

5.4 Access Services

5.4.1 General Circulation (25%)

The system:

- ___ 5.4.1.1 provides circulation backup capability when system is down.
- ___ 5.4.1.2 provides recovery and processing of backup transactions when system access is restored.
- ___ 5.4.1.3 accommodates very complex yet easily modified and maintained circulation policies and parameters including multiple levels of control such as systemwide, institutional, and library unit.
- ___ 5.4.1.4 accepts patron records in machine-readable form for initial database creation and periodic updates. Describe ability to interface with other databases to exchange patron data. Can updates be executed on a daily basis?
- ___ 5.4.1.5 provides for patron data transfer from university records. Explain how.
- ___ 5.4.1.6 allows creation of and updates to patron records, either manually or by batch load.
- ___ 5.4.1.7 allows all circulation parameters to be library specific.
- ___ 5.4.1.8 accommodates circulation parameters based on patron type, item type, and library unit. Indicate the number of different patron types, item types, and library units supported. Explain how the system determines which loan policy prevails if there is an operator override of automatic functions.
- ___ 5.4.1.9 is table driven and allows circulation policy tables to be easily constructed and modified by authorized library staff. Modifications become effective immediately.
- ___ 5.4.1.10 provides loan rule options or control, including, but not limited to:
 - hourly loan periods with or without overnight privileges
 - daily loan periods
 - absolute loan periods due on a certain date regardless of checkout date and applicable to user categories specified by the library
 - loan periods that adjust a due date to not longer than the patron privilege expiration date
 - loan limits (number of items which can be checked out)
 - renewals
 - renewal limits
 - hold/recall status (whether a hold/recall may be placed depending on patron type, item type, or library location)
 - number of overdue and fine notices
 - timing of overdue and fine notices
 - text of overdue and fine notices
 - text of hold available notices
 - text of recall notices
 - rush recall for reserve
 - fine grace periods
 - fine rates and time lengths (including different fine rates for recalled and reserve items)
 - default replacement costs when not specified in item records
 - processing fee

- timing of billing notices
- text of billing notices
- ability to print notices on demand
- library unit-controlled notices

- _____ 5.4.1.11 reconciles on-line-created patron and item records against all tables.
- _____ 5.4.1.12 provides an on-line calendar that accommodates a very complex schedule including adjusting loan periods for holidays and closed library hours. An authorized library operator is able to create and modify calendar. Calendar is library unit specific.
- _____ 5.4.1.13 provides a real, historic calendar that functions accurately in conjunction with fines calculations and provides the option for not charging fines for days the library is closed. Does it maintain an audit history of calendar tables?
- _____ 5.4.1.14 supports both 14-digit and 16-digit (bank) numbers, including check digits, as interchangeable patron numbers.
- _____ 5.4.1.15 supports the normalizing of patron and item numbers, removing spaces or punctuation before processing.
- _____ 5.4.1.16 supports bank magnetic and smart card standards.
- _____ 5.4.1.17 supports auto-complete of 14-digit item numbers where only 9 or fewer digits are entered into the system and the system adds the appropriate institutional prefix with zero padding, and the system verifies the resulting 14-digit number with the check digit.
- _____ 5.4.1.18 verifies check-digits on manually input as well as scanned barcodes including the modulus 10 (MOD10) scheme.
- _____ 5.4.1.19 is fully integrated with easy access between all system files, for example between user record and financial record.
- _____ 5.4.1.20 allows jumping from one circulation function to another (e.g., checkout to patron record) without re-keying the patron ID.
- _____ 5.4.1.21 permits an item to be withdrawn without disturbing the circulation audit trails.
- _____ 5.4.1.22 supports patron file security by location or IP address, in addition to password

5.4.2 Circulation Control (25%)

The system:

- _____ 5.4.2.1 allows entry of borrower and item identification by scanner or keyboard entry.
- _____ 5.4.2.2 provides audible and visual alert for unsuccessful transactions.
- _____ 5.4.2.3 limits and thresholds are re-checked every time an item ID is entered/processed during checkout and renewal.
- _____ 5.4.2.4 automatically displays patron and item information as determined by the library including options to display patron name, patron barcode, patron address, item barcode, any reasons for blocks, item title, and due date/time slip.
- _____ 5.4.2.5 allows authorized library operator to assign due date at checkout when needed.
- _____ 5.4.2.6 allows for checkout/checkin at any library regardless of home library. Explain what rule set is used in this situation. Explain fine/bill implementation in this situation.

