



reQuest Statewide Library Catalog Request for Information

iCONN.org – Connecticut's **re**-search engine
Connecticut State Library
786 South Main Street
Middletown, CT 06457
888-256-1222

reQuest Statewide Library Catalog

Request for Information

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1. REQUEST – MAJOR COMPONENTS.

- **MARC21-based union catalog** (4+ million records, 21+ million holdings)
- **Interlibrary loan system** – 100,000 transactions/year
- **Holdings maintenance system**
- **MARC editor** for CSL staff
- A **library information database**
- All services are **Web-accessible**
- All services are **hosted by the vendor**
- Services are **customized**
- Services **conform to the State of Connecticut’s standards for Web accessibility** located at <http://www.access.state.ct.us/policies/accesspolicy40.html>
- Ongoing **technical support** (“help desk”)
- **Training**

reQuest is accessible at: <http://www.iconn.org/default.asp?lid=rqst&mode=g>

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2. CURRENT SYSTEM OVERVIEW/BACKGROUND

The Statewide Library Catalog (hereinafter referred to as “reQuest”), which is a component of the Connecticut Education Network (<http://cen.ct.gov/>), is an ongoing program to develop and maintain a Web-accessible statewide bibliographic database that unifies the separate library catalogs of Connecticut’s libraries. It started as a CD-ROM-based catalog in 1990; it became available online in 1994, and Web-accessible in 1996; and it became available through federated searching in 2005.

The database consists of two separate, union catalogs: a Main Catalog containing records of all book and non-book formats, including all government document depository records; and a Serials Catalog containing only serials records. The objective is to include all records and holdings in the state. A search engine provides the ability to search and retrieve records based on user-supplied criteria (e.g., author, title, subject, keyword, publication date, format of item, language, etc.).

Associated components include (1) an interlibrary loan module, which is used to create and submit requests for items in the database, and to track the progress of submitted requests from initiation to fulfillment; (2) a holdings maintenance module used by participating institution staff primarily to download MARC records, and also to add, delete or change holdings in the database, and (3) a MARC editor for use by CSL staff.

A library information database provides both general information about participating institutions as well as detailed information about participating institutions’ interlibrary loan policies.

Current reQuest participating libraries are listed at <http://www.iconn.org/staff/Participants.aspx>. Current reQuest contributing libraries whose holdings are represented in reQuest are listed at <http://www.iconn.org/Symbols.aspx>.

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3. VISION

To a patron seeking library service, there is just “the library.” Implicit in this view is the need to interact with “the library” as one integrated whole rather than as a disparate collection of overlapping component parts — e.g., standalone ILS; regional ILS; statewide resource sharing system, such as iCONN/reQuest in CT; and worldwide resource sharing system, such as OCLC. These “component parts” have not been designed to work together seamlessly to provide the best possible service to patrons. For example, patrons seeking to identify and acquire materials should be able to begin and end their search either at their local/regional ILS or at reQuest and achieve the same result.

A key question for this RFI, therefore, is whether reQuest will continue to be a “part” of the library service picture that merely complements and co-exists with all the other parts, or whether it will interoperate seamlessly with all the other parts. We pose this question to the vendor community and invite your response.

Equally important is ease-of-use (usability):

- The system will proactively engage new or novice users so that new users *quickly* become *proficient* users.
- The system will lessen the steepness of the learning/information literacy curve.
- The system will ensure that users spend more time viewing what they find than finding their bearings in the system.
- The system will “interoperate” seamlessly with librarians so that users can obtain help from a reference librarian (expert) at the time of need.

3.1 Implementation

1. Do you have a plan for realizing this vision? Please describe.

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4. GENERAL REQUIREMENTS

4.1 Use by the Public

1. First-time users **MUST** be able to use the system to accomplish the following basic functions without assistance:

- Use the search engine to successfully find an item of interest
- Display the record of that item
- Place an interlibrary loan request for an item of interest

(Examples of online information retrieval systems that the general public can use without assistance are Google and Amazon).

2. The vendor warrants that the system has been subjected to both a heuristic evaluation and usability testing by a usability professional with its intended users (general public, librarians, patrons) with the results incorporated into the product, and is therefore free of any usability deficiencies. See http://www.usabilityprofessionals.org/people_pages/consultants_directory/
3. The vendor agrees to subject all future upgrades affecting the user interface to usability testing.
4. If the Customer identifies any usability deficiencies with the product, the Vendor **MUST** fix the deficiencies on a timely basis at no expense to the Customer.
 - a) Any of the screens that users interact with will be changed at CSL's request and at no additional charge in order to improve usability or visual appeal, or to add functionality.

4.2 Use by Children

1. The system **MUST** provide an optional graphical/visual user interface with a simple design suitable for use by children (K-6). (For examples of graphical user interfaces, see Gale's *Kids InfoBits* and also any of the freely accessible resources listed at <http://www.iconn.org/AdditionalResourcesChildrens.aspx#es>)
2. This interface **MUST** limit search results to only those relevant to ages K-6.

4.3 Library Affiliation of User

1. The system **MUST** be able to determine the user's library affiliation using the authentication information passed to the system by the iCONN authentication system described at <http://www.iconn.org/staff/documents/iCONNAuthenticationUpdated20071015.pdf>

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2. The system **MUST** use the library affiliation to determine which library-specific union catalog services (in particular, the interlibrary loan system), if any, the user should have access to.

