

AUTOMATED SERVICES COMMITTEE
May 17, 2005
MINUTES

PRESENT

(Voting): Tim Burke (APLM), Nancy Pieri (BETH), Joe Makowiec (BRUN), Deb Canzano (COHS), Richard Naylor (COLN), Debbie Shoup (EGRN), Barbara Nichols Randall (GUIL), Pat Sahr (NASS), Daryl McCarthy (NGRN), Judy Felsten (RCSC), Jane Minotti (SNLK), Paul Hicok (TROY), Joe Thornton (UHLS), Lorraine Smi (VOOR)

(Nonvoting): Geoffrey Kirkpatrick, Marcia Middleton

9:05 AM Meeting called to order by Philip Ritter, Chair

I. MINUTES

Minutes of the April 26, 2005 meeting accepted as presented.

(NOTE: see the Automation Services Report which begins on page 4 for more information regarding other issues that were discussed at the meeting. The following deals only with those issues that required action by the ASC.)

II. AUTOMATION REPORT

- KidsSearch is now working properly and the Browse Searching has been fixed.
- Consensus to keep the email overdue notices on their current schedule
- Discussion regarding "Lost in Transit" items. P. Hicok suggested that all of the libraries should be encouraged to check their shelves again. J. Thornton demonstrated the Lost in Transit Report. Discussion about the best way to handle the data and get the most accurate information. Consensus to let all library staff members and the courier drivers know that the possible theft of any items will be investigated.

A subcommittee consisting of Phil Ritter, Joe Thornton and Jo-Ann Benedetti will examine the data, see if there is any indication of certain trends, and develop a plan. They will report back to the ASC.

- J. Thornton explained that Browse Scoping is probably a large part of the problem with the system slowdown. Dynix has recommended decreasing the number of items that are listed in any one search. The Automation staff are constantly monitoring CPU usage and can react to any spikes in usage and resultant slowdowns by re-starting the server. Consensus to limit the number of items listed to ten.

III. AUTHORITY CONTROL VENDOR PROPOSAL

P. Ritter noted that the UHLS Board of Trustees will have to approve the vendor contract and they won't be meeting again until August. J. Thornton noted that the UHLS Automation Department recommends LTI.

MOTION: B. Nichols Randall moved that UHLS should contract with LTI (Library Technologies, Inc.) for authority control processing and ongoing clean-up at a cost of

\$27,000 for the initial clean-up and \$3,200 for the ongoing work. N. Pieri seconded. Unanimous.

Consensus to get the contract from LTI and discuss it at the June 28th meeting.

IV. UHLAN PATRON REGISTRATION CARD

Discussion regarding the space for a Social Security number on the Registration Card. Consensus to remove the space for the Social Security number.

MOTION: D. Canzano moved to remove all of the Social Security numbers from the patron database. J. Makowiec seconded. Unanimous.

Discussion regarding the value/use of the patron registration cards. Cards should be retained as a legal document/contract with patrons. Discussion regarding any changes to the card.

MOTION: B. Nichols Randall moved to make the following changes to the front of the card: change the "Birth date" box to "County" and change the "Social Security #" box to "Birth date" and remove the shading. J. Minotti seconded. Unanimous.

Consensus not to make any changes to the back of the card.

Discussion regarding the sheet titled "Criteria for Adding to the Patron Database". Several changes were made (see page 3) including removing any mention of Social Security numbers and clarification of proof of identification. P. Ritter reviewed all of the changes.

MOTION: N. Pieri moved to accept all of the changes as reviewed. The revised document will be emailed to UHLAN users and hard copies will be sent to all of the library directors. J. Felsten seconded. Unanimous.

NEXT MEETING: Tuesday, June 28th at 9:00 AM

Heidi A. Fuge
5/17/05

Criteria for Adding to the Patron Database

In an attempt to ensure the integrity of the patron database, UHLS has set forth the following criteria and standards for inclusion of patrons in the patron database.

1. All patrons will fill out and sign a registration form stating that they will be responsible for all materials checked out on their card, and that they will pay for late, lost or damaged materials.
2. System residents shall have only one record in the patron database.
3. Patrons will show positive identification and proof of current residency when registering for a library card. Identification may be: NYS Driver's license, other photo ID or government-issued ID. Proof of residency may include a dated business document with current residential address (phone bill, water bill, lease, tax bill).
4. The minimum amount of information entered into all adult patron records will include:
 - *Name: Last, First, Middle
 - *Street
 - *City
 - *State
 - *Zip
 - Phone #
 - Permanent address if different than mailing address
 - *Date of Birth
 - * Identification (see #3 above)
 - Borrower type
 - County Code (B Stat)

*Minimum amount of information needed for all adult patron records.

