ex libris ltd.

Configuration Questionnaire

for

ALEPH500

Version 12.3, 14 December 1999

Table of Contents

1. Introduction

This is a general questionnaire to help the new ***ALEPH*** user to understand the structure and make up of the ***ALEPH*** software.

The ***ALEPH*** software is based on a system of parameter tables. The values set in these tables - as defined by the user - reflect the nature of the application.

The aim of this configuration guide is to prepare the new user - in advance, as much as this is possible - for the different configuration possibilities of the system.

You may not be able to answer all the questions. **This questionnaire is intended as the basis for the system analysis session in which the issues will be explained and discussed in more detail.**

It is recommended that you read the entire questionnaire before entering your replies.

It should be noted that there are detailed, module-specific configuration guides which you may want to examine once this guide has been used to establish the basic configuration: the Circulation Configuration Guide, the Acquisitions Configuration Guide, and the OPAC/Cataloging/Authorities Configuration Guide (as of December, 1999, still being worked on).

The responses you fill in here are not binding. They can be changed during the initial setup period, during the training period, or at any time in the future, according to different needs and changing concepts.

The Ex Libris staff will always be happy to help, advise and assist you in any way possible.

We hope you enjoy the program!

2. General

2.1. System Personnel

- For sites with a license of more than 50 concurrent users it is recommended that at least *two* people be involved in the maintenance and management of the ***ALEPH*** software:

    * A system administrator to manage the technical side (backups, node management, tuning of the system etc.)

    * A system librarian to manage the library management of the program (changes in the parameter tables, designing display formats, editing screens, running batch jobs, etc.)

    * For each of these functions it is advisable to have someone who can manage the system if the system manager/librarian is away on leave.

If necessary consult with ***Ex Libris.***

2.2. Existing software & hardware

- The name of the library system being used, and the type/model of server on which it is installed.

- Will the same server be used for **ALEPH**? If not what server + model + operating system will be used?

3. ALEPH Library Definition

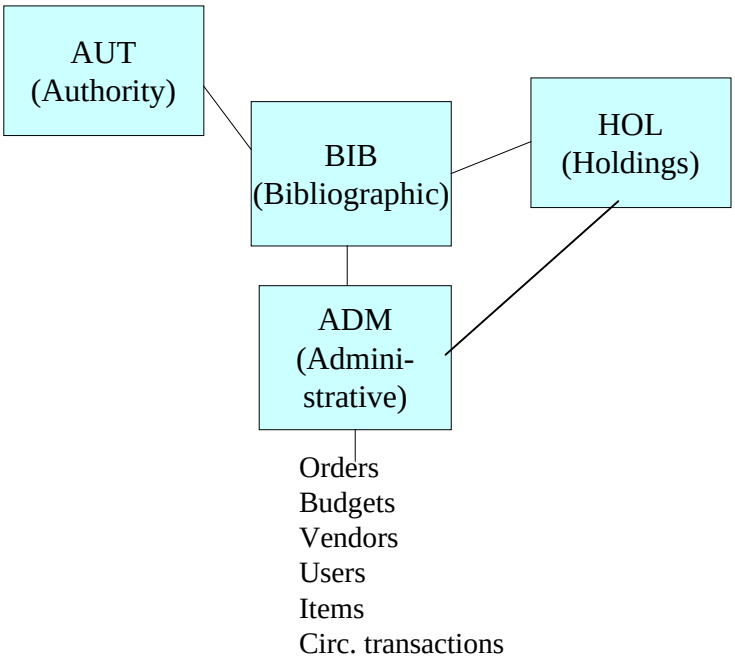
An ALEPH installation consists of several kinds of ***databases*** for the different types of records that a library will normally have. There are 4 basic types of records, each with its own database

BIBliographic database for BIBliographic records.

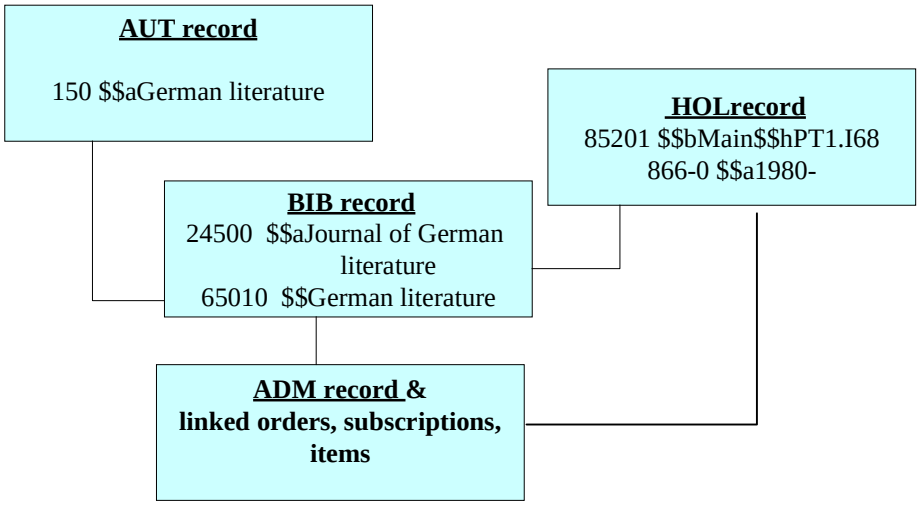
AUThority database for AUThority records.

HOLdings database for HOLdings records

ADMinistrative database for ADMinistrative records and administrative data.



The links between the records in the various databases can be illustrated as follows:



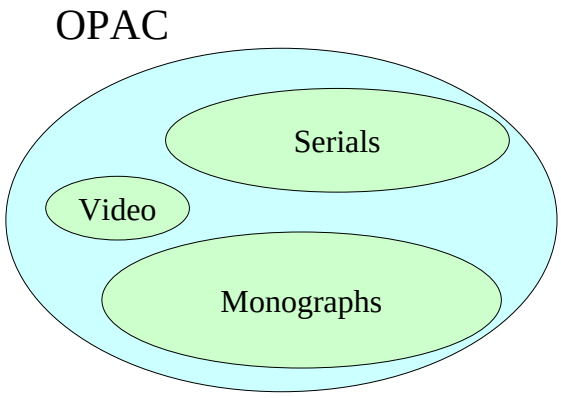
The different databases in a single installation are integrated so that information from one can be displayed together with the other, and in some instances "integrated" into one record. Generally speaking the BIBliographic record is the central record and AUT, HOL and ADM records are linked to it. Search indexes are derived from the BIB record, after virtual integration of other records with it (for indexing/display purposes).

In our documentation we often refer to the ALEPH databases as "***Libraries***". The reason for this is that in addition to the database itself these units each have a set of tables and services that enable the user to configure the set-up and control the working of the database. To distinguish an ALEPH Library from the common use of the word "library", the former is capitalized in the following document and the latter is in lowercase.

3.1. The BIBliographic Library and Logical Bases

The BIBliographic database contains bibliographic records, which describe bibliographic material of all types.

A central concept of the BIBliographic database is that of "***logical bases***". A logical base is a sub-division of the BIBliographic database. Logical bases can be defined for practically any group of records – by subject, material type or location.



3.2. The HOLding Library

HOLding records are created for holdings information. HOLding records can also be used to store ***local information*** that the library does not want to store in the BIBliographic database record (for example, local subject headings).

Note that ALEPH also has an ***item record*** for each physical item the library has. The item is the basis for circulation. HOLding records are created for summary holdings and other information that cannot be stored in the item record.

3.3. The AUThority Library

The authority database can be maintained and searched as an independent database.

It is mainly used to enrich and update the BIBliographic database:

- The AUThority Library can be consulted and copied from during cataloging.
- Headings from the BIBliographic database are linked to AUThority records – in the OPAC the user can display the linked AUThority record
- Cross-references from the linked AUThority record enrich the indexes of the BIBliographic database
- Optionally the AUThority database can be used to update BIBliographic records
- Data from the AUThority record can be integrated with the BIBliographic record, thereby enriching it.

3.4. The ADMinistrative Library

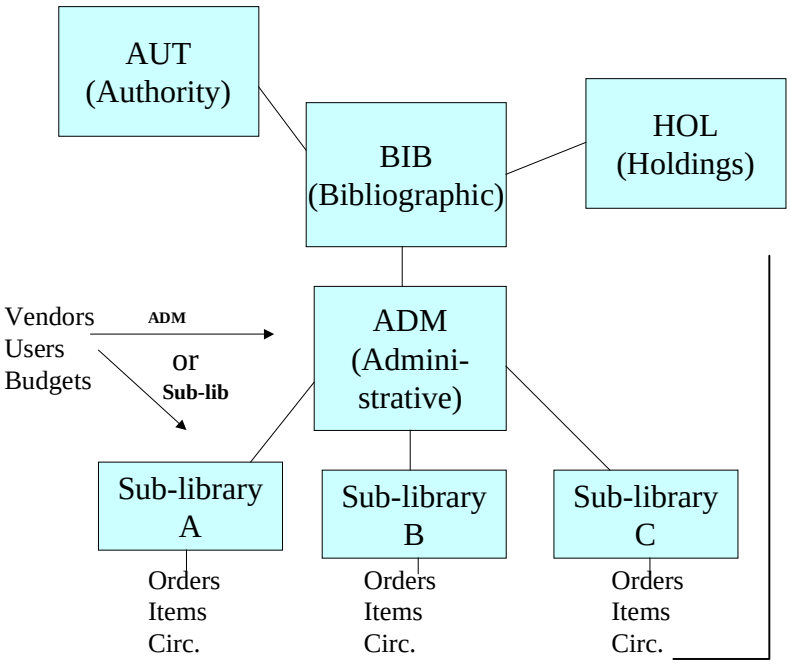
The ADMinistrative record can be used to store administrative information (for example, notes or statistical information). In addition to the ADMinstrative record itself, the ADMinistrative Library is used for storing and controlling records such as items, orders, budgets, vendors and users. In other words the ADMinistrative Library is the basis for the library's administrative functions: acquisitions, items and serials control as well as circulation and inter-library loans.

In order to consider the basic set-up of the Library it is necessary to mention another basic ALEPH unit – the sublibrary.

3.5. The Sublibrary

The smallest administrative unit in ALEPH is the sublibrary (branch). Sublibraries are defined within one ADMinistrative Library. A substantial part of the system's configuration can be managed at the sublibrary level.

Most of the administrative records – items, orders, subscriptions, circulation transactions are created at the sublibrary level. Other records such as budgets and vendors can optionally be created either at the ADM Library or at the sublibrary level.



3.6. The Typical ALEPH Installation

ALEPH databases can be viewed as "building blocks" and it is possible to combine them in different ways to meet different needs.

Most ALEPH installations have at least one BIBliographic, ADMinistrative and HOLding Library. If the library uses authorities, it will have at least one AUThority Library.

In some ALEPH installations - especially consortia – the system may be comprised of additional databases. In which instances would an installation choose to have additional databases? The following sections try to highlight factors to consider in deciding how many databases are necessary.

3.7. System Configuration: How Many Databases?

3.7.1. How Many BIBliographic Libraries?

Normally one library will have one BIBliographic database that represents the sum of its collection in bibliographic terms – even if these holdings are spread across several administrative units.

When would you have multiple BIBliographic libraries?

If the cataloging practices of two libraries are different, and each wants its own version of the bibliographic record, and they want to prevent catalogers of the other library from updating their bibliographic records, then they should be defined as separate BIBliographic Libraries.

Another reason to have separate BIBliographic databases is the existence of different kinds of data that require separate cataloging procedures, search strategies and display formats so that it may be preferable to catalog and search them separately. For example, an installation that also has an archive may decide to have a separate database for this material.

In almost all situations it is possible to either split or merge the BIBliographic records. There are several points to consider in making the decision:

Search. Will the user normally want to search the material together/separately?

Generally, the need to have separate OPAC indexes is **not** a reason to define separate BIBliographic Libraries since by defining bases it is possible to generate indexes which contain entries for only a particular location or material type. Each base can also define its own user interface in the WWW OPAC.

It should be noted that there are some limitations to logical bases:

Currently, the browse headings display produced for a particular base contains **all** of the cross-references for the entire AUT file – whether they refer to headings actually included in the bib records for the base in question or not. [1]

The Z39.50 server can only operate on the BIB as a whole; it cannot be limited to a particular base (this is planned development for future versions).

Also note that it is not recommended to create logical bases for records that comprise a small percent of the database.[2]

Conversely it is possible to do multi-database searches (including ALEPH databases and Z39.50 databases). It should be noted that only SEARCHes ("Find"; Words) can be performed; there is no multi-base BROWSE search (searching a list of headings). Though there is currently no facility for de-duping of the results, such a facility is planned.

Local information. Local information (such as local subjects or notes) can be stored in separate holdings records in the HOLdings database rather than in the BIBliographic database. Each location (e.g. branch) of the library can have its own HOLdings record. Note that password control at location level for HOLding records is available.

---

[1] Note to NOTIS sites: This is exactly the situation which existed with Location-based catalogs and the merged headings index under NOTIS.)

[2] The main problem in this regard is using the BROWSE search. A base should constitute minimally 10% of the entire database. Another relevant factor is the distribution of the logical base records within the database as a whole.

Please answer the following questions:

1. How many cataloging departments does your library have?

2. What kinds of bibliographic databases do you currently maintain?

3. Do different sections of your library need to enter local information? What kinds of local information do you need to enter?

4. What external sources (e.g., OCLC, RLIN) do you use for bibliographic records? (Please specify for each whether you do it online or in batch.)

3.7.1.1. Multiple BIBliographic Libraries and the ADMinistrative Library

If an installation has more than one BIBliographic Library does this mean that it must have several ADMinistrative libraries as well? Not necessarily; several BIBliographic libraries can share the same ADMinistrative LibraryADMinistrative Library. In the example above the installation may want to have a separate BIBliographic Library for its archive but may want to have shared acquisitions and circulation.

3.7.2. How many AUThority Libraries?

The number of AUThority libraries normally depends on the number of authority schemes the library works with (Library of Congress subject headings, Authors, MESH, local authorities). In order to avoid problems that may arise if the same term is used in the different authorities we recommend keeping different authorities in separate databases.

Please answer the following questions:

1. How many types of authorities do you work with?

2. How many types of authorities from an external source/s? Which? (Please specify for each whether you do it online or batch.)

3.7.3. How many ADMinistrative Libraries?

Often the question of how many ADMinistrative Libraries to have is the most difficult one to decide because most installations are composed of several administrative units (e.g. branch libraries) that are independent to varying degrees. If these units share the same BIBliographic Library the question arises - should they share the same ADMinistrative Library as sub-libraries or should each unit have a separate ADM Library?

There is no “correct” answer to this question; different installations have different organizations and different needs.

3.7.3.1. ADMinistrative Library or Sublibrary?

The ADMinistrative Library:

Each ADMinistrative Library has its own set of Oracle tables[3] and a separate account on the server, which contains its parameter tables and printing templates. This means that each unit is largely independent in the configuration and set-up of the library policies and workflows.

On-line in the "administrative clients" - acquisitions, serials, items, serials, ILL, cash management - staff users connect to a specific ADM Library. This means that on-line there is no "shared view" between the various units; each ADM Library works separately.

In the OPAC several ADMinistrative libraries have a common holdings display. However, the user's list of circulation and cash (bill and fine) transactions displays separately for each ADMinistrative Library.

The Sublibrary:

Although all sub-libraries share the same ALEPH configuration tables many of these tables can be defined at sublibrary level. Password authorization for on-line staff log-in to the ADMinistrative Library protects the integrity of each sublibrary's data. Filters to the various lists by sublibrary are gradually being added to all clients so that an operator can choose to display only his own sublibrary's records.

In other words sub-libraries within one ADM Library can be defined as independent to varying degrees - less, however, than if each were an independent ADM Library.

Points to consider:

- To what extent is each unit in the library different/independent in terms of management and setting up of policy?

  $\Rightarrow$ shared tables requires greater cooperation and shared policies and workflows

- Does each unit have personnel that can manage the ADM Library?

[3]Note that it possible to share some Oracle tables – vendors, users – between ADMinistrative libraries.

⇒ since each ADM is independent there would be a local system librarian/system administrator.

- Does staff want to be able to have a shared view of items, orders and other administrative data?

  ⇒ Separate ADMinistrative libraries results in separate displays. Within one ADMinistrative Library there is one shared display with optional filters.

- Do users normally loan from more than one than one administrative unit? Should the user have one account for listing his loans, requests and cash transactions?

  ⇒ Separate ADMinistrative libraries results in separate user accounts (– including separate pickup and return libraries).

- Server configuration

  ⇒Will each unit have its own server? The system can be distributed over several servers. Distributing one ADM over several servers will complicate the administration of the system; the data will be stored on one server but the tables will have to be duplicated on each server.

  ⇒ Every additional ADM requires more disk space on the server and some additional administration.

3.7.4. How many HOLdings Libraries?

There will is one HOL Library for each ADM Library. A single BIBliographic record can be linked to one or more HOL records. Generally each location will have its own HOL record.

3.7.5. Multiple Database and Resources

Multiple databases, as noted in the section above, should also be considered in terms of resources, as each additional database will require additional resources.

- Diskspace – for each Library there is some overhead. Each Library requires space on the disk for its ALEPH tables and other files.
- Separate Backup – each database must be backed-up separately
- Maintenance of tables – although ALEPH Libraries can share certain ALEPH tables and files (e.g. HTML screens) – each Library will require separate set-up and maintenance.

4. Database Setup

Within the framework described above, how do you visualize your database setup?

Note that we have a convention for naming libraries. A database code is 3 characters + 2 digits:

BIB Libraries from 01 to 09; e.g.: USM01, USM02

AUT Libraries from 10 to 19; e.g.: USM10, USM11

ADM Libraries from 50 to 59; e.g.: USM50, USM51

HOL Libraries from 60 to 69; e.g.: USM60, USM61

4.1. BIBliographic Library

Do you plan on having more than one BIB Library?

Each defined database must have a defined *code of* 3 characters + 2 numbers and a defined *name* of up to 20 characters. Please give a brief description of database.

BIB Library Name (Display form)	BIB Library Code	Description
Sample: xxxxx xxxxx xxxx	USM01	yyyyyyyyyy

Comments:

4.1.1. Logical Bases

Do you think you will want to define logical bases? Note that is possible to define and change bases at any time. In the description please explain the characteristic by which a record belongs to the base.

Base Name	Description

4.2. AUThority Library

Do you plan on having more than one AUT Library?

Each defined Library must have a defined *code of* 3 characters + 2 digits and a defined *name* of up to 20 characters.

AUT Library Name	AUT Library Code	Description
Sample: xxxxx xxxxxxx xxxxx	USM10	yyyyyyyyyy

Comments:

4.3. ADMinistrative Library

Do you plan on having more than one ADM Library?

Each defined Library must have a defined *code of* 3 characters + 2 digits and a defined *name* of up to 20 characters.

ADM Library Name	ADM Library Code	Description
Sample: xxxxx xxxxxxx xxxxx	USM50	yyyyyyyyyy

Comments:

4.4. Sub-libraries

What branch or sub-libraries will need to be defined? Each *sublibrary* must have a defined *code* of up to 5 characters, and a defined *name* of up to 30 characters. This table should be filled in per ADMinistrative Library. Sublibrary codes must be unique within the entire installation.

[Note: you may not need to actually fill in this table. Depending on what system you are converting from, it may be that you will include this information on your conversion spreadsheet. . *Please consult your Ex Libris Project Librarian*.]

ADM Code	Sublibrary - 30 Characters (Display form)	Sublibrary Code (up to 5 characters)

Comments:

5. Cataloging Record Definition

A *bibliographic record* is a collection of fields, identified by tags, that describe an item.

In the **ALEPH** parameter tables any alphanumeric string of up to 3 characters can be defined as a field code/tag. Indicators are supplied as part of the data entry.

ALEPH also supports non-MARC codes, or a *mixture* of MARC and non-MARC codes.

In addition to *codes/tags* assigned for each field, *names* for each field are also defined. A field name can be up to 20 characters.

There is no limit to the number of fields defined or the number of times a field may occur in each document record. Definition of repeatable non-repeatable fields or sub-fields is defined in a validation table.

The maximum length of each field is 2000 characters.

The standard **ALEPH** parameter tables are set up for USMARC, UNIMARC or MAB standards. Adjustments will need to be made to these tables if your application will not be working with these formats, or if your MARC format differs from these standards. We understand that you might not be fully aware of any differences, but answering the questions following will assist the ***Ex Libris*** project team set up your database in accordance with the needs of your particular record and database structure.

5.1. Cataloging Format

If the application will be using MARC format, which MARC standard will be used - USMARC, UNIMARC or other. If *other* to what MARC standard does this most closely adhere - USMARC or UNIMARC?

5.1.1. Additional codes

If you intend to *add* mnemonic or non-MARC codes to a MARC database structure, please try and draw up a list of the codes that will be needed.

This list should be appended to this Configuration Guide. (Indicate on the line below if there is such an appendix).

5.1.2. Converted Databases

For databases that will be converted from another system, where neither USMARC nor UNIMARC types of codes were used, please provide - where possible - full documentation regarding the database format. At the very least a full listing of tags (+ indicators and sub-fields, as necessary) as well as the names of the fields should be appended to this Configuration Guide. (Indicate on the line below if there is such an appendix).

The above is necessary only if the conversion is being done by Ex Libris.

6. <Reserved>

7. Heading, Word and Index Files

ALEPH online search is based on indexes extracted from BIBliographic record fields (or parts of fields, as phrases) or individual words from within the fields. The system organizes the phrases or words in lists, (e.g. lists of authors, lists of titles, lists of subjects, lists of publishers, list of words from titles, words from subjects, etc.)

ALEPH supports 4 types of lists. Three types are user defined, and there is no limit on the number of lists that can be defined for each type. (The fourth list is a listing of bibliographic document numbers, automatically defined by the system).

The three types are:

- Heading lists
- Word lists
- Index lists

The lists are defined for search *online*. Other information from the bibliographic record can always be retrieved in batch mode.

Each list defined is identified by an alphanumeric *code* of up to 3 characters and a *name*.

7.1. Headings/Browse Lists

The definition of *heading lists* is performed in the **ALEPH** parameter tables.

The lists are constructed alphabetically according to the full text of the fields or subfields.

A field or parts of a field (i.e. definition on a subfield level) can be defined for any number of heading lists (e.g. series field sent to both titles and series lists).

Heading lists can be built from one or more fields or subfields (e.g. titles list can be built to include titles, sub-titles, series and other fields as necessary). It is also possible to define that a tag *minus* specific subfields will be sent to a heading list.

Examples of Heading Lists with some of the codes most commonly used by **ALEPH** applications:

Heading List	Code
Authors	AUT
Titles	TIT
Subjects	SUB
Series	SRS
Publishers	PUB
Dewey Class	DDC
UDC	UDC
LC Class	LCC

Note: The *OPAC/Cataloging/Authorities/Items control Configuration Guide* contains detailed

Headings List Definition, Heading/Browse List - tag/ subfield linkage, and

Heading List - tag/ subfield linkage definition sections.

7.2. Index Lists

An index list allows direct access to a document by an index term (such as ISBN, ISSN, Call number, Library of Congress, etc.)

Each document is registered separately for each occurrence in the catalog. Index entries are usually, but not necessarily unique.

Note: The *OPAC/Cataloging/Authorities/Items control Configuration Guide* contains detailed Index List Definition, Index List - tag/ subfield linkage, and Index List - tag/ subfield linkage definition sections.

7.3. Word Lists

A *word list* is based on individual words extracted from selected record fields (e.g. subjects and/or titles and/or sub-titles and/or abstract, etc.) The choice of the fields is flexible and determined by the application manager via **ALEPH** parameter tables.

Words can be assigned to more than one word group. For example, to a specific word group (e.g. *words from titles group***)**, or to a general word group.

The list is sequenced alphabetically and each word is unique (appears only once in the list).

Examples of Word Lists with some of the codes most commonly used by **ALEPH** applications:

Word List	Code
General words file	WRD
Words from titles	WTI
Words from subjects	WSU
Words from authors	WAU
Words from series	WSR

Note: The *OPAC/Cataloging/Authorities/Items control Configuration Guide* contains detailed Word List Definition, Word List - tag/ subfield linkage, and Word List - tag/ subfield linkage definition sections.

8. Character Sorting

In some languages, in addition to the *standard* alphabet of 26 letters, there are additional *special* characters - e.g. the Danish å, the Portuguese ã , Spanish ñ, etc.

ALEPH has a table which determines the alphabetical sequence of these special characters (e.g. ñ sorted as if "n" or at the end of "n") order.

Will your application be using an alphabet with special characters? If *yes*, please list this alphabet including all the special characters in the order that the characters should be filed.

If the alphabet you will be using has any other special elements of sorting or filing, please enter full information about this here.

Character order:

Other special elements:

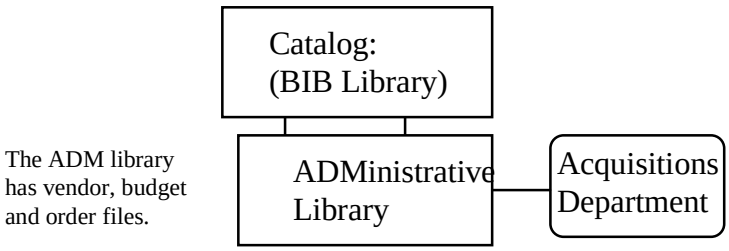
Comments:

9. Acquisitions Set-up

There are 3 basic types of Acquisitions set-up:

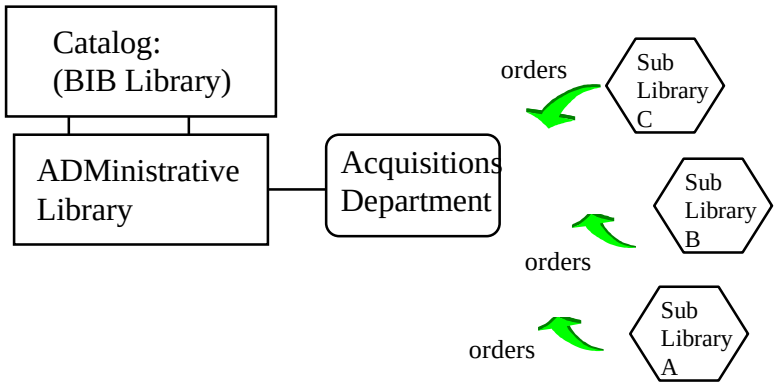
9.1 Single Library

In a single Library set-up, the acquisitions department is responsible for the complete acquisitions process including the initiation of the order.



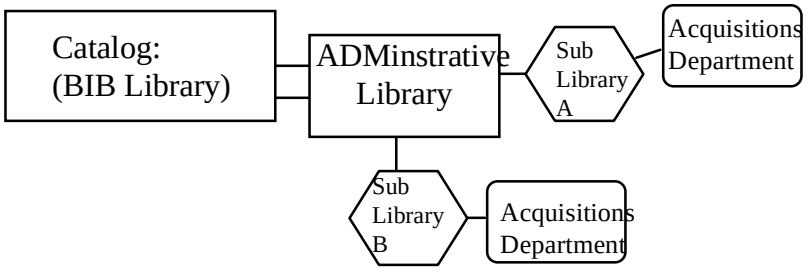
9.2. Centralized

In a centralized set-up several libraries or branches (defined as sublibraries in the system) share the same catalog (BIB Library) and ADMinistrative Library. In this set-up there is one central acquisitions department but the individual branch/sublibrary initiates the orders; the acquisitions department completes the acquisitions process. The sublibraries will operate with sublibrary level password authorization while the central library will have global password authorization to enable it to work with the orders of all sublibraries. Sub library level password authorizations safeguard the orders and budgets of each sub library.



9.3. De-centralized

In a decentralized set-up several libraries can share the same catalog (BIB Library) and ADMinistrative Library but each handle the complete acquisitions process separately. Sublibrary level password authorizations safeguard the orders and budgets of each sublibrary.



9.4. Your Library's Set-up

Which of the above set-ups best suit your library? Try to describe your installation in terms of the setup types described above.

10. Items

Item records are used to register the library's holdings. The item is also the basis for circulation - i.e. the system must have one item record for every physical unit that may be circulated and/or requested.

An item is registered to a specific sublibrary. In addition to sublibrary the location of items can be entered in the "collection" and "location" (i.e. shelving). The sublibrary, collection and location all display in the OPAC.

10.1. Collections

If a group of books is shelved in a separate sequence from other groups of books it can be defined as a separate ALEPH Collection. Every sublibrary can have a separate list of collections. . (Note: in some systems such groups of books shelved in a separate sequence are referred to as a "location". In ALEPH the term "location" is used for the shelf number or "call number".)

Note that there is no password control at the collection level. If you want to have separate circulation desks (i.e. that one desk cannot loan/return items belonging to another desk), you should define the collection as a sublibrary.

Collection codes can be up to 5 characters. Collection code is translated into a 30-character display format. It is possible to define separate collection lists per sublibrary.

Which collections should be defined in your library?

[Note: you may not need to actually fill in this table. Depending on what system you are converting from, it may be that you will include this information on your conversion spreadsheet. . *Please consult your Ex Libris Project Librarian*.]

Sublibrary Code	Collection - 80 Characters	Collection Code (up to 5 chars)

Sublibrary Code	Collection - 80 Characters	Collection Code (up to 5 chars)

Comments:

10.2. Call numbers

[Note: Generally, we use the term "call number" for the shelf-number/shelf-location/classification number; and we use "location" as a general term for the combination of sublibrary, Collection, and call number. *You may find, however, that in some (older) documentation the call number is still referred to as the "location"*.]

Call numbers can be up to 80 characters. can be varying types. Some are based on a standard or local classification system; others are running numbers with some kind of prefix. The former is common in open shelf collections and the latter in closed shelf collections.

What kind/s of call number notation is used in your library?

Call number type /Classification system	**Collection/Sublibrary**

Comments:

10.3. Item statuses

Every item is assigned an item status, which is used to distinguish between groups of items and is used to define various aspects that affect the behavior of the item in the system - mainly in terms of circulation of the item. The item status is also used to define the name of the item - the way it will be presented in the OPAC. Item names can be up to 15 characters.

It is possible to define up to 97 item statuses (01-10 and 12-98). Although every sublibrary can define its own item statuses we strongly recommend that sub-libraries share item statuses as this will be easier for the end-user in his use of the library.

Try to think of the various types of items with regard to your circulation policy and workflows.

Please keep in mind that the status of an item can be changed and that the system also has a service for temporarily changing the status of an item (e.g. change an item temporarily from a normal loan status to a short loan status).

Do not include transient statuses such as “on loan”, “recalled”, and “requested”, “in transit”. Also, since an item has a special processing status do not include statuses which reflect the item’s status in terms of the processing workflow such as “on order”, “binding” (see section 10.4).

10.3.1. Item Statuses and Circulation Policy

The following aspects are defined at the item status level and should be taken into account when item statuses are defined:

- Should the item be displayed in the OPAC?
- Is the item in an open shelf (accessible to the user) or closed stacks? Since circulation policy may differ between open/closed stacks it is necessary to distinguish between such items. For example – the library may want the system to prevent users from placing holds on items that are not on-loan; this is possible only if the item is accessible to the user.
- Does the item belong (permanently or temporarily) to a reserve or short-term loan collection? The system provides some specific functionality for reserve collections.
- Can the item be loaned?

- Can hold requests be placed for the item in the OPAC?
- Can photocopy requests be placed for the item in the OPAC?

Typical item statuses may include:

Item name	**Code status**
Regular	01
Closed stack	02
Overnight	03
Non for loan	04

Please answer the following questions:

1. Do you have any items you would not like to have displayed in the OPAC?

2. Do you have closed stack collections?

3. Do you maintain a reserve room/reserve collections?

10.3.2. Item Status Definition

Which item statuses do you think will need to be defined for your application? If necessary, define a list per sublibrary.

[Note: you may not need to actually fill in this table. Depending on what system you are converting from, it may be that you will include this information on your conversion spreadsheet. *Please consult your Ex Libris Project Librarian*.]

Definition	**Code**

10.4 Item Processing Status

In addition to the item status which defined the item in terms of the library's circulation policy, every item can also have an item processing status which is used to indicate the state of the item in terms of item processing workflow of the library. By "processing workflow" we mean periods during which the item is not available for normal circulation. 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 loaned. However, some libraries may decide to enable patrons to place a request on such items.

Typical item processing statuses include:

Item name	**Code status**
Order initiated	OI
On order	OR
In Cataloging	CT
Order cancelled	CA
In binding	BD
Sent to binding	SB

Please answer the following:

Does you library have any additional processing workflows besides acquisitions and binding?

10.4.1 Item Processing Status Definition

Which item processing statuses do you think will need to be defined for your application? If necessary, define a list per sublibrary.

Definition	Code

11. Users

The circulation policy is set by interaction of a borrower as defined by his borrower status matched with an item as defined by its item status. Therefore definition of users is a central aspect of the system.

The end-user is registered in ALEPH as a “user”. A user has three types of records:

User (global information) - name, identifying numbers

Address information.

Borrower (local information) - includes circulation privileges as they relate to a specific sublibrary, or group of sub-libraries.

Every registered patron in the system will have one “user” record but may have several “borrower” records. Borrower records can be created at the sublibrary, Library (ADM) or “global” (i.e. a single borrower for several ADMinistrative libraries). For example, in a consortium setup, you might have 3 borrower records -- one for the user's "home" library (e.g. mathematics library for the math student), one for the institution (ADM Library) and one for the consortium. In a single university setup, you might have one borrower record, with equal privileges across all sub-libraries of the institution.

A central question in determining circulation set-up is how many borrower records are necessary?

11.1. How many Borrower Records

The following questions should be considered to determine how many borrower records are necessary:

1. Do the sub-libraries (or some of the sub-libraries) defined within your ADMinistrative Library have different circulation policies?

2. Do the sub-libraries (or some of the sub-libraries) defined within your ADMinistrative Library have separate circulation management? For example, can a user return an item anywhere within the library or must he return it from where he checked it out? Loan items? Place recalls?

3. To which unit does the borrower “belong”? Is he registered at the sublibrary or the ADMinistrative Library?

4. Do borrowers have different loan privileges in each sublibrary?

Do you think your library will need to define separate borrowers per sublibrary?

11.2. Borrower Statuses

In **ALEPH** it is possible to define up to 99 different borrower statuses (01-99)

11.2.1. Borrower Statuses and Circulation Policy

The following aspects are defined at the borrower status level and should be taken into account when statuses are defined. Note that these statuses can be modified for individual borrowers.

- Can the user loan items?
- Can the user place hold requests?
- Can the user place photocopy requests?
- Can the user place requests for items that are available on the shelf?
- Expiration date of user
- Cash limit

You will want multiple borrower records if, for one user, the above privileges differ from one sublibrary to another.

Typical borrower statuses include:

Code	Borrower Type
01	First degree students
02	Post graduate students
03	Research staff
04	Faculty members
05	Administrative staff
06	Departmental loan
07	External users
08	Visitors
09	Retirees
10	Inter Library Loan
11	Other

11.3. Borrower Status Definitions

Which borrower statuses should be defined in your application? Try to divide your users into groupings that have common privileges.

[Note: you may not need to actually fill in this table. Depending on what system you are converting from, it may be that you will include this information on a borrower status spreadsheet. . *Please consult your Ex Libris Project Librarian*.]

Code	Borrower Type

12. Conversion

Will records from your current system be converted? If the answer is *YES* please make sure that a sample of converted data is sent to the ***Ex Libris*** offices. Consult with ***Ex Libris*** personnel, regarding format of data and methods of data transfer. Note: Though we refer below to certain types of conversions which **can** be performed, whether they are **actually** performed for your site depends upon your contract with Ex Libris.

12.1. Bibliographic records

What files of bibliographic records do you want to load into ALEPH? ? How many records are there in each?

Referring to Section 4.1 where you listed what BIB Libraries you will have, specify which ALEPH BIB Library each file should be loaded into:

Your BIB file	ALEPH BIB Library Code

Do any of these files contain duplicate records?

If so, what records should be considered duplicates?

What should be done about these duplicates?

Comments:

12.2. Holding and Item records

ALEPH stores the sublibrary code, Collection code, call number, and barcode in an item record (an ADM Z30 record).

ALEPH also allows you to have HOL records containing the sublibrary code, the Collection code, call number, and MARC summary holdings.

You will have one HOL Library for each ADM Library. As specified in Section 3, you *may* have multiple ADM Libraries per BIB Library. What files of item/holdings information do you plan to load? How many records are there in each?

Note: If available, please refer to the attached system-specific conversion form (e.g., the "NOTIS-to-ALEPH Conversion Form"). The values specified there will determine what ALEPH sublibrary/Collection (and item status) will go into the item (Z30) record and the HOL record**.**

Item/Holdings file	ALEPH ADM Lib. code	ALEPH HOL Lib. code

In your current system do you have records that are not linked to a bibliographic record? ALEPH does not have unlinked item records. We usually create a brief bib record/item record for every unlinked item record. The bib record has an STA field with a value of "UNLINKED". You can suppress these from display in OPAC if you choose….

Comments:

12.2.1 Item Processing Status

As noted in section 10 above, items have an item status which reflects its circulation status and an item processing status which reflects the status of the item in terms of the processing workflow. Where does information regarding the item processing status exist in your current system/data?

12.3. Authority records

What files of authority records do you want converted into ALEPH? How many records are there in each?

Referring to Section 4.2 where you listed what AUT Libraries you will have, specify what ALEPH AUT Library each file should be loaded into:

Your AUT file	ALEPH AUT Library code

If records from a single authority file are being split into multiple files, describe what should be the basis for this splitting. OR, if records from multiple authority files are being merged into a single file, describe what should be done about duplicates.