4.4 Help and Error Messages

1. The system **MUST** provide a context-driven, keyword-searchable online help facility for all services.

4.5 Message-of-the-Day

1. The system **MUST** provide a Message-of-the-Day (MOTD) function that allows iCONN staff to set the system to automatically present a message to any user going to iconn.org.
2. The system **MUST** enable iCONN staff to tailor the message so that it is visible to either or both of the following user types:
 - a) Patrons
 - b) Staff

4.6 Systems Architecture

1. All services **MUST** be hosted and maintained by the vendor at the vendor's site.
2. All services **MUST** be accessible over the World Wide Web.
3. The system **MUST** not intentionally deny any Connecticut resident the ability to access any service they are authorized to access.
Note: In FY2007, reQuest was searched over 2.9 million times.
4. All patron and staff services **MUST** be scheduled to be available 7 x 24 x 365 (excluding unavailability due to major system upgrades).
5. Vendor guarantees that all patron and staff services will be available at least 99.9% of the time they are scheduled to be available. This limits the amount of downtime to no more than 0.7 hours/month or approximately 0.4 days/year.
6. All services intended for use by patrons **MUST** be accessible over the Web without the requirement for proprietary client software.
7. Patrons **MUST** be able to use the devices they are already comfortable with in order to interact with all patron-related system functions, including:
 - a) PC-compatible computers
 - b) Macintosh computers
 - c) Wireless, mobile, handheld devices, such as the iPhone

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8. Staff **MUST** be able to use PC-compatible computers to interact with all staff-related system functions.
9. All services **MUST** support printing of text and graphics.

4.7 Load-Testing

1. The vendor **MUST** perform load testing that accurately equates to Connecticut's volume of usage for all new enhancements and system upgrades prior to releasing the upgrades.

4.8 Disaster Back-Up and Recovery

1. The vendor has a plan for dealing with a sudden interruption of the services proposed in this RFI.
 - a) The plan includes strategies to resume services (as proposed for this RFI), including service restoration times, the use of alternate facilities (and their distance from the primary facility), the use of mirror sites with immediate "fail over" capability, the ability to quickly re-route all traffic from a primary server to a back-up server with no loss in functionality, and reciprocal arrangements with other companies.
 - b) The plan provides for the replacement of the following services in case of outages, including the use of redundant service providers that do not use the same central switching office, including:
 - i) Telecommunications - data and voice
 - ii) Internet Service Provider
 - iii) Electricity/Power
 - c) The vendor has tested the plan.
2. The vendor performs regular backups of customer information.
 - a) The vendor stores the backups offsite
3. The Vendor employs strategies to secure its computer systems.

4.9 Performance Requirements

Response time is defined as the interval of time between beginning a function (e.g., pressing the enter key) and obtaining results, regardless of time of day.

1. Assuming a high-speed Internet connection, indicate (in seconds) the maximum search response time you will guarantee for each type of search listed below. The maximum acceptable search response time **MUST** be no more than FIVE seconds.

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- a) Single word search against alphabetic index (e.g., Author, Title, or Subject)
 - b) Single number search against numeric index (e.g., OCLC, ISBN, LCCN, ISSN, SuDoc)
 - c) Single word search against all indexed fields
 - d) Multiple word (2 - 8 words) search against keyword indexes using any combination of Boolean operators and searching all indexed fields
 - e) Time to display one bibliographic record selected from a list of one or more records retrieved from a search
2. Assuming a high-speed Internet connection, indicate (in seconds) the maximum search response time you will guarantee to process any single staff function in the statewide library catalog. The maximum acceptable response time **MUST** be no more than FIVE seconds.
 3. Assuming a high-speed Internet connection, indicate (in seconds) the maximum search response time you will guarantee to process any single staff function in the ILL module of the statewide library catalog, including but not limited to the functions listed below. The maximum acceptable response time **MUST** be no more than FIVE seconds.
 - a) Submit a borrowing request to the first potential lending library
 - b) Update a lending request from “pending” to “in-process”
 - c) Update a lending request to “shipped”
 - d) Update a borrowing request to “received”
 - e) Update a borrowing request to “returned”
 - f) Update a lending request to “complete”
 4. Assuming a high-speed Internet connection, indicate (in seconds) the maximum search response time you will guarantee to process any single staff function in holdings maintenance and cataloging, including but not limited to the functions listed below. The maximum acceptable response time **MUST** be no more than FIVE seconds.
 - a) Adding a holding
 - b) Deleting a holding
 - c) Modifying a holding
 - d) Downloading one or multiple MARC records
 - e) Updating a MARC record
 - f) Merging records and consolidating all the holdings

4.10 Restricting Access To Services

1. Access to staff services **MUST** be limited to participating institution staff and authorized CSL staff. Please describe how this is accomplished.
2. CSL staff must be able to terminate any or all services to any institution that ceases participation, or the vendor at the direction of CSL staff must be able to terminate any or

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all services to any institution that ceases participation, at the option of CSL. Please describe.