If a Y card is issued provide complete name of legal parent or guardian. Enter address if different from address of child.

5. A library that issues a patron card with inadequate information is responsible for lost or damaged materials incurred by that patron.
6. Library staff will underline in red ink the patron barcode on all X patron cards. X cards are courtesy cards for people who live outside Albany or Rensselaer Counties.
7. All staff will honor patron database confidentiality.

Automation Services Report May 17, 2005

Overdue notices - send when?

Several patrons requested that we send overdue reminders two days before the due dates instead of two and fourteen days after. This would be an easy change for us to make.

Lost in Transit

There are lists of 'lost in transit' items on the web reports page (<https://horizon.uhls.lib.ny.us/reports/>), which show items that have been "in transit" for more than 28 days. We update the lists every week. The numbers seem to indicate a possible problem with pilferage, and they don't seem to be going down significantly, even after the switch to a new courier. There are always about 5,000 items on the lists, and many are popular CD and DVD titles.

Authority Control

Rob and Mary Ellen have researched three authority control vendors (LTI, Mars 21, and Library Corporation) and have summarized their findings in the attached draft (*Authority Vendors.doc*). Based on services offered, cost, and the recommendations of previous customers, we recommend that UHLS use LTI for authority control.

Request Expire Date

As approved by ASC at a previous meeting, we changed the default number of days for a request to expire from 180 to 365, to accommodate prepublication requests for very popular titles like the *Harry Potter* books. We also added 180 days to the `expire_date` of all existing requests.

Browse scoping

We use a function called "browse scoping" to limit the results of browse searches (Title, Author, and Subject) in the HIP to just those records that are owned by a specific library. For instance, if a patron selects "Grafton" as the library to search and then does an author search on "Shakespeare," the HIP will find the first "Shakespeare" in the author index, and display the first fifteen index entries that begin at that point and that have items that are owned by Grafton. It's a lot of work for the servers, and we suspect that it's partly responsible for the system slowdowns that we experience occasionally.

Our assumption is that we do not want to eliminate browse scoping. If we did, the Grafton patron would see all authors, starting at "Shakespeare," whether or not Grafton owned items by them.

Dynix suggests that to help reduce the occasional slowness we could reduce the number of results from browse searches that display at one time. The number for all libraries currently is fifteen (i.e. you see fifteen authors at a time). **If we reduced that number to ten, the servers would need to do a lot less work before displaying a result.**

This does not need to be a system-wide change. Each library can choose whatever number of results they want displayed per page. It would be simplest for us if everyone agreed on a number, but we'll accommodate any requests.

DBCC

As discussed at the last ASC meeting, Dynix now supports a method of running the weekly database consistency check (DBCC) that does not require exclusive access to the database, and so does not require us to take the system down for five hours a week. We've run the new DBCC for the past three weeks with only minor problems, which were related to the switchover to the new method, easily fixed, and not likely to occur again. After this change, the system will always be available except as the result of a crash or scheduled maintenance.

856\$u

As approved by ASC, we enabled the display of the 856\$u field in the HIP display. This field contains a URL and allows HIP users to go directly from the HIP to an online resource.

NetLibrary

Related to the previous item, several libraries have subscriptions to NetLibrary, which will provide us with catalog records to import into our system, and which will contain links (in the 856\$u) to the vendor's online content.

Workshop Announcement

There will be a Magazine Workshop held at UHLS on June 8th from 9:00-12:00pm. The workshop will cover a variety of acceptable methods for linking magazines to Horizon. These methods were recommended by the Database Maintenance Advisory Council and approved by ASC. The intended audience for the workshop is anyone who attaches magazine records to Horizon whether at the circulation desk or through technical services.

Horizon 7.4, HIP 4.0 upgrades

Our tentative plan is to upgrade our training database to Horizon 7.4 in early September, and install HIP 4.0 on a test server at the same time. Depending upon the success of our tests, we would upgrade the production servers in January 2006.

CatExpress Update

For the eleven months we've used CatExpress so far our total is 25,809. If the current rate continues we'll end the year (5/31/05) at 28,155.

Authority Control Vendor Proposal -Draft-

Section I

What is expected from the authority control vendor

The authority control service is a two-phase process with a follow-up maintenance schedule. The linkage rate (i.e. matched headings) usually runs from 80% to 95% depending on the libraries adherence to national cataloging standards.

The first phase involves a series of cleanup operations. Prior to running your database against the national authority files, vendors will preprocess your headings using a variety of software programs to normalize the headings and eliminate common errors and inconsistencies. Some of these subfield corrections include:

- Duplicate record resolution
- Abbreviation expansion
- Correction of typographic errors
- Update obsolete forms of subdivisions to the current form
- Deletion of cancelled MARC subfields
- Initial article and filing indicator validation or correction
- Correction of spacing, capitalization, punctuation

The second phase of the process involves a machine match against master authority files. Once the preprocessing cleanup is finished and the headings have been normalized, the bibliographic records are run against the master authority files selected by the library, comparing authorized and variant heading forms. The master authority files selected by the Upper Hudson Library System will be:

- Library of Congress Name Authority File
- Library of Congress Subject Headings
- Library of Congress Children's Subject Headings

When a match occurs, the authority heading record is linked to the bibliographic record heading. If the heading matches a See reference (4xx) the authorized heading (1xx) replaces the incorrect heading in the bibliographic record. When all possible headings have been matched to an authority record, they are inserted back into bibliographic records, replacing the existing headings in each record. The final step in this part of the process is to extract all of the linked authority records and return them along with the processed bibliographic records, to be loaded back into the library's local system. The local system then builds its index tables from the controlled headings in the bibliographic file and the See and See also references in the authority records.

Libraries have several options for transmitting their files to the vendor. Upper Hudson will use FTP transmission via the Internet.

Manual review and correction

When the machine match is completed the library must decide how to handle any remaining unlinked headings, i.e., those headings that did not match an authority record. The vendor will generate a report listing the unmatched headings, which can be used in-house for local manual review or the vendor can perform the manual review. A vendor manual review will lengthen the turn-around time for the project and can be very expensive. To determine the cost benefit of paying for this labor-intensive review, the library should look at the percentage of headings that were linked. If the linkage rate is high and would only be increased by a few percentage points, it is probably not worth the expense. Therefore, Upper Hudson should select the vendor that can guarantee the highest linkage rate (90-95%) through machine processing.

Reports

The reports provided by the vendor can be customized to the library's needs. They usually include the following lists of information:

- Full match on 1xx field
- Full match on 4xx field
- Unmatched headings
- Partially matched headings
- Headings that match multiple authority records
- Headings that have split
- Incorrectly used headings

Each vendor will also guarantee a periodic follow-up to maintain authority control with new records entering the local system as well as any updates on new authority record as they enter the master authority files.

Section II Vendors

1. Backstage Library Works offers MARS Authority for authority cleanup and matching. MARS Authority was previously owned by OCLC and has since been purchased by Backstage Library Works. John Rose, the Upper Hudson Sales Representative for Dynix, recommended Backstage as a vendor who had previously worked with Dynix customers.

Backstage Library Works provides authority control for your 'basefile' (all bibliographic records currently in your catalog). Basefile processing includes all of the services mentioned in Section I.

Project completion: 3-4 weeks

Setup fee (includes profiling and 100 record test)	\$500.00
Per record processed (\$.06 per record)	\$30,000.00
Total estimated cost	\$30,500.00
Total with discount (Discount includes both Current Cataloging Service and Authority Notification Service)	\$27,450.00

Ongoing Authority Control
(Periodic maintenance cost)

Current Cataloging Service- Authority Control for your new bibliographic records. They may be submitted in weekly, monthly, quarterly, semi-annual, or annual batches.

(\$.06 per record) x 27,000 from CatExpress	\$1620.00
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Authority Notification Service- keeps your authority files up-to date with an alert when authority records are updated, replaced, or deleted, and supplying the updated records.

