

APPENDIX H - AUTHORITY CONTROL PROFILE

Institution/Library _____
Online System _____

Parenthetic information after the profile topic refers the reader to the section in the authority control literature and its appendixes that discuss the options.

I. INPUT MEDIA (Section II)

Our library will supply MARC bibliographic data to Blackwell on (check one of the following):

- ☐ 9 track tapes
- ☐ IBM 3480 cartridge tapes
- ☐ IBM compatible diskettes

} Library-specific

II. AUTHORITY CONTROL OPTIONS (Section III.3)

Please check one or more of the following:

☒ Apply LC subject authority control to our database (i.e., process fields 600, 610, 611, 630, 650, and 651 with second indicators equal to 0).

☒ Apply LC name/series/uniform title authority control to our database (i.e., process fields 100, 110, 111, 700, 710, 711, 400, 410, 411, 440, 800, 810, 811, 830, 240, 243, 130, 730).

☒ Apply MeSH® authority control to our database (i.e., process 650 fields with second indicators equal to 2).

Children's headings optional

☐ Apply Children's authority control to our database (i.e., process fields 600, 610, 611, 630, 650, and 651 with second indicators equal to 1).

☐ Use the PSEUDONYM PLUS file to retain title page names in 1xx fields of our fiction records.

III. PREPROCESSING OPTIONS

1. \$e - Relator Subfield (Appendix A, Section I)

Please check one of the following:

- ☐ Delete \$e subfields and the data appearing in the subfields from all name headings.
- ☒ Retain \$e subfields and the data appearing in the subfields as they appear in all name headings.

2. \$w - OCLC Heading Verification (Appendix A, Section J)

Please check one of the following:

- ☐ Our library's records are not OCLC source records; subfield \$w's will not be present.
- ☐ Delete \$w subfields and the data appearing in the subfields from name, uniform title, and subject fields changed by Blackwell.
- ☒ Delete \$w subfields and the data appearing in the subfields from all name, uniform title, and subject fields.

3. Ending Punctuation (Appendix A, Section K)

Please check one of the following:

- ☐ Add ending punctuation to all fields processed through authority control.
- ☒ Do not add ending punctuation to all fields processed through authority control.

4. Main Entries Used as Subjects (Appendix A, Section L)

up to Library

Please check one of the following:

- ☐ Create 6xx fields with second indicator value equal to zero from 1xx fields with second indicator value equal to one.

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- ☐ Do not create 6xx fields with second indicator equal to zero from 1xx fields with second indicator equal to one.

5. MARC FORMAT and AACR2R changes (Appendix A, Section M)

Please check one of the following:

- ☒ Change obsolete tags, subfields, and indicator values.
- ☐ Do not change obsolete tags, subfields, and indicator values.

6. OCLC Record Control Number Conversion (Appendix A, Section N)

Please check one of the following:

- ☐ Our library's records are not OCLC source records; OCLC control numbers will not be present.
- ☐ Do not convert the leading characters ocl7 to ocm0 in OCLC record control numbers.
- ☐ Convert the leading characters ocl7 to ocm0 in the OCLC record control numbers.

If you choose the last option, indicate the field in which the OCLC number will be found (if you are sending tapes to Blackwell that were obtained directly from OCLC or an OCLC regional network, the OCLC record control number will be in the 001 field).

Field: _____

7. Subject Added Entries for Serials (Appendix A, Section O)

Please check one of the following:

- ☐ Change tags 690 through 695 for serials to their currently defined tags in the 600 through 651 range.

- ☐ Do not change tags 690 through 695 for serials to their currently defined tags in the 600 through 651 range.

8. Unwanted Field Deletion (Appendix A, Section P)

Please check one of the following:

- ☒ Do not delete fields from our database.
- ☐ Delete the following fields from our database.

If certain indicator values for a specified field should be taken into account, note them below. If fields should be deleted regardless of indicator values, specify an "X" in the indicator value column. Up to 100 field/indicator combinations can be specified (attach extra page if necessary).

Field	1st Ind. Value	2nd Ind. Value
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

IV. FILING INDICATOR VALIDATION AND CORRECTION (Appendix B)

Up to Library-read documentation carefully

Please check one of the following:

- ☐ Validate and correct filing indicators.
- ☐ Do not validate and correct filing indicators.

V. TREATMENT OF 440/830 FIELDS IN SERIES AUTHORITY CONTROL (Section III.4.a)

Please check one of the following:

- ☐ Restore 830 fields created by Blackwell to 440 fields after standard series authority control processing.

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- ☐ Restore all 830 fields (those created by Blackwell and those created by the library) to 440 fields after standard series authority control processing.

- ☐ Do not restore 830 fields to 440 fields after standard series authority control processing.

VI. OPTIONAL MATCH ALGORITHM FOR PERSONAL NAMES (Section III.3.g)

Not recommended
Please check one of the following:

- ☐ Do not use the optional algorithm for adding subfields \$d, \$q, or \$c from authority records to personal name headings.
- ☐ Use the optional algorithm for adding subfields \$d, \$q, or \$c from authority records to personal name headings.

VII. MANUAL REVIEW (Section IV)

Please check one of the following:

- ☒ Manually review headings that do not match the authority file.
- ☐ Do not manually review headings that do not match the authority file (please also check one of the following options).

_____ Do not supply lists of headings that do not match the authority file.

_____ Supply a list of subject headings and a list of name/series/uniform title headings that do not match the authority file.

_____ Supply a list of subject headings, a list of name/uniform title headings, and a list of series headings that do not match the authority file.

VIII. AUTHORITY RECORD PROCESSING OPTIONS

1. LC/MeSH®/Children's Authority Records (Appendix F, Section A)

Please check one of the following:

- ☒ Supply LC, MeSH®, or Children's authority records corresponding to the library's authority control choice(s) in Appendix H, section II.

- ☐ Do not supply LC, MeSH®, or Children's authority records corresponding to the authority control choice(s) in Appendix H, section II (it is not necessary to fill out the remaining questions in section VII).

2. Minimal level Authority Records (Appendix F, Section B)

Please check one of the following options:

- ☐ Supply minimal level authority records corresponding to the library's authority control choice in Appendix H, section II. (minimal level authority records and LC, MeSH®, or Children's authority records are provided on separate files).

- ☒ Do not supply minimal level authority records.

3. Minimal Level Authority Records for Parts Matches (Appendix F, Section C)

Please check one of the following options:

- ☐ Supply special minimal level authority records when the full bibliographic heading does not match the authority file, but all parts of the heading match the authority file (this option can be chosen only if the library also requests that Blackwell not supply minimal level authority records in item VIII.2 of Appendix H).

- ☒ Do not supply special minimal level authority records.

4. Ending Punctuation (Appendix F, Section D)

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Please check one of the following options:

- ☐ Add ending punctuation to authority records.
- ☒ Do not add ending punctuation to authority records.

5. **5xx (See Also From) Deblinding (Appendix F, Section E)**

Please check one of the following:

- ☒ Option 1 (leave blind references untouched)
- ☐ Option 2 (flag blind references by setting byte 3 of 5xx\$w to "a")

NOTE: Selection of Option 2 may impact your choices in item 7 "Segmentation of Name Authority File". For a more detailed explanation see Appendix F, item G.

6. **Duplicate LC Authority Records (Appendix F, Section F)**

Please check one of the following options:

- ☒ Do not remove duplicate records across the LC name and subject authority files.
- ☐ Remove duplicate records across the LC name and subject authority files (please also check one of the following options).

_____ Keep the name file record when duplicates appear.

_____ Keep the subject file record when duplicates appear.

7. **Segmentation of Name File (Appendix F, Section G)** *Up to Library*

Please check one of the following options:

- ☐ Supply name, series, and uniform title authority records on a single database.
- ☐ Supply series authority records on one

database and name/uniform title authority records on another database.

- ☐ Supply series authority records on one database, uniform title authority records on another database, and name authority records on a third database.

8. **Authority Records with Significant Fields (Appendix F, Section H)**

Up to Library
Please check one of the following options:

- ☐ Supply all authority records regardless of the presence of cross references or notes fields.
- ☐ Supply only those authority records containing cross references (4xx or 5xx data) or notes fields (642, 667, 670, or 680 data).

9. **Non-LC, non-MeSH®, Minimal Level Authority Records (Appendix F, Section I)**

Up to Library
Please check one of the following:

- ☐ Do not supply non-LC, non-MeSH®, minimal level authority records.
- ☐ Supply non-LC, non-MeSH®, minimal level authority records based on data appearing in the following bibliographic fields with the following second indicator values:

Field	2nd Ind. Value
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

If you have checked the box requesting that Blackwell supply non-LC, non-MeSH®, minimal level authority records, you may specify values for 008 field bytes in these records that vary from the standard values assigned to minimal level authority records supplied by Blackwell (see column entitled "Subjects-minimal level" in Blackwell's document entitled LC/NLM Compatible Authority Record

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Format). For example, if non-LC/MeSH®/Children's minimal level records will be constructed from 6xx's with second indicators equal to 4 (defined as "source not specified" in USMARC Format for Bibliographic Data), then you can specify that byte 11 of the 008 field be encoded with a value of z (defined as "other" by USMARC Format for Authority Data).

Please check one of the following:

- ☐ Supply 008 values appearing in the column entitled "Subject-minimal level" in Blackwell's LC/NLM Compatible Authority Record Format document.
- ☐ Substitute the values listed below in the 008 field (bytes not specified will adhere to the column entitled "Subject-minimal level" in Blackwell's LC/NLM Compatible Authority Record Format document).

008 Byte	Value
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

10. Duplicate Children's Authority Records (Appendix F, Section J)

Upto Library

Please check one of the following options:

- ☐ Not applicable; our library is not receiving Children's authority control.
- ☐ Do not remove duplicate records across the LC Children's authority file and the LC authority files.
- ☐ Remove duplicate records across the LC Children's authority file and the LC authority files based on duplicate record control numbers (please also check one of the following options).

_____ Keep the record appearing on the LC author-

ity files when duplicates appear.

_____ Keep the record appearing on the LC Children's authority file when duplicates appear.

- ☐ Remove duplicate records across the LC Children's authority file and the LC authority files based on duplication of the first 256 characters of the 1xx field (please also check one of the following options).

_____ Keep the record appearing on the LC authority files when duplicates appear.

_____ Keep the record appearing on the LC Children's authority file when duplicates appear.

11. Supplemental Authority Records (Appendix F, Section K)

Upto Library

If the library plans to send "gap tape" records, or bibliographic records for ongoing acquisitions, for authority control processing please indicate your preference for handling supplemental authority records.

- ☐ Please provide all authority records for "gap tape" records or for bibliographic records for new acquisitions, even if the authority records duplicate authority records previously sent to the library.

Recommend method 1 if receiving

- ☐ Please provide only new authority records according to method 1 when processing "gap tape" records or records for new acquisitions. *Notificati Svce.*

Recommend method 2 if not receiving

- ☐ Please provide only new authority records according to method 2 when processing "gap tape" records or records for new acquisitions. *Notificati Svce.*

IX. OPTIONS FOR RECEIPT OF AUTHORIZED BIBLIOGRAPHIC RECORDS

1. Changed Versus Unchanged Records (Section V)

Please check one of the following:

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☒ Upon completion of authority control processing supply all bibliographic records.

☐ Upon completion of authority control processing supply all bibliographic records; insert a value of "A" into leader byte 23 of records actually changed by Blackwell.

☐ Upon completion of authority control processing supply only changed bibliographic records.

☐ Upon completion of authority control processing supply only changed bibliographic records, with a value of "A" inserted into leader byte 23.

2. Output Character Set Options (Section V)

Please check one of the following:

☒ Upon completion of authority control processing supply our bibliographic and authority records in OCLC extended 8 bit ASCII character set.

☐ Upon completion of authority control processing supply our bibliographic and authority records in RLIN extended 8 bit ASCII character set.

☐ Upon completion of authority control processing supply our bibliographic and authority records in ISM (UTLAS) extended 8 bit ASCII character set.

X. OUTPUT MEDIA (Section V)

Please check one of the following:

☐ Upon completion of authority control processing, supply bibliographic and authority records on IBM 3480 tape cartridges at 38 kb per inch density.

☒ Upon completion of authority control processing, supply bibliographic and authority records on 9 track tape (please also check one

of the following options).

☐ at 1600 bpi density

☒ at 6250 bpi density

☐ Upon completion of authority control processing, supply bibliographic and authority records on IBM compatible diskettes (please also check one of the following options).

☐ supply data on 3.5" diskettes

☐ supply data on 5.25" diskettes

Please also check one of the following options.

☐ supply diskette data in standard density (DD)

☐ supply diskette data in high density (HD)

Please also check one of the following options.

☐ supply diskette data in uncompressed format

☐ supply diskette data in self-extracting compressed format

XI. NOTIFICATION SERVICE OPTIONS

Up to Library - at library's expense

1. Notification Service (Appendix G)

Please check one of the following options:

☐ After completion of the initial authority control project supply the Notification Service.

☐ After completion of the initial authority control project do not supply the Notification Service (it is not necessary to fill out the remaining questions in section XI).

2. Notification Media (Appendix G, Sections A and B)

Supply Notification records (check one of the following options):

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- ☐ on paper listing
- ☐ via Internet/FTP
- ☐ on IBM 3480 tape cartridges at 38 kb per inch density
- ☐ on 9 track magnetic tape (please also check one of the following options).

_____ at 1600 bpi density

_____ at 6250 bpi density

- ☐ on IBM compatible diskettes (please also check one of the following options).

_____ supply data on 3.5" diskettes

_____ supply data on 5.25" diskettes

Please also check one of the following options.

_____ supply diskette data in standard density (DD)

_____ supply diskette data in high density (HD)

Please also check one of the following options.

_____ supply diskette data in uncompressed format

_____ supply diskette data in self-extracting compressed format

3. Frequency (Appendix G, Overview)

Please check one of the following options:

- ☐ Supply Notification records quarterly.
- ☐ Supply Notification records monthly.
- ☐ Supply Notification records weekly (this option can be chosen only if the second option in item XI.2, for Internet/FTP, is also chosen).

4. Configuration of Notification Files/Printouts (Appendix G, Section C)

Please check one of the following options:

- ☐ Supply name/series/uniform title/subject Notifications on a single file/printout.
- ☐ Supply name/series/uniform title Notifications on one file/printout and subject Notifications on another file/printout (this option can be chosen only if the first option in item VIII.6, "Duplicated LC Authority Records" is also chosen).

_____ Provide series Notifications on one file/printout and name/uniform title Notifications on another file/printout (this option can be chosen only if the previous option is also chosen, and only if the second or third options in section VIII.7, "Segmentation of Name File", are also chosen).

5. Notifications for LC Subject Authority Records for Children's Headings (Appendix G, Section D)

Please check one of the following options:

- ☐ Not applicable; our library is not receiving Children's authority control.
- ☐ Our library is receiving Children's authority control but we do not wish to receive Notifications for LC subject authority records provided for Children's headings.
- ☐ Our library is receiving Children's authority control and we do wish to receive Notifications for LC subject authority records provided for Children's headings (please also check one of the following:)

_____ Provide Notifications for LC subject authority records for Children's headings on the same file as Notifications for other LC subject authority records

_____ Provide Notifications for LC subject authority records for Children's headings on a separate file from Notifications for other

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LC subject authority records

6. All Changes vs. Significant Changes Only (Appendix G, Sections E and F)

Please check one of the following options:

- ☐ Supply all Notification changes.
- ☐ Supply significant Notification changes only

XII. SHIPPING INSTRUCTIONS

1. MARC Files

At the completion of the library's authority control project, the library's authorized bibliographic records and authority records can be shipped to the location of the library's choice (e.g., the library, or the library's system vendor, or some other location). Please indicate the desired "ship to" address below.

Send bib records to III
Send auth. records
to EXCEL.

2. Paper Lists

If the library chooses to receive paper lists in item VII, the lists can be shipped to the location of the library's choice (e.g., the library, or some other location). Please indicate the desired "ship to" address below.

XIII. DISPOSITION OF INPUT DATA

Up to Library

The library has the following options for handling input tapes, cartridges or diskettes. Note, input tape or diskettes do not reflect authority control editing performed by Blackwell. Please check and initial one of the following options.

- ☐ Tapes/cartridges/diskettes can be discarded by Blackwell.
- ☐ Tapes/cartridges/diskettes can be stored by Blackwell at an offsite environmentally sound, security facility at \$1.00 per tape/cartridge/diskette per month.
- ☐ Tapes/cartridges/diskettes can be shipped to the location of the library's choice (e.g., the library, or some other location) at \$.50 per tape/cartridge/diskette plus postage. If this option is chosen, please indicate the desired "ship to" address below.

Institution/Library

Librarian Signature

Date

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