4.11 Special Access

1. All services MUST comply with the State of Connecticut's Universal Web Site Accessibility Policy located at <http://www.access.state.ct.us/policies/accesspolicy40.html>

4.12 Confidentiality of Patron Information

1. The system MUST not retain any personally identifiable information pertaining to how individuals use the system, except as may be required to complete an interlibrary loan transaction. "Personally identifiable information" includes, but is not limited to, name, home address, phone number, fax number, e-mail address, IP address, library card number, and any profiling information supplied to the system (as described in Subsection 4.1.5). How individuals use the system includes information sought or received, materials consulted, borrowed or acquired, and includes database search records, circulation records, interlibrary loan records and system reports.
 - a) CSL MUST be able to specify the maximum number of days to retain personally identifiable information in an interlibrary loan transaction after the transaction has been completed. When that maximum number of days is met, the personally identifiable information will be purged.
 - b) CSL MUST be able to specify the maximum number of days to retain all back-ups that contain personally identifiable information. When that maximum number of days is met, the back-ups will be erased or destroyed. Describe how this will be accomplished.
 - c) Vendor MUST maintain full control over its site to prevent any violation of this policy by a third party
 - d) These guidelines do not prohibit the transfer of personally identifiable information which may be required for authentication purposes (e.g., to use a licensed database product or to complete an interlibrary loan transaction)
2. Vendor MUST not disclose personally identifiable information pertaining to how individuals use the system to any third party or to any nonparticipating library except as required by law. "Personally identifiable information" includes, but is not limited to, name, home address, phone number, fax number, e-mail address, IP address, library card number, and any profiling information supplied to the system (as described in Subsection 4.1.5). How individuals use the system includes information sought or received, materials consulted, borrowed or acquired, and includes database search records, circulation records, interlibrary loan records and system reports.

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- a) Vendor MUST maintain full control over its site to prevent any violation of this policy by a third party

4.13 Ownership of Customer Information

1. Vendor agrees that all files supplied by CSL or by participating libraries utilized to perform the services defined in this RFI, including bibliographic records and holdings, information contained in the library information database, profiling information, and any information used for authentication purposes, such as IP addresses and library card numbers, are the property of the Customer.

4.14 Technical Support (“Help Desk”) and Customer Communications.

1. The vendor MUST provide technical support capable of diagnosing and resolving all technical problems in relation to reQuest.
2. The vendor MUST provide technical support Monday through Friday, 7:00 AM ET to 9:00 PM ET.
3. The vendor MUST provide escalated response based on the severity if the problem. For example:
 - a) Severity 1 (system unavailable) receives a response from the vendor within 15 minutes
 - b) Severity 2 (system seriously impaired) receives a response from the vendor within 15 minutes during business hours and within 30 minutes during non-business hours
4. iCONN and library staff MUST be able to contact technical support using any of the following methods:
 - a) Telephone (using a toll-free number)
 - b) Fax
 - c) E-mail - a specific address (e.g., help@vendor.com) will be assigned for this purpose

4.14.1 Service Outage Notifications

1. The vendor MUST notify CSL in the event of any unplanned outage affecting one or more vendor-supplied iCONN services that occurs during CSL office hours (Monday – Friday, 7:00 AM ET – 4:30 PM ET). This notification will occur within 15 minutes of

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when the vendor detects the outage. CSL will provide vendor with emergency phone contacts for outages that occur outside office hours.

- a) The vendor is responsible for monitoring their system. Please indicate how you know that an outage has occurred.
 - b) The vendor **MUST** notify CSL of the approximate time for service to resume as soon as this information is known.
2. The vendor **MUST** proactively test three times daily (at the start, middle and end of the work day) to ensure that all Z39.50 resources are returning search results and circ status information.
 3. Any scheduled maintenance and system updating that affects the performance or availability of patron and staff services **MUST** be performed between Midnight ET and 6:00 AM ET on Sunday.
 - a) The vendor **MUST** provide advance notice on the length of time that service will be interrupted.

4.15 Training

1. The vendor **MUST** provide complete hands-on training on all services proposed.
 - a) The vendor **MUST** train CSL staff and, if requested by CSL, a third party to whom CSL will subcontract all training.
 - b) If requested by CSL, the vendor **MUST** provide training for an average of three staff members per current participating institution
 - c) All training will take place in Connecticut.
2. Training will be provided on an ongoing basis as needed.
3. What other options do you provide for training, such as webinars and online tutorials?

4.16 Vendor Experience

1. Have you successfully developed, implemented, hosted and maintained a Web-accessible union catalog, containing at least four million records with associated holdings contributed by a diverse array of single library, multi-library and national library systems?
2. Have you successfully developed, implemented, hosted and maintained a Web-accessible holdings maintenance system that works in conjunction with a Web-accessible union catalog?
3. Have you successfully developed, implemented, hosted and maintained a Web-accessible interlibrary loan system that works in conjunction with a Web-

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accessible union catalog?

4. Have you successfully developed, implemented, hosted and maintained union catalogs that meet or exceed all of the above requirements (1 – 3). If so, can you supply a list of clients?

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5. FUNCTIONAL REQUIREMENTS

5.1 Loading of Database

1. The vendor **MUST** be able to import (load and index) all records and holdings in the current reQuest database. There are currently more than 4.7 million records and 21 million associated holdings in the reQuest Main Catalog. There are currently more than 66,000 records and 186,000 associated holdings in the reQuest Serials Catalog.