Per yearly contract	\$2140.00
Annual fee for discount	\$3760.00

Recommendations for MARS Authority:

(Rosemary Groenwald, Mount Prospect Public Library, Mount Prospect, IL)

We use Backstage Library works for the current cataloging and the notification service. When we did our clean-up of our entire database before we migrated to Horizon 3.2, Backstage had not yet acquired the company from OCLC-MARS. I have been extremely happy with first OCLC MARS, and then Backstage Library. I can't speak as to whether or not they are better than LTI since I have no experience with their work. I can say that when we were shopping for authority work vendors 2 years ago, LTI would not negotiate the price with us at all, where OCLC MARS did. And in the end, that's what sold us on OCLC MARS since I could not really distinguish a difference between the two vendors either.

(Judy Fuss, Williamsburg Regional Library, Williamsburg, VA)

We use Backstage Library Works and have been extremely pleased with their service since they bought out MARS from OCLC. The conversion from OCLC to BSLW was so seamless as to be invisible. Our schedule and processing hasn't missed a beat, records are updated as expected, contacts from staff are prompt, thorough and polite. As a matter of fact, our service representative at BSLW is none other than our long-time customer service rep from Dynix! It feels just like home.

2. Libraries Technologies, Inc. will do a limited authority review, which includes all of the services mentioned in Section I.

Cleanup and matching	(\$.05 per record)	\$27,000.00
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(LTI guarantees us a 95% linking rate, and if less than that they will incur the cost)

Authority Update Processing (Annual Authority Control Update)	\$3200.00
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Project completion: 4 weeks.

Recommendations:

(Catherine J. Willis, Technical Services Manager from Boston Public Library. BPL has over 2 million records and is a Horizon customer)

Yes, I'm very pleased with LTI processing and I would use them again in an instant. In addition to the initial machine processing of our records, we have a script that FTPs our new bibliographic records to LTI each week for processing. The script also retrieves and loads the new authorities and the revised bib records back into Horizon. We also subscribe to quarterly Authority Update Processing (Level I).

(Highland Public Library, Highland Park New Jersey)

We're a much smaller library (75000 records), we just used LTI and I highly recommend them.

(Linda J. Evans, Chicago Historical Society)

LTI did a fine job of authority processing some of our bib-records and providing us with matching authority records before our Horizon production-load.

(Holly Kennerly, Hamilton East Public Library, Noblesville, IN)
We have used LTI since 1998. They are very easy to work with. They explain things very well without making you feel stupid, even though authority work can really make you feel that way.

(Amy Turner, Duke University Libraries

<http://staff.lib.duke.edu/orgnztn/techservices/authorities/lti.html>)

To the best of my knowledge, LTI is the only vendor that offers ongoing updates of bibliographic as well as authority records for the entire database. It saves an incredible amount of staff time not to have to change headings as authority records change. We are also very impressed with the sophistication of the correction they make, which go far beyond flips based on references in the LCAF [Library of Congress Authority File]. LTI is also to be commended for being very responsive to suggestions on improvements to their service, and is generally very easy to work for.

(Don Carlin, Woodward Library, Austin Peay State University, Clarksville, TN)

We recently completed an authority control project. LTI was our vendor. They...are good to work with. [They] guarantee a machine match of 95%.

3. The Library Corporation integrates copy cataloging (ITSMARC) with an authority control software program called AuthorityWorks. This software package includes:

- Oracle database licensing
- 3.5 million record LC MARC backfile
- Integrated Authority Control with access to national authority files with weekly updates
- Cataloging with z39.50 client
- Cataloger's Reference Shelf

Required Licenses / workstations at one library site:

Technical Services	3
Public Access Catalog	Unlimited

Authority Works Software Package	\$18,890.00
2 nd year software support	3650.00

Required Hardware

Dell Power Edge 2800 Dataserver	10,285.00
Shipping & Handling	400.00

Data Preparation	10,560.00
Installation	3600.00
Training	2400.00

2nd Year ITSMARC Subscription

Single User	1995.00
Total 1 st Year cost	\$35,450.00
Total 2 nd Year cost	\$5,645.00

Annual support after year 2 will not increase more than 5% per year.

Recommendation:

Ramapo-Catskill Library System (33 member libraries) wanted a more powerful bibliographic and authority control system than their local system could provide... The Library Corporation felt batch processing was an inadequate solution- it would provide a fix but would rapidly become out of date.

Instead, TLC's approach to cataloging is that bibliographic records and authority control are inextricably intertwined- a record cannot and should not be saved to a bibliographic database unless it has passed all authority tests and all headings are approved. All records are passed through the TLC Authority Server before they are imported into Dynix.