Minutes of the Cataloguing and Authorities User Group Meeting
November 16, 2004, Robarts Library Room 4049, 10:00 am

Present: Elizabeth Black *(CDC),* Alastair Boyd, Chair *(Robarts),* Michael Bramah *(SMC),* Mary Canning *UTM,* Susan Cozzi *(ITS),* Mudite Eksteins *(Robarts),* Astrida Ezergailis *(Regis),* Hana Kim *(East Asian),* Connie Lewin *(SMC),* P.J. MacDougall *(Massey),* Felicity Pickup *(Robarts Ref.),* Remi Pulwer *(SMC),* Stephen Qiao *(East Asian),* H. Rashid *(Law),* Kathryn Roberts *(Law),* Michelle Robinson *(Mt. Sinai),* Rosemary Smith *(Robarts),* Sherry Smuggler *(DMGIS),* Carmen Socknat *(Victoria),* Eva Spevak *(Robarts),* Nancy Wesson *(Victoria),* Irene Wu *(ROM)*

Before the meeting, Alastair Boyd welcomed Hui Li, a visiting librarian from China who is spending this week in the "Materials Processing" department at the Robarts Library.

1. Minutes of meeting September 21st 2004 / Business arising

Approved as written. No business arising not already on the agenda.
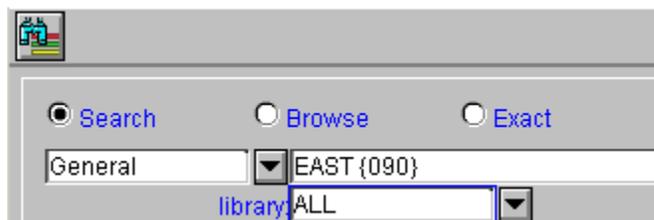
2. Report from the Campus Database Co-ordinator

(a) Elizabeth Black *(CDC)* reported on the "Serials Project." The two most pressing issues are serials concatenation, and the creation of MARC holdings records on dead serials. Some librarians present at the meeting confirmed that they have had projects to create such holdings. Elizabeth continues to work with ITS, who will run some tests on (1) counting duplicate ISSNs and (2) the feasibility of moving MARC holdings.

Question: Is there a timeline for this? *Answer*: Realistically, no. It will take as long as it takes.

Question: Should we be updating title control numbers to use the ISSN when adding missing ISSNs to serial records? *Answer*: Yes. Elizabeth reminded the group that the dash between the clumps of 4 digits *must* be input along with the digits in the `022`, and the title control number should have the prefix "s". She or Alastair will confirm for the group that this dash should also be included as part of the title control number. [*Note from after the meeting: yes, Sirsi expects the dash when an ISSN is used as title control number].* Elizabeth pointed out that decent CONSER records exist for many of our old records lacking ISSNs. If such records are imported to overlay the old record then both the cataloguing and the title control number are updated together. Alastair voiced his suspicion that CONSER records are only available from OCLC, thus costing libraries extra money as well as time if they want to perform such record upgrades, however desirable. Elizabeth said they should also be available from LC and NLC. Alastair will check this out.

(b) Elizabeth reported that there are still 26,279 records with NO_ITEM as the home location. (This location was assigned during the Sirsi migration to anything lacking an item record in DRA). Because this is a shadowed location, in effect all those records have disappeared from the catalogue. Therefore, Elizabeth urged all campus libraries to check and see how many of their own records still need fixing. Each library can check for its afflicted records by setting the limit for a "General" (keyword) search to location NO_ITEM using the "helper" in the top left corner of the search dialog.

Enter your old `090` location code (the `$b` code) as your search term, and follow it by the numbers 090 in curly brackets. E.g.:

Any records you find are for items you have in your library but which do not appear in the catalogue. Hence the need to correct them at your earliest convenience.

(c) Elizabeth announced that the Rotman library plans to add the records from its Inmagic system to Sirsi. Rotman is already set up as a Sirsi library, but has not yet put records in the catalogue for much of its collection. Elizabeth expects that for many items this will simply mean adding Rotman holdings to existing Sirsi records.

3. Authority work in Sirsi

Alastair described *consistency* as the single most important quality of controlled headings, since the point of an authorized heading is to gather under a single form all related bibliographic records in the database. He and Elizabeth, with the help of Maks Okrasa (*Robarts*) and Tom Chan (*ITS*), have been testing the Sirsi Authority report "List Unauthorized Tags." The Selection Criteria allow this to be limited to specific tags, dates, and libraries. (Elizabeth pointed out a nimbler alternative to scheduling a report: do a keyword search on the term "unauthorized", limiting by Library as desired). In either case the results are highly instructive. Besides revealing an enormous number of un-validated headings, they suggest various categories of unauthorized headings, and the reasons for them.

A great many are personal names, which is to be expected. Robarts, like many other libraries, does not create authority records for personal names except when cross-references or explanatory notes are required. However, cataloguers are supposed to check for an LC authority for each simple personal name that is not in the local authority file, and import the LC authority if found. If not found, it is still necessary to check the Sirsi AUTHOR index to be sure that variant forms of the same name are not already in the catalogue, *especially* because we are not making an authority. (For *corporate*, *meeting*, and *series* headings we are supposed to create authorities if they are not found locally or in LCAUTH).

