



MARS 2.0

AUTHORITY CONTROL PLANNING GUIDE





STEP 4.A: BIBLIOGRAPHIC FILES

PROFILE STEP 4.1A

1a - Bibliographic File Distribution (check one)

- All bibliographic records returned
- All *changed* bibliographic records returned
- Only bibliographic records *with these changes* returned (please specify)
 - Authority Cleanup Subfield Updates
 - Heading Flips
 - Heading Splits
 - Heading Tag Flips
 - Additional Significant Heading Changes
 - Heading Changed During Manual Review
 - Significant MARC Bibliographic Updates
 - Custom change (please specify): _____
- None - Do not return any bib records (skip 4.2a, 4.3a)

BIBLIOGRAPHIC FILE DISTRIBUTION

You may choose to receive either:

1. **All bibliographic records**—Includes all bib records (changed or unchanged)
2. **All *changed* bibliographic records**—Excludes any bib records that were not updated
3. **Only bibliographic records with specific changes** (*indicated below*)

ALL RECORDS

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

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ALL CHANGED

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). In addition to the “Significant MARC Bibliographic Updates” listed below, this option includes the following types of changes:

- 245\$h—GMD added
- Subfield deleted (e.g., \$h, \$w, \$e and obsolete subfields)
- Indicator changed in any access point field
- Leader changes
- 008—Fixed-length data elements field changes
- Format of numeric field value correct (010, 017, 032, 034, 020 and 022 fields)
- Additional tag and subfield code changes made during Bibliographic Validation

ONLY SPECIFIC CHANGES

If you want to receive only bibliographic records that change during MARS 2.0 processing, you can tailor the criteria or threshold for what qualifies as a “changed” record:

- **Authority Cleanup Subfield Updates**—Records with subfields flipped during Authority Cleanup (see Section 3.1)
- **Heading Flips**—Records with headings which fully or partially flipped during authority control processing (see Section 3.2). This option, by itself, does not include headings in which a subfield was flipped during Authority Cleanup
- **Heading Splits**—Records with headings which split during authority control processing (see Section 3.2)
- **Heading Tag Flips**—Records with headings in which the tag changed (see Section 3.2)
- **Additional Significant Heading Changes**—Records with additional significant changes made during authority control processing, including:
 - 6XX—2nd Indicator (Subject heading system) changed
 - X11—Conference/Meeting Name format updated

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- **Headings Changed During Manual Review**—Records with headings flipped during manual review (see Section 7.2)
- **Significant MARC Bibliographic Updates**—Records with “significant” changes made during the MARC Update service processing (see Section 2). This option will return fewer changed records than the “All changed” option above:
 - Initial article deleted
 - Filing indicator changed
 - 69X—Local subject heading tag flipped
 - 8XX—Series added entry added
 - 007—Physical description fixed field added\

CUSTOM

Perhaps you have specific changes resulting from tasks identified by you and your staff. List all custom tasks to be used as criteria for this option. Attach a separate sheet if needed to describe the changes. Include the record source such as a particular member library or cataloging source. List also the criteria for identifying the source. To help identify the source of the record include particular features of the record, such as a certain field, or headings containing a particular text string.



NOTES

- **Update/Add 005 Field** — MARS 2.0 software can update an existing 005 Date and Time of Latest Transaction field to the date and time that the record is being processed. The 005 Date and Time of Latest Transaction field is now mandatory in the MARC 21 Bibliographic Format. If this option is requested and a record does not contain an 005 field, MARS 2.0 will add one.
- **Other** — If your library has other methods in mind for adding a change stamp to the record, please specify.
- **None** — If you do not wish MARS 2.0 to add a modifying **stamp** to your bibliographic records, please choose this option.

STEP 4.B: AUTHORITY FILES

PROFILE STEP 4.1B

1b - Authority File Segmentation by Type (check all that apply)

- Single Combined File
 - LC Adult
 - LC Child
 - MeSH
 - Canadian
 - MARS Brief
- Separate Files
 - LC Adult
 - LC Child
 - MeSH
 - Canadian
 - MARS Brief
- Do not Distribute these File Types
 - LC Adult
 - LC Child
 - MeSH
 - Canadian
 - MARS Brief
- None - Do not provide any authority records

AUTHORITY FILE DISTRIBUTION

One of the benefits of a MARS 2.0 Authority Control project is a file of authority records for all headings in your bibliographic database that matched during MARS 2.0 Authority Control processing. This set of authority records contains the fully established headings as well as all the hierarchal matched headings found in **your** catalog during the MARS 2.0 process. MARS 2.0 provides a number of options to further customize the authority files. This chapter discusses these options.

