



ALEPH VERSION 21

# **Configuration Questionnaire: Cataloguing, Indexing, Holdings and Items Control**

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## 1. Introduction

The purpose of this configuration questionnaire is to help both Ex Libris and the customer implement the ALEPH Cataloguing, Holdings and Items Control modules in the most appropriate manner for your library.

Please review this questionnaire and complete your answers in the Customer Reply Form – an Excel spreadsheet file that accompanies the questionnaire.

The questionnaire is intended for libraries using the MARC 21 bibliographic and holdings formats.

The numbers of the headings in the Instructions section correspond to the number of the headings in the questionnaire section.

### Note

# denotes a wildcard character

\$\$ denotes a subfield.

## 1.2 Key Concepts

**Bibliographic Records** – MARC21 formatted records containing bibliographic information about printed materials, computer files, maps, music, serials, visual materials, mixed materials, etc.

**Authority Records** – MARC21 formatted records containing authorized forms and references to names, subjects, and subject subdivisions that are used in constructing access points between bibliographic records.

**Holdings Record** – The holdings record is linked to the bibliographic record and contains holdings, collection, location, and call number information.

**Items** – Records that contain information about the physical material (e.g. item barcode). Every discrete piece that can be circulated must have an item record, and each item record must have a unique barcode.

## 2 Bibliographic Record Fields

The standard Ex Libris setup supports use of the full range of MARC 21 fields. In addition, customers may define local fields indicated by including the digit '9' in the tag.

By default the setup includes the following "local" fields:

- 019 Cancelled OCLC No.
- 049 OCLC holding codes
- 090 Local Call no. (LC type)
- 099 Local Call no.
- 590 Local Note
- 690 Local Subject or Keyword
- 909 MARCIVE no.
- 994 OCLC Processing
- 980 Generic Vendor Load invoice data
- 981 Generic Vendor Load fund code
- 999 Bibliography Index.

Do you need additional local fields? Complete the chart in the parallel section of the Customer Reply Form (the separate Excel form) that accompanies this questionnaire. Please keep in mind that the additional fields can be non-numeric (alphabetic).

ALEPH uses the following reserved (proprietary) alphabetic tags (LKR, SYS, OWN, etc.)

For every field it is possible to define the following:

- The tag
- The field name (20 characters)
- Default subfields – a list of the subfields that are allowed for the field. The list is used for validation.
- A list of fixed values allowed for subfield content (for example, the Genre/Form 655 tag for which there are set values). The list is used for validation and for display when cataloguing.

**Example:**

Tag	Field name	Subfields	Fixed values
096	Local NLM	Ab	--

Fill in the chart in the parallel section of the Customer reply form.

### 3 Cataloguing checks

The ALEPH cataloguing module runs extensive checks on records before they are saved to the database. It is also possible to run the checks while editing the cataloguing record (before it is saved). There are several levels of checks:

**Field Level:**

Valid indicators

Valid subfields

Mandatory subfields

Number of occurrences - can subfields be repeated and how many times

### **Field Content Level**

It is possible in some cases to check on the content of sub-fields. It is possible to check the length of the subfield or define a range (for example, for 260 \$\$c to set a range of 1750-2006) It is also possible to check that an ISSN or ISBN is valid.

### **Record Level checks**

Mandatory fields

Occurrences of fields

Dependencies between fields

There are also special check programs for the fixed fields (006, 007, and 008).

A check can act as an alert to the cataloguer, as an alert and an entry in a log, as an alert that prevents the record from being added or updated. It is possible to define the level of the check alert for each check:

- Error message to cataloguer – the cataloguer can override the error and save the record
- Error message with a trigger – the cataloguer can override the error but it is tracked and can be checked again later by running a report of records that were triggered.
- Block - in this case the cataloguer cannot save the record until the error has been corrected.

The cataloguing checks reflect setup for MARC21. We recommend that you work with the system for a period of time before you determine if you require any modifications of this setup. If you define local fields, you can also define checks for them. Complete the chart in the parallel section of the Customer Reply Form.

#### **Example:**

<b>Field</b>	<b>Check Level</b>	<b>Check</b>	<b>Check alert</b>
096 \$\$a	Record Level	Should occur at least once	Error message with trigger

## **4 Cataloguing Authorisations**

There are several levels of authorisations for cataloguing.

### **4.1 Functional Authorisations**

At the functional level, cataloguers can be limited to the following cataloguing functions:

- Viewing records
- Creating/Updating records
- Deleting records

For more information, please reference the *Staff Privileges* chapter of the **ALEPH Staff User's Guide**.

## 4.2 Cataloguing Levels

In addition to the functional level, it is possible to create a hierarchy of cataloguers. Each cataloguer can be assigned a "cataloguing level". When a cataloguer creates or updates a record, his or her cataloguing level is assigned to the record. Cataloguers can update records only if the cataloguing level is equal or less (lower) than his or her level.

