

DALNET

Wayne State University Libraries

Memorandum

TO: WSUL Circulation Team
FROM: Louise Bugg *Louise*
SUBJECT: DALNET Circulation Standards
DATE: August 3, 1990

At the July 25th meeting of the DALNET Circulation Standards Task Force, we realized that the final version of the Circulation Standards approved by the DALNET Board on March 19, 1990, had not been officially distributed. The approved recommendations are attached for your records.

The Board requested that the DALNET Circulation Standards Task Force develop additional patron record recommendations to address:

- 1) Infopass patron policies; and
- 2) Social security number problems.

These sections of the Standards are currently being written by the Task Force.

Attachment

cy: **Library Management Group**

LB90-321

DALNET Circulation Standards Task Force

Summary Report

OVERVIEW

The DALNET Circulation Standards Task Force was originally charged with preparing recommendations for system-wide guidelines in three specific areas: Patron records, unlinked item records and statistical reports. During the course of the Task Force deliberations, system-wide circulation messages was added to the agenda. The Task Force includes Louise Bugg (Wayne State University), Eric Condic (Oakland University), Helen Ma (Detroit Public Library) and Faith Van Toll, Chair (Wayne State University).

RECOMMENDATIONS

1. General

Each DALNET institution should follow the Library Privacy Act and treat personal information in NOTIS records as confidential.

2. Patron Records

- a. Guidelines for data entry, which are outlined in a separate document, should result in minimal system-wide duplication of records, accuracy in tapeloading, consistency in record modification and standardization of the use of shared fields.
- b. Only personal patron records should be shared by DALNET institutions. Pseudopatron records and corporate patron records should be created separately to: 1) eliminate multiple screen patron records and incorrect use of patron subrecords; 2) maximize and simplify use of NOTIS bill and fines module.
- c. Standardized circulation messages/notes should be used by each DALNET institution to provide consistency and easily understood notices for both patrons and DALNET staff.

3. Unlinked Item Records

- a. System-wide guidelines, which are outlined in a separate document, should be used for data entry for indexed fields in unlinked item records to provide consistency in the NOTIS indexes.

DALNET Circulation Standards Task Force
Summary Report
Page 2

b. To prevent degradation of the bibliographic database, unlinked item records should be used instead of minimal cataloging in these circumstances: 1) circulation "on the fly"; 2) circulation of non-bibliographic items; 3) circulation of items not owned by the library. (Note: Use of unlinked item records for items leased by the library is optional.)

4. Course Reserves

- a. Use of the course reserve statements is optional.
- b. Guidelines for data entry in course reserve statements, which are outlined in a separate document, should be used to maintain consistency with NOTIS bibliographic records and to enable the user to easily determine which DALNET institution's item is on reserve.

5. Statistical Reports

The DALNET Circulation Standards Task Force will recommend the priority order for the creation of non-system generated circulation reports, based on suggestions from DALNET institution representatives, by June, 1990.

2/14/90

DALNET Circulation Standards Task Force

Patron Record Recommendations

1. General

Each DALNET institution should follow the Library Privacy Act and treat personal information in NOTIS records as confidential.

2. Root of the Patron Record

a. Name

It is recommended that personal names be entered in all upper case letters in the following format: LAST, FIRST MIDDLE NAME/INITIAL (optional).
EXAMPLE: SMITH, JOHN A

It is recommended that corporate names be entered consistently within each DALNET institution.

The names for pseudopatron records (records created for internal library use) should include an institutional identification code either as the prefix or suffix of the name. Institutional pseudopatron names such as departments, extension units, etc. should be entered following each DALNET institution's own standards. EXAMPLES OF PSEUDOPATRON NAMES:

WSU Medical Library Interloan
Missing (DPL)
CHM Circulation Department

b. Social Security Number

Even though the social security number is an optional field in NOTIS, it is recommended that in DALNET, to facilitate tapeloads, social security number be required for all personal name patron records.

No social security number should be used in pseudopatron records or corporate patron records.

When creating a keyed patron record, if the patron refuses to give his social security number or does not have a social security number, this field should be left blank. Pseudo social security numbers should not be used because: 1) a real social security number that comes into the system later may be identical to an existing pseudo social security number; 2) tapeload problems

DALNET Circulation Standards Task Force
Patron Record Recommendations
Page 2

may occur if the tapeload patron record has a real social security number and a keyed patron record for the same patron record has a pseudo social security number.

c. Note Field

Since there is only one NOTE field with a maximum of 40 characters for each patron record and since the information in the NOTE field displays on the charge screen, the following recommendations are made for the use of this field: 1) Messages used in the NOTE field should be standardized within the service unit but not necessarily throughout DALNET; 2) only the institution that enters information in the NOTE field should remove the information; 3) Notes should be coded to insure privacy for the patron and to keep notes brief. Each note should be limited to 6 characters. The first two characters should be the institutional designation and the last four should be the code for the message; 4) More than one note may be entered into the NOTE field by stringing notes, that is, separating each note by a semicolon; 5) Whenever a patron record is blocked for "other" reasons, a code for this block should be put into the NOTE field.

