

Environment

3.1.1 Shared Cataloging Environment

The Florida SUS Library consortium includes individual libraries (with and without branches) for each of the 10 universities. Independent law and health center libraries are associated with some of the universities. Each of the SUS libraries, and the law and health center libraries, operate autonomously with respect to the cataloging of library materials. Therefore, the library system needs to allow each participant library 1) to establish its own profiles, locations, sublocations; 2) to control use of the system through independent passwords and authorizations; 3) to control access to certain files and functions through independent passwords and authorizations; 4) to display and edit its own version of bibliographic and authority records; 5) to handle and display different call numbers for the same bibliographic item, both for a single location and for different locations.

3.1.2 Standards

The Florida SUS Library consortium is committed to cataloging according to current, established national standards. Does the system comply with all current MARC format standards for bibliographic, holdings, and authority data? Is the vendor committed to implementing updates to standards immediately upon release? Does the system support ANSI standards Z39.44, Z39.57, Z39.50? Does the system support USMARC Specifications for Record Structure, Character Sets, and Exchange Media (ALA Character Set) for both display and inputting?

3.2 User Interface

3.2.1 Input/Update/Edit Records

3.2.1.1 Is it possible to create and edit USMARC encoded bibliographic records with minimum keystrokes? Describe how.

Is it possible to change the format of an existing bibliographic record? (Betsy Simpson)

3.2.1.2 Is it possible to create and edit USMARC encoded bibliographic records with both MARC and label displays?

3.2.1.3 Does the system support multiple templates (sometimes known as workforms or prompt screens) for bibliographic records, each with predefined values for certain tags, indicators, subfield codes, coded elements, and/or data in variable fields that can be used as the basis for new records?

3.2.1.4 Can these templates be defined locally?

3.2.1.5 Can these templates be defined by individual staff members?

3.2.1.6 Is there any limit to the number of templates that can be defined?

3.2.1.7 Does the system supply Library-designated default values for indicators and subfields when a field is being added to an existing bibliographic record?

- 3.2.1.8 Does the system support cut/copy/paste and point/click methods of data entry?
- 3.2.1.9 Does the system provide spell checking? Specify for what languages.
- 3.2.1.10 Does the system provide text wrapping?
- 3.2.1.11 Does the system allow full screen editing?
- 3.2.1.12 Does the system require use of a mouse for inputting or editing?
- 3.2.1.13 Does the system allow easy inputting and editing, comparable to use of word processing software?

All changes made in any element of any record made in real time (not batched)? (Steve Fuquay)

Are software features of the system compatible with current and future versions of Windows? (Steve Fuquay)

- 3.2.1.14 Does the system allow the individual cataloger to customize the desktop?
- 3.2.1.15 Does the system provide memory aids **and online help (Kathie Goldfarb & Steve Fuquay)** for staff during data input (e.g., pop-up lists showing valid coded data)?

Are system labels self-evident (e.g. BIB stands for bibliographic, HOL for holdings, etc.) (Steve Fuquay)

- 3.2.1.16 Can memory aids be customized by the Library?
- 3.2.1.17 Can memory aids be customized by individual staff members?
- 3.2.1.18 Is there a single set of default memory aids for all forms of material, or are there format-specific aids?

Are there memory aid help screens and are they context sensitive? -- (From Kathie Goldfarb's e-mail message dated 1/19/1998)

- 3.2.2.1 For directly keyed records, does the system perform validation checks to identify obvious errors in all of the MARC content designation in bibliographic records (e.g., invalid values, missing data elements, multiple occurrences of nonrepeatable elements)?
- 3.2.2.2 Can the Library specify which validations are applied (within standards)?
- 3.2.2.3 Do users have to initiate a validation explicitly, or does the system perform the checks automatically?
- 3.2.2.4 Is it possible to exclude certain classes of records from validation (e.g., acquisitions records or locally defined accession records)?
- 3.2.2.5 Is it possible to override the result of validation checks on a case-by-case basis?
- 3.2.2.6 For directly keyed records, does the system perform validation checks to identify obvious errors in MARC coded values (e.g., language codes, geographic area codes)?

- 3.2.2.7 For online record creation and modification, does the system provide an online alert when a record fails to validate?
- 3.2.2.8 Does the system perform check-digit validation of ISBNs?
- 3.2.2.9 Does the system perform check-digit validation of ISSNs?
- 3.2.3.1 Is the system capable of confirming the existence of a corresponding record when a 76X-78X linking entry is made?
- 3.2.3.2 Is the system capable of validating Uniform Resource Locator (URL) links in 856 fields of bibliographic records? How?
- 3.2.4.1 Is it possible for staff to create, edit, and share data among multiple resource records at the same time (e.g., editing a bibliographic and an authority record simultaneously, or "copying" data from a CD or Internet resource to a local bibliographic or authority record)? How?
- 3.2.4.2 Does the system provide a mechanism to incorporate existing 1XX authority headings into bibliographic records when staff are editing or creating bibliographic records? Would the correct entry from a 1xx authority record automatically replace an incorrectly typed entry? (Linda Smith)
- 3.2.4.3 Is the system capable of retaining a specified order of fields and subfields within each 4XX, 5XX, 6XX, 7XX, 8XX block of a given bibliographic record (i.e., the order will vary from record to record)?
- 3.2.4.4 Is it possible to copy portions of an existing bibliographic record in order to create a new bibliographic record from a split screen?
- 3.2.4.5 Is it possible to copy an existing bibliographic record in order to create a new bibliographic record?
- 3.2.4.6 Is it possible to "merge" bibliographic records when they are deemed to represent the same entity?

