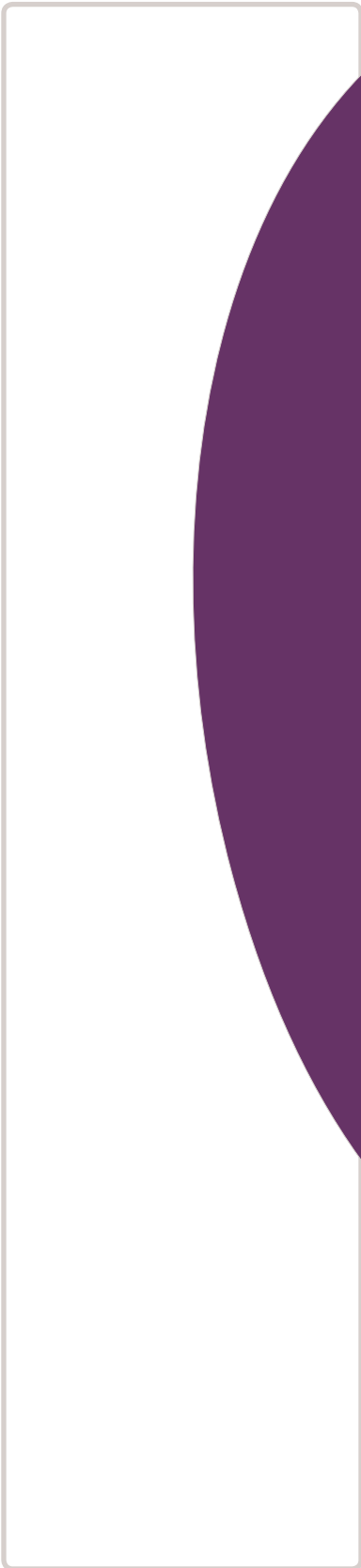




# MARS 2.0

## AUTHORITY CONTROL PLANNING GUIDE







## STEP 6.A: NOTIFICATION

The MARS 2.0 Authority Notification Service keeps your authority files up to date by notifying you when authority records are updated, replaced, or deleted, and supplying the updated records to your library. This service is very flexible, with options that make it easy to customize in order to meet local requirements.

With the exception of new records that replaced deleted records and unmatched headings (briefs), you do not receive new authority records through this service. The Current Cataloging Service provides new authority records.

### MARS 2.0 MASTER AUTHORITY FILE

MARS 2.0 maintains a Master Authority File for each institution that has been supported by any of the MARS 2.0 Authority Control services. A library's MARS 2.0 Master Authority File can actually consist of a number of separate authority files, based on the profile options selected by the library:

- National-level authority records (separate files for LC, MeSH, NLC, etc.)
- Locally generated records that conflict with LC practices, but are required for your catalog
- Locally generated records to be replaced by national-level records
- National-level authority records with local tags & subfields to be merged with updates in national records
- MARS 2.0 unmatched heading records for all bibliographic headings that did not fully match a national-level authority record during the MARS 2.0 Authority Control processing of your bibliographic records

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## NOTES

### MARS 2.0 UNMATCHED HEADING RECORDS

Your MARS 2.0 Master Authority File includes a brief record generated for each unmatched heading during the MARS 2.0 Authority Control processing of bibliographic records. During every subsequent Authority Update, MARS 2.0 programs search for a national-level authority record corresponding to these unmatched headings.

When searching the national files, MARS 2.0 programs always check both the Established Heading (1XX) and *See From* cross references (4XX) for potential matches. If one is found, the new authority record will be included in the authority distribution files. The new national-level authority record will replace the MARS 2.0 Unmatched Heading Record in your Master Authority File.

