

Minutes of the Cataloguing and Authorities Users' Group Meeting June 13, Robarts Library Room 4049, 10:00 a.m.

Present: Lisa Andrews-Attwater (*Rotman*), Alastair Boyd (*Robarts*), Julia Callaby (*Robarts*), Mary Canning (*UTM*), Thomas Chan (*ITS*), Anne Dondertman (*Fisher*), Sharon Dyas-Correia (*Robarts*), Astrida Ezergailis (*Regis*), John Fodi (*Music*), Carmen Garcia (*Mt. Sinai*), Connie Lewin (*St. Michael's*), Diana Liang (*UTSC*), P.J. MacDougall (*Massey*), Felicity Pickup (*Robarts Ref*), Stephen Qiao (*East Asian*), Sergio Quibus (*OISE/UT*), Kathryn Roberts (*Law*), Anna Slawek (*Robarts*), Arthur Smith (*ROM*), Carmen Socknat (*Victoria*), Eva Spevak (*Robarts*), Stephanie Swift (*OISE/UT*), Chris Tucker (*Knox*), Nancy Wesson (*Victoria*), Lorna Young (*Regis*), Wenran Zhang (*ITS*)

Regrets: Sherry Smugler (*DMGIS*)

1. Approval of Minutes / Business arising, meeting of March 7th 2006

Approved as written, with the clarification that the suggestions in no. 7 (concerning 13 digit versus 10 digit ISBNs) had only to do with title control numbers.

Business arising: Alastair Boyd (*Robarts*) confirmed that as previously announced by Elizabeth Black (former CDC), ITS has changed the Library name for all existing records for Central System microforms so that the Location MICROTEXT is now associated with MEDIA_COMM rather than ROBARTS. This happened at the beginning of May.

2. Sirsi/ITS announcements

(The order of the agenda was changed to take advantage of the temporary presence of Tom Chan (*ITS*)).

(a) *Indexing of 100 plus 240 headings*

Sirsi has fixed the glitch that arose with our last attempt to add combined **100+240** headings to the name index alongside **700** name-title headings. Browse author searches in the catalogue will now produce an alphabetically arranged list of names plus uniform titles, whether from main or added entries.

(b) *13 digit ISBNs*

Sirsi has announced that the next major upgrade to Sirsi Unicorn, known as GL3.1, will include several mechanisms designed to normalize title control numbers derived from ISBNs, whether 13 or 10 digits. In records carrying 13-digit numbers or both versions, the 13-digit number will be used as the title control number, (just as should happen automatically now). Records carrying only 10-digit ISBNs will have the number converted to 13 digits in the title control number, and although the bib record won't be altered, both versions will be indexed. In addition, the matching process during SmartPORT loads will automatically expand an incoming ISBN-10 to ISBN-13 form. This is to allay fears about records failing to match on load due to potential discrepancies in the form of ISBN carried by incoming versus existing records. However, Tom Chan (*ITS*) explained that the timing of this new version was uncertain. The upgrade path requires a new version of Oracle to be in place first, but this in turn requires that Sirsi solve a problem with connecting Workflows and the OPAC to the new Oracle. Once that is fixed, Tom will install the Oracle update, and await the final release of GL3.1. (Although announced for June 2006, this is still in a beta version). He will then install this on the test server so we can try it out, check for bugs, etc. Because the test server is used for training we cannot have it running a different version of Sirsi from the production server too far in advance. So he will wait until early October to do this, after Circ training is finished. Thus, the earliest we could see GL3.1 on the production server is January 2007 — quite possibly it would be later than that.

Tom added that Sirsi is offering a routine for libraries that want to convert ISBN-based title control numbers from the 10 digit to the long form before installing GL3.1. Alastair wondered if this would be inadvisable in the absence of a corresponding change to SmartPORT

ensuring that incoming ISBN-10s are treated as ISBN-13s for matching purposes. He added that if we continue to use the ISBN-10 as title control number when in doubt, then records should always match regardless whether an incoming record has both versions or just the ISBN-10. A reminder: after January 2007, publishers can issue books only with 13-digit ISBNs.

(c) *SmartPORT “Author” searching of UTL*

OISE/UT recently discovered that “Author” searches of our own database via SmartPORT retrieve only **1XX** entries, not **7XXs**. Alastair ascertained that added-entry names could only be retrieved using a “Name” search rather than “Author”—but that is not currently a SmartPORT option. When Tom had adjusted SmartPORT on the test server to combine names in a single search, it turned out that **600** field names became included as well. After some discussion, the group recommended that the ideal solution would be for SmartPORT to combine **100** and **700** headings but exclude **600s** in the author search. Tom will see if this can be done. If it can't, the alternatives are: (a) put up with unwanted hits from **600** fields on the grounds that too many hits are preferable to incomplete results; or (b) tweak SmartPORT to provide Name as well as Author searches, thus achieving precision at the cost of having to do some searches twice. There was no clear consensus on this, but with luck the question will not arise.

