



MARS 2.0
AUTHORITY CONTROL
PLANNING GUIDE
CONDENSED VERSION



INTRODUCTION

NOTES

OVERVIEW

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

This guide represents a condensed version of our larger, more robust guide. Our default and most popular choices are discussed in this guide.

If you have questions or require more in-depth answers, please view our larger guide.

7 STEPS

The Authority Control service consists of these 7 Steps (the last step is optional):

- 1. **Data Setup:** Local contact and data exchange format specifications
- 2. **Bibliographic Record Validation:** Lists all of the standard changes made to the bibliographic file
- 3. **Authority Cleanup & Matching:** Preferences for all of the headings within your bib & authority records
- 4. **Output Options:** Divided into both bib & authority file distribution
- 5. **Reports:** Format and layout options for reports
- 6. **Ongoing Services:** Updating your master authority file as well as processing the new bibs added to your system
- 7. **Optional Services:** Authority Remaster, Manual Review, Table of Contents Enrichment, and Bib Record Update Service

ONLINE PROFILE SUPPORT

As you look through the planning guide and read over the profile steps, you may have questions. Our online interface enables you to enter your library information, set up your profile and view/edit current jobs scheduled for processing. Filling out the profile steps with our assistance helps bring to light any remaining questions about your data.

ILS SUPPORT

Please be sure to check with your ILS vendor regarding these questions:

- Step 1.1 - Bibliographic Record Source
- Step 4.3a - Bibliographic File Segmentation
- Step 4.1b - Authority File Segmentation by Type
- Step 4.2b - Authority File Segmentation by Usage

STEP 1: DATA SETUP

1.1 - BIBLIOGRAPHIC RECORD SOURCE

p. 6

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

We can also obtain bibliographic records from multiple sources, at specific intervals or on specific dates, and provide the library with a merged file of authority controlled records.

1.2 - FORMAT OF RECORDS SENT TO BACKSTAGE

p. 7

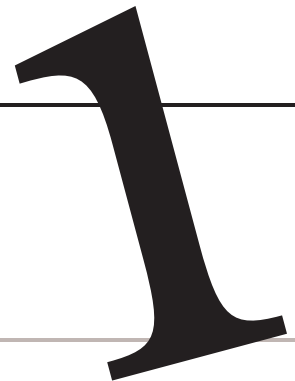
Our Authority Control process has the capability of converting both your incoming and your outgoing bib and authority records into UTF-8 format. Also, if you prefer, we can convert to and from either UTF-8 or MARC-8, whichever is more convenient for you and your ILS system.

1.3 - FORMAT OF RECORDS SENT BY BACKSTAGE

p. 8

Our Authority Control service can accept a wide variety of input media, be it from a CD, small file attached to an email, FTP, or uploading directly via our website. The last option, uploading files directly through our web interface, will most likely be the easiest method for you and your staff.

The default is to send the records back in the same format as how they arrived.



NOTES

A large rectangular area with horizontal lines, intended for taking notes. The word 'NOTES' is written in a stylized font at the top left of this area.



2

NOTES

STEP 2: BIBLIOGRAPHIC RECORD VALIDATION**OVERVIEW**

p. 16

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

2.1 - MARC UPDATE SERVICE LEVELS

p. 17

The level of MARC update is entirely configurable by you and your staff. By default, we perform all of the updates to your MARC bib records. Or, we can only perform the updates you specify. In the end, the update process is tailored to your expectations of what you'd like to see happen within your bib records. By choosing All, your records will be brought to MARC 21 standards.

The default is to choose all updates listed in Step 2.

2.2 - VALIDATE 010, 020, 022, 034 FIELDS

p. 18-26

MARC fields that are incorrectly formatted often cause user searches to fail and prevent items in the collection from being included in the system indexes. MARS 2.0 processing can clean up spacing, hyphens, prefixes, and suffixes of the 010, 020, 022, and 034 fields.

