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5-2017

The Long and Brief of It: Brief Levels and Normalization Rules to Streamline Shelf-Ready Workflows

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The Long and Brief of It

Brief Levels and Normalization Rules to Streamline Shelf-Ready Workflows

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ELUNA 2017

Special Thanks to:

- ExLibris Expert Services
- John Larson
- Colleagues at WMU Libraries

Who can benefit?

Libraries that wish to automate shelf-ready without sacrificing record quality checks.

Too many prepublication records?

Are you a NACO library? Creating authority records?

Did they send you an e-book record for a print title?

This really happened. Twice.

Is there even a call number?

Do you add local note fields?

Just not 'good enough'?

What did we watch out for?

- Labels (missing or incorrectly formatted)
- Library of Congress call number
- Numbered series and authority records
- Correctly formatted 490/830 fields
- Owned previous editions
- 'Monograph' vs. 'serial' records
- Record type for a print book and not e-book
- Prepublication records
- Empty 300 information
- RDA (336, 337, 338)
- Local notes (particularly special funds)
- Multi-volume sets
- Accompanying materials
- ...And more!

So What's the Problem?

- Too much staff time spent checking every book and every record for every potential issue.

- Too much staff time spent 'perfecting' records that were, theoretically, 'shelf-ready'.

- Every change or update in the Cataloging world was yet another new thing to add to the list of checks.

- Books held up for days for minor issues and additional checks.

...but the reality is that incoming records are sometimes sub-par and need some TLC.

So what can we do to catch them without holding up the others?

Steps Taken

▶ Reviewed list of checks and simplified to only include issues which we felt were important enough or would have impact on the users.

▶ Customized Brief Levels to assign a certain level of required work based on the simplified list of checks.

▶ Customized Normalization Rules and grouped into a Process to run against import profile loads.
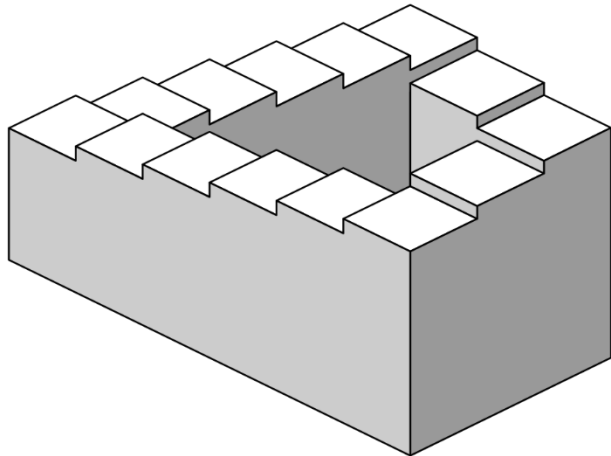
Not sure which direction those steps are going, though.

Brief Levels

- "Varying levels of brief records can be defined using brief rules that utilize a syntax similar to normalization rules. Ten levels of brief records can be defined from 01 through 10 where 01 represents the most brief record and 10 represents a full record." ExLibris Knowledge Center

- Completed implementation in Alma with the August 2016 release

- Intended to describe a record's 'briefness' or 'completeness' by assigning categorized numbers as 'levels', which can be customized.

Normalization Rules

- "Normalization rules allow you to change bibliographic records according to your exact definitions." ExLibris Knowledge Center

- Scripts that can be run against individual bibliographic records or sets of bibliographic records to add, change, or delete fields, subfields, and content contained in them.

- Can be customized and grouped into 'processes' which can be run against import profiles.

WMU's Brief Levels

- **Level 01: Cataloging** - Record is not for print.
- **Level 02: Cataloging** - Call number is missing or incomplete.
- **Level 03: Cataloging** - Record contains multiple call number fields.
- **Level 04: Cataloging** - Record may pertain to a multi-volume set or be accompanied by other material.
- **Level 05: Cataloging** - Record is not for a monograph.
- **Level 06: Processing** – Incomplete or prepublication-level record.
- **Level 07: Processing** - 490 or 830 numbered series.
- *Level 08: Not utilized at this time.*
- *Level 09: Not utilized at this time.*
- **Level 10: Shelf-Ready**.

- Staff who 'receive' the titles into Alma sort books by Brief Level.

- **Levels 1-7** represent items with significant issues that will require further work by a cataloger.

- **Level 10** represents items that need no further work and can go directly to the shelf.
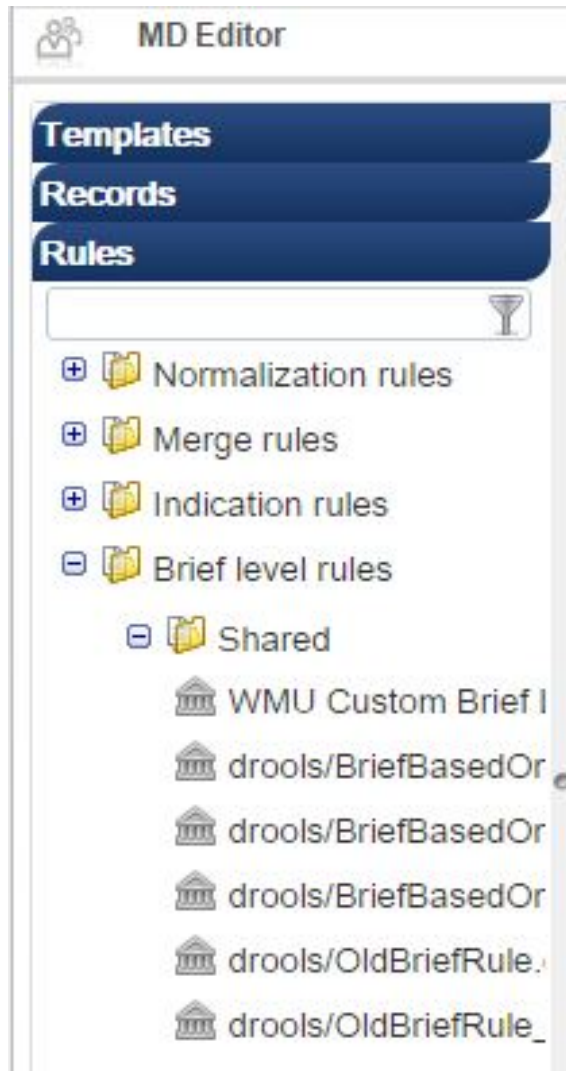
Writing Brief Levels

▶ Found in the Metadata Editor under Rules: Brief level rules

▶ Syntax is like that for Normalization Rules

▶ ExLibris Knowledge Center - Configuring Brief Level Code Descriptions

Writing Brief Levels

```
WMO Custom Brief Levels
rule "Brief 01"
when
    (existsControl "008.{23,1}.o") OR (existsControl "008.{23,1}.s") OR (existsControl "008.{23,1}.a") OR (existsControl "008.{23,1}.b") OR
(existsControl "008.{23,1}.c") OR (existsControl "008.{23,1}.q")
then
    set brief_level."01"
end

rule "Brief 02"
when
    not exists "050.a.*" OR not exists "050.b.*"
then
    set brief_level."02"
end
```

All brief levels are entered together on one screen.

Writing Brief Levels

rule "Brief 01"

    when

        (existsControl "008.{23,1}.o") OR
        (existsControl "008.{23,1}.s") OR
        (existsControl "008.{23,1}.a") OR
        (existsControl "008.{23,1}.b") OR
        (existsControl "008.{23,1}.c") OR
        (existsControl "008.{23,1}.q")

    then

      set brief_level."01"

end

- Record is not for a print book.
- Checks the 008 for incorrect codes.

Writing Brief Levels

rule "Brief 02"

    when

        not exists "050.a.*" OR not exists "050.b.*"

    then

        set brief_level."02"

end

- ▶ Call number is missing or incomplete.
- ▶ WMU uses LC call numbers and has preference for the use of the 050.

Writing Brief Levels

rule "Brief 03"

    when

        (exists "050.a.*" AND exists "090.a.*") OR existsMoreThanOnce "050.a.*"

    then

        set brief_level."03"

end

- ▶ Record contains multiple call number fields.
- ▶ Looks for multiple instances of call numbers in a record so the correct one can be chosen.

Writing Brief Levels

rule "Brief 04"

    when

        exists "300.a.volume*" OR exists "300.a.volumes*" OR exists "300.a.* volumes*" OR exists "300.a.* volume*" OR exists "300.e.*"

    then

        set brief_level."04"

end

- ► Record may pertain to a multi-volume set or be accompanied by other material.
- ► Looks for indications in the 300.

Writing Brief Levels

```
rule "Brief 05"

    when

        ((existsControl "LDR.{07,1}.a") OR
        (existsControl "LDR.{07,1}.b") OR
        (existsControl "LDR.{07,1}.c") OR
        (existsControl "LDR.{07,1}.d") OR
        (existsControl "LDR.{07,1}.i") OR
        (existsControl "LDR.{07,1}.s") OR
        (existsControl "LDR.{07,1}. ")) OR
        (existsControl "LDR.{17,1}.3")

    then

        set brief_level."05"

end
```

▶ Record is not for a monograph.

