

5.2 Cataloging and Database Maintenance

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5.2.1

General & Standards

The system:

- _____ 5.2.1.1 maintains each library's individualized bibliographic data with separate profiles and security configurations.
- _____ 5.2.1.2 supports separate processing units within a shared bibliographic database if desired by a library.
- _____ 5.2.1.3 indicates the existence of other, related records to staff. Explain the record structure in terms of how the various record types relate to each other. For example, if a title has a MARC21 bibliographic record or holdings record, an order record, multiple copies, and item records, how are these associated with each other?
- _____ 5.2.1.4 automatically enters enough "brief" identifying information from a bibliographic record in related records without staff having to retype it.
- _____ 5.2.1.5 supports the automatic update of "brief" title information in all related records when a change is made to the bibliographic record.
- _____ 5.2.1.6 allows acceptance of brief or incomplete bibliographic records, most likely created at the ordering stage.
- _____ 5.2.1.7 supports easy movement among all modules (functions). Describe.
- _____ 5.2.1.8 supports individual user access to all authorized functions with one secured logon. If not, describe how access is achieved.
- _____ 5.2.1.9 supports standard statuses (such as "in processing," "available," etc.) and the ability for libraries to define additional statuses.
- _____ 5.2.1.10 supports full compliance with all MARC21 Formats in a timely manner. How are updates implemented?
- _____ 5.2.1.11 allows and displays all current and former MARC21 fields, tags, subfield codes, indicators and delimiters (including all which are repeatable). If not, list any fields, tags, subfield codes, indicators or delimiters not supported.
- _____ 5.2.1.12 imposes no limits on the record length, field length, or subfield length (other than those consistent with MARC21). If any such limits do exist, describe them and indicate whether they are library or system defined.
- _____ 5.2.1.13 generates clear and context-specific error messages for invalid use of fields, tags, subfield codes, indicators, and delimiters, from direct input and from batch loaded records.

5.2.2

Import and Export

The system:

- _____ 5.2.2.1 supports the dynamic transfer of bibliographic and authority records from bibliographic utilities such as OCLC and RLIN as well as vendor files, CD-ROMs, and other available sources.
- _____ 5.2.2.2 supports locally managed library defined resource files (i.e., local and LC resource files). If not, describe how this type of resource is accommodated.
- _____ 5.2.2.3 supports the overlay of existing bibliographic and authority records. Describe the default and/or minimum amount of information needed to support an overlay and the fields that need to be matched to permit an overlay.
- _____ 5.2.2.4 allows the library to define fields which will generate an overlay without programmer intervention.
- _____ 5.2.2.5 allows library to define specified fields on an existing bibliographic or authority record to be protected (without programmer intervention) when that record is being overlaid by another record. What is the technique used to identify the fields or subfield information to be protected?
- _____ 5.2.2.6 supports the transfer of bibliographic, authority, and holdings records into and from the system as individual records and as files (tape or FTP, etc.) in MARC21 format with load programs. Describe any upper limit on file sizes. Describe what reports are generated by load process.

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- _____ 5.2.2.7 allows batch loading of such records without interrupting other system use. If this is not possible, describe how the procedure is handled and any dedicated hardware or software needed for this process.
- _____ 5.2.2.8 supports duplicate detection for record loads. Describe whether the operator can override this.

5.2.3 Indexing & Call Numbers

The system:

- _____ 5.2.3.1 supports dynamic indexing of all MARC21 fields, including authority fields and the following standard numbers:
 - LCCN (010)
 - ISBN (020)
 - ISSN (022)
 - Standard recording number (024)
 - Standard technical report number (027)
 - Music publisher number (028)
 - CODEN* (030)
 - System control number (former system and current system, OCLC, etc. numbers),Describe the structure of the search displays. Provide examples of guide and/or index screens. Describe how dynamic keyword indexing of fields works.
- _____ 5.2.3.2 supports a browse search that searches all indexes (authority and non-authority controlled) that is not keyword, i.e. the old dictionary catalog search.
- _____ 5.2.3.3 supports full search functionality that is the same in staff and public modes, including individual indexes (author, title, subject, etc.) Also supports keyword access and indexing down to the indicator and subfield levels. List all fields, subfields, and/or indicators that are not supported by dynamic indexing.
- _____ 5.2.3.4 supports search qualification by format.
- _____ 5.2.3.5 supports display of the search key in the staff side.
- _____ 5.2.3.6 supports the direct connection from the 856 field in the OPAC record to the Internet resource.
- _____ 5.2.7.7 supports a logical indexing of uniform titles. Explain the indexing of uniform titles. Are they segregated in a separate index or are they naturally integrated with other titles? If the former, where does that separate index fall?
- _____ 5.2.3.8 supports integration of series into title index. Displays series numbering in correct numerical order within series titles.
- _____ 5.2.3.9 supports searching of selected multiple databases in one search request.
- _____ 5.2.3.10 supports search history display, revision, and combination in the staff side.
- _____ 5.2.3.11 allows the library to configure, as a default, the maximum number of records that could be retrieved by a search. Note any upper limit in search retrieval numbers.
- _____ 5.2.3.12 supports unlimited search string indexing. If not, describe any limits.
- _____ 5.2.3.13 allows for search indexes to be defined by the individual library.
- _____ 5.2.3.14 allows indexing of brief or incomplete records. How are these identified in index display in staff mode?
- _____ 5.2.3.15 imposes no limits on the number of indexed fields for a single bibliographic, authority, or holdings record.
- _____ 5.2.3.16 does a stop list of words exist? Can it be overridden on the staff side, if requested?
- _____ 5.2.3.17 supports optional indexing of special characters (musical sharps/flats, +, &, etc.)
- _____ 5.2.3.18 supports the ability to search authority-controlled, library-defined identifiers that can be both system generated, based on data in the fixed and variable fields of the bibliographic record, and added by library staff at any time. Examples include Internet resource, periodical, microform, reference, and various special

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collections. This may involve combining values in the fixed field, |\$v in 6xx fields, or 655 genre headings.

- _____ 5.2.3.19 supports searching restricted to a partition or a specific location.
- The system:
- _____ 5.2.3.20 supports indexing of various classification schemes, including, but not limited to:
- LCC
 - SuDocs
 - NLM
 - Local
 - Free-text
 - Dewey
- _____ 5.2.3.21 supports full call number indexing. Provide examples of call number search displays for each of the call number categories in 5.2.4.1.
- _____ 5.2.3.22 returns an appropriate surrounding range of call numbers if the searched base number is unused.
- _____ 5.2.3.23 supports a "true" shelflist." In other words, supports an index presentation in call number order containing brief main entry and/or title information to allow easy shelflisting of new titles. Is it possible to also display the first assigned subject heading?
- _____ 5.2.3.24 supports linking to LC resource file of call number records or online classification schedule. Describe any error reporting for call numbers.
- _____ 5.2.3.25 supports reporting of call numbers new to the library catalog where new is defined as first time use of LC or Dewey base classification number.
- _____ 5.2.3.26 provides record counts by call number and location.

5.2.4 Data Entry and Printing

The system:

- _____ 5.2.4.1 supports full Windows desktop functionality including: full screen editing, word processing capabilities, clipboard capable of holding multiple segments for pasting (capability now in Office2000); screen use of scrap text that can be dragged from desktop to editing screen; ability to cut, copy and paste multiple fields non-contiguous on a record and from outside databases ; keyboarding functions that parallel mouse functions.
- _____ 5.2.4.2 allows easy insertion of tags and data into their proper positions in the MARC21 record.
- _____ 5.2.4.3 performs bibliographic and authority record verification against the MARC21 tables upon input. Describe. Can verification process be defined to work with batch-loaded records ?
- _____ 5.2.4.4 allows cataloger-determined order of tags within a level of tagging (4XX, 5XX, 6XX, 7XX).
- _____ 5.2.4.5 supports screen printing and printing of specific screen elements that can be defined by each library.
- _____ 5.2.4.6 supports full bibliographic and authority record printing.
- _____ 5.2.4.7 supports batch record printing.
- _____ 5.2.4.8 supplies full and current system documentation in online form. Is some of this in pop-up lists, menu choices, help screens that are context sensitive?
- _____ 5.2.4.9 provides formatted templates and default values for online data entry. Also supports creation (and modification) of customized templates.
- _____ 5.2.4.10 allows the creation of macros—some system-wide and some individualized for continuous or short-term duration. Describe.
- _____ 5.2.4.11 supports the explosion of fixed fields into mnemonically tagged fields for ease of data entry and editing.
- _____ 5.2.4.12 allows the changing of a format of a bibliographic record, e.g. changing a book record to a serial record.
- _____ 5.2.4.13 allows the locking of a record while it is being edited