2.3 - LEADER & FIXED FIELD UPDATES

p. 27-30

MARS 2.0 Update processing provides a variety of updates and corrections to values in the Leader and Fixed fields (006, 007, 008). These updates mainly consist of changing one value to another based on the type of record format (book, map, etc.).

2.4 - TAG UPDATES & FIELD DELETES

p. 31

Changes to the MARC 21 communications format have made many fields obsolete. If one field has been replaced by another, the update changes the tag number. If the field has been made obsolete without being replaced, the field is simply deleted from the bib record. There are 22 fields that are changed to another field. Currently, 16 fields are removed from the bib record in this step.

2.5 - SUBFIELD CODE UPDATES & DELETES

p. 32-33

Many subfields are no longer valid within certain fields and so the subfield marker is changed from one (invalid) to another (valid). There are also a number of subfields which no longer have any corresponding use in the bib record and these are removed as part of the MARS 2.0 Update processing. Relator term entries are included in this step. There are 15 subfields changed to another subfield, with 24 fields that have obsolete subfields removed altogether.

STEP 2: BIBLIOGRAPHIC RECORD VALIDATION

2.6 - INDICATOR UPDATES

p. 34

In order to bring the indicators (both first & second) in line with current MARC 21 standards, many fields in this step have their indicators changed from one value (invalid) to a specific value (valid). There are 32 fields with the first indicator updated and 26 fields with the second indicator updated.

2.7 - SPECIAL MARC21 FIELD CONVERSIONS & ADDITIONS

p. 35-42

A number of MARC Update conversions are more complex than simply changing a field tag or subfield code to the current value. Some fields, such as the 007, often need to be added to a record.

Step 2.7 adds missing format data, missing subfield data, and makes complex field conversions. There are 12 fields in this step that are affected.

2.8 - INITIAL ARTICLE & FILING INDICATOR VALIDATION

p. 43-51

MARS 2.0 Update processing supports the standard practice of omitting most initial articles even if a nonfiling character indicator has been defined for the field. Initial articles are retained, and the filing indicator correctly set, for the 245 and 440 fields.

You can also choose to have corporate heading fields checked for initial articles. This applies to the \$t in the X10 fields.

There is also an extensive list of each initial article with its associated filing indicator, sorted by language.

2.9 - GMD STANDARDIZATION

p. 52-56

MARS 2.0 Update processing also updates obsolete General Material Designations (GMDs) to the current authorized form, and corrects most incorrectly spelled GMD variants. If brackets are missing, these can also be added in this step.

The AACR2 Standard Terms Table (Level 1 - p. 55) is used by default in this step. However, either the Common Practice Terms Table (Level 2 - p. 56) and / or a Custom GMD table may also be used, depending on the preference of you and your staff.



NOTES

Notes section with horizontal lines for writing.

3

NOTES

STEP 3: AUTHORITY CLEANUP & MATCHING

OVERVIEW

p. 60

The first phase of MARS 2.0 Authority Control comprises a battery of routines that update and correct individual and contiguous pairs of subfields. These corrections are based on a number of subfield update tables, maintained by MARS authority librarians.

3.1 - MARS 2.0 AUTHORITY CLEANUP

p. 61-67

MARS 2.0 Authority Cleanup uses a number of subfield correction tables to correct common errors in LC subfields. Direct-to-indirect geographic & chronological conversion, obsolete subdivision deletion, as well as numerous field punctuation cleanup is done in this step.

The default is to correct the spacing, capitalization, and punctuation in all authorized, as well as other, fields.

3.2 - NORMALIZATION OF GENERIC NAME HEADINGS

p. 68-77

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 name heading with a death date will not match against an authority heading without one. A generic name heading is a See-reference with only \$a.

When multiple matches occur on personal name headings, the bib heading will not be replaced with any of the matches as the program cannot know which match to take over the others.

The default is to flip generic name headings.

3.3 - MATCH & FLIP 6XX FIELDS

p. 78-79

Sometimes bib records have been generated with the information appearing in the wrong field (e.g., 650 \$*altaly* instead of 651 \$*altaly*). There are a number of tag-flipping rules (p. 79) that the program takes into account during this step.

The default is to match & flip 6XX fields between each other.

3.4 - FLIP 2ND INDICATORS FOR PARTIAL MATCHES

p. 80

Partial matches are found for subject headings in which not all of the heading has been authorized. Frequently, enough of the subject heading has been validated to warrant changing the 2nd indicator to reflect the matching database found.

The default is to flip 2nd indicators for partial matches.

3

NOTES

STEP 3: AUTHORITY CLEANUP & MATCHING**3.7 - FORM SUBDIVISIONS**

p. 95-99

When a heading in a bib record matches an authority record heading, MARS 2.0 can change the \$x to \$v as part of the matching process. The program can also preserve existing \$v codes, depending on your choice.

The default is to both protect existing \$v and convert \$x to \$v.

3.8 - LC CHILDREN HEADING MATCHING (6XX SECOND IND 1)

p.100-104

MARS 2.0 processing can match your Children's headings (6XX 2nd indicator '1') against either the LC Child db, LC Adult db, or both databases, in the order you specify. Children's headings can also either be ignored or removed entirely.

There are just over 950 LC Child authorities, which are updated weekly by LC.

The default is to ignore LC Child headings.

3.9 - MEDICAL HEADING MATCHING (6XX SECOND IND 2)

p.105-110

MARS 2.0 processing can match your MeSH headings (6XX 2nd indicator '2') against either the MeSH db, LC Adult db, or both databases, in the order you specify. MeSH headings can also either be ignored or removed entirely.

There are over 580,000 MeSH authorities, which are updated annually by NLM. If you have a large MeSH db, you will likely want this turned on.

The default is to ignore MeSH headings.

3.10 - CANADIAN HEADING MATCHING (6XX SECOND IND 5)

p.111-117

MARS 2.0 processing can match your NLC headings (6XX 2nd indicator '5') against either the Canadian NLC db, LC Adult db, or both databases, in the order you specify. NLC headings can also either be ignored or removed entirely.

There are over 630,000 NLC authorities, which are updated semi-monthly by NLC. If you have a large NLC db, you will likely want this turned on.

The default is to ignore NLC headings.

3.11 - LOCAL AUTHORITY FIELD MERGE

p.118-119

MARS 2.0 programs will look for a \$5 within each field in the authority record provided by the library. If it finds \$5, that field will be retained in the matched authority record. Please provide Backstage with authorities that contain a \$5.

The default is to ignore local authority fields.

4

NOTES

STEP 4A: BIBLIOGRAPHIC OUTPUT OPTIONS

4.1A - BIBLIOGRAPHIC FILE DISTRIBUTION

p.140-142

Once the processing has completed for your bibliographic file, you can choose to receive:

- All bib records returned
- All *changed* bib records
- Only bib records with specific changes

The default is to return all bib records.

4.2A - BIBLIOGRAPHIC RECORD CHANGE STAMP

p.143-144

MARS 2.0 programs can stamp each bib record with one, many, or no identifiers. The stamps can be applied to all or only changed bib records.

Below is a list of stamp options:

- 040 \$d UtOrBLW
- ### \$a MARS (specify tag)
- LDR pos 23 'M'
- 005 Date & Time of Latest Transaction (005 is added if missing)
- Some other stamp that the library chooses

The default is to stamp all records with 040 \$d UtOrBLW and all changed records with 005 Date & Time of Latest Transaction.

4.3A - BIBLIOGRAPHIC FILE SEGMENTATION

p. 145

Many libraries find it more efficient to receive all their bib records in a single file. However, you may request files be segmented according to local system specifications.

Please consult with your ILS vendor to determine the loading & indexing profiles.

*The default is to supply all bib records in a single file.



NOTES

STEP 4B: AUTHORITY OUTPUT OPTIONS

4.5B - ENDING PUNCTUATION

p. 154

Some headings in LC authority records have ending punctuation. This may cause problems in linking and overlaying authority headings in a few local systems. MARS 2.0 processing can either remove ending punctuation in an authority record or keep it as-is.

The default is to ignore ending punctuation.

4.6B - MESH AUTHORITY RECORD CONTROL NUMBERS

p. 155

NLM MeSH authority records carry the authority record control number in field 001. However, some systems use the 010 field as the only control number index. This step is only necessary if matching against MeSH.

The default is to supply control numbers in the 001 field only.

4.7B - FORM / GENRE AUTHORITIES (GSAFD, AAT, MESH, LC)

p.156-159

MARS 2.0 can provide your form/genre authority records either as part of the appropriate subject file or in a separate file. If you are not processing your form/genre headings, then no genre authorities will be distributed.

The default is to supply the genre authorities as part of the appropriate subject file.

4.8B - AUTHORITY RECORD CLEANUP

p. 160

Library of Congress continues to make updates to its authority records, including punctuation and indicator changes. However, not all of the LC authority records have been updated yet and fields such as local LC notes (9XX) or obsolete 2nd indicators may cause problems for the library's local import system, which Backstage can clean up.

The default is to not remove either the 2nd indicator '0' or the local 9XX fields from authority records.

4.9B - HEADING-TRACKER

p. 161

This enhancement tracks changed headings in the Library of Congress authority database and delivers the changed heading as a See reference (4XX) within the authority record. The See reference is created with an option to hide the reference from the OPAC and contains a \$5 UtOrBLW.

The default is to not include the heading-tracker enhancement.

5

NOTES

STEP 5: REPORTS

5.2 - OPTIONAL BIB REPORTS

p.180-183

Many libraries that use the MARS 2.0 Authority Control service do not order optional reports. They find that most headings are updated or corrected by the MARS 2.0 Authority Control process and additional heading review is not warranted.

Other libraries have determined that they are willing to invest in correcting one or more additional conditions that could not be fully resolved using automated processing alone. These libraries choose any number of optional reports, at extra cost.

Only the Partially Matched Heading report (R06) is at no extra cost.

The default is to not provide any optional reports.

5.3 - CUSTOM REPORTS

p.184-202

MARS 2.0 can generate custom reports that include information meeting many different conditions. A library could obtain a list of all the headings that contain a geographic subdivision (\$z) in their state or province, or all subject headings (6XX fields) that have a 2nd indicator of '4' (local headings), etc.

Like MARS 2.0 Bibliographic Reports, custom reports can be sorted by bibliographic record number, or the headings can be deduped and the headings then sorted alphabetically.

Please see your Project Manager for a cost estimate of the custom report you are interested in.

The default is not to provide custom reports.

STEP 6A: NOTIFICATION

OVERVIEW

p.206-208

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.

An alternative to this is the Bib Record Update Service in Step 7.4.

6.1A - AUTHORITY UPDATE FREQUENCY

p. 209

The frequency of running Notification Services for your library should be based on the following:

- Frequency - How often does your library's authority file need to be updated?
- Resources - Does your library have the staff to upload changed authority records at the frequency you chose?
- Cost - Is frequency important enough to incur additional cost (weekly and monthly delivery are more expensive)?

Recommended Notification Frequencies

Less than 100,000 bibs -> Annual Notification

Less than 200,000 bibs -> Semi-Annual Notification

200,000 -to- 750,000 bibs -> Quarterly Notification

The default is determined by the library.

6.2A - AUTHORITY FILE SOURCE

p. 210

If Backstage provides Authority Control processing for your bib records, a Master Authority File is automatically created as part of the Authority Control processing.

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.

The default is to use the existing master authority file.

6.3A - AUTHORITY FILE SEGMENTATION BY STATUS

p. 211

We can either return your new and changed authorities in one single file, or in separate files. On a rare occasion, the library does not want any new or changed records distributed to them.

The default is to return both new and changed authorities in a single file.

6

NOTES

6

NOTES

STEP 6A: NOTIFICATION

6.4A - AUTHORITY FILES - RECORD SELECTION CRITERIA

p.212-213

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 bib record headings.

A field is considered changed when any byte in the field has been modified. This includes a change in punctuation, diacritics, indicators, etc.

The default is to return all new and changed authority records.

6.5A - AUTHORITY CHANGE REPORT - SELECTION CRITERIA

p.214-216

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.

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.

The default is to return all changes, including insignificant changes, in the change reports.

6.6A - DELETED AUTHORITY RECORDS NOTIFICATION

p.217-219

MARS 2.0 can provide a machine-readable file and report of the deleted authority records. The Authority Delete Report is only available as an option in the MARS 2.0 Authority Notification Service.

The default is to provide both a Delete file and a Delete report.

6

NOTES

STEP 6B: CURRENT CATALOGING

6.4B - AUTHORITY FILES - RECORD SELECTION CRITERIA

p. 225

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 bib record headings.

A field is considered changed when any byte in the field has been modified. This includes a change in punctuation, diacritics, indicators, etc.

The default is to return all new and changed authority records.

6.5B - AUTHORITY CHANGE REPORT - SELECTION CRITERIA

p. 226

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.

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.

The default is to return all changes, including insignificant changes, in the change reports.

6.6B - UPDATES - BEFORE CURRENT CATALOGING & NOTIFICATION

p.227-228

Libraries sometimes download individual authority records related to a bib record in their catalog. Libraries also remove records from their local authority file for headings that are no longer present in their catalog. In either case, the MARS 2.0 Master Authority File will not reflect these changes made locally by the library's staff.

The MARS 2.0 staff can apply the adds and deletes to the library's MARS 2.0 Master Authority File. This will prevent distribution of authority records that have already been loaded into a local authority file and, more importantly, will provide the library with any future updates to the records that have been loaded locally.

The default is determined by the library as to when or if authority updates need to be sent to Backstage.



STEP 7: OPTIONAL SERVICES – AT EXTRA COST

7.1 - AUTHORITY REMASTER

p.232-233

Some libraries already have a locally established MARS 2.0 authority file that they add to and modify. To remaster this existing authority file, MARS 2.0 will match the file against the latest national database files using the MARS 2.0 Remaster Service and return the updated MARC authority records to the library.

This will bring your entire authority database up to current national standards and allow Backstage to do ongoing Authority Control work on your db.

For more information, please see your Sales Representative.

7.2 - MANUAL REVIEW

p.234-238

MARS 2.0 Manual Review provides visual examination of authority controlled headings in your bib records. MARS 2.0 Manual Review is performed by experienced MARS 2.0 staff librarians and library technicians, and results in a catalog of records with fewer errors and inconsistencies than machine processing alone can provide.

For more information, please see your Sales Representative.

7.3 - TABLE CONTENTS ENRICHMENT

p.239-240

MARS 2.0 TOC Enrichment provides Table of Contents notes at the chapter level, summaries from dust jackets, and author affiliation information.

Backstage has partnered with Blackwell's Book Services to provide optional Enriched Content service to your bib records. Blackwell's TOC database contains imprints dating back to 1991. Contents of 40,000 titles are added each year.

For more information, please see your Sales Representative.

7.4 - BIBLIOGRAPHIC RECORD UPDATE SERVICE

p.241-243

With this service, Backstage maintains your bib records along with your authority records. When Notification Services run on your database, our Bibliographic Record Update Service will also run.

Backstage will update or reconcile your bibliographic database at the same time as we update your authority file. We will deliver to you updated bib records along with your updated and new authority files.

For more information, please see your Sales Representative.

NOTES

A large vertical rectangular area on the right side of the page, containing a series of horizontal lines for taking notes. The word 'NOTES' is written in a stylized font at the top of this area.

