Augmenting In-house and Vendor-supplied MARC Records

Automating Batch-Derive of ETD records by XSLT

Lucas Mak
Metadata & Catalog Librarian
Michigan State University Libraries
Thesis & Dissertation cataloging at MSU

- Cataloged theses & dissertations in print and microfiche formats only until 2009
  - Subject analysis (LCSH)
  - Authority control of author names
  - Both single and separate approaches
ETD cataloging at MSU

- In 2009, started to catalog full-text electronic theses & dissertations available in ProQuest
  - Separate record approach
  - Derive from print records
    - Copy and paste permanent URLs from ProQuest
    - For current cataloging only
  - Not systematic in retrospective
Recent Task

- To catalog MSU’s ETDs (1997 to current) with full-text access in ProQuest
  - Total: ~8300
  - Rationale
    - Access to full-text ETDs originated from CIC institutions (1997 to current)
    - Plan to share ETD MARC records among CIC institutions
  - Deduplication necessary
Option 1: Manual Derive

- **Advantages:**
  - Established procedure
  - Same look & feel compared to existing ETD records
    - Consistency in subject & name access
- **Disadvantages:**
  - Slow & repetitive
    - Copy & paste of permanent URLs one at a time
    - Key in identical & similar information repeatedly
      - Can be mitigated by using constant data
  - Coordination required if more than one staff involved
Option 2: Batch Loading ProQuest MARC Records

- Advantages:
  - Data elements
    - Permanent URL to individual ETD record page
    - Unique identifiers
    - Useful for deduplication for future incremental loads
  - Basic description: Title, Author main entry, Degree type, Date, Pagination for the main text
  - Abstract by author
  - Time-saving
    - Batch processing, e.g. adding GMD
Option 2: Batch Loading
ProQuest MARC Records

● Disadvantages
  ● Inconsistent look & feel and/or access between print & electronic
    ● No LCSH, only broad descriptors available, e.g. American studies
    ● No authority control of names
    ● No Dept./Program name in 502
  ● Typos in title
  ● Title transcription not following AACR2 rules
    ● Auto correction of typo instead of using [sic] or [i.e. …]
    ● Inputting special characters, symbols, or superscripts as is
  ● Incorrect degree type
Option 2: Batch Loading ProQuest MARC Records

- Disadvantages
  - Lacking certain data elements
    - 245$c can be added by manipulating 100
    - 006, 007, GMD can be added in batch
  - 245$a & 245$b merged into one 245$a
    - Can be separated by conditional processing
  - “Junk fields”, e.g. school code, descriptor code
    - Can be removed in batch
The process of negotiation between producers and consumers created a varied and complex set of cultural meanings in the community support for high school basketball in the three Indiana cities …
School code: 0128.
American Studies.
History, United States.
History, Modern.
0323
0337
0582
Michigan State University.
Dissertation Abstracts International g58-05A.
Ph.D.
1997
Option 3: Matching & Batch-derive

- **Advantages**
  - Consistency in look and feel, and access
    - Deriving from print records
  - Efficient
    - Deriving in batch
    - Automatic carry over corresponding permanent URL

- **Challenges**
  - To identify suitable technology
  - To find match point(s)
XSLT (Extensible Stylesheet Language Transformation)

- Within the family of XML
  - Case sensitive
  - Current version: 2.0
- “Transformation” means:
  - Manipulation of XML documents by creating a new document based on the original document
- Common usages in library context
  - Web display
    - e.g. converting EAD into HTML for display
  - Metadata crosswalking
    - Data selection and manipulation
Technology

- XSLT
  - Multiple inputs and outputs
  - Comparing data from multiple inputs
    - document ( )
    - key ( )
Match Strategy

- Characteristics of thesis & dissertation records
  - Identical titles uncommon
  - Special characters (e.g. scientific notations) not uncommon in title info
  - Full name in statement of responsibility
  - Multiple contributions by one author
  - Affecting uniqueness and reliability of match points
Match Strategy

- **MSU record**
  - 001 (OCLC & Skyriver no.)
  - 100 (Author name)
  - 245$a (Title proper)
  - 245$b (Other title info)
  - 245$c (statement of responsibility)
  - 260$c (Date on t.p.)
  - 502 (Degree type, Date of acceptance)

- **ProQuest record**
  - 001 (UMI no.)
  - 020 (ISBN)
  - 100 (Author name)
  - 245$a (Title proper & other title info)
  - 502 (Degree type, Date)
  - 791 (Degree type)
  - 792 (Date)
Match Strategy

