



E-Resource Checklists: Documenting Cataloging Decisions for E-Resource Batch Projects

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Introduction



- KSU Libraries Technical Services—processing and batch loading of vendor records for e-resources has evolved into a key departmental task
- Processing, loading, and maintenance is needed for both local and consortial purchases
- Technical services staff previously had little experience with batch loading vendor records

Technical Services Departmental Issues



- Effective batch load processing will require
 - Staff training
 - Development of efficient and effective workflows
 - Documentation

Background



- KSU is an ARL member library
- Collection size--more than 2 million books & periodicals
- Member of the OhioLINK consortium
- Local ILS is Innovative Interfaces (KentLINK)
- Cataloging done on OCLC since the late 1970's, was of the original OCLC libraries

Defining the Problem



- KSU began loading vendor e-book records in the early 2000's
- Initially, almost all records were consortial (OhioLINK) purchases
- Cataloging standards set by OhioLINK DMSC
- Selected OhioLINK institutions would process and distribute MARC records for loading
- Only systems librarian would batch process records locally

Major Shift



- Last few years have seen a marked increase in the purchase of local e-resource packages that include vendor-supplied MARC records
- Vendor MARC record packages now have to be:
 - Vetted locally for quality
 - Prepared and loaded locally (on a timely basis)
 - Maintained locally

Workflow Development



- Technical Services needed to develop local workflow processes that would be applicable to every individual batch project
- We needed information on:
 - Record source
 - Record quality
 - Record preparation
 - Record processing
- To get this information we needed to ask the “right questions”

E-Book Checklist Tool



- Checklist tool was developed to record and document relevant information about the batch cataloging process (useful, and quantifiable, data)
- Tool was built on experience--developed using trial and error method
- Learned what to include in checklist as we went along

Checklist Structure



- Current structure
 - Introduction stating purpose and goals of the document
 - 38 questions/decision points, some simple Y/N, others more detailed
- Checklist is a living document, constantly under construction

Checklist Introduction



- Describes the scope and aim of the document
- Outlines cooperation and information exchange between various areas of technical services
- Stresses that cataloging staff should be present “at the table” when deals with vendors are under consideration

Checklist Questions/Decisions Review



- Title (of project)
 1. Estimated # of records
 2. Updates? (Y/N). Frequency estimate
 - a. One-time or ongoing?
 - b. Can we estimate times and volumes of updates?
 3. Who is the staff member preparing records for batch load?

Questions...



4. How will we load the records? (Loaders, Connexion)
 - Do we use OCLC Connexion or Data Exchange in Innovative to load?
5. Are loader changes needed? (Y/N)
 - Can we use an existing load table, or do we modify or create a new one?
6. Loader to be used.

Questions...



7. Who is responsible for vetting record quality?
8. Who is vendor contact for bibliographic records?
9. Availability, source and cost of MARC records?
10. Will the vendor supply modifications? (Y/N)

You always want to identify vendors that will work with you to provide quality records

Questions...



11.If yes, list requested record modification details.

12.Are OCLC Records available with OCLC #s in the 001? (Y/N)

13.Will we set OCLC Holdings? (Y/N)

- Question of permanent ownership
- As an OCLC library, we try to adhere to the OCLC Guidelines for Contribution to WorldCat to the fullest extent possible or practical

Questions...



14. For non-OCLC 001s, what enumeration do we use?

- Important since consortial catalog, and other services, use OCLC # in 001 as match

15. Non-OCLC Prefix that will be used: (Register with OhioLINK)

- We designate records using non-OCLC numbers in the 001 with an alpha prefix to prevent them from being confused with regular OCLC #
- Registering informs other consortial libraries how we have treated the records

Questions...



16. Will we display records locally? (Y/N)

17. Will we contribute to the OhioLINK Central Catalog? (Y/N)

18. Will we send these records out for authority control? (Y/N) (If no, skip to #23)

- KSU uses Backstage Library Works for automated authority control. There is a set charge per record, and cost becomes a factor for large projects

Questions...



19.If the answer to #18 is yes, will the records be sent out as a separate project or with regular authorities processing?
(Separate/Regular)

20.If records are sent separately, what date will the records be sent out?

21.What are the costs associated with authority control (if any)?

Questions...



22.If authority control is not outsourced, will we provide in-house authority control?
(Y/N)

- If Yes, notify Database maintenance librarian to clear heading reports, and immediately before loading, turn on the heading report “Headings used for the first time.”
- Regardless of whether or not we provide in-house authority control, remember to load the records without a CATDATE to indicate some cataloging (in this case, authority control) is lacking.

