

Step 1 - Data Information**1 - Bibliographic Record Source (check all that apply)**

- ☒ Local System Export / Vendor
- ☐ Cataloging Services (specify services)
- ☐ Not Applicable / No bibs being processed
- ☐ Expected Number of Records to be Submitted

2 - Format of Records Being Sent to Backstage (check all that apply)

- ☒ FTP - dropoff
- ☐ Other
- ☒ MARC-8
- ☐ UTF-8

3 - Format of Records Being Returned from Backstage (check all that apply)

- ☒ FTP - pickup
- ☐ Other
- ☒ MARC-8
- ☐ UTF-8
- ☐ Maximum File Size (in records)

4 - Additional Information for Bibliographic Record Validation

- ☐ Please Specify
- ☐ With these modifications:

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Step 2 - Bibliographic Record Validation**1 - MARC Update Service Levels (check one)**

- ☐ Full (leave rest of this section blank)
- ☐ Custom (please indicate custom choices below)
- ☐ No MARC Update (leave rest of this section blank)

2 - Validate Structure of 010, 020, 022, 034 Fields (check one)

- ☐ Yes
- ☐ With these modifications:

☐ No

3 - Leader & Fixed Field Updates (check one)

- ☐ Yes
- ☐ With these modifications:

☐ No

4 - Tag Updates & Field Deletes (check one)

- ☐ Yes
- ☐ With these modifications:

☐ No

5 - Subfield Code Updates & Deletes (check one)

- ☐ Yes
- ☐ With these modifications:

☐ No

6 - Indicator Updates (check one)

- ☐ Yes
- ☐ With these modifications:

☐ No

7 - Special MARC21 Field Conversions & Additions (check one)

- ☐ Yes
- ☐ With these modifications:

☐ No

8 - Initial Article & Filing Indicator Validation (check one)

- ☐ Yes
- ☐ Include Corporate Name (x10) Headings
- ☐ Exclude Corporate Name (x10) Headings
- ☐ With these modifications:

☐ No

9 - GMD Standardization (check all that apply)☐ Form of GMD

- ☐ Use AACR2 Standard Terms Table (Level 1)
- ☐ Use Common Practice Terms Table (Level 2)
- ☐ Use Custom GMDs List (attach a GMD Table)
- ☐ No GMD Standardization

☐ Bracketing of GMD

- ☐ Add square brackets
- ☐ Remove square brackets

10 - Additional Information for Bibliographic Record Validation☐ Please Specify☐ With these modifications:

Step 3 - Authority Cleanup and Matching**1 - MARS 2.0 Authority Cleanup (check one)**

- ☐ Yes
☐ No

2 - Normalization of Generic Name Headings (check one)

- ☐ Yes--Flip Generic Name Headings and Leave as Standard MARS Processing
☐ No--Do not Flip Generic Name Headings

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
☐ Do not Flip 6XX fields even if invalid

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

5 - Split Headings (check one)

- ☐ Yes--Replace obsolete headings in bib records with all replacement headings
☐ No--Leave the original form of the heading in the bib when a heading has been replaced by multiple headings

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 headings recorded in 8xx fields)
☐ Custom (describe)
☐ None--Do not provide authority control for any 4xx or 8xx fields

7 - Form Subdivisions (check all that apply)

- ☒ Preserve existing \$v subfield codes
☐ Update form subdivisions to \$v subfield codes

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
☐ Add "Juvenile" to matched LC Adult headings
☐ Yes, add "Juvenile"
☐ No, do not add "Juvenile"
☐ Ignore / Do not Process LC Children Headings
☐ Remove (6xx second indicator 1) without processing

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 MeSH Headings
- ☐ Remove (6xx second indicator 2) without processing

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

11 - Local Authority Field Merge (check one)

- ☐ Yes--Merge Local Authority Fields
- ☒ Local Subfield defined as (e.g., \$5UOrBLW):
- ☐ No--Do not Merge Local Authority Fields

12 - Local Heading Matching (check one)

- ☐ Local Authority Master
- ☐ Match Before National File
 - ☐ Match After National File
- ☐ Special Local Authority Matching
- ☐ With these modifications:
-

- ☐ No Local Authority Master - Ignore completely

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:
- ☐ Do Not Change 2nd Indicator

14 - Genre / Form Heading Matching (655 fields) - (check all desired)

- ☐ GSAFD
- ☐ AAT
- ☐ MeSH
- ☐ LC Genre
- ☒ Do not process - Ignore completely

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)