▶ Checks for serials and other record types.

Writing Brief Levels

rule "Brief 06"

    when

        ((existsControl "LDR.{17,1}.8")
        AND ((not exists "300.c.*") OR
        (exists "300.a.pages") OR
        (exists "300.c.cm*"))) OR
        (not exists "300") OR
        (not exists "300.a.*") OR
        (exists "300.a.pages*") OR
        (exists "300.c.cm*") OR
        (not exists "300.c.*")

    then

        set brief_level."06"

end

- Incomplete and/or prepublication-level record.
- Checks for encoding level 8 and subsequently whether the record is missing 300 information as prepublication records often are.

Writing Brief Levels

rule "Brief 07"

    when

        exists "490.v.*" OR exists "830.v.*" OR exists "800.v.*"

    then

        set brief_level."08"

end

- Numbered series.
- Checks for the existence of a |v in the 490, 830, or 800 fields.

Writing Brief Levels

```
rule "set default"

priority 1

    when

        TRUE

    then

        set brief_level."10"

end
```

▶ If none of the aforementioned rules apply, brief level 10 is assigned, meaning the record is shelf-ready.

Other Configurations

▶ After you have customized your rules, make sure Alma knows you want to use them!

▶ Resource Management Configuration -> Cataloging -> Metadata Configuration

Active Profiles

	Profile	Family	Type
1	MARC21 Authority	MARC21	Authority
2	MARC21 Bibliographic	MARC21	Bibliographic
3	MARC21 Holding	MARC21	Holding
4	Qualified Dublin Core	DCMI	Bibliographic

MARC21 Bibliographic -> Other
Settings tab

Profile MARC21 Bibliographic	Family MARC21
Type Bibliographic	Usage BIB_MMS

Fields	Normalization Processes	Validation Processes	Validation Exception Profile List	Other Settings

Brief Level Rule * WMU Custom Brief Levels

Other Configurations

- If desired, you can assign official descriptions to brief levels: Resource Management Configuration -> General -> Brief Levels

	Code	Description
1	01	01 Incomplete or electronic record
2	02	02 Call number is missing or incomplete
3	03	03 Record contains multiple call number fields
4	04	04 Multi-volume or accompanying material
5	05	05 Record is not for a monograph
6	06	06 Incomplete 300 or prepublication record
7	07	07 490 or 830 numbered series
8	08	08
9	09	09
10	10	10 Shelf-ready

Keep in Mind…

- Alma runs through the Brief levels by checking from the top down, so the first rule that it finds to apply is the Brief Level number that will be assigned.

- A book with level 6 may also have the problems of levels 7 and 8, so keep that in mind when setting up the order of your rules and who, if anyone, will be reviewing particular issues.

- Brief Levels will be assigned to *all* records existing in the catalog and those brought into Alma, not just those coming via import profile, but it has no functional effects.

- Brief Levels are not included in Alma Analytics, but can be searched using a Repository Search.

WMU's Normalization Rules

- Delete extraneous 029 fields
- Delete extraneous 938 fields
- Add 590 field for WMU author titles
- Add 590 field for Dorotha Kercher title
- Add 590 field for the Holocaust collection
- Delete 049 |e

- Because books will go out to the shelf without any intervention, any fields or subfields we want to add or remove are taken care of by Normalization Rules.
- Rules are grouped as a 'Process' and run upon import.
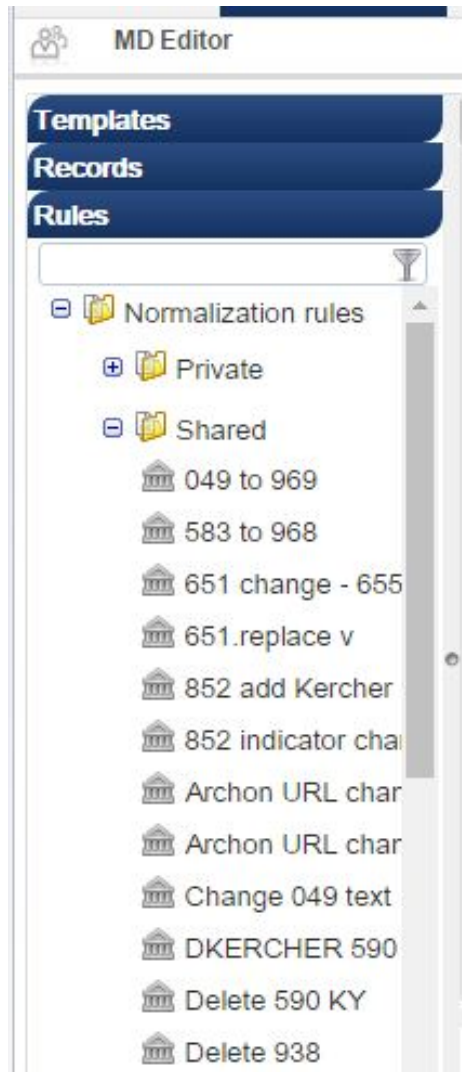
Writing Normalization Rules

▶ Found in the Metadata Editor under Rules -> Normalization rules.