- ___ 5.4.2.7 will not checkout items that are non-circulating and alerts the operator both visually and audibly; requires operator acknowledgment before proceeding.
- ___ 5.4.2.8 includes automatic (system) blocks for:
 - library ID has expired
 - library ID has been blocked
 - loan threshold has been exceeded
 - renewal threshold has been exceeded
 - too much money owed. Indicate if the system is able to accommodate different thresholds for different patron types, item types, and library locations.
 - Overdue recalled items
- ___ 5.4.2.9 allows authorized library staff to manually block patrons with ability to enter an explanatory note.
- ___ 5.4.2.10 allows authorized library staff to override any block affecting local transactions.
- ___ 5.4.2.11 allows creation of temporary item record and permits checkout. Temporary item record has the following access points: item ID (barcode), call number, author, and title. List additional access points.
- ___ 5.4.2.12 allows temporary item record to be linked/attached to a full record without losing or changing the in-circulation transaction information.
- ___ 5.4.2.13 alerts operator when attempting checkout for an item already in circulation; requires acknowledgment by operator before proceeding.
- ___ 5.4.2.14 allows renewals of items and renewal limits depending on patron type, item type, institution and library location.
- ___ 5.4.2.15 allows global renewal of all items on loan to one person or specified subset (institution, library, service unit) of all items.
- ___ 5.4.2.16 allows operator to assign new due date of renewed item when needed.
- ___ 5.4.2.17 allows override of renewal limit by authorized library staff.
- ___ 5.4.2.18 blocks renewal when the item has a hold.
- ___ 5.4.2.19 allows option for checkout/checkin of items that do not have barcodes.
- ___ 5.4.2.20 allows temporary relocation of item to a different unit or location.
- ___ 5.4.2.21 checks in items by scanner and keyboard entry.
- ___ 5.4.2.22 gives the operator the option to print a receipt of returned items for patron.
- ___ 5.4.2.23 alerts the operator when items are checked in, requires operator acknowledgment before proceeding, and prints a routing slip for the following conditions:
 - on hold
 - not returned to "home" institution (creates a transit slip)
 - needs cataloging review
 - temporary item record; needs cataloging review
 - needs circulation review
 - item has been billed for replacement
 - item had been missing
 - needs number of pieces review
 - recalled
 - needs preservation review
- ___ 5.4.2.24 allows operator to modify transaction date and time of checkin prior to current date/time.

- ___ 5.4.2.25 allows holds to be placed (either by title so that the first available copy satisfies the hold or by specific copy or item)
- ___ 5.4.2.26 allows authorized staff to override holds.
- ___ 5.4.2.27 allows holds to be placed on items that are "in process".
- ___ 5.4.2.28 automatically blocks placing a hold/recall for patrons with any outstanding blocks and provides a meaningful patron message explaining the block.
- ___ 5.4.2.29 automatically blocks patrons from placing multiple holds on the same item and provides a meaningful patron message explaining the block.
- ___ 5.4.2.30 allows holds to be placed depending on patron type, item type, and library location.
- ___ 5.4.2.31 allows operator to determine pickup location for holds as defined by local policy.
- ___ 5.4.2.32 allows placement of recalls depending on patron type, item type and library location.
- ___ 5.4.2.33 allows operator to determine pickup location for recalls as defined by library policy.
- ___ 5.4.2.34 allows rush recall as defined by local policy.
- ___ 5.4.2.35 allows reordering of hold queue by authorized library staff EXCEPT that a patron cannot be removed from the head of a hold queue after being notified of item availability.
- ___ 5.4.2.36 allows default system-assigned cancel date for holds.
- ___ 5.4.2.37 allows operator to cancel holds.
- ___ 5.4.2.38 monitors the length of time item sits on hold shelf and generates a report to alert staff to cancel holds after library-defined period.
- ___ 5.4.2.39 allows authorized library staff to change the status of an item to "lost" or "claimed returned". Indicate if a staff note regarding the status can be added.
- ___ 5.4.2.40 stops the automatic production of overdue notices for items with "claims returned" or "lost" status until situation is resolved.
- ___ 5.4.2.41 allows default system-assigned cancel date of "claimed returned" status items.
- ___ 5.4.2.42 accurately calculates and displays fine at time of checkin, including calendar adjustments.
- ___ 5.4.2.43 allows operator to access the patron's fine and payment record. Fine record stores data, including, but not limited to author, title, call number, item barcode, date/time checked out, date/time checked in, calendar adjustments, and amount overdue.
- ___ 5.4.2.44 determines fines by patron type, item type, institution, and library location.
- ___ 5.4.2.45 allows authorized library staff to waive part or all assigned fines affecting local transactions.
- ___ 5.4.2.46 allows authorized library staff to access patron records and allows patron file to be accessed by patron name, barcode, social security number, or some other identifier defined by the library.
- ___ 5.4.2.47 provides patron records which include but are not limited to:
 - patron name
 - patron social security number
 - library-defined identifier
 - 14-digit or 16-digit identifier Support both 14 character (old CLSI standard) and 16 character (Bank ISO standard) patron numbers interchangeably?
 - patron barcode
 - primary and alternate addresses
 - primary and alternate phone numbers
 - e-mail address