- No common unique identifier
- “Common” data
  - Author name
    - No Authority control
  - Title
    - Merged 245$a & 245$b
    - Typos and different transcription rule
  - Date
    - Nature of date uncertain
- Degree type
Match Strategy

- **String matching**
  - Matching with single criterion
    - Useful for matching unique values
    - Possibility of false hit
  - Matching with multiple criteria
    - Useful for matching values that are not unique by themselves but unique when combined, e.g. author name + date
    - Possibility of false drop caused by error in data
Match Strategy

- **String matching**
  - **Exact match**
    - Pattern specified equals to the string
    - Will fail when different in capitalization, punctuation, spacing, etc.
      - Requires pre-match string normalization
  - **Fuzzy match**
    - Existence of certain pattern in any part of a string
    - Prone to false hit
      - Requires additional matching
  - **Multi-step matching**
    - Serialization of conditional processing, i.e. series of True/False tests and corresponding action(s)
Match Strategy

- Matching criteria implemented
  - Different combinations of Title (complete/partial string), Name (complete/partial string), Date (complete string), Degree type (partial string)
  - Create new matching point from existing data
    - Flip MARC 100 in ProQuest records into direct order → used to compare with 245$c from MSU print records
Match Strategy

- 245$c
- 260$c + Degree
- Degree Date + Type
- Whole title
- 100$a
- 260$c + Degree
- Degree Date + Type
- Whole title
- Whole title
- Whole title
- Partial title + partial 245$c
Batch-derive & Dedup Process

- ProQuest MARC
- ProQuest MARCXML
- MSU MARCXML
- MSU MARC
- XSLT
- ETD MARCXML
- Dedup ETD MARCXML
- Deduped ETD MARCXML
- Deduped ETD MARC
- Cataloged ETD MARC
- Cataloged ETD MARCXML
Alternative Batch-derive & Dedup Process

- ProQuest MARC
- ProQuest MARCXML
- Dedupped MSU MARCXML
- XSLT
- Batch-derive
- ETD MARCXML
- ETD MARC
- MSU MARC
- Cataloged ETD MARC
- Cataloged ETD MARC
- MSU MARC
Batch-derive & Dedup Process
XSLT for Batch-derive Action

- **Three templates**
  - **Matching template**
    - To compare data elements between MSU and ProQuest MARCXMLs
    - Once matched:
      1. Derive from MSU print MARCXML
      2. Copy data from ProQuest MARCXML
  - **Derive template**
    - To derive MARC fields and data from print counterpart (MSU print thesis MARCXML)
    - To insert new data into output
    - To try correcting data
  - **Copy template**
    - To copy data from ProQuest records
      - ISBN, UMI no., Permanent URL
XSLT for Dedup Action

- **Dedup Template**
  - To compare MARC field 245 between the output “ETD MARCXML” from batch-derive action and “Cataloged ETD MARCXML”
  - Output unique titles only
Matching Template

- **Conditional processing**
  - Specify matching criteria and corresponding action(s)
  - XSLT elements: `<xsl:choose>` in combination with `<xsl:when>` & `<xsl:otherwise>`
- XSLT functions:
  - `document()`
    - Introduce an external XML document into the current context document
    - Need to keep track which the current context document is
  - `contains()`, `matches()`, `starts-with()`, `ends-with()`
    - Pre-match string manipulation
  - `boolean()`
    - Existence of a node (i.e. MARC field or subfield)
Derive Template

- Direct copy data from print records
  - MARC leader, 041, 043, 100, 260, 546
  - `<xsl:copy-of>`
    - `<xsl:copy-of select="*[not(self::marc:controlfield[001 &lt;= @tag and @tag &lt;= 009])] *[not(self::marc:datafield[010 &lt;= @tag and @tag &lt;= 040])] *[not(self::marc:datafield[049 &lt;= @tag and @tag &lt;= 099])] *[not(self::marc:datafield[@tag=245])] *[not(self::marc:datafield[@tag=300])] *[not(self::marc:datafield[@tag=500])] *[not(self::marc:datafield[@tag=502])] *[not(self::marc:datafield[@tag=504])] *[not(self::marc:datafield[@tag=530])] *[not(self::marc:datafield[@tag=533])] *[not(self::marc:datafield[@tag=590])] *[not(self::marc:datafield[@tag=856])] *[not(self::marc:datafield[@tag=866])] *[not(self::marc:datafield[@tag=867])] *[not(self::marc:datafield[900 &lt;= @tag and @tag &lt;= 999])]"/>
Derive Template

