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Recommended Cataloguing Procedures

Judy Ginsberg

Osgoode Hall Law School of York University

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REPORT
RECOMMENDED CATALOGUING PROCEDURES

FOR: Paul McKenna
Librarian
Ministry of the Attorney-General Library

BY: Judy Ginsberg
Assistant Law Librarian
York University Law Library

July 1987

PRESENT SITUATION

The library has bought the Sydney Micro Library System, an integrated software system for the online management of the major library functions. Only the Cataloguing, Online Catalogue Inquiry, Acquisitions and Serials modules have been purchased so far. I have been asked to look specifically at the Cataloguing procedures and to make recommendations regarding these procedures. In the process of doing this, I have had to also look closely at the Online Catalogue Inquiry functions required, as the two processes are largely interrelated. The system is somewhat confusing to understand in a short period of time and I have, therefore, concentrated on the areas which I felt caused problems and therefore needed addressing immediately.

ONLINE CATALOGUE INQUIRY

Presently, a book catalogue is generated for items input into Sydney. This book catalogue supplements a card catalogue for items not on the Sydney System. The system allows for inquiry by author, corporate author, conference, series subject, as well as by editor, government author and statute (added later by library). Inquiry can also be by LC number, ISBN, Call number, title, accession number or author title key. The database search may be qualified by material type, document type or year of publication. A Boolean search strategy allows for the selection of up to 6 terms for each search, AND up to 5 search terms for each search string, OR up to 4 search strings for each search. The system also allows for the printing of bibliographies (library defined formats).

CATALOGUING

At present, the actual cataloguing operation is done by keying bibliographic data into the system using the Sydney formats for each area of information. This data is either derived from printed or microform sources or is done on an 'original' cataloguing basis. Approximately 50 titles are added each month. Approximately 2,000 titles have yet to be catalogued and approximately 2,000 titles rep Government publications have to be reconned from another format (CODOC). A program allows for the printing of titles in the database in several sequences: Title (titles in title (alpha) order); Authorities (select the authority and the titles under that authority appear. Can include cross references); Title/Authority (a combination); Shelf List (titles in Call number order).

AUTHORITIES

The term "Authorities" in the Sydney system means all other access points other than the title which is always the 'main' access point or entry. These include any authors, corporate authors, series, conferences, subjects, editors, government authors or statutes or as defined by the library. The creation of one of these authorities in the cataloguing mode allows for its inclusion in the authority sequence according to its type as well as for its link to the bibliographic record(s) to which it belongs. Cross references which generate 'see' and 'see also' references can also be utilized. The form of Authorities can be modified when in the authority mode, thus changing the form of these authorities as they appear in the bibliographic records (global change capacity). Authority term reports can be generated allowing for the printing of all authorities in alphabetical order by type.

PREMISE

An Online Inquiry System linked to the Cataloguing module will be a priority for the library in the near future.

PROBLEMS

Sydney System

1. The main problem with the present method of using Sydney to catalogue is that there is no mechanism for the systematic obtaining of machine-readable catalogue copy already in existence from external sources, such as cataloguing utilities or CD-ROM databases. Every record must be keyed into the Sydney System as an original record -- a time consuming, uneconomical and redundant procedure.
2. No mechanism exists which allows for the online reviewing of and/or obtaining of authority records for names and subjects used as access points for each bibliographic record. Authority fiche (LC and National Library) must be checked off line for accuracy, cross references, etc. before being entered into the Sydney System.
3. The Sydney System does not allow for the creation of bibliographic records in standard MARC format (Machine Readable Cataloguing) -- an internationally recognized coded format for the creation of bibliographic records. Not having records in MARC format greatly hampers the

library's future abilities to go into other systems or to network in any meaningful way.

4. The bibliographic records thus created are brief. There are no provisions for the addition of notes which often contain important, relevant information regarding the record itself, what it contains, or its relation to other records. There are no provisions for standard MARC fixed fields which allow for the coding of information which could provide a point of access in the future such as language of publication.
5. The user would have to know and understand the use of the different 'authority' types. For example, there would have to be a distinction made by the user between an author, a corporate author, a government author and a conference, in order to get all the 'author' possibilities in a search. All of these are technically 'authors', but the Sydney System requires that the user search under the 'proper' type before a 'hit' can be found. When searching the local database on Sydney, if no direct match was made to the search term used, the search would come up empty and the system would not give the searcher the next available term. No browsing function is available outside the search set.
6. After having spent only several hours using aspects of Sydney, I found the system to be highly labour intensive. A high degree of flipping back and forth between the cataloguing and authority modes of the Cataloguing module was very evident. The help screens are non-existent at times and often confusing and complicated. Required steps are often not evident which results in loss of records, constant backtracking, and an unnecessary amount of time being spent on what should be simple functions. The printed training and systems manuals require more detailed examples and analysis.
7. The availability of staff to do the cataloguing seems to be an important concern. There needs to be staff to not only keep up with the cataloguing and authority work consistent with the addition of approximately 50 new titles per month, but also with an approximate 4,000 titles backlog and/or Recon which must be completed. This does not even begin to address the problems of keeping up with all the other technical functions in the library, including Acquisitions and Serials control.

