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### Benchmarking Vended Authority Control Practices in ARL Libraries (Presentation)

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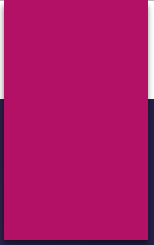
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# Benchmarking Vended Authority Control Practices in ARL Libraries

REBECCA L. MUGRIDGE AND NANCY M. POEHLMANN

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# Background

- ▶ 1.5 million bibliographic records (now 1.7)
- ▶ Used a vendor to provide authority control on entire catalog in 2004 prior to our migration to Ex Libris' Aleph ILS
- ▶ No automated authority control processes implemented in Aleph, 2004-2014; authority control functionality not configured in ILS
- ▶ Some ad hoc authority work and heading updates were made
- ▶ Question: Could we secure funding to support basefile processing of our records, as well as ongoing processing of new bibliographic records and authority record updates?
- ▶ Question: Could benchmarking with our peers help us make a case?

# Value of benchmarking

- ▶ Rebecca L. Mugridge & Nancy M. Poehlmann. "Benchmarking as an Assessment Tool for Cataloging," *Technical Services Quarterly*, 32:2, (2015): 141-159, DOI: 10.1080/07317131.2015.998465
- ▶ Goals of benchmarking cataloging activities:
  - ▶ Improve or streamline services (72 %)
  - ▶ Make better decisions (61%)
  - ▶ Improve services (33 %)
  - ▶ Reallocate staff or other services (33 %)
  - ▶ Explore offering new services (22 %)
  - ▶ Inform strategic planning activities (22 %)

# Survey of peer institutions

- ▶ Describe survey project plan:
  - ▶ Survey designed with SurveyMonkey
  - ▶ IRB expedited review
  - ▶ Surveyed ARL academic libraries (ARL includes 125 R1 institutions in North America, most of them universities)
  - ▶ Used personalized emails to heads of cataloging or authority control librarians
  - ▶ 65 completed surveys

# Profile of responding libraries

- ▶ Public institutions: 71% (46 libraries)
- ▶ Private Institutions: 29% (19 libraries)
- ▶ Size of holdings range: 1.5 million-14 million titles
- ▶ ARL Library Investment Index ranking: 2-111
- ▶ Length of time on current ILS ranged from a few months to more than 25 years

# Integrated Library System

- ▶ Ex Libris Voyager: 16 libraries
- ▶ Ex Libris Alma: 12 libraries
- ▶ Ill Sierra: 11 libraries
- ▶ SirsiDynix Symphony: 9 libraries
- ▶ Ill Millenium: 9 libraries
- ▶ Ex Libris Aleph: 7 libraries
- ▶ SirsiDynix Horizon: 1 library
- ▶ OCLC Worldshare Management Services: 1 library

# Maintenance of an authority file in ILS

- ▶ 91% (59 libraries) do maintain an authority file
- ▶ 9% (6 libraries) do not maintain an authority file. These included libraries with the following ILSs:
  - ▶ Aleph (1)
  - ▶ Alma (3)
  - ▶ Symphony (1)
  - ▶ Sierra (1)



# Authority files maintained in ILSs

- ▶ Library of Congress name headings (97%)
- ▶ Library of Congress subject headings (95%)
- ▶ Library of Congress genre/form terms (63%)
- ▶ Medical subject headings (47%)
- ▶ Children's headings (13%)
- ▶ Other: series, local, other form/genre, Canadian, French, Arabic, Japanese

# Source of authority records

- ▶ Vendor: 73%
- ▶ Purchase directly: 5%
- ▶ Download individually from bibliographic utility: 35%
- ▶ Batch download from bibliographic utility: 6%
- ▶ Other (29%):
  - ▶ Create in-house
  - ▶ Alma community zone
  - ▶ Consortium provided

# Vendor sourced authority records

- ▶ Backstage Library Works (44%)
  - ▶ 26% of public institutions
  - ▶ 42% of private institutions
- ▶ Peter Ward (20%)
- ▶ Marcive (18%)
- ▶ LTI (18%)

# Frequency of authority record updates

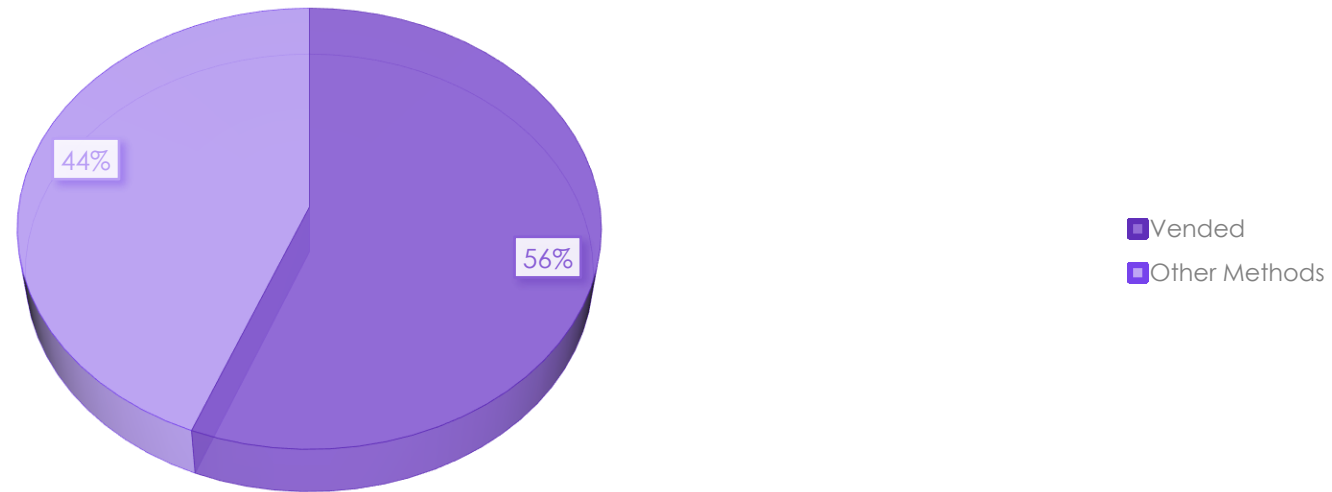
- ▶ Monthly: 44%
- ▶ Weekly: 24%
- ▶ At the point of cataloging: 20%
- ▶ Quarterly: 14%
- ▶ Bi-annually: 7%
- ▶ Bi-weekly: 5%
- ▶ Annually: 2%

# Local authority records

- ▶ 59% do not create or maintain local authority records
  - ▶ Ability to contribute to NACO precludes need for local authority records
- ▶ 41% create or maintain local authority records not later submitted to national files
  - ▶ Some create local records when they don't have enough information to create a NACO standard record
- ▶ 48% make local changes to national-level authority records in local system (local series decisions, classification #s for literary authors, cross-references)
- ▶ 52% do not make local changes

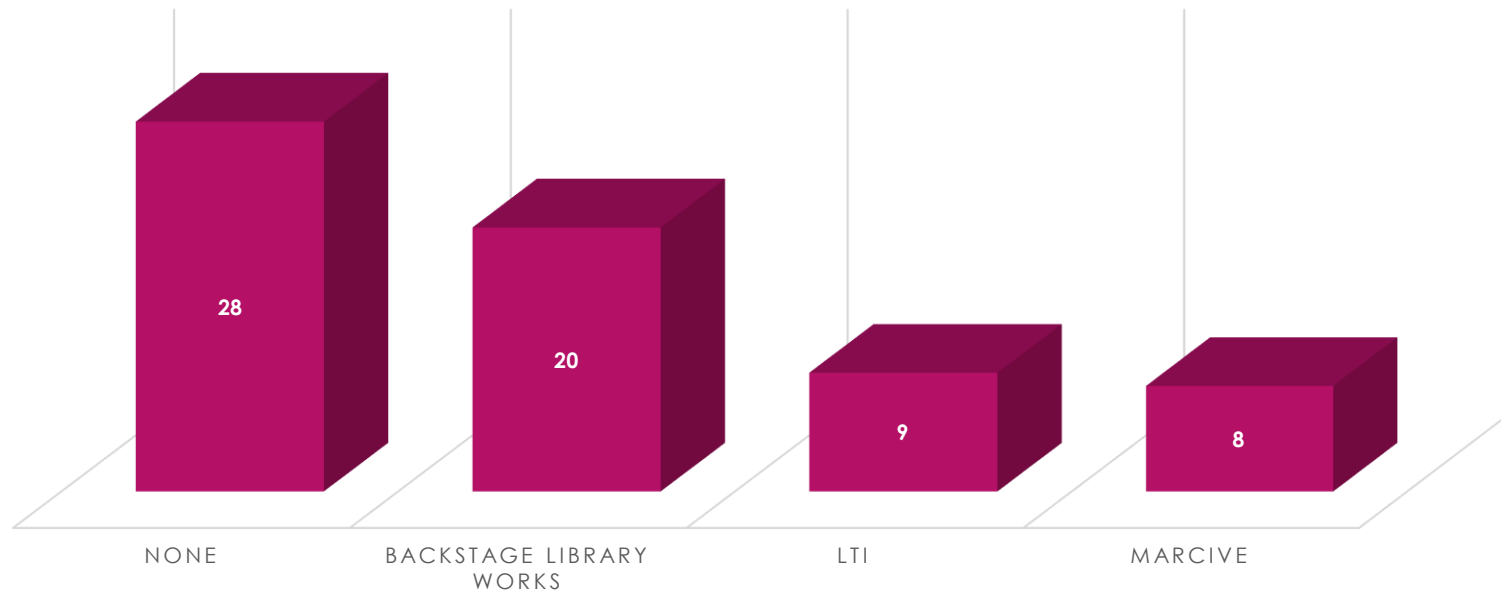
# Current cataloging

## CURRENT CATALOGING

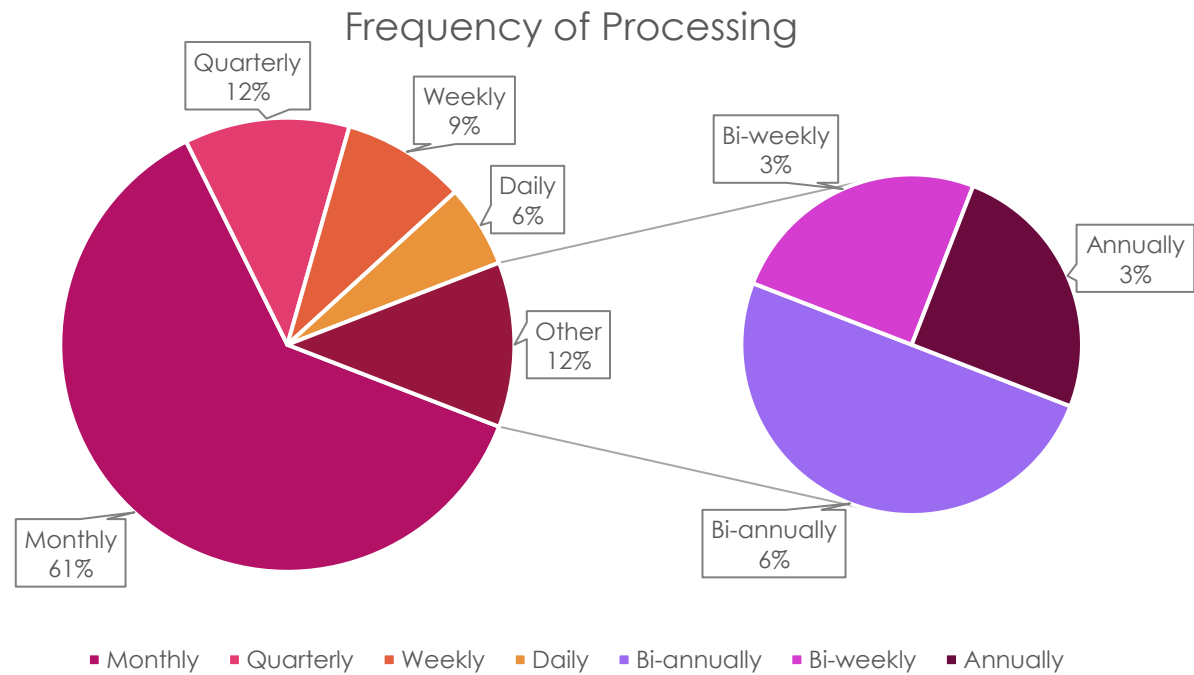


# Choice of vendor

## CHOSEN VENDOR

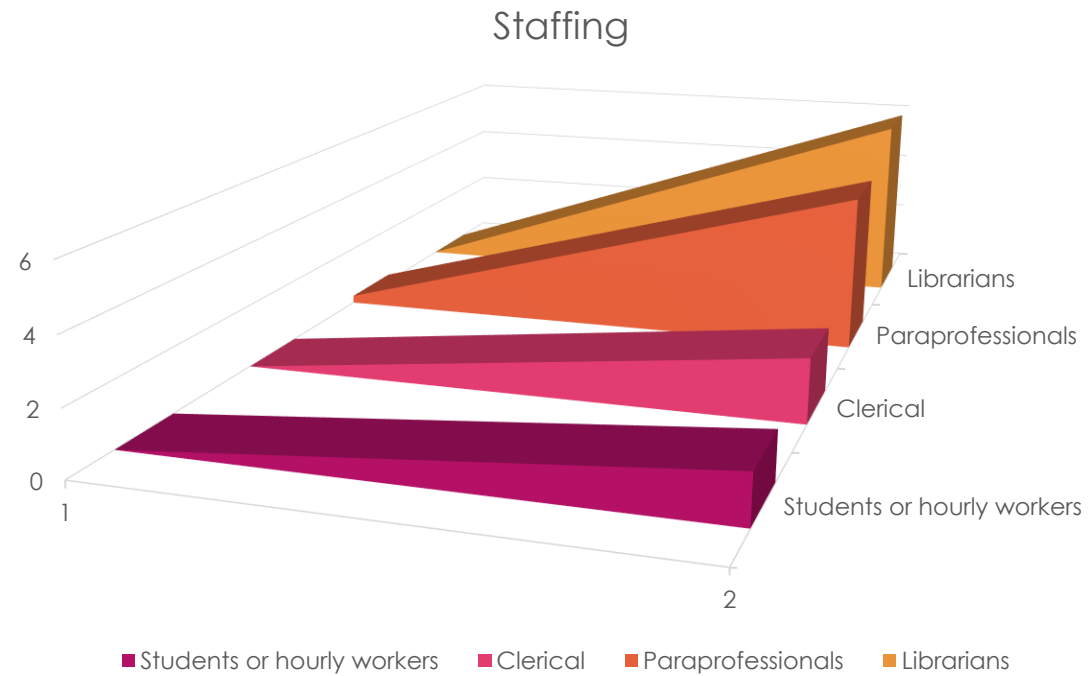


# Frequency of processing



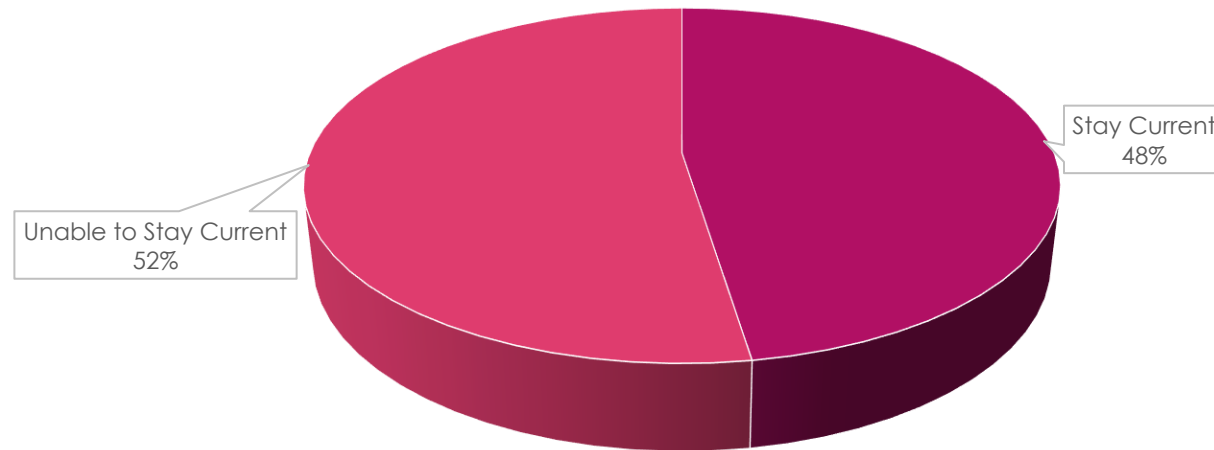


# Staff involved in authority work



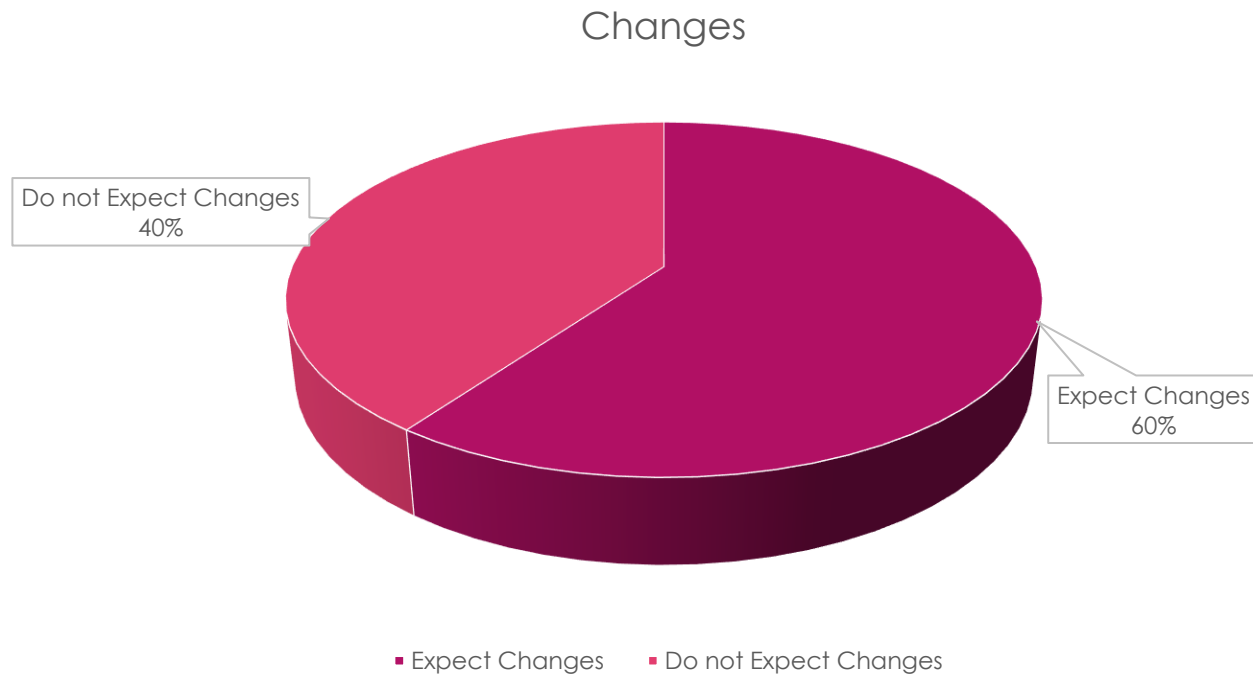
# Ability to stay current

Ability to Stay Current



■ Stay Current ■ Unable to Stay Current

# Future changes in authority work



# Conclusion

- ▶ Most large academic libraries maintain an authority file in their ILS.
- ▶ A majority of survey respondents are members of one or more cooperative cataloging initiatives.
- ▶ Nearly three-quarters use vendors as a source of authority records and more than half use vendors to process current cataloging.
- ▶ The options for vendor support have shrunk from 7 in Wolverton's 2004 survey to 3 vendors (soon to be 2).
- ▶ 41% of libraries continue to maintain or create local authority records.
- ▶ Nearly half of the respondents indicated they are still unable to stay current with authority control tasks.

# Suggestions for further research

- ▶ Inability of libraries to keep current with authority work
- ▶ Assessment of built-in authority control functionality, as in the Alma LSP
- ▶ Use of locally created and edited authority records
- ▶ Impact of BIBFRAME, linked data, and other developments on authority control activities

# Citation

- ▶ Rebecca L. Mugridge, Rebecca Nous, Nancy Poehlmann & Wendy West. “Benchmarking Vended Authority Control Practices in ARL Libraries,” *Technical Services Quarterly*, 35:4 (2018): 323-337, DOI: 10.1080/07317131.2018.1509432

# Questions?

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