- patron type
 - statistical category
 - department
 - creation date
 - expiration date
 - date of last update
 - large free text note fields which display to the patron and staff or to staff only
- ___ 5.4.2.48 allows for multiple patron records and/or profiles for a particular patron within one patron file.
- ___ 5.4.2.49 allows printing of a patron record including all currently checked out items, holds, fines, and bills.
- ___ 5.4.2.50 allows each library to select whether notices are printed locally or centrally.
- ___ 5.4.2.51 allows each service unit to determine the format and text of all notices.
- ___ 5.4.2.52 allows the option to send some or all notices via e-mail.
- ___ 5.4.2.53 detects, recovers, and provides alerts for e-mail returned “user unknown”.
- ___ 5.4.2.54 generates notices automatically as determined by library-defined parameters, including, but not limited to:
- overdues
 - fines
 - replacement
 - recall
 - hold availability
- ___ 5.4.2.55 allows operator to print or e-mail notices on demand.
- ___ 5.4.2.56 allows checkout of non-traditional items (e.g., equipment and rooms).
- ___ 5.4.2.57 supports media booking.
- ___ 5.4.2.58 exports fine and bill records in machine-readable format (e.g., to bursar's office or to a collection agency). Describe the machine- readable format(s) supported. Describe capabilities to load machine-readable data from these agencies that report fines/bills collected.
- ___ 5.4.2.59 exports credits/waivers in machine-readable format for transactions already exported.
- ___ 5.4.2.60 imports payment records in machine-readable format and satisfies charges on local system.
- ___ 5.4.2.61 allows the replacement billing cost to be determined from acquisitions file information, specific input, or system default parameters. Explain the default price options.
- ___ 5.4.2.62 provides a client that will automatically search a database (like Books in Print) for the current price of a book without rekeying data.
- ___ 5.4.2.63 supports the ability to have fines accrue independently of when an item is billed.

5.4.3 Reserves (includes electronic reserves) (15%)

The system:

- ___ 5.4.3.1 allows operator to easily transfer an item to a Reserve location and remove in transit block.