3. Replacment for the Campus Database Co-ordinator

Anne Dondertman (*Fisher*), in her capacity as Chair of the (now defunct) Advisory Group to the Campus Database Co-ordinator, provided some background on the role of the CDC, and how it had changed over the years, most particularly since the migration to Sirsi. Since it has been apparent for some time that two days a week was no longer sufficient for this expanded role — and since Elizabeth Black had decided almost a year ago not to renew her contract as CDC from May 2006 until May 2008 — Anne had drafted a proposal for a full-time Metadata Librarian position, such as can now to be found at several large academic libraries (Yale, University of Virginia, Indiana, Cornell). This would be a single co-ordinating position working with ITS as well as Technical Services, providing expertise for the whole UTL system. The Chief Librarian Carole Moore agreed that such a position was a high priority. However, because of the current 5% across-the-board budget cut, and the prospect of more cuts still to come, it is hard to say when funding will allow this new position to be created.

The projects Elizabeth was working on, the questions she was answering, the decisions she was making for us: these things have not gone away. Her departure has been rapidly followed by Susan Cozzi's retirement, who was in Elizabeth's absence a possible ITS resource person for us. So now the question is, what do we do while waiting for a Metadata Librarian to be hired?

For example: there is a file of MARC records purchased by ITS representing electronic titles from Coutts waiting to be loaded. Previously, Elizabeth would have reviewed a sample of these records, and then in consultation with her Advisory Group, decided what pre-processing (if any) was required so that the records would be acceptable in our catalogue. In doing this she would have represented (via the Advisory Group and CLCG) the interests of us all. Who is now authorized to decide these things on our behalf? Anne suggested that we need some guidance from the Chief Librarian about this. The group agreed that it would be appropriate for CAUG to ask the Chief who she would recognize as authorized to speak for us collectively (perhaps a small working group constituted like the former Advisory Group?)

4. Serials Concatenation and Holdings

At our last meeting, Elizabeth requested that we abstain from manually creating MARC Holdings records for inactive serials until the second attempt at automatic Holdings generation was completed. However this project has now been deferred until later this summer in order that Wenran Zhang (*ITS*) can concentrate on serials concatenation. So we are now at liberty to

resume converting old **090s** into MARC holdings ourselves, until we hear from Wenran that the automated process is being resumed. *Question:* Should we put the call number in the **852** field when we create the holdings ourselves? There seems to be some inconsistency. *Answer:* When the call number is an actual call number, rather than something generic (e.g. “PER”), it is helpful to have it display in the OPAC as part of the Holdings statement. After serials concatenation, when there could be many more holdings on a single record, it could be even more helpful to have Library, Location, Call number, and holdings all displaying together from the Holdings record. So Alastair suggested that even though the automatic holdings creation routine will not be copying the **090** call number into the new holdings record, that should not discourage us from doing so ourselves.

Regarding serials concatenation, Alastair had heard that 5000 of the potentially duplicate titles contained no ISSNs so for those there could be no automated matching and/or overlaying with “master” records. We will proceed first with those that do have an ISSN. Wenran reported that there were 39580 potentially duplicate titles, in 14037 groups, to be included in the concatenation. In some cases a master record is already in our database, so other holdings can be matched and moved to that record. For others, we will be searching OCLC very soon (we have a credit to use up before July 1st) in order to import master records. *Question:* will local notes in existing records be preserved if they are overlaid with OCLC records? *Answer:* if the notes are in any of the current “save” fields then they will be preserved. If in doubt it would be a good idea to check what fields are involved and if necessary expand the list of “save” fields.

5. LC Series Authorities decision

As of June 1st LC has officially stopped doing authority work for series headings. Their original records will now carry only **490 0** fields. On their OCLC-derived records they will accept what is there already, but **440s** and **830s** will not be verified. LC cataloguers will not consult, create, or modify series authority records from now on. The complete details of the policy, including exceptions, are outlined in an FAQ page (<http://www.loc.gov/catdir/pcc/bibco/seriesfaq.html>) — Alastair has put a link to it from the “Guides & Manuals” page of the Cataloguing Website. The crux of the problem is that not just new series are involved. When LC catalogues something issued in an existing series, they will transcribe only the form of series name given on the item, rather than providing access under the established heading. The LC administration (not the cataloguers!) suggests that keyword searching on **490s** combined with publisher name will be an adequate substitute for controlled access.

This has happened with very little warning, so most of us are still making up our minds how to proceed. OCLC has issued its own response, implying that PCC / NACO contributing libraries will carry on as before, in order to maintain controlled series access in Worldcat. (More than half the series authority records contributed to the LC authority file last year were created by these libraries, not LC). They will ensure that if an OCLC member upgrades an LC record it will not subsequently revert to the LC original version. See the OCLC News and Events page at <http://www.oclc.org/news/announcements/announcement191.htm>.

For those LC original records that U of T libraries import through SmartPORT, it would theoretically be simple to change the **490s** to **440s** and see if they validate; even to upgrade **490 0** to **490 1/830** combined headings if necessary. It would certainly add a minute or two to the processing of some LC records, however. A further complication: Robarts loads several hundred LC records per week in batches supplied by Coutts (the “shelf-ready” material). There might be a way to do some automated checking and converting of **490** to **440** fields during the load, but it would be difficult to catch or verify any vague or generic series (“Drama series” or “Monograph series”) — i.e. the very ones that most need controlled access.

Arthur Smith (*ROM*) suggested that a campus-wide policy on series was essential, and the group agreed. Those of the group who do reference work also agreed that controlled access to series was useful in the context of a large academic library system. Alastair said he would ask

the Reference Services committee for input on this. It would be helpful to have some actual data to support our views.

6. Other business

There was no time for any other business. Alastair announced that, barring some emergency during the summer, the next meeting would be in September. Details to follow.

Meeting adjourned at 11:40