Examine your library's workflow, the organization of local catalog indexes, and local system 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.

PROFILE STEP 4.2B

2b - Authority File Segmentation by Usage (check one)

- 1 File - All Authority Records in Single File (Auth)
 2 Files - Names, Subjects
 3 Files - Names, Subjects, Series
 4 Files - Names, Subjects, Series, Titles
 Maximum File Size (in records): _____

AUTHORITY FILE SEGMENTATION BY USAGE

MARS 2.0 can distribute authority records in single- or multiple-file combinations. The number of files the library should request depends on local system indexing requirements.

The number of files that are used to distribute your authority records should mirror the setup of authority files/indexes in your system. If all authority records in the local system are in a single file, regardless of whether a record links to a main/added entry heading or a subject heading, choose the first option. If the local authority file is divided into multiple files based on heading usage within bibliographic records, choose the number of files that mirror the local system setup.

The following table shows the distribution of authority records by authority tag and bibliographic usage in the multiple file options.

	Files	Auth Tags	Bib Usage	Auth Usage
2	Name	100,110,111,130	1XX,4XX,7XX,8XX	name,name. title,series,ser.title
	Subject	100,110,111,130,150,151,155	6XX	subject,subject. title,genre**
3	Name	100,110,111,130	1XX,7XX	name,name.title
	Subject	100,110,111,130,150,151,155	6XX	subject,subject. title,genre**
	Series	100,110,111,130	4XX,8XX	series,ser.title
4	Name	100,110,111	1XX*,7XX*	name
	Subject	100,110,111,150,151,155	6XX*	subject,genre**
	Series	100,110,111	4XX*,8XX*	series
	Title	130	130,440,630,730,830	name.title,subject. title,ser.title

* Does not include 130, 730, 630, 440, 830 for these entries with an asterisk

** For Genre segmentation, see Step 4B.7



EXAMPLE

A library has selected to receive both LC and Canadian authorities in separate files. They would also like them to be provided in separate files, based on usage within their bibliographic records. The library would receive the following 4 files:

- **NAME** – LC authority records for headings used as names or titles
- **SUBJECT** – LC authority records for headings used as subjects
- **NLC.NAME** – Canadian authority records for headings used as names or titles
- **NLC.SUBJECT** – Canadian authority records for headings used as subjects

NAMES AS SUBJECTS

Some authority records for names are coded for use as both a name and a subject. MARS 2.0 programs are 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 MARS 2.0 Authority Notification Service, 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.

Note: *Including MARS 2.0-generated brief authority records is only necessary if your local system requires their use. Please check with your local system vendor before selecting this option.*

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LC VALIDATION RECORDS

Backstage Library Works includes LC validation records as part of the match and deliver processing.

SUBDIVISION AUTHORITY RECORDS

The Library of Congress has begun creating authority records for individual subdivisions (e.g., \$x topical subdivisions, \$y chronological subdivisions, etc.). Authority records have not yet been created for all subdivisions. MARS 2.0 does not currently distribute the subdivision authority records, as most local systems do not yet incorporate these records when building displays for patrons. As local systems implement support for these records, MARS 2.0 will begin distributing them in standard authority files.

MARS 2.0 AUTHORITY NOTIFICATION SERVICE

After completing your bibliographic basefile processing, Backstage Library Works retains a copy of your authority records to build a MARS 2.0 Master Authority File for your library. This file is used when you subscribe to the MARS 2.0 Authority Notification or Current Cataloging Services (see Step 6 of the Planning Guide).

MARS 2.0 AUTHORITY FILE RETENTION

Backstage Library Works 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 MARS 2.0 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.





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FULL HEADINGS ONLY

Some libraries choose **Full Headings Only** because their local systems will not index an authority heading that doesn't appear in its entirety in a bib record. Backstage Library Works continues to match the higher level headings and update the bib headings with any flips or other changes that occur, but if you choose **Full Headings Only**, we only pull authority records for those headings that are full matches.