RECOMMENDATIONS

The following recommendations are listed in preferred order.

I. UTILIZE THE UTLAS M/SERIES 10

The M/Series 10 was designed and developed by UTLAS International, a "computer-based service organization for libraries and the information industry" to meet the needs of the smaller library for local access to the library's collection. M/Series 10 is a fully bilingual (English/French) microbased Online Public Access Catalogue with an optional Circulation Control module. The local database is created in full MARC format using CATSS (Utlas' Catalogue Support Service). Complete authority control services are available with this series. The M/Series 10 operates on IBM or IBM compatible hardware using a hard disk storage device.

Advantages

1. Records for the library are created in full MARC format.
2. Utilizing UTLAS' CATSS (Catalogue Support Service) allows access to over 32 million bibliographic records and 3 million authority records. Both bibliographic and authority records come from two sources: source agencies such as the library of Congress and the National Library of Canada, and UTLAS customers, made up of over 475 institutions representing more than 2,000 libraries across North America and Japan.

Records located in the UTLAS database can be derived (edited or taken as is) and filed into the library's local database which the library owns.

A sample run by UTLAS for the library resulted in a 95% hit rate. (See Appendix A)

3. M/Series 10 supports a database of up to 100,000 records.

Software and data are distributed on tape cartridges or diskettes to be copied onto the library's microcomputer system. Updates to the library's database can be forwarded according to the library's specifications.

4. The Online Public Access Catalogue module allows for searching by author (all types, including series) and subject. A Boolean search option allows for the combining of searches on one or more of these fields with a search by date, language, intellectual level, and/or media field. The system also allows for numeric searches such as Call number, LCCN, ISBN and RSN (Record Sequence Number).
5. M/Series 10 allows for multilevel displays from brief to full and includes all note fields.
6. If no match is found to the search term, the system displays the nearest match.

The user can browse forward or backward within the index even beyond the search set.

7. Access to UTLAS' Authority Control module means the ability to validate names, subjects, uniform titles and series headings online. When a record is filed, the authority control system matches the headings in the record against the UTLAS authority files.

The library determines which authority files are to be used and the order in which they will be searched. A library may also create a local authority file. Authority validation is automatic. An electronic message (AIRMAIL) informs libraries of changes to authority records. All changes in an authority heading generates corresponding changes in these headings attached to bibliographic records (global change). The big difference here is that these changes are generated and completed automatically and are instantly available in any products generated and in next update, i.e. the Online Public Catalogue. All 'see' and 'see also' references will be generated.

Disadvantages

1. Largely costs which are both one time and ongoing (see Appendix A).

Costs are involved in setting up an UTLAS account, line time, port costs, a charge for every 'command' and a charge for each update.

Updates should be done very regularly -- possibly every two weeks.

2. Using two systems: UTLAS for Cataloguing and Online Catalogue (Circulation) and Sydney for Acquisitions.

At present, the M/Series 10 does not have an Acquisitions module.

3. A mechanism would have to be set up to allow for current cataloguing to be accessed by users before new updates were received. Time frame is important here.
4. Records for which no hits were made while searching on the UTLAS database would have to be entered as "originals" into the library's file on UTLAS. These records would have to be entered in MARC coded format.

II. CONTINUE TO USE SYDNEY AND PURCHASE AN INTERFACE MODULE

The Interface module would provide a gateway to UTLAS by exiting from Sydney to a communications programme. Captured records would be loaded into an interim file in the local system where they would be converted using a print conversion table. This table tells the conversion procedure which tag and subfields are used to make up each of the local database fields. A MARC conversion report is generated during the conversion process. Every record converted appears on this report and any exceptions are also listed.

In order to take advantage of the Interface, the library would have to set up its own file on UTLAS, at full charges (see Price List, Appendix B) including a \$2.00 derived charge for each record transferred through the Interface.

Advantages

The library keeps the Sydney System plus takes advantage of all the aforementioned UTLAS services including the availability of cataloguing copy. The library may or may not want to make use of the Authority Control module.

Options

- A
- Search record on UTLAS
 - Find record and edit on UTLAS
 - Use UTLAS authority control as previously mentioned
 - File record in own file in UTLAS database
 - Download edited and authority controlled record into Sydney for conversion
 - Sydney also stores MARC record as well as UTLAS
 - Records for which no hits were found in the UTLAS database would be entered as "original" records

Advantages

1. Edited record is downloaded.
2. Record is authority controlled.

Disadvantages

1. Higher UTLAS online and command charges for editing and storing file.
2. Original records would have to be entered either into library's UTLAS file in MARC format and/or into Sydney in local format.

- B
- Search record on UTLAS
 - Find record and edit on UTLAS
 - Search authorities online and take printout for keying into Sydney
 - Allow Sydney authority control to maintain authorities
 - Download record into Sydney for conversion (could also file in own file in UTLAS)
 - Sydney stores MARC record
 - Records for which no hits were found in the UTLAS database would be entered as "original" records

Advantages

1. More use of Sydney.
2. Less UTLAS costs re Authority Control.

3. Editing done prior to downloading.
4. Accurate MARC records stored.

Disadvantages

1. No automatic authority control.
2. Authorities need to be keyed in.
3. Original records would have to be entered either into library's UTLAS file in MARC format and/or into Sydney in local format.

- C
- Search record on UTLAS
 - Find record and download immediately into Sydney for conversion (could also file in own file in UTLAS)
 - Edit record at a later time on Sydney
 - Search authorities online and take a printout of those found
 - Key in authorities into Sydney
 - Allow Sydney authority control to maintain authorities
 - Sydney stores MARC record
 - Records for which no hits were found in the UTLAS database would be entered as "original" records

Advantages

1. More use of Sydney.
2. Less UTLAS online, command and maintenance costs.

Disadvantages

1. No automatic authority control.
2. Authorities need to be keyed in.
3. Record would have to be edited if necessary at a later time on Sydney, therefore records of required editing would have to be kept.
4. Inaccurate MARC records stored in Sydney and in library's UTLAS file if stored there as well.

ADDITIONAL UTLAS COSTS

Recurring

Authority Control	:	to come
Interface Command	:	\$2.00/record filing charge + .27/display
Update run (M Series/10)	:	\$35.00 per run

Nonrecurring

Communications Package	:	UTLAS will supply
Modem	:	---
Interface Software (Sydney)	:	\$1,500.00

MINISTRY OF THE ATTORNEY GENERAL

June 30, 1987

MINISTRY OF THE ATTORNEY GENERAL COST ESTIMATE

ESTIMATE:

Assumptions

1. Total annual acquisitions 600 new titles.
2. Approximately 95% of all titles searched will be found in the Utlas database.
3. Utlas recommends that users add a 10% contingency factor to all budgetary submissions.
4. Estimate is based on present schedule of charges for September 1, 1986.

This is an estimate only and does not represent actual use, which varies for each institution.

SUMMARY PAGE

	Recurring	Non-Recurring
CATSS SET-UP AND TRAINING		\$ 2,450.00
Network Access	\$ 495.00	
Searching, Displaying and Deriving	1,271.10	
Record Processing	25.20	
	<hr/>	<hr/>
TOTAL NON-RECURRING COSTS		\$ 2,450.00
TOTAL RECURRING COSTS	\$ 1,791.30	

\$1,791.30 Less 02% = \$1,755.47

Total yearly recurring costs \$1,755.47
÷ 600 new records = \$2.92 per record

NON-RECURRING

1. File Set-up and training (CATSS)	\$ 2,350.00
2. MARC Coding Manual	100.00
	<hr/>
	\$ 2,450.00
	<hr/>

NETWORK ACCESS

Original cataloguing input:

6.0 mins. x Total Bibliographic records 600 x 5% no-hit rate
÷ 60 minutes = 3.00 hours.

Derived records:

3.0 mins x Total Bibliographic records 600 x 95% hit rate
÷ 60 minutes = 28.50 hours

Updates:

2.0 mins. x Total Bibliographic records 600 x 15% no-hit rate
÷ 60 minutes = 3.00 hours

Total number of hours 34.50 ÷ 12 months
= 3.0 hours per month

1. Total hours per month 3.0 x \$21.00	\$ 63.00
Total per year \$63.00 x 12	\$ 432.00

NETWORK ACCESS COST \$ 495.00

SEARCHING, DISPLAYING AND DERIVING

Searching:

1. **Numbering searches:**
Total Bibliographic records 600 x .75 searches/record
x \$.06 \$ 27.00

2. **Text searches:**
Total Bibliographic records 600 x .85 searches/record
x \$.06 \$ 30.60

Displaying:

(fee is charged only if record is not derived following display). The first year total of chargeable displays will likely be higher than in subsequent years. In the first year it is expected that 50% of the records displayed will not be derived.

3. Total Bibliographic records 600 x 50% x \$.27 \$ 81.00

4. **Deriving copy:**
Total Bibliographic records 600 x 95% hit-rate
x \$2.00 per record derived \$ 1,140.00

5. Originals 600 x 5% x \$.50 \$ 15.00

6. Rebate for original cataloguing 600 x 5% x \$.75 - 22.50

SEARCHING, DISPLAYING AND DERIVING COST \$ 1,271.10

RECORD PROCESSING

1. Updating records

- a. RSN searches 600 x 20% x \$.01 \$ 1.20
- b. Updates- filing 600 x 20% x \$.20 24.00

RECORD PROCESSING COST \$ 25.20

REFCATSS

Set-up Costs	\$535.00
- includes manual	
Connect Time - per hour	\$ 21.00
Boolean Searching	
- per Boolean operators	\$.27
Interlibrary Loan	
- per transaction	\$.25

Hitrate Test Results

Number of Records 134

HITS 127 95%

Source 80 60%

User 33 25%

Diff. Ed. 14 10%

No hits 7 5%