Is a bibliographic record 'locked' when someone else is using it? (Betsy Simpson)

Is it possible to copy multiple fields gathered from a variety of sources to a 'clipboard' to be used multiple times in creating more than one bibliographic and/or authority record? (Nancy Williams)

Does the system allow staff to create macros? Describe the process. - K. Goldfarb

- 3.2.4.7 Is it possible for staff to copy or derive a bibliographic record/authority/holdings from one library within the system, or using Z39.50, from outside the system?

Is it possible for staff to copy (derive) a

**bibliographic record within a library database? --
K. Goldfarb**

3.2.5 Character Set Support for Bibliographic and Authority Records

- 3.2.5.1 Does the system support all the Latin script characters, diacritics, and special characters as documented in Tables 1-4 of the USMARC Specifications for Record Structure, Character Sets, and Exchange Media (see ALA character set in Glossary)?
- 3.2.5.2 Explicitly identify any Latin script characters, diacritics, or special characters from Tables 1-4 of the USMARC Specifications for Record Structure, Character Sets, and Exchange Media that are not currently supported by the system, and describe what would be necessary to add these.
- 3.2.5.3 Does the system support the import and export of MARC records with Latin script characters that conform to the following standards and character encoding technique:
 - 3.2.5.3.1 ANSI X3.4 (Code for Information Interchange (ASCII))
 - 3.2.5.3.2 ANSI Z39.47 (Extended Latin Alphabet Coded Character Set for Bibliographic Use (ANSEL))
 - 3.2.5.3.3 special superscript characters, subscript characters, and the three Greek symbols (alpha, beta, gamma) encoded in USMARC through a special technique documented in the USMARC Specifications for Record Structure, Character Sets, and Exchange Media?
- 3.2.5.4 Does the system support the input of USMARC character sets for the Latin script (as defined in 3.2.2.2 above) on commonly available hardware?
- 3.2.5.5 Describe the method by which diacritics and special characters are input/composed and edited.
 - 3.2.5.5.1 Does the system check for legal combinations of diacritics?
 - 3.2.5.5.2 Does the system reject illegal combinations?
- 3.2.5.6 For input and update, does the system display USMARC special characters and display diacritics accurately and usefully for the Latin script (as described above), (e.g., diacritics floating above/below or before/after the characters they modify), not represented by display character substitutes?
 - 3.2.5.6.1 How do diacritics display in relation to the character they modify?
- 3.2.5.7 Does the system have a print capability that accurately shows special characters and displays diacritics in a logical and useful manner in relation to the characters they modify in bibliographic and authority records?
 - 3.2.5.7.1 Identify any special hardware or software necessary for accurately printing special characters and diacritics contained in the ALA character set, including any recommended printers, code pages, fonts, etc.

- 3.2.5.8 Does the system support the USMARC encoding of the four non-Latin scripts documented in USMARC Specifications for Record Structure, Character Sets, and Exchange Media (i.e., Arabic, Hebrew, Cyrillic, Chinese-Japanese-Korean)?

Do the characters, diacritics, scripts display in the OPAC? If so, do they display in the same way as in the tech. side? If differently, how do they display? (Gerald Langford)

- 3.2.5.9 Does the system support Unicode encoding for the scripts listed above, including Latin and extended Latin, with the ability to import and export from and to the standard USMARC encodings?
- 3.2.5.9.1 Which non-Latin scripts in addition to those listed above does the system support?
- 3.2.5.9.2 For each non-Latin script supported (as identified in preceding questions), which character set encoding has the system implemented (e.g., USMARC Hebrew set, Unicode Thai subset)?

3.3 Searching/Indexing/Screen Displays/Navigation

- 3.3.1 Do the heading displays follow ALA Filing Rules for determining order of headings, esp. for subject headings that include author/title entries?
- 3.3.2 Is the system capable of indexing series volume numbers in correct numerical order?
- 3.3.3 Does the system make all searching features identified in the Online Catalog section (Section XX of PAC) readily available to staff from within the bibliographic and authority control module?

Are index and guide screens comprehensively numbered, e.g. "Screen 1 of 5 screens" or "Entry 23 of 267 entries"? (Sometimes I want to know where I am in a long index) (Steve Fuquay)

Does the system have all keyword features that LUIS currently has (e.g. keyword searching by MARC tag; K260=Macmillan)? (Steve Fuquay)

Searching for copy: can the system be set to search multiple databases simultaneously (e.g. OCLC, RLIN, and designated web catalogs all at once, and report results in a single display, with sources indicated)? (Steve Fuquay)

- 3.3.3.1 If staff working in the bibliographic and authority control module do not have access to all of the searches/features available in the online catalog module from within the bibliographic and authority control module, identify the limitations.
- 3.3.3.2 If staff working in the bibliographic and authority control module have additional search features that are not available in the online catalog module, identify these additional features.
- 3.3.4 Is the system capable of displaying bibliographic records in a fully-tagged MARC format from within the bibliographic and authority control module?
 - 3.3.4.1 Is the system capable of printing bibliographic records in a fully-tagged MARC format from within the bibliographic and authority control module?
- 3.3.5 While editing a record, is it possible for staff to display the record as it would appear to the public in full and brief display formats?
- 3.3.6 Is it possible for staff to search for and display bibliographic or authority records while these are being worked on, without having to terminate the record creation or modification activity? Does this require a 'Save' file? (Linda Smith)
Describe the keyword search capabilities, e.g. is it possible to specify keyword searching combined with specific tagged fields - search a 490 field; search a 650 field; etc. ? (Nancy Williams)