Comments:

12.4. Circulation:

12.4.1. Borrower/user records

As described in Section 11, ALEPH patron records are made up of three different record types: a single user record (Z303), one or more address records (Z304) and one or more borrower records (Z305). These ALEPH user, address, and borrower records reside in an ADM Library.

What files of patron records do you want converted into ALEPH? How many records are there in each?

Patron File	ALEPH ADM Library code

Also as described in Section 11.2, every borrower record contains a two-digit borrower status code. The user record is not associated with any sublibrary; the borrower record must be assigned a "grouping", which may be a sub-library.

Note: Please refer to the attached system-specific conversion form (e.g., the NOTIS-to-ALEPH Excel Spreadsheet). The values specified there will determine what ALEPH borrower status and (optional) sublibrary will go into the Z305 borrower record.

12.4.2. Circulation transactions

Each active loan/renewal transaction (Z36) record resides in the ADM Lib. in which its associated item (Z30) record is located. Normally we convert only active, outstanding loans. Does your file contain completed transactions (for returned items)?

Referring to the ADM files you specified above (in Section 4.3), what files of circulation transactions do you want converted into ALEPH? ***[NOTIS 6.0 sites can skip this.]***

Circulation Transaction File	ALEPH ADM Library code

Comments:

12.4.3 Cash [Bill and Fine] Records

Normally we convert only outstanding bill and fine (Cash) transactions –those for which money is still owed. Each Cash (Z31) record resides in the ADM Library in which its associated patron record is located. Referring to the ADM files you specified above (in Section 12.4.1), what files of bill and fine transactions do you want converted into ALEPH? How many records are there in each?

Bill and Fine File	ALEPH ADM Library code

Comments:

12.5 Acquisitions Module

12.5.1 Orders

Your order records can be converted into ALEPH order (Z68) records (and associated records). Each order record resides in the ADM Library in which its associated item records are located.

What should happen with closed order records?

Please refer to the attached system-specific conversion form (e.g., the NOTIS-to-ALEPH Excel Spreadsheet **). The values specified there will determine what ADM Library the order records should be loaded into and what ALEPH sublibrary will go into each order record.**

How many records are there in each?

Order File	ALEPH ADM Library code

Comments:

12.5.2. Budgets

Your fund records can be converted into ALEPH budget (Z76) records and ALEPH budget transaction (Z601) records. Each budget record should reside in the ADM Library in which its associated order records reside. (See Section 12.5.1 above.) Note: ALEPH budget numbers can be up to 20 characaters.

[Note to NOTIS sites: If your fund codes end in a year (ABCDEFG99, for instance), then the program can convert them to the form ALEPH expects for doing fiscal period close: ABCDEFG-1999. Do your fund codes end with the year?]

How many records are there in each file?

Fund File	ALEPH ADM Library code

As noted in Section 4, a budget record *can* be associated with a particular sublibrary, but does not have to be. Do you want your budget records to be associated with particular sublibraries?

Comments:

12.5.3. Invoices

Your invoice records can be converted into ALEPH invoice (Z75 and Z77) records. Each invoice record must reside in the ADM Library in which its associated order records reside. (See Section 12.5.1 above.)

What files of invoice records do you want converted into ALEPH? How many records are there in each?

Invoice File	ALEPH ADM Library code

Comments:

12.5.4. Vendors

Your vendor records can be converted into ALEPH vendor (Z70) and vendor address (Z72) records.

Keep in mind that vendor files can be shared across ADM Libraries.

Do you want vendor records to be associated with and used by specific sublibraries?

What files of vendor records do you want converted into ALEPH? How many records are there in each?

Vendor File	ALEPH ADM Library code

Comments:

12.6 Serials

Serial control in ALEPH is based on a several types of records. All these records are stored in the ADMinistrative Library.

12.6.1 Serial behavioral pattern

In this record the library defines the behavioral pattern of the serial. ALEPH can also store the pattern of a serial using the USMARC Holdings format 853/4/5-863/4/5.

Do you have patterns that can be converted?

Pattern file	ALEPH ADM Library code

Pattern file	ALEPH ADM Library code

12.6.2 Serial Subscriptions

The subscription record contains information relevant to a specific subscription (copy) of the serials held by the library, including the vendor, subscription period and location. The library must have one subscription record per copy.

In which file do you think subscription information can is stored?

Subscription file	ALEPH ADM Library code

12.6.3 Routing Lists

Routing lists for the distribution of issues can be created for every subscription record. A subscription record can have multiple routing lists. Creation of routing lists is not mandatory.

Do you want to convert routing lists?

Routing list file	ALEPH ADM Library code

12.6.4 Issues & Items

ALEPH stores issue receipt information for every subscription of the serial as individual items. These are items of material type ISSUE, have barcodes and serve as the basis for circulation of serial issues (if permitted by the library).

How does your current system store receipt information? Do you have a separate record for every issue check-in?

Issues/items file	ALEPH ADM Library code

Comments:

12.7 Inter-Library Loan

Bibliographic details of the request are stored in a special BIBliographic database. This database has 20 as its suffix. The administrative aspects of the inter-library loan functionality are controlled by an ADMinistrative Library – normally this is the ADMinistrative Library that is linked to the main BIBliographic Library so that the same circulation desk can be used for both regular and inter-library loans.

12.7.1 Patrons file

In ALEPH, the inter-library loan functions use the same users file as regular circulation. Do you have a separate users file for inter-library loans?

12.7.2 Suppliers file

What files of ILL supplier's records do you want converted into ALEPH?

Supplier file	ALEPH ADM Library code

12.7.3 Inter-library requests

What files of ILL requests records do you want converted into ALEPH?

Request file	ALEPH ADM Library code

Comments: