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:

[_____]

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:

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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 [2]
☑ LC Adult [1]
☐ 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 ☐ `1`

☑ LC Adult ☐ `2`

☑ 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., $5UtOrBLW): ☐

● 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:

[   ]

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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 Signficant 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:

> Typical auth output:
> MESH, NAME, SUBJECT, TITLE

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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:

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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:

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:

[   ]

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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 Corportate / 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:

[   ]