Does the system allow keyword searching of authority records? (Nancy Williams)

Is there a universal heading search which combines authors, titles, subjects? (Nancy Williams)

Is it possible to search a 5xx field by point/click? This can be used to search series-like quoted phrases. (Nancy Williams)

- 3.4 **General Record (Bibliographic & Authority) Requirements**
 - 3.4.1 Does the system accommodate the use of all USMARC bibliographic data elements as specified in the USMARC Format for Bibliographic Data (latest published versions and published updates) and accommodate subsequent changes to the format in a timely manner?
 - 3.4.1.1 Does the system accommodate the use of all USMARC bibliographic data elements as specified in the USMARC Format for Authority Data (latest published versions and published updates) and accommodate subsequent changes to the format in a timely manner?

Can cataloging operators transfer inactive order records to new bibliographic records? (Peter Bushnell mod)

- 3.4.1.2 Can USMARC format changes be accomplished by the customer Library (e.g., by adjusting tables), or do they depend on new releases of the software?
- 3.4.2 Does the system restrict record and field sizes beyond the limits explicitly or implicitly stated in the USMARC formats and the USMARC Specifications for Record Structure, Character Sets, and Exchange Media?
 - 3.4.2.1 What is the maximum number of bibliographic records?
 - 3.4.2.2 What is the maximum number of authority records?
 - 3.4.2.3 What is the maximum number of characters in a bibliographic record?
 - 3.4.2.4 What is the maximum number of characters in an authority record?
 - 3.4.2.5 What is the maximum number of characters in a variable field and subfield in a bibliographic record?
 - 3.4.2.6 What is the maximum number of characters in a variable field and a subfield in an authority record?
 - 3.4.2.7 What is the maximum number of variable fields in a bibliographic record?
 - 3.4.2.8 What is the maximum number of variable fields in an authority record?
 - 3.4.2.9 What is the maximum number of subfields in a field?
 - 3.4.2.10 Does the system support locally defined data elements (e.g., local fields such as 09X identified in the USMARC Format for Bibliographic Data)?
 - 3.4.2.11 Are there any field length constraints applied to such fields?
 - 3.4.2.12 Can local data elements be defined and implemented by the individual Library, by the Library System, or only through vendor intervention in all formats?
 - 3.4.2.13 Can the access to bibliographic and authority control module/features be protected by separate and distinct levels of security/system privileges, including at least: bibliographic record input/modification; bibliographic record deletion; authority record input/modification; authority record deletion; global change capability?
 - 3.4.2.14 Can the access to bibliographic and authority fields be protected by separate and distinct levels of security/system privileges? If so, describe how.
- 3.4.3 **Holdings Records & Item Records**
 - 3.4.3.1 When a new bibliographic record is added to the system through import or derived, is it possible for the system to create a default holdings record?
 - 3.4.3.1.1 Will the system include the following data in the default holdings records: a) Location which can be set per work session; b) Call number copied from fields specified in priority order. Can default orders be changed by library staff member during a work session? If the bibliographic record is coded as multivolume, can the default holding record include appropriate default values?

- 3.4.3.2 Can the system associate an unlimited number of individual item records (or issues or volumes) with a bibliographic or holdings record? If not, specify limit.
- 3.4.3.3 Can authorized library staff members suppress display of holdings information for specific copies in the OPAC?

Does the system support the US MARC Format for Holdings through Encoding level 4? (Nancy Williams)

For directly keyed holdings records, does the system perform validation checks to identify obvious errors in all of the MARC content designation (e.g. , invalid values, missing data elements, multiple occurrences of non-repeatable elements)? (Nancy Williams)

Will the system support holdings note field so that it can be programmed to "remove" Notify notes? (Priscilla Williams)

Can item record be linked to more than one holdings record (Peter Bushnell)

Does the system alert you if the bar-code number is already in use? (Jackie Heiland)

3.4.4 **Links among types of records**

- 3.4.4.1 Does the system prevent the deletion of bibliographic records that have other records (i.e., acquisitions, circulation, holdings, serial check-in, routing, item records) linked to them until an authorized operator has confirmed that the deletion is appropriate?
- 3.4.4.2 Does the system link analytic records to the parent set record?
If so, how is this accomplished? Can staff choose to link some analytic records and not others? (Gerald Langford)
- 3.4.4.3 Is the system capable of linking two (or more) bibliographic records to one copy record (bound-with's)?
- 3.4.4.4 Does the system support linkages between authority records and associated headings in bibliographic records?
- 3.4.4.5 Can "linkage" be turned off for groups of records? On what basis?
- 3.4.4.6 If the system does not explicitly link bibliographic and authority records, describe the method used and advantages to the system's method of handling the relationship between authority records and bibliographic records.
- 3.4.4.7 Is the system capable of maintaining authority records that are not linked to headings on bibliographic records? **These authorities probably provide authority support to**

other authority records. (Nancy Williams)