The levels are defined from 00 to 99, where 99 is the highest. The default cataloguing levels include the following:

Level	Level code
Beginner	01
Intermediate	02
Associate Supervisor	20
Supervisor	40
Top Supervisor	99

Do you need to define cataloguing levels? Would you like to change the default levels? (You may not require so many levels or may want to call the levels by another name. Also, consider the conversion default cataloguing level when setting up additional cataloguing levels.

Please reply in the parallel section of the Customer Reply Form

## 4.3 Cataloguing Authorisations at the Field Level [Additional Option]

By default, as long as the cataloguer has the functional authorisations and the appropriate cataloguing level, he or she can edit all fields in the record. It is also possible to limit particular cataloguers so that they may only work with specific fields within the record.

For example, it is possible to limit subject specialists to editing subject related fields. Please note that field level authorization cannot be limited to subfields.

Do you require this level of authorisations? Describe your requirements in the parallel section of the Customer Reply Form.

## 4.4 Cataloguing Authorisations in a Shared Bibliographic Library – the “OWN” Functionality [Additional Option]

The OWN functionality is used to limit cataloguers to working with a group of records within the catalogue. The functionality is used mainly by sites where each Administrative library catalogues its own bibliographic record in a shared Bibliographic Library (Union View) or in libraries where there are several cataloguing departments.

How does the OWN functionality work?

Every Bibliographic record is assigned an "OWN" tag which identifies the group (Administrative library or cataloguing department) to which it belongs. Records that are tagged as “PUBLIC” can be updated by all cataloguers. Each cataloguer is assigned a default OWN value which is added automatically to records he or she creates. Each cataloguer is also assigned a list of the OWN value/s he or she can update.

If you require this functionality, list the groups you would like to define and the groups’ matching OWN field code in the charts in the Customer Reply form. An OWN code can be up to 10 characters. In addition, indicate which cataloguers need to work with which groups (permitted groups) and the cataloguer’s default OWN code. You can refer to individual staff members or to staff roles (for example, cataloguers from the Music cataloguing department).

For example

### 1. List of groups

The following chart lists the groups.

Group name	OWNer code
Law Cataloguing Department	LAW
Music Cataloguing Department	MUSIC
Central Cataloguing Department	CENTRAL

In this example there are three cataloguing departments – Law, Music and a central department.

### 2. Default OWN code and Permitted Groups per Cataloguer

The following chart lists the default OWN code and the permitted groups per Cataloguer

Staff Role	Default OWNER Code	Permitted OWNER Codes
Law cataloguers	LAW	LAW
Music cataloguers	MUSIC	MUSIC
Central cataloguers	CENTRAL	CENTRAL
Cataloguing coordinator	CENTRAL	All



**Note:** OWN codes are not active until they are assigned to User Logins using the Staff Privileges module.

## 5 Holdings Records

Holdings records are stored in a Holdings Library. In addition to the holdings record, ALEPH also maintains an *item record* for each physical item in the library. The item record is the basis for circulation and serial check-in. Typically, each item is linked to a holdings record, unless it is a temporary item such as one on reserve. The holdings record determines the permanent location of the item – the sublibrary, collection and call number (stored in the 852 tag). Typically, each holdings record will have its own collection.

It is not mandatory to have a holding record for every bibliographic record. Some libraries opt to create holding records only for serials, in order to register summary holdings statements per location.

Do you want to create holdings record for all bibliographic items? If not, for what types of records would you like to create holdings records? Reply in the parallel section of the Customer Reply Form.

### 5.1 The 852 Field

The 852 field contains location information. The key subfields are:

- b sublibrary
- c collection
- h-m call number

The call number section of the 852 field can be automatically copied from a field in the bibliographic record. The data is taken from one of the following MARC 21 fields of the bibliographic record, and preferences are set in descending order:

"099##"  
"098##"  
"090##"  
"092##"  
"096##"  
"050##"  
"055##"  
"060##"  
"070##"  
"082##"  
"086##"

Note the following:

For "099###" OR "098###" OR "086###" subfield a is copied to subfield h of the new 852 field.

For all other fields, subfield a is copied to subfield h, and subfield b is copied to subfield i.

For "090###" and "050###" the first indicator is set to 0.

For "092###" and "082###" the first indicator is set to 1.

For "096###" and "060###" the first indicator is set to 2.

For "099###" OR "098###" the first indicator is set to 8.

For "055###" and "070###" the first indicator is set to 7.

For "086###" if the first indicator of the field is 0, then the first indicator of the new 852 field is set to 3, otherwise the first indicator of the field is set to 8.