EXAMPLES OF ENTRIES IN THE NOTE FIELD:

wp-bvh;ws-nca

3. Patron Subrecord Fields

a. Required Fields

Required fields in the patron subrecord include id and category (category must be entered in lower case). An address must be included in at least one subrecord for a DALNET institution. When the address is included in the patron subrecord, the address type code must also be completed.

Id's that are no longer in use should be blocked, not erased from the system. Erasing an id may cause system errors that result in incorrect links to bills, overdues, holds, etc.

For all pseudopatron categories that have the LUIS message enabled, use of the LUIS message on the patron record is mandatory.

DALNET Circulation Standards Task Force
Patron Record Recommendations
Page 3

b. Optional Fields

Use of department code, patron code 1 and patron code 2 are optional. When any of these fields are used, they must be used consistently within a library's subrecords to generate accurate/appropriate management reports.

4. Interlibrary Loan Patron Records (for lending purpose)

The use of separate patron records for each ILL library/patron is recommended so that overdues, fines, etc. are linked directly to the borrowing ILL library/patron. Two other ILL patron options are: a) Use of an ILL pseudopatron record for all ILL activity. While this procedure reduces the number of patron records that need to be created for ILL, it also fails to provide a link between the borrowed item and the ILL library/patron resulting in the need for a paper file; b) A combination approach may be used in which separate ILL patron records are created for frequent ILL users and an ILL pseudopatron record and corresponding paper files are used for all other ILL libraries/patrons.

When pseudopatrons are used for ILL, the guidelines for pseudopatrons in Part 1a of this document should be followed.

5. Tapeload Guidelines

Use of the standard name format (See Part 1a of this document) will minimize the number of mismatches generated during tapeloads. The following guidelines should be used to resolve mismatches that do occur: a) The resolution of trivial differences is at the discretion of each DALNET institution; b) When a choice must be made between two forms of a name, the most complete form of the name should be used; c) When a mismatch cannot be resolved based on the information in the patron error report: i) leave the first record in the system; ii) block the patron ID; iii) put a message in the NOTE field to get the correct name and/or social security number; iv) Within the same DALNET institution, the service unit which enters the correct information should delete the note and remove the block.

2/14/90

DALNET Circulation Standards Task Force

Unlinked Item Record Recommendation

1. General

The guidelines which follow should be used for data entry for indexed fields in unlinked item records to provide consistency in the NOTIS indexes. Unlinked item records should be used instead of minimal cataloging in these circumstances: circulation "on the fly"; circulation of non-bibliographic items; circulation of items not owned by the library. (Note: Use of unlinked item records for items leased by the library is optional.)

2. Unlinked Item Record Fields

a. Required Fields

NOTIS required fields are call number, item id, location, loan code and class type. Author and Title fields should also be completed to provide adequate information for linking purposes and for identification purposes on NOTIS reports, bills, fines, overdues, etc.

1) Author

Author names should be entered in the following format: Last name, First name Middle initial. EXAMPLE: Smith, John A
Note that the author field is required in the unlinked item record if course reserve statements are to be used.

2) Title

Titles should be entered in the same format as titles in a bibliographic record. Do not enter initial articles. Note that the field is required if course reserve statements are to be used.

3) Call Number

The call number should be entered as it appears on the spine of the item with a space between each line. When the letters in a call number are in upper case, it is important to enter these letters in upper case in the unlinked item record so that the NOTIS indexes are properly generated. When the item is not classed, each DALNET

DALNET Circulation Standards Task Force
Unlinked Item Record Recommendations
Page 2

institution should develop its own standards for a call number. Such call numbers should begin with an institution code.

4) Class Type

Class type must match the call number to generate correct indexing. Class type codes are: L for Library Of Congress call numbers; D for Dewey call numbers; S for Superintendent of Documents number; O for any other call number designation.

5) Item ID

Item id's are required in unlinked item records.

3. Linking Unlinked Item Records

- a. The decision to link an unlinked item record, for an item that the library owns or an item the library leases, to a full bibliographic record is at the discretion of the individual DALNET institution.
- b. Unlinked items with circulation history should be linked, if possible, rather than just marked for deletion. This procedure preserves the circulation history of the item.

4. Use of Unlinked Item Records for Non-bibliographic Items

- a. Each DALNET institution should establish standards for data entry for non-bibliographic unlinked items.
- b. Call numbers for non-bibliographic unlinked items should begin with either the two letter institution code or the four letter institution code followed by descriptive data. Only one form of the institution code should be used by each DALNET institution. EXAMPLES: wsmd videocassette recorder bh tape recorder

DALNET Circulation Standards Task Force

Course Reserves Recommendations

1. General

Use of course reserve statements is optional. When course reserve statements are used for non-course reserve applications, the guidelines for course reserve statements should be used. This will provide consistency with NOTIS bibliographic records and enable the user to easily determine which DALNET institution's item is on reserve.