- 3.4.4.8 Does the system provide a means to identify those authority records that have been used in connection with LC's bibliographic records, as opposed to those that are not linked to bibliographic records?
- 3.4.4.9 Does the system automatically delete an authority record when the last occurrence of the heading in a bibliographic record **or another authority record** is deleted? **(Nancy Williams)**
- 3.4.4.10 Does the system support functional linking (if not actual linking) of authority records with bibliographic records such that changes to headings in authority records are reflected in associated bibliographic records?
- 3.4.4.11 Is it possible for the Library to specify the bibliographic fields and subfields that are under authority control by default?
- 3.4.4.12 Describe how headings in bibliographic records are compared with headings on authority records.
- 3.4.4.13 Are headings normalized before being compared? **If they are normalized, can they also be compared in non-normalized form as an optional command? (Nancy Williams)**
- 3.4.4.14 Can the normalization scheme be specified and changed by the Library?
- 3.4.4.15 How are qualifiers (subfielded and non-subfielded) handled in heading comparisons?
- 3.4.4.16 How are volume designations (subfield|= v) for series treated in 4XX and 8XX fields?
- 3.4.4.17 How are tags, indicators, and subfields used in verification?
- 3.4.4.18 Is the system capable of making use of subject subdivision records to verify subject strings, and if so, how?
- 3.4.4.19 How does the system deal with a new or changed bibliographic heading that matches a single 1XX authority heading exactly?
- 3.4.4.20 How does the system deal with a new or changed bibliographic heading that matches a single 1XX authority heading or single 4XX authority reference except for the content designation (e.g., bibliographic heading "110 United States" vs. authority heading "151 United States")?
- 3.4.4.21 How does the system deal with a bibliographic heading that matches more than one 1XX authority heading?
- 3.4.4.22 How does the system deal with a bibliographic heading that matches more than one 4XX authority reference?
- 3.4.4.23 How does the system deal with a bibliographic heading that matches a single authority record 4XX reference exactly?

- 3.4.4.24 How does the system deal with a complete bibliographic heading matches only part of an authority record (e.g., the subfield|= a of a subject heading or corporate author heading, or the author portion of an author/title heading)?
- 3.4.4.25 How does the system deal with a bibliographic heading matches no authority heading?
- 3.4.4.26 For the seven situations described immediately above, identify the actions the system would take or options available if the same conditions occurred in records being loaded from an external source, either batch or individual.
- 3.4.4.27 How does the system deal with a situation where the 1XX or 4XX on an imported authority record matches a heading on an existing bibliographic record?
- 3.4.4.28 Does the system recognize "near" matches during verification; if so, how is near match defined?
- 3.4.4.29 For verification purposes, does the system make use of authority data elements related to appropriateness of heading use (008/14-16) to assure that bibliographic headings are verified against the authority file based on appropriateness of heading use as main or added entry, subject added entry, or series added entry?
- 3.4.4.30 Describe how the system handles headings on bibliographic records from multiple authority files and which fields/subfields are compared to which authority records.
- 3.4.4.31 Is it possible to exempt bibliographic records from verification?
- 3.4.4.32 Is it possible for the Library to prevent individual authority records from being used by the system for verification purposes?
- 3.4.4.33 Does the system provide an alert mechanism (online or report) if an authority record containing a 1XX or 4XX with subfields beyond the main heading is created (or imported) and the authority record for the main heading is not present in the authority file (e.g., if a subordinate body corporate name is created, the system shall verify that the heading for the higher body is present in the file)?

3.5 Bibliographic Record Control & Maintenance

- 3.5.1 Does the system provide the ability to create and maintain bibliographic records for all types of library materials: books, serials, computer files, music (scores and musical sound recordings), non-music sound recordings, cartographic materials, manuscripts (individual manuscripts, collections, and subunits), visual materials (still and moving image), journal articles, and chapters of books?

- 3.5.2 Does the system provide links to bibliographic data from other functional components of the system (e.g., acquisitions, circulation, binding, inventory control)?
- 3.5.3 Is there a minimum set of data elements that must be input in order for the system to accept a catalog record (e.g., minimal data elements for an "in process" record)? If so, who sets this minimum?
- 3.5.4 Does the system make it possible to record the Library's retention decisions for a particular title (e.g., "keep 2 copies")?
- 3.5.5 Does the system set or retain as appropriate the date of each bibliographic record's addition to the file, and the latest edit?
- 3.5.6 Does the system set or retain as appropriate the date of each authority and copy holding record's addition to the file, and the latest edit?
- 3.5.7 Does the system automatically record the identifiers for Library staff involved in creating and updating bibliographic records, and the dates associated with the creation or updating?
- 3.5.8 Are there any limits on the data which can be recorded in any format?
- 3.5.9 Are there any limits on the ability to retrieve records containing specific staff identifiers?
- 3.5.10 Would the system be capable of accommodating records with both two and four digit "year" portions of the LCCN simultaneously, i.e., some of the records will have a two-digit year portion and others will have a four-digit year portion?
- 3.5.121 Does the system have the ability to detect possible duplicates when bibliographic records are newly input?
- 3.5.12 Can the Library control the duplicate detection programs? Override?
- Can authorized staff change the criteria by which records are identified as duplicates? (Gerald Langford)**
- 3.5.13 Is it possible for authorized staff to delete a bibliographic record in the database to which no records are linked?
- 3.5.14 Is it possible for authorized staff to access bibliographic records that have been deleted? If so, describe how.
- Is it possible to 'delete' or 'suppress' records from public display but have them completely indexed and displayable in technical mode? How is this indicated on the record? (Nancy Williams)**
- 3.5.15 Is it possible to "restore" records?
- 3.5.16 How does the system indicate the status of records that are in process?
- 3.5.17 Can the system provide a means of notification (e.g., report or alert) for bibliographic records that have remained "in process" for a local Library-specified period of time?

3.5.19 Does the system accept, support, and maintain storage, retrieval, display, and editing capabilities for genre subject headings and local subject headings?

3.5.20 Is it possible to edit and produce spine labels both single and multiples?

3.6 **Authority Control and Maintenance**

3.6.1 Does the system create and maintain authority records (name, uniform title, series, subject)?

Does the system link authority control to bibliographic records?

3.6.2 Can USMARC format changes be accomplished by the customer Library (e.g., by adjusting tables), or do they depend on new releases of the software?

3.6.3 Does the system accommodate the use of all USMARC authority data elements as specified in the USMARC Format for Authority Data (latest published versions and published updates) and accommodate subsequent changes to the format in a timely manner?

3.6.4 Does the system support locally defined data elements in authority records (e.g., local fields such as 09X identified in the USMARC Format for Authority Data, **use of |5 to indicate local fields or agreement with field instruction**)? (Nancy Williams)

Are local fields in authority records 'protected' from automatic record updates? (Betsy Simpson)

3.6.5 Is it possible for the Library to specify which data elements from USMARC Format for Authority Data are implemented within the system?

3.6.6 Does the system set or retain as appropriate the date of each authority record's addition to the file, as well as the original date of record creation?

3.6.7 Does the system set or retain as appropriate the date/time of the latest edit to each authority record (regardless of how stored internally, this data must be able to be imported from, and be able to be exported as the 005 (Date and Time of Latest Transaction of a USMARC record following ANSI X3.30 (Representation for Calendar Date and Ordinal Date for Information Interchange), and ANSI X3.43 (Representations of Local Time of the Day for Information Interchange))?

Does the system support the automatic importing of a copy of an authority record from a LC record resource file upon the first occurrence of the heading in the bibliographic file? Is this batch or real time? (Nancy Williams)

- 3.6.8 Is it possible to record and retain identifiers for Library staff involved in creating and updating authority records?
- 3.6.9 Does the system construct/update indexes immediately as authority records are added, edited, or deleted from the database (rather than via a subsequent batch process)?
- 3.6.10 Does the system reflect all changes to authority record indexes immediately in all other components of the system?
- 3.6.11 Is it possible to create and edit USMARC encoded authority records?
- 3.6.12 Does the system support multiple templates (sometimes known as workforms or prompt screens) for authority records, each with predefined values for certain tags, indicators, subfield codes, coded elements, and/or data in variable fields that can be used as the basis for new records?
- 3.6.13 Describe any limits on the number of authority record templates that can be created and used.
- 3.6.14 Can templates be updated globally?
- 3.6.15 Who defines the templates--system administrators or individual staff?
- 3.6.16 Does the system supply Library-specified default values for indicators and subfields when a field is being added to an existing authority record?
- 3.6.17 Is it possible for staff to distinguish completed authority records from not-yet complete records?
- 3.6.18 Is it possible for staff to distinguish completed authority records from previously not-yet-complete records that are being updated?
- 3.6.19 Is it possible for staff to search for and display other records while creating or modifying an authority record online without having to terminate the record creation or modification activity?
- 3.6.20 Is it possible to copy an existing authority record in order to create a new authority record?
- 3.6.21 Does the system permit deletion of authority records only by authorized staff?
- 3.6.22 Is it possible to delete an authority record that is linked to a bibliographic record?
- 3.6.23 Is it possible for authorized staff to access authority records that have been deleted?
- 3.6.24 Is it possible to "restore" deleted authority records?
- 3.6.25 Does the system support creation and maintenance of multiple authority systems (i.e., multiple thesauri)?
- 3.6.26 What are the levels and types of security allowed by your system for management of authority records?
- 3.6.27 Can security levels for authority records be geared to separate thesauri (e.g., LCSH, MESH, LC childrens' headings)?

- 3.6.28 Is it possible to "merge" authority records when they are deemed to represent the same entity or concept, or "split" when they do not?
- 3.6.29 Is the system capable of retaining a specified order of fields and subfields within each 4XX, 5XX, 6XX block within a given authority record (i.e., the order will vary from record to record)?
- 3.6.30 Is the system capable of creating machine-derived, skeleton (i.e., in-process or provisional) name authority records, upon request, if no matches are made in a verification check?
- 3.6.31 What data elements from the bibliographic record are included in the skeleton records?
- 3.6.32 What defaults exist for the variable control fields and variable data fields, and are they customizable by the Library?
- 3.6.33 Describe any capabilities your system may have to create 4XX cross references in authority records automatically (e.g., automatic creation of cross references for different entry elements of multiple element surnames).
- 3.6.34 Is the system able to perform validation checks to identify obvious errors in all of the MARC content designation in authority records (e.g., invalid values, missing data elements, multiple occurrences of non-repeatable elements)?
- 3.6.35 For online record creation and modification, does the system provide an online alert when an authority record fails to validate?
- 3.6.36 Is it possible to override the results of validation checks on a case-by-case basis?
- 3.6.37 Does the system support the capability to detect duplicate authority headings when a newly input (or changed) 1XX on an authority record matches an existing 1XX already in the authority file?
- 3.6.38 Does the system support the capability to detect duplicate authority headings when a newly input (or changed) 1XX on an authority record matches an existing 4XX already in the authority file?
- 3.6.39 Does the system support the capability to detect duplicate authority headings when a newly input (or changed) 4XX on an authority record matches an existing 1XX already in the authority file?
- 3.6.40 Is it possible for the Library to specify the algorithms used to "normalize" headings on authority records before they are compared for uniqueness (normalization should include conversions related to spacing, case of letters, substitutions for special characters, deletion of diacritics, and the degree to which the system recognizes or deletes punctuation and content designation)?
- 3.6.41 Is the system capable of performing reciprocity checks to assure that every 5XX field on an authority record matches a 1XX heading on another authority record?

- 3.6.42 Does the system provide an online signal to users when a duplicate authority heading is detected/suspected?
- 3.6.43 Is the system capable of displaying authority headings and references that are not associated with a bibliographic record, at least to staff users of the system?
- 3.6.44 Is the system capable of displaying authority records in a fully tagged MARC format from within the bibliographic and authority control module?
- 3.6.45 Is the system capable of printing authority records in a fully-tagged MARC format from within the bibliographic and authority control module?
- 3.6.46 Is it possible to search all types of authority records (USMARC Leader/06 = z) in a single search with an integrated display result?
- 3.6.47 Is it possible to restrict results of authority record searches by kind of authority record (USMARC 008/09)?
- 3.6.48 Is it possible to restrict results of authority record searches by heading use: name, series, subject (USMARC 008/14-16)?
- 3.6.49 Is it possible to restrict results of authority record searches by tag (e.g., 100 personal name heading, 151 geographic name heading, 130 uniform title heading, 18X subject subdivision, 150 topical subject term heading, 155 form/genre term heading)?
- 3.6.50 Is it possible to restrict results of authority record searches by subject heading system/thesaurus (USMARC 008/11) (e.g., LCSH, LC subject headings for children's literature)?

3.6.51 Global Changes

- 3.6.51.1 Does the system provide a capability to make global changes to complete headings and portions of headings in bibliographic records? Describe how staff accomplish this.
- 3.6.51.2 Does the system provide a capability to make global changes to complete headings, portions of headings, complete references, and portions of references in authority records?
- 3.6.51.3 Is it possible to limit the global update capabilities to authorized staff only?
- 3.6.51.4 Is it possible to modify global update specifications prior to execution?
- 3.6.51.5 Does the system provide the capability to exclude individual records and/or sets of records from the global change?
- 3.6.51.6 Is it possible for authorized staff to cancel or stop the execution of a global update once it has started?
- 3.6.51.7 Is it possible to reverse or recover from ("undo") an incorrect global change?

3.7 Importing and Exporting of Bibliographic and Authority Records

- 3.7.1 Does the system accept the import of bibliographic records and authority records?
- 3.7.2 Does the system accept the export of bibliographic records and authority records?
- 3.7.3 Does the system accept the import of multiple USMARC bibliographic and authority records via FTP as specified by USMARC Specifications for Record Structure, Character Sets, and Exchange Media?
- 3.7.4 Does the system accept the import of multiple OCLCMARC bibliographic and authority records via FTP as specified by USMARC Specifications for Record Structure, Character Sets, and Exchange Media?
- 3.7.5 Is the system capable of accepting real-time online transfer of individual USMARC bibliographic and authority records from bibliographic utilities, which shall include at least OCLC and RLIN?
- 3.7.6 Is the system capable of real-time online transfer of individual USMARC bibliographic and authority records to the bibliographic utilities, which shall include at least OCLC and RLIN?
- 3.7.7 Is the system able to detect imported bibliographic records that may duplicate records already in the Library's files? **How is a duplicate defined? Can the library specify this definition? (Linda Smith)**
- 3.7.8 Is the system capable of preventing the import and load of authority records marked as "delete" records (Leader/05 = d (Deleted, other); s (Deleted, heading split); x (Deleted, heading replaced)? **Are these reported? (Nancy Williams)**
- 3.7.9 Is the system capable of detecting imported authority records that may duplicate records already in the Library's files? **Are these reported? (Nancy Williams)**
- 3.7.10 When importing bibliographic records (regardless of source), is the system capable of handling local MARC data elements present in those records by accepting and loading the local data elements?
- 3.7.11 When importing bibliographic records (regardless of source), is the system capable of handling local MARC data elements present in those records by manipulating the local data elements (i.e., re-mapping from one field to another based on specifications provided by the Library)?
- 3.7.12 When importing bibliographic records (regardless of source), is the system capable of handling local MARC data elements present in those records by stripping local data elements (based on specifications provided by the Library)?
- 3.7.13 Is the system capable of adding default MARC data elements (including locally defined elements) to bibliographic and authority records during import (e.g., automatically adding 040 per Library specifications, **automatically adding an indexable 035 per Library specification**)? **(Nancy Williams)**?)?

- 3.7.14 When importing bibliographic and authority records, is the system capable of preserving the order of fields present in the imported records?
- 3.7.15 When importing bibliographic and authority records, is the system able to perform a validation check of the record to identify obvious errors in all MARC content designation (invalid/undefined, missing when mandatory, repetition of nonrepeatable, etc.)?
- 3.7.16 Is the system capable of importing and incorporating MARC records that are not USMARC records?
- 3.7.17 Is the system capable of importing MARC and non-MARC records from a variety of commercially available software programs and vendors? Describe which.
- 3.7.18 Is the system capable of accepting formatted ASCII data that is not content-designated and converting them to USMARC on import?
- 3.7.19 Is it possible to "replace/merge" an existing record with a record that has been retrieved via Z39.50, utility gateway, FTP, or other means? Describe how. **If fields have been defined as local fields (e.g. use of |5 on authority records), are these fields retained on merged record? (Nancy Williams)**
- 3.7.20 Can local libraries (as well as the consortium level) define which linked records will be affected by overlay (replace/merge)?
- 3.7.21 Is the system capable of incorporating (e.g., loading, storing, linking, retrieving, and displaying) non-MARC files (e.g., SGML files, tables of contents, indexes, reviews, abstracts, image files)?
- 3.7.22 Is the system capable of exporting individual USMARC bibliographic records directly to bibliographic utilities via real-time online transfer when staff have completed work on the records?
- 3.7.23 Can the Library prevent export of records based on the presence or absence of certain fields/elements?
- 3.7.24 Identify all media to which the system is capable of exporting bibliographic and authority records.
- 3.7.25 Is it possible for the Library to specify the data elements that are included in routinely exported records, including local data elements?
- 3.7.26 Does the system have the ability to export selected subsets of bibliographic and authority records?
- 3.7.27 Does the system export records in compliance with the most current version of ANSI Z39.2 (Information Interchange Format) standard for exporting USMARC bibliographic and authority records, and USMARC Specifications for Record Structure, Character Sets, and Exchange Media?

- 3.7.28 Does the system accommodate records and fields of sufficient size and structure to allow for the export of records without a loss of data (for example, the system shall not allow the creation of a field that is longer than allowed by the USMARC communications format unless there is also a mechanism for converting that field to a standards-compliant form without losing any of the data when exporting to external systems)?
- 3.7.29 Is the system capable of preserving the desired order of fields when exporting records?
- 3.7.30 Is the system capable of exporting both single and multiple bibliographic and authority records in USMARC format with locally defined data elements?
- 3.7.31 Is the system capable of exporting both single and multiple bibliographic and authority records in comma-delimited ASCII? Specify which.
- 3.7.32 Is the system capable of exporting both single and multiple bibliographic and authority records in at least one format used by a common citation/bibliography production program?
- 3.7.33 Is the system capable of exporting both single and multiple bibliographic and authority records to a file from which FTP transfers may be made?
- 3.7.34 Is the system capable of exporting both single and multiple bibliographic and authority records to magnetic tape?
- 3.7.35 Is the system capable of exporting both single and multiple bibliographic and authority records to a file on a floppy or hard disk of workstation?
- 3.7.36 Does the system support NACO/FTP (daily exchange of name authority records from the Library to LC and/or OCLC)?

3.8 **Call Number Assignment and Shelflisting**

- 3.8.1 Will the system create and maintain authority records for classification numbers (LC)? **Does the system verify call numbers? How? (Linda Smith)**
- 3.8.2 Does the system provide a browsable index of call numbers recorded in the 050, 051, 090, 082, 09x, fields of bibliographic records?
- 3.8.3 Are the browsable indexes of call numbers available from within the cataloging module?
- 3.8.4 Does the system support multiple classification systems for one Library? Explain how.
- 3.8.5 Can the browsable indexes accommodate approximately X million call numbers initially, and approximately XXX new call numbers every year thereafter?
- 3.8.6 Can the system sort the call numbers in the indexes in correct shelflist order?
- 3.8.7 Does the system accommodate diacritics or special characters within call numbers without adversely affecting the sort order or the proper functioning of the system?

- 3.8.8 Is it possible for the Library to specify the way in which diacritics and special characters are normalized for sorting?
- 3.8.9 Does the system use a minimum of 50 characters for sorting in the call number index?
- 3.8.10 Does the system use the entire call number for sorting, regardless of its length?
- 3.8.11 Does the system display each call number entry in its form as entered, i.e., not in the form normalized for sorting?

Is any form of data in 'special' call number fields searchable (e.g. the accession numbers, such as 97-144, in some of Special Collections' brief records)? (Steve Fuquay mod)

- 3.8.12 In addition to the standard alphanumeric characters, does the system display the following characters in the call number browse index: space, open and close parenthesis, comma, hyphen, period, forward slash, colon, semicolon?
- 3.8.13 Does the system support display of the full ALA character set in the call number browse index?
- 3.8.14 Does the system display at least 20 characters of the call number in the call number browse?
- 3.8.15 For call numbers that exceed what is displayable, does the system make it apparent that additional call number data exists?
- 3.8.16 For call numbers that exceed 20 characters, does the system provide a mechanism for easily and efficiently viewing a call number in its entirety?
- 3.8.17 Does the system display the entire call number field in the call number index?
- 3.8.18 Does the system accommodate the situation in which a single call number is associated with multiple (physical) bibliographic entities? How?
- 3.8.19 Does the system accommodate the situation in which multiple call numbers are associated with a single bibliographic entity? How?
- 3.8.20 Does the system immediately reflect additions, changes, or deletes of call numbers in bibliographic records within the index?

Call number security: does the system have a subroutine for automatically storing or otherwise safeguarding the original call number in order to prevent loss of call number if holdings screen is lost or wrongly changed while updating? (Steve Fuquaymod.)

- 3.8.21 Is it possible to move both backward and forward within the call number index?

- 3.8.22 In conjunction with the call number index, does the system provide a brief record display that includes, at a minimum, data from the 1XX (if present), 240 (if applicable), and 245 of the bibliographic record?
- 3.8.23 Are the elements in the brief record display pre-determined, or can they be defined by the Library?
- 3.8.24 Can elements for brief records associated with the call number index be different from those specified for other brief record displays?
- 3.8.25 For any entry in the call number index, is the system able to display the full bibliographic record or records with which the call number has been associated, in complete USMARC coded form?
- 3.8.26 For any entry in the call number index, is the system able to display the full bibliographic record or records with which the call number has been associated? This display shall be appropriate for the public and general staff, i.e., it shall include, at a minimum, author, titles, subjects, added entries, and notes, but shall not show content designation.
- 3.8.27 From a full bibliographic display, is it possible to move easily and efficiently to a full display of the bibliographic record that corresponds to the next or previous entry in the call number index, i.e., is it possible to do this without going back to the call number index display?

When call numbers are printed, will it recognize lower case letters? (Peter Bushnell)

- 3.8.28 From a full bibliographic display, is it possible for authorized users to change easily and efficiently to edit mode?

Are call numbers for withdrawn or deleted bibliographic titles included in the indexes or in a separate index? (Nancy Williams)

3.9 System Interfaces

- 3.9.1 Does the system import MARC bibliographic and authority records from a variety of sources (e.g., bibliographic utilities, subscription services, national bibliographic agencies, other library catalogs available via the Internet, software programs capable of producing MARC records)?
- 3.9.2 Does the system provide links from bibliographic data to digital resources (e.g., finding aids, image files)?
- 3.9.3 Does the system export MARC data for a variety of bibliographic, authority, and holdings products?
- 3.9.4 Is it possible to (1) search for individual records or small files of records on any Z39.50-compliant server, (2) mark record(s) in the result set for import, and (3) capture, convert, index marked records into the OPAC in a single transaction?

Would the system software be such that it could have self-inspecting virus techniques (especially if the system constantly imports records from a variety of external sources)? What would be the form of such virus software, and would running it degrade system response time? (Steve Fuquay)

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Statistics & Reports

Is the system capable of producing, either from within the ILS or through an API to a report writer, a report of the number of authority records begun, completed, changed, and deleted within a user-specified time period?

When importing authority records, is the system capable of producing a duplicate/conflicting headings report when the 1XX heading on a new authority record matches an existing 1XX heading. Does the report identify the headings in conflict, as well as the record control numbers for each record?

When importing authority records, is the system capable of producing a duplicate/conflicting headings report when the 1XX heading on a new authority record matches an existing 4XX reference in the authority file? Does the report identify the headings in conflict, as well as the record control numbers for each record?

When importing authority records, is the system capable of producing a duplicate/conflicting headings report when a 4XX reference on a new authority record matches an existing 1XX heading? Does the report identify the headings in conflict, as well as the record control numbers for each record?

When importing authority records, is the system capable of producing a report when an incoming 5XX is not represented by a corresponding 1XX?

When importing weekly LC authority changes are before and after versions of the authority record reported for review and initiation of global changes if appropriate by authorized staff? (Nancy Williams)

Can new headings to the database be generated/reported on a specified schedule? Are matches to authority records and agreement with free-floating subdivisions and geographic subdivisions indicated? (Nancy Williams)

Are there reports of incorrect use of 'use code' on authority records? (Nancy Williams)

Can fields/reports be generated of locally created

authorities? Can these files be used to search the LC resource file for user review and merge/replace of local authority? (Nancy Williams)

Is the system capable of reporting daily/monthly statistical report on authority records added and created?

Is the system capable of producing a daily/monthly statistical report of authority records that were successfully transferred to LC/OCLC?

For a user-designated range of call numbers, is the system able to provide a listing sorted by call number, and displaying LCCN, author, and title information?

For a user-designated class number or range of class numbers, is the system able to provide a tally of the total number of bibliographic and/or total number of item records created, changed, or deleted within a user-specified time period?

Is the system able to generate a list of "new books" as well as a tally? (Jimmie Lundgren)

For a user-designated class number or range of class numbers, is the system able to provide a count of total number of bibliographic and/or total number of item records?

For ranges of call numbers, is the system able to provide reports on total bibliographic records created, changed, or deleted for a given library location for specified time periods (e.g., weekly, monthly, quarterly, annually), with the option to report totals for combinations of locations/sublocations?

Is the system capable of producing, either from within the ILS or through an API to a report writer, a report of the number of bibliographic records begun, completed, edited, and/or deleted during a specified time period?

For bibliographic records imported during a user-specified time period, is the system capable of producing a report indicating the number of records imported from a specified source (e.g., OCLC, RLIN, other resource file)?

Is the system capable of reporting production statistics for an individual staff member and/or work group with the completion reports?

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Messaging system

Does the system provide email messaging capability for user requests for inprocess materials, suggested acquisitions, or newly cataloged items? And for the library to respond?

Does the system provide email messaging capability for user requests for holds, missing reports, etc? Can the library add to or change email messaging and forms?

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Vendor Support

Is there a toll-free user support phone service?

Is there complete and current user documentation? Is this updated in conjunction with each upgrade and to reflect functional enhancements?

Do manuals come in both online and paper form?

Are there regular meetings of cataloger user groups of the system? How often?

Is there a procedure for proposing and vetting system enhancements?