- ___ 5.4.3.2 allows operator to place items on Reserve that are not in the catalog database.
- ___ 5.4.3.3 supports begin/end dates for reserve items during which the reserve policy prevails. Outside of these dates, the previous location and circulation policy prevail.
- ___ 5.4.3.4 allows reserves to be processed at the list level.
- ___ 5.4.3.5 allows reserves to be expired and/or carried forward to the next term at the list level without handling each item.
- ___ 5.4.3.6 allows global removal of a subset of all items from Reserve status for a particular course Reserve list based on end-of-semester date.
- ___ 5.4.3.7 allows items on a list to be automatically recalled, if appropriate, upon activation of the list.
- ___ 5.4.3.8 allows separate item statistics to be maintained while an item is on reserve for a given period (term); statistics for each list can be emailed.
- ___ 5.4.3.9 uses the same skills and commands to search for reserves as one would use to search the regular OPAC.
- ___ 5.4.3.10 displays Reserve status in OPAC.
- ___ 5.4.3.11 allows searches in the OPAC using course or instructor arguments to toggle the session into the reserve mode.
- ___ 5.4.3.12 allows items viewed in reserve mode to toggle to the OPAC view to see if other copies are available elsewhere in the library.
- ___ 5.4.3.13 allows electronic reserves to be scanned, stored on a server, and to produce a record with appropriate links.
- ___ 5.4.3.14 Supports security at the document level for electronic reserves. Describe.
- ___ 5.4.3.15 supports access to Reserve materials through multiple access points including, but not limited to:
 - instructor name
 - course name
 - course number
 - item title
- ___ 5.4.3.16 accommodates variable hourly, overnight, and daily loan periods. Describe how the system handles several different hourly loan periods at a single library.
- ___ 5.4.3.17 accommodates Reserve fine rates depending on patron type and length of Reserve loan period.
- ___ 5.4.3.18 allows instructor to submit Reserve list requests via system and/or email.
- ___ 5.4.3.19 generates picking lists of items still in the reserve location but no longer on reserve.
- ___ 5.4.3.20 has an electronic reserve system component. Describe functionality, system requirements, copyright compliance management, hyperlinking capability, and use statistics production.

5.4.4 Interlibrary Loan (10%)

The system:

- ___ 5.4.4.1 has a fully operational Interlibrary Loan Module.

- ___ 5.4.4.2 can interface with ILL management software provided by third-party vendors. *(Explain how and specify vendors and institutions that are in production.)*
- ___ 5.4.4.3 supports established interlibrary loan standards, including ANSI/NISO and ISO standards.
- ___ 5.4.4.4 supports patron initiated ILL requests from the OPAC using bibliographic data electronically derived from Z39.50 compliant databases, and particularly journal citation databases.
- ___ 5.4.4.5 allows electronic searching, requesting and receiving with other systems, including but not limited to, OCLC, RLIN, and DOCLINE.
- ___ 5.4.4.6 provides for multiple potential lenders on a request record and has the ability to forward the request from one system to another without rekeying the request.
- ___ 5.4.4.7 verifies interlibrary loan eligibility based upon a patron profile.
- ___ 5.4.4.8 provides automatic electronic notification to the patron of status of active requests.
- ___ 5.4.4.9 patron confidential online access to all ILL requests, including present and past transactions.
- ___ 5.4.4.10 maintains interlibrary loan statistics and produces management reports based on criteria established by the local library, including but not limited to, transaction number and patron and request data.
- ___ 5.4.4.11 allows for electronic transmission of interlibrary loan request information and electronic forwarding capabilities between multi-campus and /or multi-institutional libraries.
- ___ 5.4.4.12 provides customized printing capability for labels, bands or barcodes.
- ___ 5.4.4.13 displays an institution specified copyright compliance notice before allowing a request to proceed and produces a copyright compliance report for items requested.
- ___ 5.4.4.14 provides the ability to initiate invoices/charges to users and libraries through the LMS, including the maintenance of documentation.
- ___ 5.4.4.15 provides the ability to record and pay invoices from other libraries and services through the LMS, including maintenance of documentation.
- ___ 5.4.4.16 uses pseudo patron numbers (for lending materials to other libraries) that do not conflict with social security or university ID numbers.

5.4.5 Patron Initiated Transactions (15%)

The system:

- ___ 5.4.5.1 provides a real-time, non-mediated, circulation request function within a multi-campus, multi-institutional environment. The SUS will accept proposals that do not require double maintenance of patron or item data.
- ___ 5.4.5.2 supports the ability of any SUS student, faculty, or staff to request items from any SUS library and for each library to lend library materials to any student without the need to re-enter any patron data. Each library's circulation policies will determine the loan privileges for all SUS borrowers. Describe how the system tracks items loaned to other libraries in the consortium.