Questions...



23. Does the Mat Type code need to be changed to “3”? (Y/N)

- Mat type “3” = e-books

24. Does a location code need to be set? (Y/N)
If yes, specify.

25. Does the 006 field at least have a “m” in the first position (computer file) and a “d” in the third position (text)? (Y/N) Do we add field? (Y/N)

- (necessary for scoping)

Questions...



26. Does the 007 field at least have a “c” in the first position (electronic resource) and an “r” in the second position (remote)? (Y/N)

Do we add field? (Y/N)

- Necessary for scoping

27. Is a classification number present? (Y/N) Do we add field? (Y/N)

Questions...



28.If yes (to #27) please provide classification scheme.

29.If no (to #27), can the vendor provide? (Y/N)

30.Is the GMD “\$h [electronic resource]”present in the 245? (Y/N) Do we add field? (Y/N)

- This will become a major display issue for us with RDA when the GMD is replaced by tags 336-338

Questions...

31. Does the physical description field at least contain "300 \$a 1 online resource"? (Y/N)

Do we add field? (Y/N)

32. Are local restrictions needed in 506? (Y/N)

Do we add field? (Y/N) If yes, describe.

33. Are these resources only available to Kent State (not OhioLINK)? (Y/N) Note URL-specific Information such as:

- a. Tag to use (856-956)
- b. Indicator values
- c. Contents of public note (\$z)



Questions...



34. Which MARC tag should be used locally for collocation (hook)? Note collocation field contents.

- “hooks” allow you to easily identify and retrieve the collection from the local catalog

35. Do order records need to be generated using 98X fields to link records back to a master record? (Y/N) If Yes, describe

- Field to use
- Subfield(s) and value(s)

Questions...



36. Who has responsibility for developing and maintaining update schedules for this project (adds/deletes/changes)? Provide

- a. Date of batch load
- b. Bibliographic record numbers (Start/End)
- c. Date of update(s)
- d. Bibliographic record numbers (Start/End)
- Information is recorded here both for the initial load and for updates

Questions...



37. Are any special fields required for public services? (Y/N) If Yes, describe.

38. Comments/issues/suggestions for next batch load.

- Allows you to document any issues/problems you had with the project

Checklist Advantages

- Provides TS with reliable documentation for tracking decisions made for each project. Copies are placed on the local intranet.
- Consistency in handling future updates
- Gives excellent information on the quality of vendor records, and more importantly, the quality of vendor services and support
- Documents cooperation between public services and various areas of technical services (acquisitions, cataloging)



More Advantages



- Brings new skills and expertise back into the cataloging department:
 - Use of local ILS tools (data exchange, global update, load tables for Innovative)
 - Use of MarcEdit for record processing
 - Use of scripts such as regular expressions
- Identifies and addresses problematic issues with local practices
- Provides high quality records for both the local catalog and OhioLINK central catalog

Discoveries and Limitations

- Highlights limitations on record matching dependant on unique OCLC # in the 001
 - Not all vendors will provide, or work with OCLC to provide, OCLC # for e-resource records
 - Non-OCLC # need to be manipulated for local and consortial use to prevent false matches
- Issues with RDA and display
 - KSU participated informally in RDA test, but we have not yet batch processed any RDA records
 - Replacing GMD will impact public services use



More Discoveries and Limitations



- Adherence to provider/neutral standard causes problems in local catalog if locally purchased and cooperatively purchased records have different URLs (for different manifestations), but overlay on match points. May lead to post-load clean-up.
- Authority work on large sets of batch records can be expensive. Is the cost justifiable?
- Licensing restrictions on record use may exist

Further Discussion



- Key that all major batch loading projects processed by technical services should be publicized as widely as possible.
- Checklist should be continuously updated and revised. Data from these lists is very useful for assessment.
- Skills required to perform this type of work should be shared as widely as possible, especially at the consortial level.

More Discussion Points



- Need for consistent quality control testing, especially with access and quality issues.
- Some vendors now providing e-book management systems that deliver e-resource MARC records to library if necessary.
- Evolution of the local catalog.

Summary



- KSU Libraries feel this e-book checklist asks the “right questions” about each batch project and provides KSU libraries with useful and quantifiable data on quality, efficiency, and productivity.
- The “extra” this checklist process adds to our workflow is justified through the provision of better discovery and access of e-resources for our users.

Questions?



Thank You!



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