strings for MeSH headings
- No - Split form \$v into a *separate* 655 field on MeSH headings (faceted)

OVERVIEW

Several years ago, OCLC created some rules in the MARS software program that separated certain MeSH form subheadings from their bibliographic heading string and placed them in 655 fields.

**EXAMPLE**

Heading string in a bibliographic record:

```
650    2  $aEthics, Medical$xlegislation
```

Changed to:

```
650    2  $aEthics, Medical
```

```
655    7  $aLegislation$2mesh
```

.....

The program does not uniformly separate out **all** form headings -- just certain ones. Currently the National Library of Medicine uses this faceted approach in LocatorPlus but combines all headings and subheadings into one string in their bibliographic utilities. Libraries have the option to either separate these strings out into topical (650), geographic (651) and form (655), or leave the string as is in their bibliographic records.

Backstage now has the ability to offer you an option. If you would prefer to keep the following form subheadings as a \$v in your bibliographic string instead of having them split into a 655 field, please contact your Project Manager and we will make the change in your program for all records sent to us in the future. Unfortunately, there is no error proof automated process that will change records back if they have already been faceted out to tag 655. If there are any \$v forms that you feel *should* be splitting to a 655 and are not, please contact us.

NOTES



NOTES

JACKPHY AUTHORITY CONTROL 3.16

OVERVIEW

The information in this section does not pertain directly to the profile questions, but is important to your understanding of MARS 2.0 Authority Control processing.

MARS 2.0 Authority Control provides special process for JACKPHY (Japanese, Arabic, Chinese, Korean, Persian, Hebrew, Yiddish) bibliographic records. 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 HEADINGS 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 fields) and Romanized heading fields are maintained during MARS 2.0 Authority Control processing.

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

A report is generated listing all 880 fields which do not link to a Romanized heading field due to incorrect data in the \$6 linkage subfield. All other 880 field data is untouched during processing (see Step 5, report R18).

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 report is available that 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 (see Step 5, report R86).





EXAMPLE

Bibliographic headings

- 100 1 \$6880-1\$aAtiman, Adriano,\$dca. 1864-1956.
- 880 1 \$6100-1\$a<chinese characters for Atiman, Adriano>,\$dca. 1864-1956.

The bibliographic heading in field 100 would match the See From tracing in the following authority record:

Established heading:

\$aAtiman, Adrien,\$d1864 (ca.)-1956

See From tracing:

\$aAtiman, Adriano,\$dca. 1864-1956

MARS 2.0 programs convert the Roman heading to the current form. The vernacular (880) heading would not be changed. The updated bibliographic record would contain the following headings and an entry would be added to the report R86:

- 100 1 \$6880-1\$aAtiman, Adrien,\$d1864 (ca.)-1956.
- 880 1 \$6100-1\$a<chinese characters for Atiman, Adriano>,\$dca. 1864-1956.

The 100 field in the above example updates, but the 880 field does not.

.....

NOTES

Lined area for taking notes.



NOTES

DIACRITICS IN JACKPHY

For JACKPHY (Japanese, Arabic, Chinese, Korean, Persian, Hebrew, Yiddish) personal names, MARS 2.0 includes certain diacritics to enhance the matching capability. Often the only difference between two JACKPHY personal name headings is the presence or absence of a diacritic. A special JACKPHY normalization routine is used for JACKPHY bibliographic records. MARS 2.0 programs assume a bibliographic record may contain JACKPHY Romanized headings if at least 1 of 3 criteria is present:

- Specific values in an 066 Character Set Presence field that indicate use of a JACKPHY graphic character set (**\$1** in a subfield \$a or **\$)1** in a subfield \$b)

066	\$a\$1
066	\$b\$)1
- An 880 Alternate Graphic Representation field
- Non-Roman language codes in field 008, bytes 35-37

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 3.17

OVERVIEW

The information in this section does not pertain directly to the profile questions, but is important to your understanding of MARS 2.0 Authority Control processing.

Prior to the adoption of AACR2r, each work was to be cataloged under the actual name of the author. All works written under the pseudonym, **Mark Twain**, for example, 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 AACR2r 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* cross-references under the author's actual name to 5XX *See From Also* cross-references. This effort has been essentially completed and there remain few, if any, LC name authority records that contain a pseudonym as a *See From* cross-reference.

PSEUDONYMS NOT CONVERTED

Therefore, the MARS 2.0 Authority Control process no longer requires a **pseudonym file** to prevent incorrect pseudonym flips. The name recorded in your bibliographic record, whether a main entry or added entry, is not converted from a pseudonym to an actual name form, unless by a match to an authority record.

NOTES

NOTES

DEBLINDING CROSS-REFERENCES 3.18**OVERVIEW**

The information in this section does not pertain directly to the profile questions, but is important to your understanding of MARS 2.0 Authority Control processing.

LC Authority records are constructed so that they are naturally “self deblinding.”

**EXAMPLE (LC SUBJECT AUTHORITY RECORD SH 85048830)**

Established heading:

150 \$aFishing

See From cross-reference:

450 \$aSport fishing

See From Also cross-reference:

550 \$aWildlife-related recreation

SEE FROM CROSS-REFERENCES

Most local systems generate a heading based on the 450 and 150 fields in the above authority record:

**EXAMPLE**

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 deblinding” since the display **Sport fishing, See Fishing** is not generated unless you have works cataloged under the term Fishing.

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 entered under the topical subject heading Fishing, MARS 2.0 programs do not distribute the authority record for Fishing to you.

SEE FROM ALSO CROSS-REFERENCES

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

EXAMPLE

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

The MARS 2.0 staff does not recommend removal of 5XX fields from authority records, or converting a 5XX tag, for the following reason. The available *See also* reference in your library system catalog will direct the patron to the related term of Fishing found in your catalog, and if you were later to 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* reference would be generated incorrectly indicating the library possessed no works on the primary heading).

.....