Would you like the system to automatically create the call number when a holdings record is created? Indicate your reply in the parallel section of the Customer Reply form.

## 5.2 Holding Records and the OWN Functionality

The OWN functionality may also be used for HOL records. The Bibliographic and Holdings records are linked and the same OWN setup is used for both types of libraries. It is also possible to use the OWN functionality only within the Holdings library. This is generally the setup in a multi-ADM site that shares bibliographic records and each ADM library has its own holdings records. Branch libraries (sublibraries) might also want OWN functionality in order to protect their holding records.

If you require this functionality for the Holdings library complete a list of the groups you would to define and the groups' matching OWN field code in the parallel section of the Customer Reply Form. An OWN code can be up to 10 characters. In addition, indicate which cataloguers need to work with which groups.

For example:

### List of groups

Group name	OWN code
ADM Library A	ADM-A
ADM Library B	ADM-B
ADM Library C	ADM-C

### Permitted Groups

Staff Role	Default OWN Code	Permitted OWN Codes
Cataloguers from Administrative Library A	ADM-A	ADM-A

Cataloguers from Administrative Library B	ADM-B	ADM-B
Cataloguers from Administrative Library C	ADM-C	ADM-C
Central coordinating cataloguer	ADM-A	All

### 5.3 Language – 008 [Additional option]

When the system creates a holdings record, it will create a 008 with default values. Typically the default language will be copied from the bibliographic record's language fields (008 positions 35-37 and 041) into the holdings record. The MARC Code List for Languages is available on the Library of Congress' web site at <http://lcweb.loc.gov/marc/languages/>.

If needed, it is possible to prevent this. Do you think this is necessary in your library? Indicate your reply in the parallel section of the Customer Reply Form.

## 6 Holdings Records and Items

In principle, the holdings record is the master record that manages location information in linked item records. This means that the system will always override the location information (sublibrary, collection, call number and call number type) of the item, using the information from the 852 field (unless the item record is designated as having a temporary location – in which case it is temporarily exempt from the holdings record).

The following holdings-controlled information will be overridden when the temporary location is assigned to the item:

- Item sublibrary in subfield b of the 852 field.
- Item collection in subfield c of the 852 field.
- Item call number type in the first indicator of 852 field.
- Item call number in subfields h, i, j, k, l, and m of the 852 field.
- Item copy number in subfield t if the subfield contains a copy number and not a range of numbers for copies.

In addition, when a holdings record is created based on data in an item or subscription record, the 852 field, subfields b (sublibrary) and c (collection) will be generated automatically.

## 7 Items

The item is an important record in the system as it is the basis for many library workflows. Every physical entity in the library that can be loaned must be represented in the system by an item record.

Items have two statuses – the “circulation status” which governs rules concerning circulation (for example, the item is a regular four week loan) and the "processing status" that indicates the state of the item in terms of the library’s item processing workflow. By “processing workflow”, we mean periods during which the item is not available for normal circulation (for example, "in cataloguing" or "on order"). The most common processing workflows are acquisitions and binding. When the item returns from processing, the processing status is removed. Generally, items with a processing status will not be available for loan. However, some libraries may decide to enable patrons to place a request on such items. Item processing status is discussed more in 7.1, and circulation status will be further discussed in the *Circulation questionnaire*.

### 7.1 Item processing status

Items normally pass through processing stages before they can be used by library patrons. Newly acquired items must be ordered, catalogued, bar-coded and placed on the shelf. In some cases, items are sent to be bound. Such processing workflows are controlled by an item "processing status"; when the processing workflow is completed, the item processing status is removed. Generally, during item processing, the item is not available for regular circulation. The most common processing workflows are acquisitions (acquiring new material) and binding. Processing statuses are also used for items that are no longer available (for example, Missing, Withdrawn, Suppressed). The processing status can also be used to denote that the item is in a Remote Storage facility.

Do you have additional item processing workflows in your library? Reply in the parallel section of the Customer Reply form.

Ex Libris provides the following default processing statuses that cannot be changed, however you may add to this existing list.

Name (30 characters)	Code(2 characters)	Note
Order initiated	OI	An order has been started for the item
On order	OR	The item is on order
Ordered--received	RE	The item was received but is still being processed by the acquisitions department.
In process	IP	The item is being processed.
Cataloguing	CTL	The item is being catalogued.
Cancelled	CA	The order was cancelled.
Expected	NA	The item is expected. This

		status is used for serials.
Not Published	NP	The item/issue has not been published yet. This status is used for serials.
Preservation	PS	The item is undergoing preservation.
Bindery prep	BP	The item is being prepared for the bindery.
At bindery	BD	The item is at the bindery.
Missing	MI	The item is missing.
Withdrawn	WD	The item has been withdrawn from the collection.
Suppressed	SP	The item is suppressed from public display.
Lost	LS	The item is lost.
Depository, Remote storage	HDL	The item is in remote storage.

## 7.2 Item material types

Items can be assigned a material type. The material type can be used as a filter in some reports and statistics. It is also possible to define different item booking policies for different material types. (Refer to the Circulation Configuration Questionnaire)

Ex Libris provides the following default list of material types. This list can be modified if necessary however please note that the material types "ISSUE" and "ISSBD" cannot not be changed or deleted as they are the basis for specialized issue sort procedures.

Do you have additional item material types in your library? Reply in the parallel section of the Customer Reply form

Material type name (up to 30 characters)	Code (up to 5 characters)	Mandatory
Serial	ISSUE	Yes
Bound issue	ISSBD	Yes
Book	BOOK	No
Video	VIDEO	No
Sound Recording	SOUND	No
Kit	KIT	No
DVD	DVD	No
Manuscript/archives	MANUS	No
Digital	DIGIT	No
Realia	REAL	No

Motion	MPICT	No
Equipment	EQUIP	No
Slide	SLIDE	No
Microform	MFORM	No
Other	OTHER	No
Map	MAP	No
Filmstrip	FILM	No
Score	SCORE	No
Room	ROOM	No
Cassette	CASST	No
CD	CDISC	No
CDROM	CDROM	No
Chart	CHART	No
Diorama	DIORM	No
Film Loop	FILML	No
Flash Card	FLSHC	No
Game	GAME	No
Globe	GLOBE	No
Large Print	LRGPT	No
Transparency	TRNSP	No

### 7.3 Item Call Numbers

Items have a call number type to indicate what kind of call number is used. If item location information is controlled by the Holdings record, it will be created from the first indicator of 852.

The following types are available:

LC Classification	0
Dewey Decimal Classification	1
National Library of Medicine Classification	2
Superintendent of Documents Classification	3
Shelving Control Number	4
Shelving Form of Title	5
Shelved separately	6
Source specified in \$\$2	7
Other	8

#### 7.3.1 Item call numbers Creation [Additional functionality]

This section is relevant for sites that do NOT control item location information through the Holdings record. In this case, the call number needs to be entered in the item record.

The call number field in the cataloguing module can have different formats (the format is defined per workstation). The following formats are available:

- Free-text – the call-number is added manually
- Drop-down menu – the call number can be selected from a drop-down menu. A counter can be used to automatically generate an additional running number. If you choose this method, indicate the values in the drop-down menu.
- Counter – the call number can be created automatically by the system based on a counter. If you choose this method, describe the structure of the counter
- Select from a browse list of previously entered call numbers. The selected call number can then be modified
- Form for entering the call number using the 852 subfields. The form includes the option to browse and select from a list of call number.

## 7.4 Item barcodes

Item records must have a unique identifier in the barcode field. ALEPH will automatically generate a value for the barcode field, which can be overwritten. By default the barcode number is created from a combination of the unique ALEPH system number and a sequence number. It is also possible to create the barcode from a system counter with or without a prefix.

So, for example, if the counter is set to “200”; the next item that gets generated would be given a barcode of “200”. The next item after that will get “201” barcode, the next a “202” barcode and so on.

Example:      USM123456789  
                  123-0

Would you like to change the default? Reply in the parallel section of the Customer Reply Form.

## 7.5 Item inventory numbers [Additional functionality]

Some libraries need to record a unique inventory number for each item record. The ALEPH item record has a field for the inventory number. The system can automatically generate an inventory number based on counters. If you require this functionality, describe the structure of the inventory numbers you need in the parallel section of the Customer Reply Form.

For example

Separate inventory counters for each sublibrary, in the following format:

Main-invnumber  
Med-invnumber  
Law- invnumber

## 8 Importing Records

ALEPH enables you to import records from different sources. In general there are three methods:

- Z39.50 – you can use the ALEPH Z39.50 client to search and import records. The Z39.50 targets are searched via the search sub-module and records can be pushed to the CATALOGUING client, modified and then saved to the catalogue.
- Using a loader. This is the most common method for importing bibliographic and authority records extracted from a cataloguing utility. Loaders work on a file of records. The following section includes some questions relating to the setup of loaders.
- Importing records using the cataloguing client. You can place a file of records on your local or network drive and import them via the CATALOGUING client. The CATALOGUING client can apply conversion routines to the records.

Which method/s are you planning to use? Which sources are you planning to use? Reply in the parallel section of the Customer Reply Form.

## 9 Special Projects Relating to Authority/Bibliographic Records

Please indicate if you have decided to undertake any special projects relating to your authority and/or bibliographic records before/during/after your ALEPH implementation. For example, sending records out for authority maintenance, or moving large groups of bibliographic records from one location to another. Describe if applicable in the parallel section of the Customer Reply Form.