2. Course Reserve Statements

a. Author name/Title

The author's name and the title is automatically obtained by the system from the bibliographic record for linked items and from the item record for unlinked items. If the unlinked item record does not contain data in these fields, data must be entered following the standards for data entry for these fields.

b. Required fields

1) Course Field

Course information should be entered in the format used by the institution's official course catalog/listing. The institutional code should not be included as a suffix or a prefix. There is a fifteen character limit in this field. EXAMPLE: LS712 Sci/Tech

2) Instructor Field

Course instructor name should be entered in the format: Last Name First Name Middle Initial. EXAMPLE: Smith John A
Please note that no comma is used between the last name and the first name because of space limitations.

c. The action date field should not be used in the course reserve statement because it is not currently operational. Use of all other fields is optional.

DALNET Circulation Standards Task Force
Course Reserve Recommendations
Page 2

3. Item Subrecords for Course Reserve Items

The use of item subrecords for course reserve items is at the discretion of each DALNET institution.

4. Expired Reserve Statements

Until the time when NOTIS indexes and displays adequately accommodate inactive course reserve statements, expired reserve statements should be deleted from the item record.

2/14/90

DALNET Circulation Standards Task Force
Proposed Reports/Recommendations
Project Manager Concerns

1. Summary Report

- a. Concern: Are rental items considered items not owned by the institution?

Response: Rental items which are leased from another source, e.g. Baker/Taylor, could use either unlinked item records or provisional records with linked items, based on the institution's needs. Rental items that are a part of the regular collection, but which have the circulation restriction of a fee for use, would use linked item records.

2. Patron Record Recommendations

- a. Concern: Prefer to use upper/lower case for name

Response: All upper case is recommended because of tapeloads of patron records. The computer insists on exact match. A tape-load error report, indicating a non-match, is printed when one record is upper/lower case and the other is all upper case, even if the social security number is an exact match.

- b. Concern: Should corporate name entries be based on the authority file?

Response: If possible, the corporate names should be based on an institution's authority file. If no name exists in the file, the name should be entered consistently within each DALNET institution.

- c. Concern: Social Security Number should be required.

Response: NOTIS does not require social security number but the DALNET Circulation Standards Task has already made the recommendation in 2b of the Patron Record Recommendations that the social security number be required in personal patron records for DALNET members.

DALNET Circulation Standards Task Force
Project Manager Concerns
Page 2

- d. Concern: Can a pseudo social security number be used if a patron refuses to use his/her real social security number?

Response: When a keyed patron record is created, if the patron refuses to give his social security number or does not have a social security number, this field should be left blank. Pseudo social security numbers should not be used because: 1) a real social security number that comes into the system later may be identical to an existing pseudo social security number; 2) duplicate records will be tapeloaded when one patron record has a real social security number and the other patron record for the same patron has a pseudo social security number.

- e. Concern: Use of 6 character codes in the note fields is too cryptic.

Response: Use of longer codes will reduce the number of institutions that can simultaneously have information in the NOTE field, so exceptions to this rule should be used sparingly.

- f. Concern: There must eventually be a plan for deleting or archiving patron ID's that are no longer in use.

Response: NOTIS is developing a patron record purge program.

- g. Concern: When discovering a mismatch, how is the word "trivial" defined?

Response: It would be impossible for the DALNET Circulation Standards Task Force to list all possible trivialities (minor differences). Examples of minor differences would include things such as "Karyn" vs "Karen"; "John B vs "John R". In both cases these differences would be minor only if there was a match on the rest of the name as well as on address and social security number.

3. Unlinked Item Records

- a. Concern: Author and title field should be required in the unlinked item record.

Response: Requiring author and title fields may create a very difficult situation at the circulation stations for DALNET institutions that

DALNET Circulation Standards Task Force
Project Manager Concerns
Page 3

initiate circulation with a large number of unlinked titles in the system. In these circumstances the additional time required to include this information when there is a queue at the circulation station may be unacceptable. There may also be some difficulties in those institutions where the circulation staff is unable to easily identify the appropriate author/title information from books with corporate authors or proceedings or series.

- b. Concern: Consistency in indexing can't occur unless authority work is done.

Response: The DALNET Circulation Standards Task Force's intent is to establish consistency in format. While intellectual consistency in the sense of an authority file is highly desirable, it is not within the purview of this Task Force to recommend the use of a DALNET authority file. Our goal is consistency within each DALNET institution, rather than consistency across all DALNET institutions.

- c. Concern: What is meant by non-bibliographic items?

Response: Any item owned by an institution which cannot be described bibliographically is a non-bibliographic item. An item which is not cataloged but which could be cataloged is a bibliographic item. Non-book items such as audiovisuals, software, maps, music scores etc. are bibliographic items. Examples of non-bibliographic items are equipment, carrels, meeting rooms, keys, etc.

2/14/90