▶ How to write rules, syntax, where to find Normalization Rules, and how to edit them are all described in ExLibris' Knowledge Center.

Writing Normalization Rules

Delete 938 field

```
rule "Remove all 938"
    when
        (TRUE)
    then
        removeField "938"
end
```

Delete 029 field

```
rule "remove data field 029"
    when
        (TRUE)
    then
        removeField "029"
end
```

Writing Normalization Rules

Delete 049 |e

rule "remove 049 |e"

    when

        (TRUE)

    then

        removeSubField "049.e"

end

- This rule differs from those before in that it is specifically looking for the subfield |e, not the entire 049, and only removes that subfield if it exists.

Writing Normalization Rules

Add 590 note fields

rule "HOLOCAUST 590"

    when

        exists "981.a.HOLOCAUST"

    then

        addField "590.a.Gift of Haym & Molly Kruglak in memory of: Nathaniel Kruglak"

end

- WMU has several gift funds that, when utilized to make a purchase, get 590 gift notes in the bibliographic record.
- All the rules are similar; a particular text is looked for in a particular field/subfield and, if found, a 590 note is generated.

Writing Normalization Rules

Add 590 note fields cont'd

rule "WMU author 590"

    when

        exists "981.a.WMUA" OR exists "981.a.WMUAa" OR exists "981.a.WMUAf" OR exists "981.a.WMUAp" OR exists "981.a.WMUAr"

    then

        addField "590.a.WMU author."

end

rule "DKERCHER 590"

    when

        exists "981.a.DKERCHER"

    then

        addField "590.a.Gift of Dorotha Kercher Endowment"

end

Configuring a Process

Creating a Process

▶ Resource Configuration Menu -> General

▶ Processes allow you to apply multiple normalization rules to import profiles.

Configuring a Process

Add a Process

- Clicking "Add Process" takes you to a wizard. Select that you are dealing with Bibliographic Titles, and the type should be Marc 21 Bib normalization.

- Processes can also be edited from the home screen (where you saw the "Add Process" button) to add new normalization rules to your process after creation by selecting Actions -> Edit.

Configuring a Process

▶ Name your process so you can find it later.

▶ Make sure the status is set to active so that it will be usable.

General Information	Task List	Task Parameters

Business Entity	Bibliographic title	Type	Marc 21 Bib normalization

General Information

Name * Normalization for Shelf-Ready

Description * Normalization for Shelf-Ready Import Profiles

Status Active   Status Date 2016-07-22 14:49:29.292

Configuring a Process

▶ You will need to add, one-by-one, the number of rules you intend to add to your process. Check the box at the bottom of the screen for the type of rule you have and select "Add to Selection" at the bottom of the screen.

▶ In WMU's case, there are 7 rules being applied, 6 for Normalization Rules, and one that applies Brief Levels.

Configuring a Process

- The next screen presents a drop-down list for you to select the rules in particular you want to apply.

- Save upon completion!

Configuring a Process

▶ Now that your Process is created, it needs to be applied to import profiles that import shelf-ready bibliographic records!

▶ Open the appropriate import profile(s) and edit the profile.

Shelf-Ready APPROVALS FULL (EMERY-PRATT)	Full Emery-Pratt approval records.
Shelf-Ready APPROVALS FULL (GOBI)	Full Approval Records with Pending POs a...
Shelf-Ready AWARD WINNERS FULL (GOBI)	Full Award Records with Pending POs atta...
Shelf-Ready FORMS BRIEF (EMERY-PRATT)	Emery-Pratt Brief Order Records
Shelf-Ready FORMS BRIEF (GOBI) - INACTIV...	GOBI Form Orders Brief Records Keeping ...
Shelf-Ready FORMS FULL (EMERY-PRATT)	EMERY-PRATT - FULL RECORDS. Overlays bri...
Shelf-Ready FORMS FULL (GOBI)	Update Inventory Profile for GOBI Firm o...
TEST Shelf-Ready FORMS FULL (EMERY-PRATT...	EMERY-PRATT - FULL RECORDS. Overlays bri...

Configuring a Process

▶ Click the Normalization & Validation tab.

▶ There is a drop-down list under Normalization that will now present your newly created Process as an option!

Congratulations!

- You've done it!

- Now every time your import profile runs, all normalization rules in your process will make any required changes to records.

- Brief Levels will now automatically be applied to these records as well.

- Sooo...now what?

Sorting Shelf-Ready

Title LEISURE AND HUMAN DEVELOPMENT.

WorldCat Publish holdings only   Brief level 02 Cataloging

system ID ocn956747266   Originating System Version 20160902093817.4

Title Imagine no religion : how modern abstractions hide ancient realities / Carlin A. Barton and Daniel Boyarin.

dCat Publish holdings only   Brief level 06 Processing

em ID ocn933274031   Originating System Version 20160930044338.1

Title Jan Brueghel and the senses of scale / Elizabeth Alice Honig.

WorldCat Publish holdings only   Brief level 10 Shelf-ready

ystem ID ocn929544319   Originating System Version 20161004050628.4

- ▶ Your normalization rules should have taken care of any changes to records, so now all you need to worry about is the Brief Level.

- ▶ Staff who receive titles in Alma can glance at the bibliographic records to find the Brief Level.

Sorting Shelf-Ready

► After having determined the Brief Level of the title being received, decide whether to "Keep in Department" or not.

► In WMU's case, Brief Level 10 titles *do not* get kept in department. Check "Shelf-Ready" and scan in barcodes to receive.

► After being received, level 10 titles are pushed directly to the Stacks department for shelving.
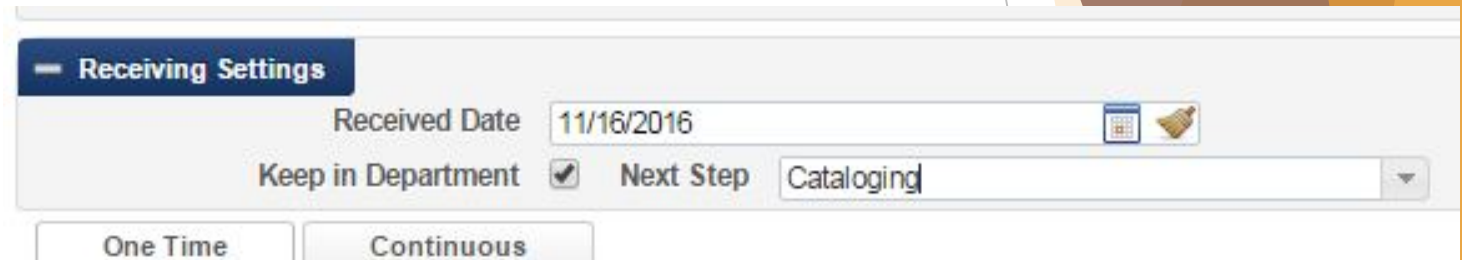
Sorting Shelf-Ready

▶ Brief Levels 1-7 are checked "Keep in Department" and Next Step "Cataloging" though this will depend on how your work orders are set up or not and how you named them.

▶ After receiving, Levels 1-7 are handed directly to the Cataloging Department where they enter the normal Cataloging workflows.

Considerations

- If you bypass work orders completely, this should still work. Just ignore the information about "Keep in Department" and "Shelf-Ready" checkboxes during receiving.

- In the event of occasional mistakes in physical processing (missing labels, etc.), it will be up to you whether to treat these books like one of the other Brief Level categories or have receiving staff fix the mistakes and then sort like normal. WMU does the former simply because of the staff setup.

- Consider a testing period to verify that Brief Levels are catching what you want and that Normalization Rules are properly making their changes. Even after-the-fact these can be tweaked.

- Because Alma Analytics does not currently include brief levels statistics can be troublesome.

- Unclear how BIBFRAME will affect this setup in the future.

- WMU is constantly tweaking brief levels and normalization rules so what is presented here may not be a perfect reflection of the current setup.

Conclusions & Implications

- Changes began in late August, 2016.

- Will not send more or fewer books to the shelf than before unless you tweak your rules and levels that way; the biggest change is automating the triage process to get books to their destinations faster.

- How is this change is an improvement? Time! Shipments that took 4 hours of triage time are now handled instantly and automatically upon import.

- Can be customized to each library's needs because *you* write the rules to check for whatever you want.

- Allows libraries who want to maintain a higher standard of records the ability to automate significant portions of shelf-ready, customized to their needs.

Thank you!

- ▶ Questions?

- ▶ I can be contacted at emily.n.gross@wmich.edu and would be more than happy to answer questions or help you troubleshoot some of your issues.