

## **Orbis Cascade Alliance, Authority Control Group**

### **Phase 1B: Sandbox testing results, September 27, 2016**

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Below are descriptions of the authority control tools in Alma. We've outlined problems and/or concerns with the current Alma functionality for each tool. Our observations are based on testing in the NZ sandbox, Alma documentation and Alma-L chatter. Information on any Salesforce cases filed by the Alliance is also included with the relevant topic.

#### ***Link Bib Headings***

This job searches all authority record fields, including subdivision fields, for complete terms listed in bibliographic records. If exact matches are found, the bibliographic records are linked to the corresponding authority records. If exact matches **are not** found, the subdivision fields are disregarded, a search of all authority records is performed once again and the bibliographic records are linked to the matching authority records that are located during the second search.

#### **Problems with this functionality:**

- On the second search, the job will link headings based solely on the \$a if the whole term is not found in an authority record. This could cause display problems when headings are displayed in Primo and with linked data elements (ExL's linked data initiative is based on this job - see [Ex Libris' Linked Data Collaborative Update from 09/01/2016](#)). We've asked for more clarification about this job in ExL case #00240866
- Do relator terms affect linking? Are they disregarded or do they cause headings not to link on matching authority records? This is currently unknown. We've asked for more clarification about this in ExL case #00240866

#### ***Link Bib Headings Report***

A report is generated after the LBH job runs. The report includes the following three categories:

- number of headings linked to an authorized term
- number of headings where no authorized term was found (hyperlinked to set of bibs)

- number of “headings with multi-matches for linking” (Multiple authority records found for a single heading)

Problems with this functionality:

The report provides a link to an Alma set of bibs that contain headings that remain unlinked, but it does not specifically indicate which headings in each bib that remain unlinked.

Information for these three categories generated by the LBH job can now be found in the Authority Control Task list (see below)

***Preferred Term Correction job***

- This job runs after the LBH job and corrects headings linked to authority records as the authority records are updated or as headings are linked for the first time.
- A report is generated after the job runs. The report includes the following:
  - Number of headings corrected
  - Number of headings where no authorized term was found (these are headings that linked on a 4xx)

Example: 99115800630001451 has the heading:

651 #0 United States \$x Constitutional law.

This heading was linked to the authority record Constitutional law \$z United States because it matches the 451 field of the record ***and must be manually corrected.***

- Correction report can be downloaded as an Excel file with the following columns:
  - MMS ID, vocabulary, MARC field, old value of heading in bib, new value of heading in bib

Problems with this functionality:

- Many headings that appear in the correction report have identical values in the old value/new value fields. Why are these headings included in the report if nothing has changed? This makes the list very difficult to go through (907,000+ headings the first time we ran the job in the sandbox) and find headings that were actually changed. While Excel can find these dupe values, they should not be on the report in the first place.
  - Case #00231057: ExL says we are the only case open about this issue and it may be a sandbox problem. Currently in development

- The first time the job ran in the sandbox, there were errors and 29,000+ bib records failed to pass through the job.
  - Case #00231057: This error was caused by “a technical timeout issue” It took 9 hours, 22 minutes to run the job.
- The report lacks OCLC numbers (if we eventually want to use the report to fix headings in OCLC, this is info we need in the report)

### ***Authority control task list***

This task list provides more details regarding authority record updates and can be filtered to focus on headings that fall into specific ExL defined categories. The list can be filtered and downloaded as an Excel file.

Filters in the task list:

- **Linking - BIB heading found no matching AUT headings:** headings where no matching authority record for the heading was found. This heading was not linked in the Link bib headings job.
- **Linking - BIB heading found multiple matching AUT headings (ambiguous):** headings that matched on multiple authority records. Requires manual review to determine the correct heading.
- **Preferred Term Correction - BIB heading found no authorized term:** headings that match on non-preferred terms in the authority record. The bibliographic record is not updated. The heading must be manually corrected.
- **Linking - BIB heading linked to AUT record:** headings in the bib record matched and linked to an authority record.
- **Preferred Term Correction - BIB heading updated:** heading in a bib record updated with the preferred term of the linked authority record. The entry on the task list shows the value of the bibliographic record before and after the change.
- **Authority record deleted** – heading in the bib record is unlinked
- **Authority record updated** - list of authority records with updated preferred terms

Problems with this functionality:

- Unable to sort the task list by vocabulary. Many of the vocabularies on the list we do not care about (e.g. GND) and overwhelm the task list, making it difficult to find the vocabularies we do care about (e.g. LC Names). You can sort this by vocab after

exporting to Excel, but we should be able to filter vocabs in the task list to limit to the only the headings we are interested (there were over 900,000 headings to sort through the first time we ran the PTC job in the sandbox).

- MMS ID does not export to Excel. If we have to sort in Excel, we need MMS ID to also appear in the report.
- Many headings that appear in the PTC bib heading updated filter have identical values in the old value/new value fields (same problem as the PTC job report described above)
- Lacks OCLC numbers (if we eventually want to use the report to fix headings in OCLC, this is info we need in the report)
- Lacks institutional holdings on the bib (if institutions want to see reports that affect bibs in their IZ)
- Task list loads very slowly

### ***Browsing Bibliographic Headings***

Browse bibliographic headings in Alma by author name, subject, series, title, and call number.

#### Problems with this functionality:

Difficult to use as an authority control tool because:

- Headings can display oddly, incompletely or incorrectly (subfields are in a-z order)
  - Example:  
 \$\$a United States \$\$x History \$\$y Civil War, 1861-1865 \$v Bibliography  
 appears in browse list as:  
 \$\$a United States \$\$v Bibliography \$\$x History \$\$y Civil War, 1861-1865
- Series browse includes both 490 and 830 fields in the same list. The \$v for 490/830 headings does not sort well
- When a record is deleted in Alma, the headings associated with that record still appears in browse bibliographic headings (ExL known issue)

### ***Publishing headings enrichment data to Primo for NZ environments***

Case #00237015: No solid target date for this feature but it is being actively worked on.

### **Other functionality that has not been tested in our NZ sandbox**

*Control Global Authorities Displayed/Accessed in the MD Editor*

Ability to control which global authorities can be viewed and/or accessed in the MD Editor (for local authority records only)

### ***Changing the Placement of an Authority Record***

While working in draft mode with an authority record, you can change the placement of the record to the Community Zone, Network Zone, or Institution Zone.

### ***Using Originating System IDs for Linking Bibliographic Records to Authority Records***

The default method in Alma for linking bibliographic headings to authority records uses text matching only. If you want to use ID matching, contact Ex Libris to reconfigure your authority linking method. Alma provides support for using originating system IDs for linking bibliographic records to specific authority records. This capability can be used only if \$0 exists in one of the control fields of your bibliographic records. If \$0 exists, it can be used to store the originating system ID for the authority record (pulled from the authority record 035 \$a) to which you want to link the current bibliographic record. Once a bibliographic record has \$0 stored with the originating system ID for a specific authority record, the Alma daily process to update records will use the specific \$0 information to update the authority linked bibliographic records.

### ***Authority Control Based on Multiple Authority Identifiers in a Bibliographic Record***

For institutions that require the ability to link bibliographic to authority headings using a direct ID that is not necessarily the originating system ID and with multiple system IDs specified, Alma provides support to accomplish this with the **Direct ID Prefix** in the Metadata Configuration. Specifically, this is designed for bibliographic records with the linking record ID identified in \$0 of the 650 field (see the illustration below) and the matching ID located in the 035 \$a of the authority record. This capability provides support for instances where the 650 field may contain more than one \$0 where the intent is to specify linking system IDs for different systems.

### ***Authority to Bibliographic Record Navigation***

For institutions configured to use ID matching for linking bibliographic records to authority records (instead of text matching) as defined in a customer parameter managed by Ex Libris, the navigation from an authority record to the linked bibliographic record uses:

- Authority vocabulary and the linked originating system ID
- Direct IDs

When completing a repository search to find authority records (Community Zone or institution managed authority records), the search results display a list of authority records with the link **Search bibliographic records matching this value**.

### ***Working with Multilingual Authority Record Preferred Terms***

Alma provides the capability for institutions to work with authority records that have preferred, non-preferred, and related terms in more than one language. This has been implemented in the following manner:

- The **Multilingual** parameter needs to be set to **Yes** for authority records. For local authority records, you need to specify this parameter in the Metadata Configuration. For Community Zone managed authority records, this setting needs to be configured by Ex Libris at the Community Zone level. For more information, see [Adding a Local Authority Definition](#) on this page.
- For MARC 21 records, the language code (such as lat, heb, ara, and so forth) for all preferred, non-preferred, and related terms is entered in \$9.