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- _____ 5.2.4.14 supports (accepts, edits, stores, retrieves, and displays) the entire ALA character set, including diacritics. List any ALA characters, diacritics, or the musical sharp, which do not display accurately.
- _____ 5.2.4.15 supports accurate "cut and paste" of diacritics.
- _____ 5.2.4.16 supports a spell check function in multiple languages with options to turn off and add to dictionary. What languages included?
- _____ 5.2.4.17 supports label printing, including periodical issue labeling. Describe.

5.2.5

Maintenance and Item records

The system:

- _____ 5.2.5.1 supports dynamic suppression/masking of bibliographic records and all associated records.
- _____ 5.2.5.2 supports dynamic reversal of the suppression/masking of records.
- _____ 5.2.5.3 supports link checking software, or otherwise provides error reports of broken links.
- _____ 5.2.5.4 allows true physical deletion of bibliographic and authority records
- _____ 5.2.5.5 supports record purges by library defined parameters.
- _____ 5.2.5.6 supports the ability to delete and undelete records (before they are physically purged from the system)
- _____ 5.2.5.7 blocks record deletion if a connection to another record is present, for example, a circulating item, or an active order.
- _____ 5.2.5.8 provides a save or training file.
- _____ 5.2.5.9 supports a display of the public record in staff mode.
- _____ 5.2.5.10 supports a find and replace capability to correct bib and authority records.
- _____ 5.2.5.11 contains in the item record information, including, but not limited to:
 - item identification number (barcode)
 - author and title
 - date of publication
 - location
 - temporary location
 - call number
 - enumeration/chronology data
 - midspine (further identifying) data
 - date last used
 - inventory date
 - creation date
 - current status
 - use counter
 - piece counter
 - review flag
 - notes visible to patrons or staff only (Describe any limitations to the size of such notes).List any additional information included.
- _____ 5.2.5.12 makes available information about an item's status by searching the item ID number (barcode).
- _____ 5.2.5.13 allows display of the temporary location in the OPAC.
- _____ 5.2.5.14 allows a summary display of all item records showing temporary location and/or status.
- _____ 5.2.5.15 supports attachment of single item to multiple bib (e.g., bound-withs). Describe any limitations, including what happens if the same barcode is entered in error on multiple bib records.
- _____ 5.2.5.16 allows online error checking and validation of barcodes. Describe whether duplication alert can be overridden (as for bound-withs described in 5.2.5.15).
- _____ 5.2.5.17 reports barcode duplication both manually input and in batch mode. Describe.

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- _____ 5.2.5.18 allows manual update, overlay, and/or batch overlay of bibliographic data on records with attached items checked out. Describe any limitations, including any alerts that occur when two unrelated titles are overlaid.
- _____ 5.2.5.19 allows a virtually unlimited number of item records to be attached to a single bibliographic record. If this is not the case, describe the limitations.
- _____ 5.2.5.20 allows the item record to be moved to a different bibliographic record or have other maintenance actions performed to it while circulation transactions are present. Describe any limitations imposed on item record maintenance.
- _____ 5.2.5.21 allows multiple item records to be moved at one time.
- _____ 5.2.5.22 supports resequencing of item records. Describe any limitations the system imposes on this.
- _____ 5.2.5.23 supports date of bib or authority record creation into the system as well as an additional date(s) to track subsequent changes.
- _____ 5.2.5.24 supports 'canned message' option.
- _____ 5.2.5.25 supports action date fields. Also on holdings records.
- _____ 5.2.5.26 supports local changes to public location code displays.
- _____ 5.2.5.27 supports change of location by call number span.