5.2 Union Catalog Processing/Maintenance

1. The vendor **MUST** be able to load and process bibliographic records (in MARC format) with holdings from any integrated library system (ILS) or regional network in Connecticut, or any bibliographic utility being used by Connecticut participating institutions.
2. The vendor **MUST** be able to merge MARC records (matching on ISSN) containing 856 links and that are supplied monthly by other vendors (e.g., Gale General OneFile) with the corresponding records in reQuest.
3. The vendor **MUST** be able to supply and merge enriched records (matching on ISBN) with existing bibliographic records in reQuest. For example, see www.syndetics.com.
4. The vendor **MUST** be able to load and process records and holdings from the following physical or electronic media types:
 - a) FTP (File Transfer Protocol)
 - b) IBM-compatible 3.5" diskettes
 - c) CD / DVD
 - d) ZIP disc
 - e) E-mail attachment
5. The vendor **MUST** perform the following production processes on an ongoing basis:
 - a) Master record selection and record upgrading **MUST** be based on a system of hierarchical relationships which the vendor will implement and maintain for all types of records contributed to the union catalog. Describe how you will perform this activity inclusive of the following requirements:
 - i) The hierarchical relationships **MUST** be established in accordance with criteria supplied by CSL. The current record upgrade levels, which generally reflect cataloging source, are listed below in order of descending position in the hierarchy:
 - GPO Records
 - OCLC records contributed directly from OCLC

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- OCLC records contributed from local systems or regional networks
 - LC MARC records
 - Other MARC records
 - Non-LC MARC records from microcomputer-based systems
- ii) The record hierarchy system **MUST** be able to accommodate new record levels at any time and at any position in the hierarchy, as required by CSL.
- iii) The vendor **MUST** maintain the record hierarchy system at the direction of CSL.
- b) Existing and new non-OCLC records that do not contain all of the following **MUST** be excluded from the database:

Field 245, and

Field 260 or 261 or 262 - irrespective of subfield information - and

Field 300 or 301 or 302 or 303 or 304 or 305 or 308 or 856

Note: There **MUST** be information in the Field in order for the record to be accepted. If the Field is present but there is no information in the field, the record **MUST** be rejected.

- c) Deduplication of records **MUST** be based on the criteria listed in Appendix A.
- i) The vendor **MUST** be able to perform a consolidation of duplicate bibliographic records on the full database at periodic intervals. Specify the most frequent time period for full duplicate record consolidation.
- ii) Deduplication of holdings **MUST** be based on unique call number.
- d) 019 processing (cross-referencing of 001 and 019 fields) used to accurately match all new, incoming OCLC records with existing OCLC records. The system **MUST** determine that a match does or doesn't exist by successively comparing each of the OCLC record numbers found in the 019 field (if one exists) of any incoming OCLC record with the OCLC record number of every OCLC-derived record in reQuest.
- e) Name and subject authority control, using the most current (incorporating updates from LC as they are released), complete LC authority files, for both names and subjects. The current authority control profile parameters are:
- Replace name headings in reQuest with Library of Congress authorized (1XX) form when matched to LC invalid (4XX) form.
 - Replace subject headings in reQuest with Library of Congress authorized (1XX) form when matched to LC invalid (4XX) form.
 - Validate and replace only LC-derived subject headings, i.e., all 6XX fields, except 69X, with second indicator value of zero.
- f) Retention of MeSH (Medical Subject Headings) throughout the LC authority control process

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6. Updating the database is the process of incorporating new bibliographic records and holding statements into reQuest, and changing or deleting bibliographic records and holdings statements in reQuest, and making these revised bibliographic and holdings records available for searching and display to users.
 - a) The vendor **MUST** be able to update the database using all of the following methods:
 - i) complete replacement of entire database of standalone or multi-library systems
 - ii) transactions from standalone and multi-library systems:
 - a) either replacing all current holdings with all new holdings, or
 - b) adding new holdings to current holdings
 - c) The vendor **MUST** be able to process transaction files (records/holdings additions, deletions and changes) at least monthly.
 - b) The vendor **MUST** be able to perform external merging (linking) of records and holdings derived from Endeavor Voyager systems prior to merging these records into reQuest.
7. The vendor **MUST** be able to load and process OCLC serials union list records and holdings from Local Holdings Records (LHRs) into reQuest at least once annually
 - a) extracting call number detail (CLNO \$a and \$b) for specific institutions
 - b) associating holding date ranges with specific format for newspaper holdings (for the CT Newspaper Project)
8. Only records with holdings, or records without holdings but with 856 fields are displayed to patrons
9. The vendor **MUST** translate library-assigned holding symbols to CSL-assigned holding symbols in accordance with library symbol assignments determined by CSL for every library contributing holdings.
 - a) The vendor will report any unidentified symbols to CSL and will defer processing the records until CSL has identified the symbols.
10. All records in the reQuest Main Catalog **MUST** be organized and indexed as one catalog.
11. All records in the reQuest Serials Catalog **MUST** be organized and indexed as one catalog.
12. The vendor will be able to load into reQuest the government document holdings of all (22) selective depository libraries whose holdings are derived from the complete monthly GPO record subscription, using each selective depository library's individual GPO processing profile.
13. The vendor is able to perform special processing as exemplified by:

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- a) Global changing of a library symbol throughout the catalog (e.g., as institution name changes)
 - b) Hartford History Collection records (contributed to by 5 separate institutions)
 - assign a higher record merging hierarchy code to these records so that they are not overwritten records are not deduplicated with other HHC records or with non-HHC records
 - no authority control is applied
 - c) The vendor is able to isolate incoming records that contain physical or logical errors
 - d) The vendor is able to retain any incoming data that is invalid or unknown, hold it in a separate file and report this back to the contributing library.
 - e) The vendor is able to maintain a profile or configuration for each contributing library that indicates where to obtain the local call number from the incoming MARC records.
 - f) The vendor is able to build a specific library call number from each transaction received, based on each library's individual hierarchy of call number field preferences.
 - g) The vendor maintains a record processing profile for each library allowing the creation of special holdings displays (e.g., oversize stamp, input stamp, preceding automatic stamp, and trailing automatic stamp).

5.3 Union Catalog Characteristics

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Records	5.0	5.2	5.4	5.6	5.8	6.0
Holdings	23	24	25	26	27	28

(in millions)

1. The Catalog MUST be expandable to support a bibliographic union catalog size of at least six (6) million unique records and (28) million unique holdings, after deduplication of records and holdings (call numbers), based on the above estimated rate of growth.
2. The Catalog MUST be able to contain at least 2,000 unique participating institution holding symbols.
3. The Catalog MUST be organized in compliance with Functional Requirements for Bibliographic Records (FRBR) as described at <http://www.ifla.org/VII/s13/frbr/>

5.4 Frequency of Updating the Union Catalog

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1. Indicate the maximum number of records and associated holdings contributed by our libraries that you can load, fully index and make accessible for patron searching in reQuest per day, given that records can be submitted from all of the following sources:
 - Standalone and multi-library systems - as transactions or as complete databases – in either FTP or on physical media
 - Online cataloging - using reQuest and OCLC WorldCat

Note: During 2007, the current vendor loaded from 2.6 million to 6.6 million records per month.

2. The results of holdings maintenance (new, changed or deleted holdings associated with records already in reQuest) **MUST** be accessible immediately for patron searching.
3. Vendor **MUST** supply step-by-step instructions on how to FTP MARC records from a local system.
4. Vendor **MUST** accept, load and index any standalone or multi-library system's entire database at any time.

5.5 Exporting Records from the Union Catalog

1. When requested, the vendor **MUST** provide extractions of all bibliographic records containing a requesting participating institution's holdings for loading into that participating institution's local system. Records will be exported in MARC21 format and will contain the holdings of only that requesting institution. Holdings (location and call number) will be located within the appropriate bibliographic record and will be consistently tagged and subfielded.
2. The system **MUST** enable individual libraries to download their entire collection of records and associated holdings in MARC21 format.
3. The system **MUST** enable CSL staff to download any individual library's entire collection of records and associated holdings in MARC21 format using HTTP download and FTP transmission methods.
4. The system **MUST** enable CSL staff to export a file of ISBN's (or any other field)
5. The system **MUST** enable CSL staff to export the entire catalog in any of the following formats:
 - a) MARC21
 - b) XML

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6. The Vendor **MUST** provide at least once annually an export of all the files comprising the reQuest Catalog at no cost to CSL.
 - a) The files **MUST** contain within the bibliographic record (not as a separate file) all associated holdings and any record hierarchy codes used for deduplication/merging.
 - b) The database **MUST** be in MARC21 format with holdings consistently tagged and subfielded.
 - c) The Vendor **MUST** provide or transfer the files as directed by CSL.

5.6 Catalog User Interface

5.6.1 Searching

5.6.1.1 General

1. The Catalog **MUST** allow for keyword searching of one or more terms simultaneously in:
 - a) Author
 - b) Title
 - c) Subject
 - d) Notes
2. The Catalog **MUST** allow for alphanumeric browse searching on:
 - a) Author
 - b) Title
 - c) Subject
3. The Catalog **MUST** allow for phrase searching.
4. The Catalog **MUST** allow for hyperlinks on the following fields:
 - a) Author
 - b) Title
 - c) Subject
 - d) Series
 - e) 856 fields (directly to Web sites included in the field), including linking from the 856 field of a serials record to the corresponding title in an iCONN periodical database (e.g. Gale InfoTrac OneFile)
5. The Catalog **MUST** allow users to navigate among retrieved records.
6. The Catalog **MUST** allow users to limit searches to the following record fields:
 - a) Non-numerical fields
 - i) Author

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- ii) Title
 - iii) Subject heading
 - iv) Notes
 - b) Numerical fields
 - i) ISBN
 - ii) ISSN
 - iii) OCLC Number
 - iv) LCCN
- 7. If a search on a numeric field produces multiple hits, the system **MUST** display all records matching the search criteria.
- 8. The Catalog **MUST** allow users to modify a search, e.g., if results yield too many hits or not enough hits or to correct a misspelling.
- 9. The Catalog **MUST** allow users to refine a search using faceted browsing.
- 10. The Catalog **MUST** ignore variations in punctuation and use of upper and lower case letters when searching.
- 11. The Catalog **MUST** maintain a stoplist, or a list of terms that are ignored when searching.
- 12. The Catalog **MUST** suggest alternate spellings of search terms when no search results are returned.