- Hard-code (i.e. writing) text into output document
  - =003  SKY
  - =006  m\d\\
  - =007  cr\bn\a
  - =040  \$aEEM$cEEM
  - =049  \$aQEMO$aEEMT
  - =099  \$aMSU ONLINE THESIS
  - =538  \$aMode of access: World Wide Web.
  - =500  \$aDescription based on print version record.
  - =655  \$aElectronic dissertations.
Derive Template

Example:

```xml
<marc:datafield tag="049" ind1=" " ind2=" ">
  <marc:subfield code="a">QEMO</marc:subfield>
  <marc:subfield code="a">EEMT</marc:subfield>
</marc:datafield>
```
Derive Template

- **Merge new text into existing string**
  - `<xsl:value-of>`
    - Copying data from a node
  - `<xsl:text>`
    - Hard-coding text into output
  - `Substring( )`, `substring-before( )`, `substring-after( )`
    - Selecting part of a string

- **Example**
  - 008
    - Insert “s” in byte 23 (Form), “b” in byte 24 (Cont), “m” in byte 25
    - =008 010918s2000\\x1a\\s
    - =000=010918s2000\\x1a\\s
    - =000=010918s2000\\x1a\\s
    - =000=010918s2000\\x1a\\s
Derive Template

<marc:controlfield tag="008">
  <xsl:value-of select="substring(marc:controlfield[@tag=008],1,23)"/>
  <xsl:text>sbm</xsl:text>
  <xsl:value-of select="substring(marc:controlfield[@tag=008],27)"/>
</marc:controlfield>
Derive Template

- Replace existing data with new data
  - replace( ), translate( )
    - Useful for data correction
  - Example:
    - Replace “PH.D.” with “Ph. D.” in 502
      ```xml
      <xsl:for-each
        select="marc:datafield[@tag=502]/marc:subfield[@code='a']">
        <marc:datafield tag="502" ind1=" " ind2=" ">
          <marc:subfield code="a">
            <xsl:value-of select="replace(.,'PH.D.','Ph. D.')"/>
          </marc:subfield>
        </marc:datafield>
      </xsl:for-each>
      ```
Derive Template

- **Conditional processing**
  - Action(s) based on fulfillment of certain condition(s)
  - XSLT elements: `<xsl:if>`, `<xsl:choose>` in combination with `<xsl:when>` & `<xsl:otherwise>`
  - XSLT functions: contains( ), matches( ), starts-with( ), ends-with( ), boolean( )

- **Example 1**
  - Inserting 245$h [electronic resource]
    - Mix of single record and separate record approaches
    - Existence of $b → punctuation after $h
Derive Template

<xsl:choose>
  <xsl:when test="marc:subfield[@code='h']">
    ...  
  </xsl:when>
  <xsl:otherwise>
    <marc:subfield code='a'><!--
      <xsl:value-of select="normalize-space(substring(normalize-space(marc:subfield[@code='a']),1,string-length(marc:subfield[@code='a'])-1))"/>
    -->
    <xsl:choose>
      <xsl:when test="marc:subfield[@code='b']">
        <marc:subfield code="h">[electronic resource] :</marc:subfield>
      </xsl:when>
      <xsl:otherwise>
        <marc:subfield code="h">[electronic resource] /</marc:subfield>
      </xsl:otherwise>
    </xsl:choose>
    </xsl:otherwise>
  </xsl:choose>
</xsl:choose>
Derive Template

Example 2

Insert correct OCLC no. into 776$w

```xml
<marc:subfield code='w'>
  <xsl:text>(OCoLC)</xsl:text>
  <xsl:choose>
    <xsl:when test="count(preceding-sibling::marc:controlfield[@tag=001])&gt;=2">
      <xsl:for-each select="preceding-sibling::marc:controlfield[@tag=001][contains(lower-case(self::marc:controlfield[@tag=001]),'paper')]">
        <xsl:value-of select="normalize-space(substring-before(.,'('))"/>
      </xsl:for-each>
    </xsl:when>
    <xsl:otherwise>
      <xsl:value-of select="preceding-sibling::marc:controlfield[@tag=001]"/>
    </xsl:otherwise>
  </xsl:choose>
</marc:subfield>
```