5.2.6 Authorities

The system:

- _____ 5.2.6.1 allows an authority record for each authorized heading. Explain the structure of the authority control function and how the authority records interact with the bibliographic records. Describe if an authority record is required for each authorized heading. Describe whether an integrated display of authorities and bibliographic records is possible. Is it possible to retrieve only a display of authority records.
- _____ 5.2.6.2 provides verification of authority-controlled headings on a bibliographic record against the authority file(s) headings. Specify how detailed this report is. It should detect the following: |x Latin America and |v Periodicals? Does it detect differences in diacritics, capitalization, punctuation, tagging, etc.?
- _____ 5.2.763 supports one authority record for occurrence of a heading in various indexes (separate author and subject indexes).
- _____ 5.2.6.4 supports separate indexes for multiple thesauri, such as LCSH and MeSH. Describe how conflicts between LCSH and MeSH are handled and displayed in the OPAC.
- _____ 5.2.6.5 supports authority files to be shared by libraries while providing the option for creating and maintaining local authority files. In both a shared environment as well as a local environment, describe how the generated references are controlled so that a local catalog shows only see and see also references appropriate for the bibliographic items in that catalog. Describe **how the use** coding for the authority is displayed in staff mode.
- _____ 5.2.6.6 permits restrictions on authority record searches by kind of authority record, heading use (name, subject, or series), tag of authority record, or heading system/thesaurus.
- _____ 5.2.6.7 permits existing and new authority records to automatically create "See", "See Also" and "Explanatory/Scope references" in both OPAC and staff modes. Describe how this is accomplished.
- _____ 5.2.6.8 allows the automatic suppression of blind references from the OPAC, but allows for such display in staff mode through the use of |w in authority 4xx fields.
- _____ 5.2.6.9 allows authority records that are not linked to any bibliographic heading, for example, series-like phrase records, base conference heading records, subdivision records, and general reference records. Describe the display in staff mode. Would an authority be deleted if there was not a bibliographic record to support it, and if so, is there a cataloger prompt before this is activated?

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- _____ 5.2.6.10 provides keyword indexing limited to authority records for use in assigning correct headings in cataloging and public use searches
- _____ 5.2.6.11 allows for staff notes in authority records.
- _____ 5.2.6.12 supports input of local authority records and/or local authority files. Be able to identify local authority records in an index and retrieve reports of local authorities for review.
- _____ 5.2.6.13 supports the creation of a new local authority record from a specified field of a bibliographic record bringing in the appropriate data for specific authority fields.
- _____ 5.2.6.14 provides online reporting of duplication in 1xx and 4xx of any newly input or changed authority against the existing authority file.
- _____ 5.2.6.15 supports scheduled processing of new and dropped bibliographic headings against individual authority files and against a shared resource authority file for authority record selection and/or copying into local database. Provides listing and report of matched headings and unmatched headings. Describe in detail. Can this process be run retrospectively to select authorities that postdate the first occurrence of a bibliographic heading in the database?
- _____ 5.2.6.16 flags unauthorized bibliographic and authority headings for review and/or reporting. Describe this conflict reporting in detail.
- _____ 5.2.6.17 supports global update functionality for headings, subdivisions, and strings of characters. Indicate if global change capabilities are limited to specific fields. Also indicate whether matching fields, subfields, and strings can be deleted, and whether any indicators and subfield letters remaining by themselves are automatically removed. Provide detailed documentation of global change functionality. Also is this function capable of being used to add a standard field to every record in a retrieved file, such as a 500 note or an added entry?
- _____ 5.2.6.18 supports scheduled processing of new LC, NACO, and MeSH authorities into shared resource file. Provides replacement/report of changed LC authorities for the individual databases. A change to an authority record could cause the corresponding change in all bibliographic records, if approved by individual libraries. Can this process be capable of protecting local fields added to the record that are indicated with a \$5 (NUC) code as well as keeping any staff note fields? Describe in detail this process. Can it be customized to provide varying levels of information such as changes in Fixed Field elements, changes in 1xx fields, additions of 5xx fields, etc.?
- _____ 5.2.6.19 supports services of third-party authority control vendors. Address issues including, but not limited to the electronic transfer of library identified bibliographic records/headings to an authority control vendor for editing; the overlay of bibliographic records/headings edited by the authority control vendor on appropriate records in the system; and the overlay of authority records in the system with updated records supplied by the authority control vendor. Provide the names of all authority control vendors that have worked with the system's vendor to create appropriate interfaces.