- ___ 5.4.5.3 allows patron self-checkout. Explain any third party hardware/system requirements and capabilities.
- ___ 5.4.5.4 provides a Web-based request system that fills the request forms with appropriate patron and bibliographic information. (ILL, Reserves, etc.)
- ___ 5.4.5.5 allows patron access to their borrowing records and the ability to sort records by different fields (title, author, due date, etc.) and email the resulting list.
- ___ 5.4.5.6 allows patron-initiated renewals, holds, and recalls.
- ___ 5.4.5.7 allows patron-initiated traces from within the library facility.
- ___ 5.4.5.8 allows patron to enter a temporary change of address for library defined transactions.
- ___ 5.4.5.9 provides real-time charge and discharge of library materials to all users.
- ___ 5.4.5.10 provides for a load-balancing algorithm for directing, delivering, and managing requests.
- ___ 5.4.5.11 provides for the ability to collect all fines and fees owned by a particular user system-wide in one place (e.g., with the patron record at the user's "home" library).

5.4.6 Inventory Control (5%)

The system:

- ___ 5.4.6.1 supports a means to electronically inventory the collections with hand-held barcode scanners.
- ___ 5.4.6.2 supports loading of inventory data into the system for comparison against the database and the transaction files to identify missing items.
- ___ 5.4.6.3 produces reports of missing items.
- ___ 5.4.6.4 produces reports of misshelved items, showing where they have been misshelved.
- ___ 5.4.6.5 automatically dates the item record for each correctly inventoried item.
- ___ 5.4.6.6 produces a report of all barcoded items on the shelf which do not have corresponding item records and shows where they are shelved.
- ___ 5.4.6.7 supports the ability to automatically value the collection (for insurance purposes) using pricing from acquisitions records, replacement cost assignments, and default price parameters.
- ___ 5.4.6.8 supports the production of an annual summary of number and value, and listing of materials lost/missing/withdrawn during a given time period.
- ___ 5.4.6.9 supports reporting the total titles, total volumes/pieces in the collection.
- ___ 5.4.6.10 can automatically initiate re-order acquisitions records for lost, missing, and billed items.
- ___ 5.4.6.11 supports audit trails and the ability to reconcile anomalies in accordance with State statutes.
- ___ 5.4.6.12 has been CPA certified for standard business practice.
- ___ 5.4.6.13 maintains and retains audit trails for all transactions resulting in financial obligations, regardless of other privacy issues.
- ___ 5.4.6.14 permits access to audit trail history by social security number.

5.4.7 Management (5%)

The system:

- ___ 5.4.7.1 maintains patron use statistics for inter- and intra- institutional library transactions.
- ___ 5.4.7.2 maintains separate statistics for items checked out, items checked in, and items browsed.
- ___ 5.4.7.3 provides use statistics by call number (e.g. North American Title Count). Provide ability to define call number categories locally.
- ___ 5.4.7.4 provides statistical reports and audit trails. List types of statistical reports available and audit trails.
- ___ 5.4.7.5 is flexible in extracting information with local and centralized access to develop reports as needed.
- ___ 5.4.7.6 provides a CPA certified accounting system with accounts receivables and payables functions.
- ___ 5.4.7.7 provides control at the patron account level for summary and detailed listing of obligations, both open and closed (historical).
- ___ 5.4.7.8 provides the ability to reconcile the library's financial system with the campus ledger system.
- ___ 5.4.7.9 provides documentation and audit trails.
- ___ 5.4.7.10 links each financial obligation to documentation which includes a "snapshot" of data at the time of the transaction, providing an audit trail and supporting documentation that is not compromised when bibliographic records or tables are changed.
- ___ 5.4.7.11 provides invoicing, statement production, and collection agency reports for all accounts receivables.
- ___ 5.4.7.12 provides the ability to pay other libraries when presented with an invoice.
- ___ 5.4.7.13 supports cashiering services including cash drawer reconciliation, providing receipts, and full audit trails.
- ___ 5.4.7.14 supports the ability to interface with banks to process payment through the use of credit/debit cards.
- ___ 5.4.7.15 supports the dynamic transfer of charges, credits and refund requests to the campus (bursar's) office. Explain how this is accomplished.
- ___ 5.4.7.16 utilizes a unique number for every financial obligation that can be searched and matched through the LMS; supports line items when there are more than one itemized parts of the obligation.
- ___ 5.4.7.17 provides capability to offload archive financial transactions and documentation.
- ___ 5.4.7.18 provides indexes to that data by transaction number, patron ID number, patron social security number.
- ___ 5.4.7.19 supports extraction of data to spreadsheets.