EXAMPLE

Four authority records are normally distributed for the heading **United States. Congress. House. Committee on Appropriations**:

- United States
- United States–Congress
- United States–Congress–House
- United States–Congress–House–Committee on Appropriations

If you choose **Full Headings Only**, MARS 2.0 distributes the single authority record:

United States–Congress–House–Committee on Appropriations

NAME/TITLE COMPOUND HEADING

An additional example of the importance of receiving authority records for all levels of hierarchy is a name/title compound heading.



EXAMPLE

If your bibliographic records include the heading **\$aJames, Henry,\$d1843-1916.\$tShort stories.\$kSelections**, MARS 2.0 distributes both related authority records below (if available in the LC authority file) only if you elected to receive authority records for all levels of hierarchy:

- \$aJames, Henry,\$d1843-1916.
- \$aJames, Henry,\$d1843-1916.\$tShort stories.\$kSelections

**PROFILE STEP 4.5B****5b - Ending Punctuation (check one)**

- Do not Modify the ending punctuation in LC authority records
- Delete ending punctuation in LC authority records

NOTES**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 systems. If ending punctuation in an authority record would prevent authority record updating in the local system, select **Delete ending punctuation** in Step 4.5. MARS 2.0 does not remove a period that is a part of the final word in the heading (for example, an abbreviation). If you are not sure how your local system handles ending punctuation please contact your local ILS vendor support staff.

PROFILE STEP 4.7B

7b - Form / Genre Authority Records (GSAFD, MeSH, AAT, LC)

- As part of the appropriate subject file (e.g., MeSH Genre in MeSH authfile)
- Separate authority files
- Not Applicable / Genre authority records not desired

GENRE/FORM AUTHORITY RECORDS

MARS 2.0 provides authority control for form and genre headings in 655 fields as described in Step 3.14. The MARC 21 authority records matching form/genre headings in a library's bibliographic records can be provided by MARS 2.0. If your library does not use 655 fields in your bibliographic records, or if bibliographic 655 fields are not included in an index in your OPAC, just select the last option, **Not applicable** for Step 4B.7.

SOURCES

MARS 2.0 can provide authority records for the following form/genre source thesauri selected for processing: GSAFD, AAT, MeSH, LC.

Indicate if you would like your form/genre authority records included in the related authority file, or distributed in a separate file of authority records. For example, if a library has opted to have their MeSH genre heading (655 fields) updated by MARS 2.0 authority control, they could have the related MeSH genre authority records distributed as part of their MeSH subject authority file by selecting the first option in Step 4B.7. Alternately, the library could have the MeSH genre authority records distributed in a separate file (i.e., MeSH topical subject authority records in one file and genre authority records in a separate file) by selecting the second option in Step 4B.7.

MESH GENRE AUTHORITY RECORDS

Normally, MARS 2.0 provides authority records in the same form as received from the agency that created them. An exception is made for MeSH genre authority records received from the National Library of Medicine (NLM). NLM includes the qualifier [Publication Type] as part of the established headings in MeSH genre authority records. This qualifier is not intended to be retained as part of the heading in a bibliographic record. Information describing the use of genre headings in MeSH subject headings can be found in the *Introduction to MeSH* section of the NLM MeSH website: <http://www.nlm.nih.gov/mesh/meshhome.html>

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EXAMPLE

Authority record:

155 \$aFestschrift [Publication Type]

Bibliographic record:

655 7 \$aFestschrift.\$2mesh

Inclusion of the qualifer [Publication Type] in the 155 field of an authority record creates linking and/or updating problems in a number of local systems. In some systems, the qualifier will prevent the bibliographic and authority headings above from linking. In other systems, based on the first cross-reference in the authority record below:

455 \$wnnna\$aFestschrift

The local systems will automatically flip a correct bibliographic heading from:

655 7 \$aFestschrift.\$2mesh

To the incorrect form:

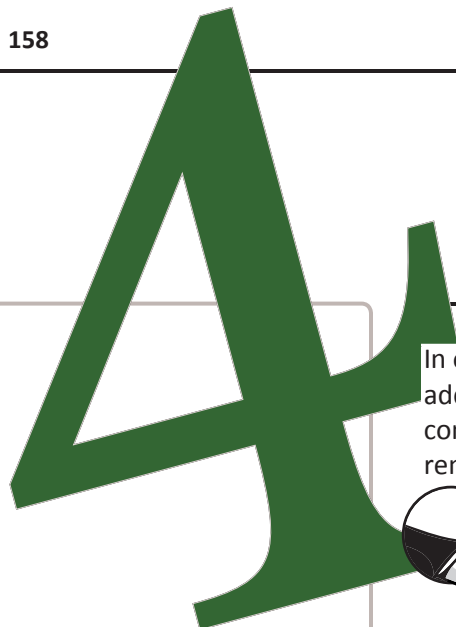
655 7 \$aFestschrift [Publication Type].\$2mesh



NOTES

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





In order to prevent the problems described above, MARS 2.0 creates an additional cross-reference (455) in MeSH genre (155) authority records containing the established heading plus the qualifier [Publication Type], and removes the qualifier from the established heading (155).

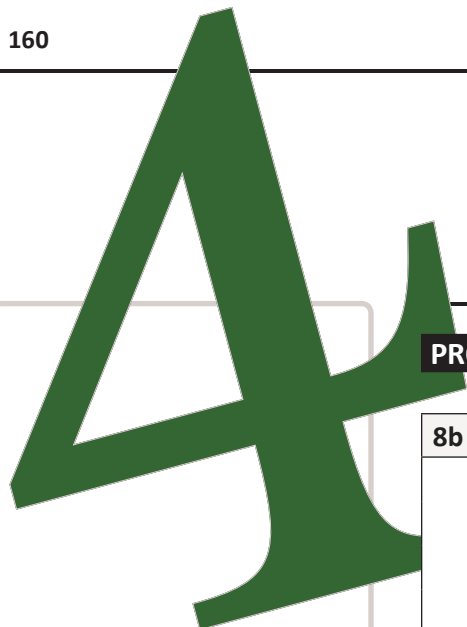
EXAMPLE #1

MeSH Authority Records Distributed by NLM

```

001      D016221
003      DNLM
005      20001108000000.0
008      950623 n ancnnbabn      |ana      b
040      $aDNLM$cDNLM
155      $aFestschrift [Publication Type]
455      $awnnna$aFestschrift
455      $awnnna$aFestschrift (PT)
455      $awnnna$aFestschriften
455      $awnnna$aFestschriften (PT)
667      $apublication type only; check appropriate
          hist tags; Manual 32.18.8
680      $iA collection of essays or other writings
          contributed by students, teachers,
          colleagues, and admirers to honor a
          scholar, physician, or other scientist on
          a special occasion noting an event of
          importance in his or her life.
688      $a91
    
```

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PROFILE STEP 4.8B

8b - Authority Record Cleanup (check all that apply)
<input type="checkbox"/> Remove 2nd Indicator 0 from X00, X10, X11 fields
<input type="checkbox"/> Remove all 9XX fields
<input type="checkbox"/> Do not Change 2nd Indicator in authority records
<input type="checkbox"/> Do not Remove 9XX fields in authority records

NOTES

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 second indicators may cause problems for the library’s local system. MARS 2.0 programs can clean up these types of LC authorities.

SECOND INDICATOR CLEANUP

Many LC authority records contain obsolete second indicators of **0** for the X00, X10, X11, and X5X fields. MARS 2.0 programs can change these second indicators from **0** to **blank**. If these obsolete indicator values pose no problems to your local system, it may not be necessary to make this cleanup. MARS 2.0 programs will **not** change the second indicator for X30 fields during this cleanup step.

9XX FIELD REMOVAL

Recently, Library of Congress began inserting their local notes fields (9XX) into their authority records. For many libraries, this does not cause loading issues for their local systems. However, there are a few systems that reject these authorities because of the new 9XX fields. MARS 2.0 programs can remove all of the local LC notes (9XX) from the authority records before they are delivered to your library.

Indicate in Step 4B.8 if you would like Backstage to change the second indicator to blank as well as whether you would like the local LC notes (9XX) removed from authorities delivered back to you.