Existence of Multiple 001

Select 001 tagged “paper”
Moving data into a different MARC field

To move UMI no. from 001 to 028

Create a new field

```xml
<marc:datafield tag="028" ind1="5" ind2="0">
  <marc:subfield code="a">
    <xsl:value-of select="substring-after(marc:controlfield[@tag=001],’AAI’)"/>
  </marc:subfield>
  <marc:subfield code="b">UMI</marc:subfield>
</marc:datafield>
```

Copy data from 001
Copy Template

Create EZProxy link

- `<xsl:value-of>, <xsl:text>`

```xml
<marc:datafield tag="856" ind1="4" ind2="0">
  <marc:subfield code="u">
    <xsl:value-of select="marc:datafield[@tag=856]/marc:subfield[@code='u']"/>
  </marc:subfield>
</marc:datafield>

<marc:subfield code="z">Connect to online resource - MSU authorized users</marc:subfield>
```

Insert EZProxy prefix

Copy link from ProQuest record
Dedup Template

- Compare MARC 245 between Output from batch-derive action and “Cataloged ETD MARCXML”
- Output unique titles only
<xsl:template match="marc:record">
  <xsl:variable name="doc1Position" select="self::marc:record"/>
  <xsl:variable name="catalogedETD245" select="marc:datafield[@tag=245]/marc:subfield[@code='a']"/>
  <xsl:choose>
    <xsl:when test="document('CatalogedETD.xml')//marc:record[marc:datafield[@tag=245]/marc:subfield[@code='a']=$catalogedETD245]"/>
    <xsl:otherwise>
      <xsl:copy-of select="$doc1Position"/>
    </xsl:otherwise>
  </xsl:choose>
</xsl:template>
Implementation Issues

- Inconsistency in cataloging practice
- Single vs Separate record approach
  - Need to build in extra steps to account for exceptions
- Transcription approach in ProQuest records
  1. Auto correction of typo in title
  2. Special characters
  3. Random translation of terms, e.g. U.S. → United States
  - Hard to predict and account for in XSLT
  - Need to rely on other matching criteria, e.g. Name + Date
Implementation Issues

- Mistakes in ProQuest data
  1. Typos in title
  2. Incorrect date info
  3. Incorrect degree type, e.g. M.U.P. vs M.U.R.P.
     - Matching by 1st character → false hit possible
  4. Wrong spacing/word division
     - Normalize string to take out white space
Implementation Issues

- **Mistakes in MSU data**
  - Missing subfield code, e.g. 245$c
  - Typos in names
    - e.g. Michael Jay Renner → Michael Jan Renner

- **Mismatch in scope of data**
  - ProQuest
    - Published in Dissertation & Thesis Abstract & Index between 1997 & 2008
    - Full-text only
  - MSU
    - 260$c or Degree date (502)
    - Not all print theses between 1997 & 2008 are received and/or cataloged
  - No corresponding targets to match against
Limitations of XSLT

- True/False matching
  - Not approximate string matching
  - Zero tolerance to differences between targets
    - No way to set a threshold of how close two matched
- Case-sensitive
  - Normalization needed
    - Implication on processing time
Limitations of XSLT

- **Computer processing power**
  - > 60 min.
  - Intel Core 2 Duo 2.00GHz, 4 GB RAM, oXygen
- **Large XML file sizes**
  - 42 MB in XML, but 24 MB in .mrc
  - Open 2 40 MB files and write a new 40 MB file
- Pre-test string manipulation & multi-step string matching
- Should use stand-alone command line XSLT processor?
Possible adaptations

- Original ETD cataloging workflow
  1. Batch process ProQuest records
  2. Enhanced and corrected by catalogers
  3. Batch derive records for print and microfiche
Possible adaptations

- Batch-derive from print to electronic
  - Hathi Trust records
    - Text-delimited file with OCLC no. & “volume identifier” pair
    1. Batch search records of print version by OCLC no. in ILS or Connexion
    2. Batch derive from print records
    3. OCLC no. as match point → plug-in the “volume identifier” in new record
    4. Create URL by appending “volume identifier” to handle prefix (http://hdl.handle.net/2027/)
Reflections

- Unique identifiers vital for matching
  - Copied ISBN and UMI no. from ProQuest records
- Effective matching requires familiarity of source data → normal pattern & exceptions
- Efficiency of perfecting XSLT to cover all exceptions??
Questions?

Lucas Mak
makw@mail.lib.msu.edu