16 - Additional Information for Authority Matching

- ☐ Please Specify
- ☐ With these modifications:

Step 4 - Output Options**1 - 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
 - ☐ Headings Changed During Manual Review
 - ☐ Significant MARC Bibliographic Updates
 - ☒ Custom change resulting from the following tasks (*attach additional sheet if necessary*):
- ☐ None--Do not return any bibliographic records (*skip 4-2, 4-3*)

2 - Bibliographic Record Change Stamp (check all that apply)

- ☒ 040 \$d UtOrBLW
- ☐ Changed bibs
 - ☐ All bibs
- ☐ ### \$a MARS (specify tag)
- ☐ Changed bibs
 - ☐ All bibs
- ☐ LDR position 23 M
- ☐ Changed bibs
 - ☐ All bibs
- ☒ 005 Date and Time of Latest Transaction; Add 005 if missing
- ☐ Changed bibs
 - ☐ All bibs
- ☐ Other (please specify):
- ☐ Changed bibs
 - ☐ All bibs
- ☐ None--Do not add any Record Change Stamps

3 - Bibliographic File Segmentation (check one)

- ☐ Single file of bib records (up to 100,000 records)
- ☐ Multiple files of bib records (specify size)

4 - Additional Information for Bibliographic Distribution Files

- ☐ Please Specify
- ☐ With these modifications:

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

- ☐ Single Combined File
- ☐ LC
 - ☐ LC Children
 - ☐ MeSH

- ☐ Canadian
- ☐ MARS Brief

- ☒ Separate Files
 - ☒ LC
 - ☒ LC Children
 - ☐ MeSH
 - ☐ Canadian
 - ☐ MARS Brief

- ☐ Do not Distribute these File Types
 - ☐ LC
 - ☐ LC Children
 - ☐ MeSH
 - ☐ Canadian
 - ☐ MARS Brief

- ☐ None--Do not provide any authority records

2 - 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)

3 - Hierarchy (check one)

- ☐ All levels of hierarchy
- ☐ Full headings only

4 - Interesting Authority Records (check one)

- ☐ All authority records that matched bib headings
- ☐ Only Interesting authority records (260, 360, 4XX, 5XX, 6XX)

5 - Ending Punctuation (check one)

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

6 - MeSH Authority Record Control Numbers (check one)

- ☐ Only in 001 field, as created by NLM
- ☐ Both the 001 and 010 fields
- ☐ Not Applicable / MeSH authority records not desired

7 - Form / Genre Authority Records (GSAFD, MeSH and AAT) - (check one)

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

8 - Authority Record Cleanup (check all that apply)

- ☐ Remove 2nd Indicator 0 from X00, X10, X11 fields
- ☐ Remove all 9XX fields
- ☒ Do not Change 2nd Indicator in authority records
- ☒ Do not Remove 9XX fields in authority records

9 - Additional Information for Authority Record Distribution Files

☒ Please Specify

☒ With these modifications:

AUTH OUTPUT:
NAME, SUBJ, TITLE, CHILD

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Step 5 - Reports**1 - Report Format (check one)**

- ☐ Expanded (include bib control numbers in all reports)
- ☒ Primary Bib Source Field
- ☒ Secondary Bib Source Field
- ☐ Collapsed (exclude bib control numbers in all reports)

2 - Report Segmentation (check one)

- ☐ Single File
- ☐ Separate Files

3 - Optional Bib Reports (check one)

- ☐ Include Partially Matched Headings optional report (*no cost*)
- ☐ Include the following optional reports (*additional cost involved*)
- ☐ No optional reports desired

4 - Custom Reports (complete all parts or attach a description)

- ☐ Generate a report of fields from records meeting the following criteria
- ☐ With these modifications:

- ☒ Include the following fields in the reports (please list field tags)
- ☐ Sort the report by

5 - Additional Information for Reports

- ☐ Please Specify
- ☐ With these modifications:

Step 6 - Ongoing Services**1 - Authority Update Frequency (check one)**

- ☐ Desired Start Date
- ☐ Weekly
- ☐ Monthly
- ☐ Quarterly
- ☐ Semi-Annual
- ☐ Annual
- ☐ Other
- ☐ Do not provide Authority Update service

2 - MARS 2.0 Master Authority File Source (check one)

- ☐ Existing--MARS 2.0 Master Authority File was generated in current or previous Authority Control Project
- ☐ New--Create a new MARS 2.0 Master Authority File from authority records matched from bib records
- ☐ For *Authority Remaster* see Step 7-1

3 - Authority File Segmentation by Status (check one)

