

DRAFT

Northwestern University Library
NOTIS Office
December 23, 1985

NOTIS IMPLEMENTATION QUESTIONNAIRE

This questionnaire is provided by the Support Services group in the NOTIS Office to help you plan for the implementation of the system at your library.

Your representative in the Support Services group will travel to your library for one or two days to discuss the contents of the questionnaire with you. This is called an "implementation visit." It usually takes place around the time when the NOTIS software is installed.

It is NOT necessary to have answers to all the questions prior to the implementation visit. The purpose of the visit is for your representative to help you decide on the answers by explaining the options that are available to you in using the system and discussing with you the way that NOTIS can most effectively support the operations of your library.

The questionnaire is divided into the following sections:

- * equipment
- * file structure
- * implementation
- * acquisitions
- * cataloging
- * serials
- * circulation

Depending on your plans for implementing the various modules of NOTIS, you may not need to work on all sections of the questionnaire at this time.

EQUIPMENT

1. What make and model computer will you be using with NOTIS?

Initially, a shared IBM 3081 and, later, a dedicated IBM 4381.

2. Under which operating system will NOTIS be running?

MVS/SP and CICS.

3. What makes and models of terminals will you be using with NOTIS? List each make/model and its intended use.

Telex 476L for data entry and OCLC interface.

Telex 476L or 078/IBM 3178 for circulation.

IBM pc/xt with 3178 board.

Telex 078/079 or IBM 3178/9 for OPAC.

4. What kinds of printers will you use with NOTIS? List the make/model of each type of printer and its intended use.

Telex 281B for screen printing and circ functions.

IBM for system printing initially.

5. What other devices will you use with NOTIS? List the make/model of each device and its intended use.

1. Barcode scanners

Model not yet selected, though probably Symbol Technologies Laserscan 6000.

2. Codex modems.

3. Black box switches for OCLC interface.

4. Telex MCA 909 terminal adapter.

5. IBM 3274 terminal controllers.

6. Interlynx protocol converters, if needed.

7. Hard disk for pc's used for circ backup.

8. Selin label attachment to IBM Quietwriter printer?

FILE STRUCTURE

1. How many institution groups will you have?

One

2. If you will have more than one institution group, name them and indicate the reason why each will be a separate group.

Possibly a second one for the University Archives

3. Will you set up a permanent test file? How do you plan to use it?

Yes, to be used for training and test software fixes, enhancements.

4. How many processing units will you have? List the names of the processing units you plan to set up. One initially, eventually as many as 8 to 10 (or more)

- | | |
|-------------------------|---------------------|
| 1. WSU Libraries | 5. Oakland Univ. |
| 2. WSU Archives | 6. Univ. of Detroit |
| 3. DPL | 7. WCCC |
| 4. Highland Park Public | 8. Hospitals |

5. How many patron groups (i.e., sources of patron data) will you have? List them.

1. WSU NAF
2. WSU Alumni file
3. WSU Libraries input

6. How many authority files will you have? Name/series/subject authority records can all share one file. If you have multiple subject heading schemes in use, you will need multiple authority files.

One, for name/series/uniform titles, LC and MESH Subjects, and local archives subjects for WSU Archives. DPL has, in addition, LC Juvenile and 2 local subject schemes, one for Burton and one for music.

IMPLEMENTATION

1. In what order will you implement the NOTIS modules? Give a projected date for implementation of each module and a very brief explanation of your reasons for choosing this particular sequence.

<u>Module</u>	<u>Projected Date</u>
Cataloging	May 1986
OPAC (LUIS)	June 1986
Circulation	September 1986
Serials Control	Spring 1987
Acquisitions	Oct. 1987 i.e. Fiscal '88

Since the NOTIS integrated system requires one master bibliographic database, we plan to begin by establishing a "production" database into which records can be entered directly via OCLC tapes or OCLC transfer. The OPAC (LUIS) requires 1 additional work than Circulation, and yet will provide very visible evidence of Library automation, so it is number two on our implementation schedule. Automating circulation is one of our highest priorities, so much effort will be directed at going "live" in the Fall 1986 semester.

Acquisitions is the last module we plan to implement because we need the Harvard enhancements providing fiscal control to be installed first. We learned that serials check-in can be accommodated without the fiscal components, however, so have plans to implement that portion of Acquisitions earlier.

ACQUISITIONS

1. NOTIS currently requires that fund codes be in the following format:

nnnn-nnnn

This format includes four numeric characters, a dash, and four more numeric characters. How can your fund codes be adapted to this format?

We will adapt our internal fund codes to the new format made available via the Harvard enhancements. A "dummy" fund code could be used to accommodate serials check-in initially.

2. How will you obtain a vendor file for use with NOTIS? Do you plan to purchase Northwestern University Library's file? The cost of this file is \$250. Or do you plan to build the file locally?

We will build it locally, using data in our current automated Acquisitions system.

3. What levels of security do you plan to establish for the acquisitions functions? Do you want to have individual sign-on authorizations or group sign-ons where several persons who perform the same functions all use the same sign-on?

Group sign-ons have worked fine in our present system; with four or five levels of security.

4. How many processing units will perform acquisitions functions? Do you want the staff at each processing unit to have display only capability for order/pay/receipt records belonging to other processing units? Each one will. Yes, display only for each other's records.

5. Will the OCLC transfer be performed by acquisitions staff? Yes

6. Where are you going to obtain purchase order forms to use with NOTIS? Sample of Northwestern University Library's purchase order forms and a copy of Northwestern's specifications can be obtained from your account manager. Don't know yet.

Will your purchase order be a two-part form? A three-part form? How many copies do you need? Three part form.

7. Do you want to use a different shipping address for each processing unit that will perform acquisitions functions? What are the exact forms of each shipping address?

There will be multiple ship-to addresses for each processing unit. (Note: NOTIS can accommodate up to 99 ship-to addresses.)

8. How many invoicing addresses will you need? What are they?
Wayne State will need as many as ship-to addresses, about 6 to 10.

9. What fund codes should be used as defaults for each material format (books, serials, films, etc.) for each location ordered by each processing unit?

Wayne State does not want defaults.

10. What U.S. dollar amounts should be used as defaults for each material format for each location ordered by each processing unit?

For Wayne State	Purdy/Kresge	Science	Law	Medicine
Books	\$32	\$40	\$31	\$45
Serials	34	111	35	138

11. Will you use Northwestern University Library's list of standard codes and abbreviations in your order record notes or will you develop your own list of codes and abbreviations?

Probably use Northwestern's.

12. How often do you want to have the computer center run the batch program that prints purchase orders, vendor memos, and worksheets? Daily. The goal is to print them at the Library, not at the Computing Center.

13. How often do you want to have the computer center run the batch program that moves older order data to the offline order history file? Do you want to have the offline data made available to your staff in printed form or on microfiche?

Once a year or less frequently. Fiche.

14. Do you plan to have the computer center run the batch program that produces the printed "Monthly Report of Encumbrances and Expenditures"?

Harvard enhancements will change this.

CATALOGING

1. From what source will you obtain bibliographic data on an ongoing basis? OCLC? RLIN? LC/MARC tapes? Other?

OCLC

2. Do you plan to have your existing bibliographic file processed by a vendor? Will you have duplicate records removed from the file? Will the vendor flip all headings to AACR2 form? Will the vendor create an authority file for you containing all headings found in your bibliographic records?

Yes, BNA is currently doing all of the above.

3. How many physical locations for shelving materials are there in your library system? How many physical locations are represented in your existing bibliographic records? It will be necessary to develop a chart showing all locations and their representation in your current records and to indicate the NOTIS location code and location name you wish to use for each. You will need to do this on a separate sheet.

This has been done and the tables (LC105 and 130) have been entered into our test NOTIS system.

4. What classification scheme will be associated with each NOTIS location?

A chart indicating this has been completed.

5. What levels of security do you want to establish for cataloging functions? Do you want to have individual sign-on authorizations or group sign-ons where several persons who perform the same functions all use the same sign-on? Will some staff be restricted to use of specific fields?

Probably group sign-ons, at the field level of authorization, if possible. Circ staff may need to be able to enter some bib data during circulation on-the-fly.

6. Will you use numeric or mnemonic field tags in your NOTIS bibliographic records?

Numeric, as on OCLC.

7. It is possible to modify the NOTIS tag table at your institution to allow use of fields that are in OCLC/MARC but not in USMARC. Will you want to use any of the OCLC fields that are not defined in USMARC? If so, which ones?

OCLC number (008), Subjects (69x), possibly 049.

8. How many subject heading schemes are in use at your institution?

At Wayne State, three: LC, MESH, and Archives

9. Do you assign explicit numbers to copies? Will you want to continue this practice in NOTIS? Why?

No, we will rely on barcodes to be unique item identifiers.

10. Will you use Northwestern University Library's list of standard codes and abbreviations in your copy holdings record notes or will you develop your own list of codes and abbreviations?

Probably use Northwestern's which is found in V.1, part 2 of TOM, supplementary section.

11. If you plan to obtain bibliographic data from your utility (OCLC or RLIN) for your NOTIS bibliographic records, at what point in processing will you transfer the data? If you are using OCLC, when will you update the OCLC record? Will you want to consider any changes in workflow in conjunction with your implementation of NOTIS?

Initially, after receipt of the item. Eventually, during pre-order stages. The record will be updated during cataloging. A Technical Services Workflow Committee has already been established to develop a new workflow.

12. How will you create an authority file in NOTIS? If you are having your existing bibliographic records processed by a vendor, will the vendor create an authority file for you containing all headings found in your bibliographic records? Do you plan to create an authority file by keying in authority records one by one directly at the terminal?

Names and LC subject will initially be loaded from BNA tapes, created from LC authority records matching headings in our de-duped database. If "dummy" authority records are created for headings not in LC's authority file, a method of listing them must be in place. MESH subjects will probably have to be keyed in.

13. How do you plan to maintain your online authority file? Will new records be added one by one at the terminal? Will you transfer records from your bibliographic utility? Whose responsibility will it be to update existing records?

Via OCLC transfer. Probably catalogers will be responsible for name and series authorities and subject authorities will be batched.

14. Do you plan to produce any catalog cards through NOTIS? If so, which kinds of cards? Why?

We are strongly considering a shelf list card -- one for the Library Unit and one for the Union shelf list. All but one NOTIS user is still producing shelf list cards, because the call numbers index cannot always be used for call number assignment. Tough testing of the call number index is recommended by NOTIS to decide on this.

15. Will you use the NOTIS worksheet program? This is a batch program that produces printed copies of the bibliographic and copy holdings records that have been requested online by a terminal operator. The program can be run at any interval you desire (probably once a day). These worksheets may be useful as part of your general workflow or for problemsolving.

Yes, probably produced daily. We will test them first, comparing with the option of using screen print-outs instead.

16. Index entries from the 245 and lxx fields in NOTIS bibliographic records are generated online. Index entries from all other indexable fields are generated only by the index regeneration program. This is a batch program. How often will you want to regenerate each of the indexes?

The call number index will need to be regenerated often, since it is important to Circulation. We haven't set a schedule yet for subjects. We have found that even author and title indexes need to be regenerated.

17. If you belong to a bibliographic utility, will you do original cataloging in NOTIS only? Will you do original cataloging in OCLC or RLIN and then transfer the data into NOTIS?

In OCLC, due to our commitments to shared cataloging and ILL.

18. How frequently will you run the batch program that makes global heading changes that have been requested by authorized cataloging staff? Global changes are requested from individual authority records and the requests are stored by the system until the batch program is run.

Undecided on this.

SERIALS

1. What format will you use in your NOTIS volume holdings records to record holdings data for multi-part publications? Do you plan to use the conventions prescribed by the ANSI serials holdings standard?

Yes, the ANSI standard, which we have been using on OCLC.

2. Will you have a bibliographic record in the system for all active serial titles when you plan to begin using NOTIS for check-in? If not, how will the bibliographic record be created? Will serials check-in personnel create provisional bibliographic records? Will they transfer bibliographic data from your utility?

Yes, we will load our serial records from our OCLC snapshot tapes, containing all active titles. Yes, we plan to transfer provisional bib records from OCLC in Serials Acquisitions.

3. What levels of security do you plan to establish for serials control functions? Do you want to have individual sign-on authorizations or group sign-ons where several persons who perform the same functions all use the same sign-on? Will some staff be restricted to use of specific fields in serial order/pay/receipt records? If serials check-in staff will be working with bibliographic records, will they be restricted to use of specific fields?

Group sign-ons with some field level authorization likely.

4. Are your serials classified?

Some are, usually those that are annual or less frequent.

5. Do you plan to use the NOTIS circulation system to control serial volumes that are at the bindery?

Yes, We will have to work out a barcoding plan for this.

6. Will you need to produce lists of your serials holdings from NOTIS for one or more union lists?

Yes, probably. NOTIS produces serials lists from the order/receipt record.

7. You will need to determine the claiming intervals you will use for your serials--i.e., for each publication pattern (monthly, quarterly, semi-annual, etc.) you will need to decide how many days should be allowed to elapse after the receipt of an issue or volume before you are notified that it is time to place a claim for the next piece.

Yes, we plan to establish a default for each frequency, which we understand can be adjusted for specific titles.

CIRCULATION

1. What format will you use for patron ID's?

Codabar Mod 10, with first 5 digits 29343. Each library system, which may comprise one or more service units, will have a unique Codabar prefix.

2. What format will you use for item ID's?

Same, with first 5 digits 39343.

3. How will you create your patron file in NOTIS? Will you be able to obtain patron record data from your personnel office? Your registrar's office? Will you create some or all patron records online?

We will write a local program to put the University's name address data in NOTIS format for loading. Some library patrons will, of course, be added online by library staff.

4. How will you create item records in NOTIS?

Initially, we prefer via LD 003 BAL program. On going, via on-the-fly circ and via catalogers for new acquisitions/recon.

5. What source will you use for Patron and Item ID labels?

A vendor yet to be selected.

6. What method will you use to create Linked Item Records?

Same as no. 4.

7. What levels of security do you plan to establish for circulation functions? Do you want to have individual sign-on authorizations or group sign-ons where several persons who perform the same functions all use the same sign-on? If circulation staff will be working with copy holdings records, will they be restricted to use of specific fields?

Group sign-ons with some field level authorization likely.

8. What are the circulation policies for each location in each library?

We have compiled them in preparation for automation.

9. Do you plan to print any or all of the following "on-demand" printed products at any of your circulation stations: Charge slips, Return receipts, Fine receipts, Hold slips, Routing slips?

Charge slips we want to test before deciding. Return and fine receipts on demand. Hold and routing slips are automatically printed.

10. Do you plan to use any of the following batch printed products: Daily Operations Report, Search List, Needed/Available/Overdue letters, Bill and Fine List? Batch products are printed at the computer center.

Yes, but we want to be able to have most of these products printed at individual libraries. For the search list, we may want to specify one item per pag

11. In what sequence do you plan to implement circulation?

After OPAC, possibly beginning with the Science Library.