5.6.1.2 Boolean Searching

- 1. The Catalog **MUST** allow for these Boolean operators:
 - a) AND
 - b) OR
 - c) NOT
- 2. The Boolean operator AND **MUST** be the implied default when more than one search term is entered in a field
- 3. The Catalog **MUST** allow for Boolean searching to use information in any of the following fields in any combination:
 - a) Author
 - b) Title
 - c) Subject

5.6.1.3 Scoping

- 1. Users **MUST** be able to limit a search to one or more staff-defined groups of institutions derived from all institutions whose holdings are in the database.

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- a) The same participating institution can be in more than one staff-defined group.
 - b) A staff-defined group may contain only one library.
2. Users **MUST** be able to limit a search by the distance in miles from the user's home library to the holding library, based on zip code.

5.6.2 Display

1. The Catalog **MUST** allow CSL staff to set a systemwide default for the display of bibliographic records that determines:
 - a) What fields and subfields will display
 - b) The order in which fields display
 - c) The text of field descriptor labels
2. The Catalog **MUST** allow CSL staff to set a systemwide default for the display of the initial search results list that determines:
 - a) What fields and subfields will display
 - b) The order in which fields display
 - c) The text of field descriptor labels
3. Libraries **MUST** be able to customize the search results list so that their holdings always display first.
4. Holdings in reQuest **MUST** display the following information for each institution:
 - a) Full institution name
 - i) This **MUST** be linked to that institution's record in the library information database described at Section 5.8.
 - b) Town
 - c) Call number (or summary holdings statement in the serials catalog) assigned by that institution (where available)
 - d) Distance in miles from the user's home library based on zip code
5. The Catalog **MUST** enable CSL staff to set a system default that determines the order in which search results will be presented.
 - a) Default options **MUST** include relevance and reverse chronological order.
6. The Catalog **MUST** enable users to easily identify materials owned by their home library from the search results list.
7. The Catalog **MUST** display the closest matches for any browse search that does not result in an exact match.
8. The Catalog **MUST** display enriched bibliographic records (see www.syndetics.com) including but not limited to cover art.

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9. Catalog MUST display real-time “circulation status” information (if provided by the holding library’s local system) with search results.
10. The ability to change “checked out” and “checked in” designations to phrases we specify (e.g., substitute “Not on shelf” or “In use” for “checked out” and “Contact the Library” for “checked in”)
 - a) The phrase changes would be performed by the vendor at CSL’s direction
 - b) The vendor will provide the means for non-technical CSL staff to make the phrase changes

5.6.3 Additional Functionality

1. The system MUST be able to alert users via RSS feed of specific catalog searches for new titles by favorite authors or topics of interest as soon as they appear in reQuest.
2. The system MUST enable users to create a wishlist of titles accessible by username and password.
3. The vendor MUST provide a search box as depicted at <http://rqst-agent.auto-graphics.com/homepages/customerwide/IConnSearchBox.asp>
4. The vendor MUST provide an “iCONN On Your Desktop” function as shown at <http://www.iconn.org/iconndesktop.aspx>
5. The system MUST provide seamless access to a statewide virtual reference service from every page.
6. The system MUST be able to provide authenticated access to the E-Journal Finder (see <http://www.iconn.org/staff/ejournals.aspx>).

5.7 Z39.50 and Other Links

1. The Catalog MUST be fully accessible for search/retrieval purposes from any external information search/retrieval systems that comply with the ANSI/NISO Z39.50-1995 standard (<http://lcweb.loc.gov/z3950/agency/>)
2. The Catalog MUST be accessible as a default target of iCONN’s federated search system. The system’s usage statistics are located at <http://www.iconn.org/Statistics.aspx>
3. The Catalog MUST enable users to search other Z39.50-based library catalogs.

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4. The Catalog **MUST** allow CSL staff to determine which Z39.50-based library catalogs are presented to users.
5. The Catalog **MUST** be OpenURL-compliant.

5.8 Library Information Database

A database of library information is used to support Interlibrary Loan, including the derivation of constant information for inclusion in Interlibrary Loan requests, and the provision of detailed interlibrary loan policy information, as well as to provide general information about libraries with holdings in reQuest.

Patrons also use the library information database. Since residents may use their Connecticut public library card in any Connecticut public library, patrons use reQuest to locate and obtain material outside of Interlibrary Loan. When presented with a bibliographic record, patrons can identify libraries that own the material they need and then easily use the library information database to obtain basic contact information such as address, library hours, phone number, and basic policy information for the library. With this information, patrons can decide if they wish to initiate an ILL request or pick up the material in a nearby library in person using their Connecticut library card.

1. The system **MUST** enable reQuest participating institution staff to use a Web browser to edit and retrieve information about their institutions.
2. The system **MUST** enable reQuest participating institution staff to designate which data elements of the library information database display to reQuest patrons and which portions display to only reQuest participating institution staff.
3. The system **MUST** enable authorized reQuest participating institution staff to create, update and retrieve any information in the library information database pertaining to their institution.
4. The system **MUST** enable reQuest users to have read-only access to all elements of the library information database which have been designated for public access by reQuest institutions.
5. The system **MUST** enable reQuest users to use a Web browser to search the library information database by library name, town, and data elements within the interlibrary loan policy (e.g., libraries that lend videos).
6. The system **MUST** show users where the library is located on a map (e.g., Google Maps).
 - a) Users can input their address to get customized directions to the library.

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5.8.1 Reports

1. The vendor **MUST** provide monthly and annual (fiscal year-to-date) reports for CSL staff and participating library staff that include:
 - a) total number of records and holdings
 - i) total number of records of each format type
 - ii) total number of records of each index type (e.g., ISBN)
 - b) total number of holdings for any contributing institution, including full institution name and ID
 - c) a log of when any input is received during a month, indicating what participating institution/system submitted the data, number of records and the date received
 - d) an accounting of individual data provider's records that could not be processed or matched due to logical or physical errors, or due to the short record purging program
2. The system **MUST** provide the total number of searches for any time period
 - a) The system must provide the total number of searches that yield zero search results for any time period.
3. The system **MUST** provide a report and graph that illustrates system response time as defined in and for each of the parameters in Section 4.8 and for any time period.

5.9 ILL - Interlibrary Loan

5.9.1 Overview

reQuest ILL currently serves the resource sharing needs of more than 200 libraries in Connecticut. Participating libraries range from small "one-person" libraries processing a handful of requests per month using only reQuest ILL to large libraries with multiple ILL staff members who process thousands of requests per month using multiple ILL systems. Statewide ILL services are part of a hierarchy (first level: individual library or network/consortium; second level: statewide; and third level: out-of-state/national/international). Libraries participating in reQuest ILL filled more than 100,000 requests in fiscal year 2007.

Users are able to initiate their own ILL requests from any computer that has Internet access. Currently, most such requests are mediated (subject to review) by the patron's home library staff. A few libraries use the capability for unmediated ILL and this number is expected to grow.

5.9.2 Patron-initiated ILL

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1. The system **MUST** enable patrons to track the status of their own interlibrary loan requests.
2. The system **MUST** enable patrons whose home library participates in interlibrary loan through reQuest to initiate interlibrary loan requests while viewing a bibliographic record retrieved from the PAC (i.e., without the necessity of exiting the PAC program).
3. The system default **MUST** require that all patron-initiated interlibrary loan requests be mediated by the patron's home library before being transmitted to the lending library.
4. The system **MUST** pre-fill an online interlibrary loan request form with bibliographic information resulting from a search of reQuest.
5. If the item being requested is not found in reQuest, the system **MUST** present a link to a blank ILL form which the patron can use to request the desired item.
6. The interlibrary loan request form **MUST** provide for the request of journal articles, book chapters, tables of contents, and specific pages of a publication, in addition to monographs.
 - a) Before allowing requests for photocopies, the following copyright compliance notice **MUST** be displayed to patrons:

WARNING CONCERNING COPYRIGHT RESTRICTIONS (*)

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material. Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or other reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement. This institution reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright.

5.9.3 ILL Staff Management

1. The system **MUST** enable participating institution staff to be able to log in to staff functions using a username and password.
2. The system **MUST** assign each ILL transaction a unique transaction identifier.
3. The system **MUST** enable reQuest participating institution staff, both as lenders and as borrowers, to continuously track, and update the status of interlibrary loan requests from the time of initiation to the time of the completion of the transaction.

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4. The system **MUST** allow the transmission of interlibrary loan requests between reQuest participating institutions to occur in real time.
5. The system **MUST** enable reQuest participating institution staff to purge completed transactions by a variety of criteria. Criteria include, but are not limited to time period
6. The system **MUST** be able to automatically purge completed transactions based on a CSL-specified time period.
7. The system **MUST** allow two reQuest participating institutions (e.g., the lender and borrower of the same item) to simultaneously view the same interlibrary loan request record in the system.
8. Participating libraries **MUST** be able to batch update ILL transactions.
9. The system **MUST** automatically deflect ILL lending requests based on:
 - a) ILL policies of the lending library
 - b) Lending library's schedule of closings or holidays
 - c) Circ status of the item at lending library
10. The system **MUST** allow lending staff to print shipping labels for material they supply to another library and allow borrowing staff to print labels for material they are returning to another library.
 - a) Shipping labels **MUST** be pre-filled with the destination library name, route number, date, status of the item, as well as bibliographic information so that the slip can be matched to the corresponding book. A sample blank slip is at: <http://ct.webjunction.org/do/DisplayContent?id=11677>
11. The system **MUST** allow lending and borrowing library staff members to print bookstraps.

5.9.4 ILL Staff Management - Borrowing

1. All patron-initiated interlibrary loan requests **MUST** be available for review by the patron's home library.
2. The system **MUST** pre-fill the interlibrary loan request form with default information derived from the library information database, including but not limited to library address, e-mail address, fax number, etc.
3. The system **MUST** enable reQuest participating institution staff to retrieve their ILL borrowing transactions by specific criteria. The criteria used to retrieve ILL transactions include but are not limited to patron name and title of material requested.

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4. reQuest participating institution staff **MUST** be able to retrieve ILL lending transactions by specific criteria. The criteria used to retrieve ILL lending transactions include but are not limited to patron name.
5. The system **MUST** allow library staff to easily create multiple ILL lending requests from a single bibliographic record.
 - a) The multiple requests **MUST** not duplicate any potential lenders. For example, if the bib record has 50 potential lenders and a staff member creates 10 ILL lending requests, each request would have a maximum of 5 unique lenders.