### AUTHORITY RECORD STATUS

MARS 2.0 automatically sets the Record Status (Leader byte 05):

- To **n** (new) for all authority records new to your catalog
- To **c** (changed) for records already in your catalog
- To **d** (deleted) for records that need to be removed from your catalog

**Note:** Authority records issued by LC with a Record Status of **a** (increase in encoding level) are distributed by MARS 2.0 with a Record Status of **c** (changed), since it is a change to a record in your local authority file. Similarly, authority records issued by LC with a Record Status of **s** or **x** are distributed by MARS 2.0 with a Record Status of **d**, since they need to be deleted from your local authority file.

### UPGRADING DAMAGED AUTHORITY RECORDS

If authority records have been modified during previous cleanup projects by other vendors, records could be missing a necessary field (for example, 005) or have damaged or missing LC Authority Record Numbers. Let your MARS 2.0 Authority Control team know if your authority file needs extra attention.





**PROFILE STEP 6.2A**

<b>2a - MARS 2.0 Master Authority File Source (check one)</b>
<input type="radio"/> Existing - MARS 2.0 Master Authority File was generated in current or previous Authority Control Project
<input type="radio"/> New - Create a new MARS 2.0 Master Authority File from authority records matched from bib records
<input type="radio"/> For <i>Authority Remaster</i> , see Step 7.1

**NOTES**

**AUTHORITY FILE SOURCE**

There are two methods of setting up your MARS 2.0 Master Authority File. If Backstage provides Authority Control processing for your bibliographic records, a Master Authority File is automatically created as part of the Authority Control processing. This Master Authority File is then available for use in the MARS 2.0 Authority Notification Service. Select the first option, **Existing**.

New Master Authority files are created when clients wish to remaster their current authority file, which searches every authority record in their database against national master files. For more informatino about remastering, see Step 7.1.





## PROFILE STEP 6.4A

### 4a - Authority Files - Record Selection Criteria (check one)

- All new and changed authority records  
 Interesting authority records only (260, 360, 4XX, 5XX, 6XX)  
 Significant changed authority records only (choose criteria below)
- 010
  - 1XX
  - 4XX
  - 5XX
  - 64X
  - 667
  - 670
  - 68X
  - 781
- Both Interesting and Significant changed authority records (include criteria from above)

### AUTHORITY RECORD SELECTION CRITERIA

The best strategy for most institutions is to receive all changes. However, limiting updates to *interesting* or *significant* changes may be essential if you must manually edit authority or bibliographic record headings. A field is deemed to have *changed* when **any** byte in the field is modified. This includes a change in punctuation, a diacritic, an indicator, etc.

### INTERESTING AUTHORITY RECORDS

To restrict the number of updated records delivered, you can choose to receive only authority records that are *interesting*.

MARS 2.0 defines an authority record as interesting if it contains one or more of the following fields:

- 260—Complex *See* Reference (Subject)
- 360—Complex *See Also* Reference (Subject)
- 4XX—*See From* Cross Reference
- 5XX—*See From Also* Cross Reference
- 64X—Series Treatment Note

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- 66X—Reference Note
- 678—Biographical or Historical Data
- 680-682, 688—Public General or Tracing Note, Deleted Heading Information, or History Note

Limiting updates to interesting records is not normally recommended unless there are local restrictions such as extremely limited disk space. All national-level authority records, whether meeting interesting criteria or not, are useful when validating new headings.

### SIGNIFICANT AUTHORITY RECORDS

Another way to reduce the number of updates is to limit the records distributed to those with *significant* changes. Indicate if you would like your authority distribution files to include only records that have changed significantly, or limited even drastically to only those *interesting* records that contain a *significant* change.

If you indicated in Step 6.4 that you want MARS 2.0 to only provide you with records that contain a *significant* change, use this question to indicate the type of changes that you want MARS 2.0 to consider as *significant*. Select the types of updates you wish to receive from among the following categories of *significant* changes:

- 010—LCCN changed (record merge, record has replaced another, etc.)
- 1XX—Established Heading changed
- 4XX—*See From* Heading added, deleted or changed
- 5XX—*See Also From* Heading added, deleted or changed
- 64X—Series Treatment Note added, deleted or changed
- 667—Nonpublic General Note added, deleted or changed
- 670—Source Data Found Note added, deleted or changed
- 68X—Note added, deleted or changed (680, 681, 682, 688)
- 781—Geographic Subdivision Linking Entry added, deleted or changed

### BOTH INTERESTING & SIGNIFICANT

Both Interesting & Significant changed authority records will deliver records that have changed in either the *interesting* or the *significant* criteria. Your results will be a larger subset of the authority records delivered if you would have chosen either interesting or significant by themselves.

NOTES

## PROFILE STEP 6.5A

### 5a - Authority Change Report - Record Selection Criteria (check one)

- All changed authority records included  
 Significant changes only included  
 010  
 1XX  
 4XX  
 5XX  
 667  
 670  
 68X  
 781  
 Other: \_\_\_\_\_  
 Exclude insignificant changes (punctuation, indicators)  
 No change report desire or Not applicable

### AUTHORITY CHANGE REPORT

The Authority Change Report provides authority update information:

- To select and download new authorities from an external source
- To manually edit authority records
- To edit out-of-date headings in bibliographic records
- To keep up with changes in the form of authorized headings.

Authority Change Reports provide side-by-side views of national authority records which have been updated. The out-of-date form of the record is shown on the left and the updated record is shown on the right.

Three types of fields are highlighted on the MARS 2.0 Authority Change Reports: Changed, Deleted, and Added fields.

**Note:** *Certain fields such as the 005 Date and Time of Last Transaction are not highlighted as the 005 field will have been changed in the case of every record in an Authority Change Report.*

Authority Change Reports are provided electronically in HTML format and can be viewed and printed using any standard browser.

Backstage can also exclude insignificant changes such as **indicator updates** or **punctuation fixes** from appearing in the change reports. The authorities for these insignificant changes will still be delivered.

NOTES



## NOTES

**SIGNIFICANT AUTHORITY RECORDS**

A way to reduce the number of updates within change reports is to limit the records reported to those with *significant* changes. Indicate if you would like your authority change reports to include only records that have changed significantly.

If you indicated in Step 6.5 that you want MARS 2.0 to only provide you with reports that contain a *significant* change, use this question to indicate the type of changes that you want MARS 2.0 to consider as *significant*. Select the types of updates you wish to receive from among the following categories of *significant* changes:

- 010—LCCN changed (record merge, record has replaced another, etc.)
- 1XX—Established Heading changed
- 4XX—*See From* Heading added, deleted or changed
- 5XX—*See Also From* Heading added, deleted or changed
- 64X—Series Treatment Note added, deleted or changed
- 667—Nonpublic General Note added, deleted or changed
- 670—Source Data Found Note added, deleted or changed
- 68X—Note added, deleted or changed (680, 681, 682, 688)
- 781—Geographic Subdivision Linking Entry added, deleted or changed

**WHEN AUTHORITY CHANGE REPORTS ARE GENERATED**

An Authority Change Report can be generated as part of the following three types of MARS 2.0 projects:

- Authority Notification Service (see Step 6)
- Current Cataloging Service (see Step 6)
- One time projects, such as a library's Remaster of existing authority file (see Step 7)

**Note:** *Authority Change Reports are available for one time projects only if a MARS 2.0 Master Authority File has been created previously or is being created through a remaster of their existing authority file. A library's MARS 2.0 Master Authority File is normally created during the initial MARS 2.0 Authority Control processing of a library's basefile.*

**INSIGNIFICANT CHANGES IN REPORTS**

Frequently, many of the changes that Library of Congress makes to the authority records are due to indicator values or punctuation modification. Backstage now offers clients the option to exclude insignificant indicator and/or punctuation changes from the reports. The authority records for these insignificant changes will still be delivered to the client.





**AUTHORITY DELETE REPORT**

Authority Delete Reports provide side-by-side views of national authority records which have been removed from that appropriate national authority file. The deleted record is shown on the left and, if found, the replacement record is shown on the right. The established heading (1XX) will be highlighted if the established heading is different in the deleted record and the replacement record. This is done to point out when a replacement heading is in a different form than the obsolete heading. The 1XX field is the only field that is highlighted in the Authority Delete Report.

Authority Delete Reports are provided electronically in HTML format and can be viewed and printed using any standard browser.

**NOTES**





**SAMPLE AUTHORITY DELETE REPORT**

**NOTES**

**Deleted Record:**

001 n 96012041  
 003 DLC  
 005 20080409101302.0  
 008 960209n| acannaab |a aaa  
 010 \$an 96012041  
 035 \$a(OCoLC)oca04008180  
 040 \$aDLC\$cDLC\$dTxDa  
 100 10 **\$aGray, Ed,\$d1945-**  
 400 10 \$aGray, Edward E.,\$d1945-  
 670 \$aFlashes in the river, 1996:\$bCIP t.p. (Ed Gray) data sheet  
 (Edward E. Gray; b. 03-17-45)

**Replacement Record:**

001 n 83056054  
 003 DLC  
 005 20080702071745.0  
 008 830415n| acannaabn |a aaa  
 010 \$an 83056054 \$zn 96012041  
 035 \$a(OCoLC)oca00941274  
 040 \$aDLC\$beng\$cDLC\$dDLC\$dOCoLC\$dDLC\$dUkOxU  
 053 0 \$aPS3557.R2923  
 100 1 **\$aGray, Ed**  
 400 1 \$aGray, Edward F.,\$d1945-  
 400 1 \$aGray, Edward E.,\$d1945-  
 670 \$aHis Gray's journal, 1982:\$bt.p. (Ed Gray) p. vi (Edward F. Gray  
 [sic])  
 670 \$aThe lake of the beginning, 1998:\$bCIP t.p. (Ed Gray) copr. stmt.  
 (Edward E. Gray)  
 670 \$aFlashes in the river, 1996:\$bCIP t.p. (Ed Gray) data sheet  
 (Edward E. Gray; b. Mar. 17, 1945)

Handwritten notes area with horizontal lines for text entry.



## STEP 6.B: CURRENT CATALOGING

### OVERVIEW

The focus of the Current Cataloging Service is to incorporate Authority Control for your **new** bibliographic records into your regular cataloging workflow. There are two components to this service:

- Delivery of bibliographic records upgraded by the MARS 2.0 Authority Control processing
- Delivery of new authority records not previously distributed to you that match headings in the bibliographic records

### CURRENT CATALOGING SERVICE

The Current Cataloging Service provides automated Authority Control on an accelerated schedule—weekly, monthly, quarterly, annually or some other frequency determined by you—with rapid record turnaround. The Current Cataloging Service provides both Authority Control for the headings in your current cataloging records and the matching authority records. You can tailor MARS 2.0 profiles to support local requirements.

At a frequency you select, you send a file to Backstage Library Works that contains all new bibliographic records added to your system since the last update. MARS 2.0 programs will perform the same processing on these new bibliographic records as requested for the original file. MARS 2.0 returns the records to you via FTP.

Alternatively, if you have loaded the new bibliographic records on your local system, you can request that only bibliographic records that were changed by MARS 2.0 processing be returned. In addition, MARS 2.0 programs can generate reports that list bibliographic record numbers with heading changes.

### PROCESS OVERVIEW

The first phase of a Current Cataloging run is standard MARS 2.0 Bibliographic Validation processing. Elements of the MARC 21 structure are validated, updated or corrected, as appropriate (see Step 2 of the Planning Guide).

Next, MARS 2.0 updates and corrects various heading subdivisions (Authority Cleanup—Step 3).

Then, MARS 2.0 compares each heading against the authority files specified (Authority Matching—Step 3). If you have requested Manual Review for new bibliographic records, it happens at this point.

NOTES









**PROFILE STEP 6.3B**

<b>3b - Authority File Segmentation by Status (check one)</b>
<input type="radio"/> 1 File - Combined File of New & Changed Authority Records
<input type="radio"/> 2 Files - New Authority Records in one MARC file, and Changed Records in a separate MARC file
<input type="radio"/> Do not provide authority records in a MARC file

NOTES

**AUTHORITY FILE SEGMENTATION BY STATUS**

Determine how your organization wants Backstage Library Works to distribute the changed and new records that are created during Current Cataloging Services:

- **1 File**—This option returns all of the new and changed records in a **single** file to your library
- **2 Files**—This second option distributes the new and changed records in a **separate** file. This option is provided since some ILS systems cannot load both New & Changed authority records at the same time.
- **None**—On a rare occasion the organization does not want new or changed records distributed to them. This organization typically requests the Change and Delete report and manually makes the changes necessary for their authority file.



**EXAMPLE**

If an institution has chosen to receive LC authority records in two files (Names and Subjects) **and** has chosen them to be distributed as new and changed in separate files, the institution would receive the following **4** files:

- **NAME.NEW**—New LC name authority files
- **NAME.CHG**—Changed LC name authority files
- **SUBJ.NEW**—New LC subject authority files
- **SUBJ.CHG**—Changed LC subject authority files

.....



**PROFILE STEP 6.4B****4b - Authority Files - Record Selection Criteria (check one)**

- All new and changed authority records  
 Interesting authority records only (260, 360, 4XX, 5XX, 6XX)  
 Significant changed authority records only (choose criteria below)
- 010
  - 1XX
  - 4XX
  - 5XX
  - 64X
  - 667
  - 670
  - 68X
  - 781
- Both Interesting and Significant changed authority records (include criteria from above)

**AUTHORITY RECORD SELECTION CRITERIA**

The best strategy for most institutions is to receive all changes. Limiting updates to *interesting* or *significant* changes, however, may be essential if you must manually edit authority or bibliographic record headings. A field is deemed to have *changed* when **any** byte in the field is modified. This includes a change in punctuation, a diacritic, an indicator, etc.

If you do not want to receive these types of records, choose Interesting, Significant, or Both. For more information on Interesting & Significant authority records see Step 6A.5.

**NOTES**



**PROFILE STEP 6.5B**

**5b - Authority Change Report - Record Selection Criteria (check one)**

All changed authority records included

Significant changes only included

010

1XX

4XX

5XX

667

670

68X

781

Other: \_\_\_\_\_

Exclude insignificant changes (punctuation, indicators)

No change report desire or Not applicable

NOTES

**AUTHORITY CHANGE REPORT**

Current Cataloging service also generates a few changed records. You have the option to have these changed records reported to you as All, Significant or No report. For a more detailed explanation see step 6A.5.

**INSIGNIFICANT CHANGES IN REPORTS**

Frequently, many of the changes that Library of Congress makes to the authority records are due to indicator values or punctuation modification. Backstage now offers clients the option to exclude insignificant indicator and/or punctuation changes from the reports. The authority records for these insignificant changes will still be delivered to the client.





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## NOTES

The records should be in MARC 21 format or may be in Word, Excel, or Text format if providing only LC numbers, and the files must match the file segmentation requested for distribution of new authority records.

For example, if a library has requested their authority records be distributed in separate names and subjects files, the adds and/or deletes must be in separate names and subjects files. This allows a record to be removed from the subjects file, yet still be retained in the names file (for those libraries that maintain separate files).

Files of added and/or deleted authority records must be received by the MARS 2.0 staff before Authority Notification Service is to be run. If the files are not received before Notification is run, the adds and/or deletes will be retained and applied before the next MARS 2.0 Ongoing Service run (whether the next service to be run is Authority Notification or Current Cataloging). This MARS 2.0 Master Authority File maintenance is provided as a **no-fee** MARS 2.0 support service.

If you have newly created authority records we will need the entire MARC record.

Step 6B.6 lists your options for sending authority records to Backstage Library Works. Check all that apply.