Because LC *does* create authorities for each traced heading in a record, including personal names, in theory no LC-derived record should have un-validated name or series headings. However, several hundred LC records a week are being supplied by Coutts as part of the Central Library "shelf-ready" outsourcing. Coutts is not sending the corresponding authority records, which is why other campus libraries adding holdings to these LC-derived records constantly find them riddled with |?UNAUTHORIZED flags. Alastair has begun working with Maks Okrasa on a scheme to follow up each load of Coutts records with an automated search for the matching authority records, to alleviate this problem.

There are limits to such automated methods, dictated by prudence as much as technical restrictions. Given the risks of losing local data, it seems sensible not to overlay name and series authority records in batch, by computer, but to leave this in the hands of cataloguers. The sort of automated routine Alastair described would only load matching LC authority records not present in our authority file.

Alastair expressed his view that it is expedient to use LC authorities wherever possible: so much of our cataloguing comes from LC it is almost inevitable that the LC form will find its way into our catalogue eventually. It is therefore preferable to ask LC to correct an authority record than to create a conflicting local one. LC responds very quickly to correction requests. Please report errors in LC authorities to Elizabeth, who can pass them along. If LC disagrees, or declines to change a heading, then of course we are at liberty to create our own authority if it seems essential. (N.B.: LC does not routinely add death dates to names previously established with birth dates only). At any time any library can add cross-references, `053` fields and `670` notes to an LC authority in our database. Alastair recommended adding your library identifier to the `040` field (e.g. subfield `|dCaOTV`) in such cases, to indicate that local data had been added. Elizabeth suggested adding explanatory notes when required to make it clear which were the local additions.

There ensued some discussion about the usefulness, source, and currency of MARC organization ("NUC") codes. Alastair reminded the group that they can be found online from LC's MARC21 site. See http://www.loc.gov/marc/organizations/ or follow the link from the Robarts Cataloguing home page. The `040` field remains a required field for authority records and even for minimal level bib records according to the current MARC21 standard. When the "propose authority" function is invoked in Workflows, it is possible to have your library code supplied by default in the `040` subfields `|a` and `|c` (and for series authorities in subfield `|5` of the `642`, `644`, `645`, and `646` fields). This is explained in the "Propose authority" online help. *[Note: to find this, press* `F1` *to start Workflows Help; click the* `Index` *button; display the entry for "Browse Authority Gadget"; look about halfway through the topic.]* Elizabeth counselled caution in adding these NUC [i.e. MARC21 Organization] codes to the policies for each library in case this would have unforeseen consequences elsewhere in the system. She asked Susan Cozzi (*ITS*) to investigate this.

Returning to the issue of un-validated headings in the database, and the reasons for them: Sirsi's validation is case-sensitive, which accounts for a considerable number of unmatched headings. Cataloguers just have to be careful about this.

Then there is the question of initial articles in series headings which can also cause Sirsi's validation to fail. LC does not include the initial article when creating the authority record, but the bib record should have it (see LCRI 21.30L). Alastair cited the practice of some OCLC libraries who add an `830` without the article expressly to match the authority. Others omit the article from the bib record so that the `440` will match. Neither seems ideal. *[Note: After the meeting Alastair discovered that incorrect filing indicators appeared to be the reason for un-validated series headings involving initial articles. So this is not a big problem after all—the record can carry the initial article as long as the 2nd indicator is correctly set.]*

Question: Ongoing conferences are usually established without the number, date and place of any given occurrence, which means that the bib record heading for any given year will not validate. How can this be remedied? *Answer*: Elizabeth said as long as the stem of the heading (subfield `|a`) in the bib record matches the authorized form, that's OK. If there are conflicting ways of citing the number / date / place, then it is always possible (and a good idea) to establish an authority for the particular occurrence in addition to the conference name alone.

Comment: the Law Library finds it has to establish authorities for great numbers of individual laws, since neither LC nor NLC seems to do so. *Answer*: Elizabeth suggested that it might not always be necessary to make an authority in cases where the heading only appears once in the catalogue, and no cross-references etc. are needed.

4. Election of Chair

In accordance with the revised Terms of Reference recently submitted to Library Council for our group, we must now elect our Chair annually. Alastair had sent an e-mail to CatInfo last week expressing his willingness to serve for another year should the group so desire; or if not, of collecting the names of volunteers or nominees for a new Chair. No nominees were forthcoming, and the group re-elected Alastair as Chair for another year.

5. ISBN-13

Some concern has been expressed on the SirsiCat list about how Sirsi will handle the new 13-digit ISBNs that are starting to arrive in LC records. During the transition, while publishers are supplying both 10- and 13-digit ISBNs, LC is transcribing both in the `020` field, with the longer one first. Although Sirsi's ISXN validation will not handle these long numbers properly, we should not find this especially disconcerting: we are already used to ignoring warnings about 10-digit ISBNs that are followed by qualifiers. Also, the link to so-called "enriched content" (covers, summaries, etc.) in the OPAC is made via the ISBN. Alastair has checked this out, and can

confirm that the position of the linking `020` field is immaterial. That is, if the link to the cover picture is based on the 10-digit ISBN, it doesn't matter if the 13-digit one comes first.

6. Other business

Alastair reminded the group that Tom Chan has applied a fix from Sirsi for the problem of Public notes in copy-level records that started sprouting on totally unrelated records. He (Alastair) said that the sooner we all start making PUBLIC notes in copy records again, and the more of them we make, the sooner we will know if there is still a problem.

Meeting adjourned at 11:30.