- ☐ 1 File - Combined File of New & Changed Authority Records
- ☐ 2 Files - New Authority Records in one MARC file, and Changed Records in a separate MARC file
- ☐ Do not provide authority records in a MARC file

4 - 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)

5 - 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
- ☐ No change report desired or Not applicable

6 - Deleted Authority Records Notification (check one)

- ☐ Both MARC Electronic Files and an Authority Delete Report
- ☐ MARC Electronic Files only
- ☐ Authority Delete Report only
- ☐ None--Do not distribute any Deleted authority records

7 - Additional Information for Notification Services

☒ Please Specify

☒ With these modifications:

AUTH OUTPUT:
NAME, SUBJ, TITLE, CHILD

1 - New Bibliographic Record Processing Frequency (check one)

- ☐ Weekly
- ☐ Monthly
- ☐ Quarterly
- ☐ Semi-Annual
- ☐ Annual
- ☐ Other
- ☐ Desired Start Date

2 - Authority Control Specifications (check one)

- ☐ Specifications are *identical* to Steps 2-5
- ☐ Specifications are identical to Steps 2-5, *except*
- ☐ With these modifications:

3 - Authority File Segmentation by Status (check one)

- ☐ 1 File - Combined File of New & Changed Authority Records
- ☐ 2 Files - New Authority Records in one MARC file, and Changed Records in a separate MARC file
- ☐ Do not provide authority records in a MARC file

4 - 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)

5 - 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

☐ No change report desired or Not applicable

6 - Updates - Send before Current Cataloging and Notification Services (check all that apply)

☒ Files should be submitted according to usage & type (e.g., NAME.DEL, SUBJECT.ADD, etc.)

- ☒ Deleted Authorities
- ☒ Added Authorities
- ☐ List of LCCN (010a) Numbers
- ☐ MARC Authority Records

☐ Do not need to send / Local master authority file will not be updated

7 - Additional Information for Current Cataloging

☒ Please Specify

☒ With these modifications:

AUTH OUTPUT:
NAME, SUBJ, TITLE, CHILD

Step 7 - Optional Services**1 - Remaster Authority File (check all that apply)**

- ☐ Authorities will be Segmented by *(check all that apply)*
- ☐ Name
 - ☐ Subject
 - ☐ Title
 - ☐ Series
 - ☐ None--Assign usage based on 008 *fixed field* bytes
- ☐ Check these National Databases for Matches *(check all that apply)*
- ☐ LC
 - ☐ LC Child
 - ☐ MeSH
 - ☐ Canadian
 - ☐ Other *(please specify)*
- ☐ LC Control Number is Located in *(check one)*
- ☐ 001 Field
 - ☐ 010 Field
- ☐ Distribute *(check all that apply)*
- ☐ LC Authority Headings
 - ☐ System-generated Brief authority records
 - ☐ Unmatched Headings Report

2 - Manually Review These Authority Control Headings (check all that apply)

- ☐ 100 / 700 - Personal Name
- ☐ Partial
 - ☐ Unmatched
- ☐ 110 / 111 / 710 / 711 — Corporate / Meeting
- ☐ Partial
 - ☐ Unmatched
- ☐ 130 / 730 — Uniform Titles
- ☐ Partial
 - ☐ Unmatched
- ☐ 440 / 490 - Series Statements
- ☐ Partial
 - ☐ Unmatched
- ☐ 600 — Subject Personal Name
- ☐ Partial
 - ☐ Unmatched
- ☐ 610 / 611 — Subject Corporate / Meeting
- ☐ Partial
 - ☐ Unmatched
- ☐ 630 — Subject Uniform Titles
- ☐ Partial
 - ☐ Unmatched

☐ 650 — Subject Topical

☐ Partial

☐ Unmatched

☐ 651 — Subject Geographic

☐ Partial

☐ Unmatched

☐ 800 — Series Personal Name

☐ Partial

☐ Unmatched

☐ 810 / 811 — Series Corporate / Meeting

☐ Partial

☐ Unmatched

☐ 655 — Genre Headings

☐ Partial

☐ Unmatched

☐ Other (*please specify*):

3 - Table of Contents Enrichment - Blackwell Criteria (check one)

☐ Blackwell TOC Enhanced Records (TOC, Descriptive Summary and Author Affiliation)

☐ Backstage sends records to Blackwell

☐ Library sends records to Blackwell

☐ Do not Provide Blackwell TOC Enhanced Records

4 - Additional Information for Optional Services

☐ Please Specify

☐ With these modifications: