

ALEPH AUTHORITIES MEETING
TSPC Authorities Subcommittee
November 10, 2005
Minutes

Attendees: Priscilla Williams, UF, and Sue Wartzok, FIU, (Co-chairs); Emmet Denny, FAMU; Esmer Brown and Bob Sun, UWF; Linda Smith and Angela Randtke, UNF; Ruth Ziegler, Carolyn Goolsby, Robert McDonald and Sarah Cohen, FSU; Allison Howard, Charles Gordon and Graduate Assistant, USF; Nancy Williams, Gerald Langford and Cecilia Botero, UF; Elaine Winske, FIU; Catherine Gardiner, FGCU; Jeanne Piascik, UCF; Mary Ann O'Daniel, Daniel Cromwell and Lydia Motyka, FCLA.

The meeting convened at 10:00 a.m.

A) Agenda item: Progress by FCLA on *Priorities for change* in the "Summary of discussion of UF authority control staff with UNF catalogers." This report was presented to TSPC, Jan. 2005 (Mary Ann O'Daniel)

Discussion summary: The numbered priorities below are from the report.

1) Update LCA10 and continue with regular weekly updates: FCLA authorities loading began with the subject file because it is smaller. The goal is to have all the LC subjects loaded in ALEPH by Jan. 2006. Mary Ann O'Daniel is currently doing all the loading, but is in the process of hiring an OPS assistant to help speed up the process. The name/title file is next to load, but it was suggested that breaking the file into smaller parts makes it easier to work with. It was also noted that loading MeSH authority records needs to become part of the priority list.

One authority control problem with ALEPH has to do with COR fields. Any change in a 1XX field will generate the creation of a COR field containing the old 1XX. The COR field is indexed in the authority library's GEN index, which is the index used for linking with bibliographic record headings. By this means, any bib record headings with the old 1XX form (which is now in the COR) will still link to the authority record. If automatic update of bib headings from the authority record is turned on (UPD Y), any bib heading linked to the COR will be changed from the form in the COR to the form in the 1XX. The COR also provides information for staff about the old preferred term if a 4XX wasn't created for the old form by LC or other agency. The ALEPH authority loader does not retain old COR fields when a record is replaced. Initially the Subcommittee requested that this be changed so that all COR fields are retained. This request was rethought after the authority updates started loading into LCA10. It was discovered that the ALEPH loader creates a COR field for every change in a 1XX field, including tag, indicator, and subfield code. If the 1XX change is not a true

heading change, the COR field continues to be used for linking and the 1XX is not. Agreement was reached not to retain old COR fields and to manually delete any new COR fields that do not represent a change to the heading itself to facilitate linking between bib headings and authority 1XX fields.

Another ALEPH authority control problem is the ambiguous heading problem. The normalized form of headings used for linking between bibs and authorities does not include data about tag or subject scheme. If a 1XX, 4XX, or COR in the authority library's GEN index all contain the same normalized heading, a heading on a bib potentially can link to a 4XX, a COR, or a heading of the wrong type (authority 130 vs. 150) or subject scheme (children's vs. LCSH). Which one of these the bib links to depends on which authority record has the lowest system number. A workaround applied to the LCCH (children's headings) was to uppercase the use codes in the authority records. This blocked new links to any of the records' headings and broke existing links to bib headings. Usually (but not always for some reason) the bib headings then linked to the appropriate LCSH headings.

At the end of all this detailed technical discussion, there was general consensus that we need an authority control training workshop.

2) Produce a report for each SUL for each weekly update: Mary Ann is playing with the ALEPH ARROW report called "Headings to Bib Link." It uses as input only the headings number (not the heading itself), which has to be looked up elsewhere. Another problem is that the report times out for a large database such as UF's. When it does return results, it gives all the bibs linked to a particular heading. She needs us to decide what type of headings we want on the report, and whether we want lists of bibliographic keys linked to the headings. Mary Ann needs to know so that she can work with Donna Alsbury to produce reports that give the results we want.

3) Juvenile headings: This has been solved at least in the short term.

4) False matches between a normalized cross reference on an authority and a bib heading: See specifically the record for "Gainesville, Fla." The bib heading links to the 4XX in the record instead of the 1XX. The problem was reported to Ex Libris. Ex Libris declines to work on it, saying that this record violates the NACO normalization rules and this results in the bad link.

5) Inability to delink and relink headings: Version 17 has a new "AUT Recheck button" that will set a heading to NEW in order to trigger the "Update Bib from Aut" process again.

6) Long headings: Either v. 17 or 18 will index more of a heading string. After moving to that version, we'll have to decide if this addition is sufficient.

7) Global change: This needs to be discussed on the List because there is not enough time in the meeting for this lengthy a discussion. 7a) Cat levels of bib records being changed: This fix is in production. 7b) Commas within parameters: The problem has been submitted to Ex Libris but no fix has been provided.

Daniel Cromwell described a workaround in the subset of cases when a heading

with a comma is changed into one without a comma. Anything else would have system implications, possibly requiring a separate library. If so, that would have to be approved by the Directors.

8) Normalization/punctuation problems: there are many trivial differences in punctuation which cause a heading not to link to an authority. The Subcommittee requested FCLA to add periods before certain subfields in certain types of headings. Mary Ann declines to pursue this as being too difficult and risky (unintended consequences). She noted that authority interest group discussions at NAAUG indicate version 18 will be less sensitive to some punctuation differences.

Handouts: See handouts for further detail:

FCLA Progress Report on SUL Authorities Subcommittee Priorities List (6 p.)
Summary of discussion of Authority control staff with UNF catalogers (4 p.: the original report to which FCLA replies above)
Possible New FCLA-Supported Authority Report (4 p.)

Action items:

1. Add MeSH to the Authorities Subcommittee Priorities List
2. Recommend order of load after subjects. The group needs to decide if the uniform title file (primarily series) should be loaded next, followed by corporate names and finally personal names. To help the decision process, Mary Ann will send out an analysis of the name/title file by tag.
3. Organize an authority control training workshop.
4. Discuss report parameters more fully on the ListServ.

B) Agenda item: What's coming in ALEPH version 16, 17 and 18 (Mary Ann O'Daniel)

Discussion summary: The SUL will be migrating to Version 18 probably in 2007. The plan is to "pass through" v. 16—that is, not release v.16 for general testing—to get to v. 17. Then move to v. 18. Version 15 to v. 16 is projected to be difficult; v. 16 to v. 17 should not be too bad. The so-called "upgrade express" is a misnomer! Each version builds upon the last one, so we will need to be aware of changes that take place in versions 16 and 17 to understand version 18. Documentation for future releases is available online at the Ex Libris site that can be accessed from the FCLA site. Start by using the tree search. The "What's new" write ups are easier to read than the "Release notes," which are written for systems administrators. Version 16.02 fixes ambiguous headings by spinning off a parenthetical qualifier from the 110 field for 410 headings that have non-distinctive initialisms or acronyms, such as ALA. Mary Ann encouraged us to look at some catalogs on v. 16 & 17 and to discuss on the list the changes that Ex Libris still needs to make in future versions. This documentation is proprietary

so it should not be made available publicly. Sign on and password are available from each university's project coordinator.

Handouts: See handouts for further detail:

ALEPH Authority Headings in Conflict, version 18 (11 p.)

GUI Search: Authority Recheck for Selected Headings, version 17.01 (1 sheet)

Ambiguous Headings, version 16.02 (1 sheet)

Action items:

1. Read ALEPH documentation for upcoming versions so that we can discuss on the ListServ what we want Ex Libris to do in future releases.

C) Agenda item: Outsourcing analysis: technical aspects (Mary Ann O'Daniel)

Discussion summary: Priscilla Williams (UF) sent out cost quotes to the Authorities ListServ. Beyond the issue of the cost for outsourcing itself there is a basic problem with the time it would take to re-index these items in ALEPH once they are processed by the vendor and returned. In addition, loading these large files would have implications for any other loads including routine daily ones. Version 17 is supposed to have faster indexing.

Handout: See handout for further detail:

Reloading UF Bibliographic Records after Authority Cleanup: Estimate of Indexing Time (1 sheet)

Action items:

1. Revisit outsourcing once the SUL has migrated to version 18.

D) Agenda item: Steps to loading the LC weekly files & Clean-up process (Mary Ann O'Daniel)

Discussion summary: Mary Ann does a lot of checking because basically she does not trust the process. There are 7 reports generated; 6 if there are no deleted records. She is aiming to reproduce the reports that we now get from NOTIS. She can give us a report showing what the record looked like before it was changed but the report will not indicate what changed. She asked if we need the report printed out or if it is sufficient to look at LCA10. Old reports are deleted on a rolling basis after about a month but if we look at the file, it moves to our client and we can save it.

Mary Ann also adds TKR fields, indicating things like DELETE RECORD, Source, and LCA20051013del. The clean up that Angela Randtke and Gerald Langford are doing is basically undoing what ALEPH has done.

Handout: See handout for further detail:

FCLA Processing Document for LC Weekly Authority Update for Subjects (31 p.)

E) Agenda item: Overview: Setting authorities to “Y” (Mary Ann O’Daniel)

Discussion summary: Setting the authority record UPD (update) code to "Y" for automatic updating of headings on bib records is in fact more drastic than what is referred to as global change. Global change is a step-by-step process with human oversight; turning on automatic updating flips headings on bibs indiscriminately and sight unseen. Mary Ann O’Daniel reminded the group of the technique we used on NOTIS when determining what global changes would be done centrally for the entire SUL. A heading was proposed for changing and each institution would vote yes or no on whether they agreed with the change or not. Unlike in NOTIS, the communication cannot take place on the system, but it could be done through the authorities ListServ. There seemed to be general agreement with Linda Smith’s statement that if we are cautious and systematic, we could let the system change headings.

Action items:

1. On the ListServ discuss setting the system to “Y” for automatic update and finalize the plan to begin testing the process.

F) Agenda item: Local series authorities processing at UF (Nancy Williams)

Discussion summary: Nancy Williams is cleaning up the local UF series authority file by deleting records for series usage that agrees with the record in LCA10. She’s also cleaning up numbered series with inconsistent numbering. She uses TKR fields and recommends that Phase 3 libraries that are working on a similar project use TKRs so that they’ll know which records they want kept in their local authority file.

Handouts: See handouts for further detail:

Example of Working with Authorities for Weekly Updated Series (11 p.)

Types of Series Authority Records to Keep in the Local Authority File (7 p.)

Name/Title Series in ALEPH (11 p.: distributed but not discussed)

Conversion of the Local Authority File (6 p.: distributed but not discussed)

G) Agenda item: Local authorities workflow reports (P1 & P2 libraries)

Discussion summary: Angela Randtke (UNF) reported on her work in the subject indexes, for which she has written her own programs. Linda Smith (UNF) also reported. They ran conflict reports for author (all names), names with titles, and series indexes using Print Catalog Records (print_05) to identify “non-preferred headings.” The initial report was ca. 40 p. They now run the names report monthly. The problem is that the system retains “ghost” entries of headings which have been corrected but not deleted from an index. Corrected headings are not being deleted due to a problem with running manage_15, an ALEPH program which is supposed to remove deleted index entries. Daniel is pursuing with Ex Libris the problems with manage_15. She also described the problem of not being able to break bad links. Another problem is the unauthorized heading report which even for their database is very large and difficult to work with, particularly for personal and corporate names.

Linda also described the problems with series records. The filing indicator is ignored. If you remove the article and indicator, the heading will still not link. Linda also mentioned the problem with linking when a period or subfield code is missing and the inability to catch changes elsewhere in the authority—particularly important for series authorities—when a report is based only on 1XX changes. UNF continues to use NOTIS authority overlay reports because the ALEPH authority reports are so flawed. Linda recommended that Phase 3 libraries think carefully about what to keep in their local authority file. She also recommended adding TKR fields for different types of entries such as a personal name authority (ex. TKR (FJUNF)authpers20051205) or series authority (ex. TKR (FJUNF)authseri20051205) so that you can have a tracking system in your local authority file. They use another TKR when they derive an LCA10 record into the local UNF file (ex. TKR (FJUNF)modLCauthseri20051205).

Bob Sun passed out a brief summary of UWF’s authority work decisions and practices. Charles Gordon (USF) said that they were still focusing on how to use the new system. Cecilia Botero (UF-Health) said they are having to add new MeSH headings since FCLA has not updated the MeSH authority file since migration. FSU reported that they are still using the NOTIS reports; they are working on taking unneeded local records out of their local file.

Mary Ann O’Daniel emphasized that reports must be run in the report region. Otherwise they may impact response time. If someone runs ret_01 (Retrieve Cataloging Records)—even if they put in limiting parameters, it still runs against the whole database and FCLA will kill it. Instead use ret_03 to search and retrieve a smaller subset of records to run against.

Handouts: See handouts for further detail:

Authority Work at UNF since ALEPH: Subject Indexes (4 p.)

Summary of UWF's Tentative Authority Work in ALEPH (1 sheet)

H) Agenda item: Continued value of NOTIS reports (UF, UNF, UWF)

Discussion summary: All P1 and P2 libraries are still using the NOTIS reports for their authority clean up work. There are two primary reasons for this; first, the lack of adequate authority reports currently available on ALEPH; and secondly, because we still do not have a complete authority file available on ALEPH. FCLA will need to do further work in order to provide adequate reports from ALEPH.

Donna Alsbury is working on creating a report that will let each library know which authorities pertain to their database. It was agreed that until such a report is available, the NOTIS reports must be continued. This information must be passed on to Mary Ann so that FCLA gives priority to producing the critical reports in ALEPH before NOTIS is frozen. FCLA cannot run NOTIS and its reports indefinitely because the money used for running NOTIS needs to be transferred to ALEPH.

Action items:

1. Inform Mary Ann which reports must be available in ALEPH for each SUL before the NOTIS reports can be shut down.

I) Agenda item: LTQF – implications for authority control (Mary Ann O'Daniel)

Discussion summary: Mary Ann reported that discussion is underway about how to migrate QF to ALEPH. The Digital Development and Access Committee is looking for a way to generate bib records from metadata in ALEPH as is currently done in NOTIS. In ALEPH each library will have to load the records itself. Mary Ann will help us set up a profile and then we will have to load the records weekly. UF has decided to load only the ones with functional 856 fields. It is also an option to exclude deleted or suppressed records. There is a 13th library (UX). [Count 11 universities plus FCLA.] QF records as well as the 2 authority libraries will be there. The OWN code will be QF because FCLA wants us to have to go to QF itself in order to make any changes in the records—so that everyone will get the changes in their next load. For the QF records loaded into each library's catalog, the sublibrary assigned will be whatever each university chooses and the collection code will be "palmm".

J) Agenda item: Global changes (Gerald Langford)

Discussion summary: Gerald walked us through his procedure for making global changes. The process is described fully in the handout.

Handout: See handout for further detail:

ALEPH Global Change: "Middle aged ..." to "Middle-aged ..." (27 p.)

K) Agenda item: Documentation sharing: SWIKI (Mary Ann O'Daniel)

Discussion summary: We need to post our documentation in a secure WIKI because it may contain proprietary information. The URL for the FCLA SWIKI is: <http://swiki.fcla.edu:8000>

Contact Mary Ann off list for the login and password.

L) Agenda item: Wrap up & discussion

Discussion summary: We spent the last few minutes going over action items.

Action items:

1. Add MeSH to the Authorities Subcommittee Priorities List.
2. Recommend order of load after subjects. The group needs to decide if the uniform title file (primarily series) should be loaded next, followed by corporate names and finally personal names. To help the decision process, Mary Ann will send out an analysis of the name/title file by tag.
3. Organize an authority control training workshop.
4. Discuss report parameters more fully on the ListServ.
5. Read ALEPH documentation for upcoming versions so that we can discuss on the ListServ what we want Ex Libris to do in future releases.
6. Revisit outsourcing once the SUL has migrated to version 18.
7. On the ListServ discuss setting the system to "Y" for automatic update and finalize the plan to begin testing the process.
8. Inform Mary Ann which reports must be available in ALEPH for each SUL before the NOTIS reports can be shut down.

The meeting adjourned at 3:30 p.m.