5.9.5 ILL Staff Management - Lending

1. The system **MUST** provide the lending institution with the ability to batch download pending requests.
2. The system **MUST** include the unique system-assigned transaction identifier on printed ILL forms.
3. For items found in the reQuest Main Catalog, the ILL lending request **MUST** contain the lending library's local call number.
4. The system **MUST** enable reQuest participating institution staff to retrieve ILL lending transactions by specific criteria, including but not limited to Title of material requested.

5.9.6 ILL System Features Configurable by Staff

1. The system **MUST** enable reQuest participating institution staff to easily change the participation status of their institution to account for times when the institution is closed due to holidays, vacations, and extended periods, such as school summer vacations.
2. Vendor **MUST** be able to implement a CSL-defined statewide default lender priority list
 - a) Participating institutions **MUST** be able to create a local default lender priority list that overrides the statewide default lender priority list.
 - b) Each lender priority list **MUST** include any participating institution from the list of reQuest participants
 - i) Does the system have a maximum number of institutions that can appear on the lender list?
 - c) If no participating institution on a lender priority list fills the request, the request **MUST** be returned to the patron's home library.

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3. The system **MUST** not limit the total number of interlibrary loan requests statewide that may be in process (in the system) at any one time.

5.9.7 ILL – Reports and Statistics

1. The system **MUST** enable reQuest participating institution staff to access and print ILL reports that summarize their ILL borrowing and lending activity.
2. The system **MUST** capture and preserve (for reporting purposes) statistics for all lending and borrowing transactions conducted on the interlibrary loan system, and **MUST** exclude any personally identifiable information.
 - a) For copyright compliance, a report by journal title of filled, borrowing copy requests **MUST** be kept for three years.
 - b) All other ILL statistics **MUST** be preserved for at least two years.
 - c) reQuest participating institution staff can produce statistical reports on lending and borrowing transactions regularly, such as weekly, monthly, quarterly, annually, and cumulatively (for at least two years). These reports can be produced (for display and print) for individual participating institutions as well as for systemwide summaries for CSL staff.

For borrowing activity:

- i) total number of filled requests (including photocopies) received.
- ii) distribution of total number of filled requests based on the total number of calendar days from patron initiation of request to when the requested item is received by the borrowing institution.
- iii) total number of requests that are cancelled/unfilled (excluding requests that are still pending)

For lending activity:

- iv) total number of items (including photocopies) supplied
- v) total number of requests that were unfilled

5.9.8 ILL - Interoperability with Other Systems

Many opportunities to streamline the ILL process exist, particularly for library staff members. Staff members in general should be able to:

- expand the number of libraries to include a sufficient number of potential lenders, thereby maximizing access to material.
- process all of their ILL requests in one system.
- collect all of their ILL statistics in one place.

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- have the ILL system take circulation status and other factors into account when the system chooses potential lenders.

In order to encourage participation by libraries of all sizes and types, the system needs to address all of these concerns. In addition, the system has to be easy to use so that all staff members, regardless of size of the library, number of requests, or background of the staff member can use the system without assistance.

If reQuest ILL could be seamlessly integrated with other ILL systems or ILS/Circulation systems, both non-participants and reQuest ILL libraries would benefit. For example, a number of libraries process ILL requests within their local networks or consortiums, often using the “system holds” capabilities of their ILS. If a request remains unfilled after being sent from one network/consortium library to another, the borrowing library will send the request directly to a usage fee-based service, such as OCLC, bypassing libraries represented in reQuest ILL. Some of these libraries participate in reQuest ILL as lenders only. If reQuest ILL were able to interoperate with local ILL or ILS systems, other libraries might be willing to incorporate reQuest ILL libraries as potential ILL lenders.

Opportunity exists for the ILL system to interoperate with an ILS, particularly a circulation system. For example, when a staff member at the borrowing library updates an ILL request to ‘received,’ the ILL system could interoperate so that a brief bibliographic record is created in the ILS and the item is automatically put on hold for the requesting patron. When the staff member updates the request to ‘returned,’ the ILL system interoperates so that the item is ‘checked in’ from the patron and the bibliographic record is removed from the ILS. Features such as these would save valuable staff time.

1. System MUST comply with ISO standards 10160 and 10161-1.
2. System MUST comply with the IPIG profile.
3. System MUST comply with NCIP and OpenNCIP.
4. The system MUST enable libraries without an OCLC ILL account to use reQuest to electronically submit requests for items not found in reQuest or unfilled requests to an OCLC/ILL (interlibrary loan) broker library that will refer the request to OCLC/ILL.
 - a) It is possible to establish more than one broker library.
 - b) The broker library will be able to identify the participating library that sent the request.
5. The system MUST enable libraries with an OCLC/ILL account to transfer requests electronically from reQuest to their OCLC/ILL account.

5.10 CAT - Cataloging

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ReQuest cataloging is made up of two components. The reQuest holdings maintenance module serves the basic cataloging needs of over 200 libraries in Connecticut. Participating libraries can add, modify, and delete their holdings directly on reQuest and see their results in real time. Holdings maintenance also allows libraries to download MARC records from reQuest to import into their local systems. Note: During 2006 and 2007, libraries downloaded 90,000 and 63,000 records, respectively.

A full cataloging module has a full MARC editor as well as an original cataloging component. It also offers access to MARC records from the Library of Congress catalog, and to Name and Subject authority records.

5.10.1 Holdings Maintenance

1. The vendor **MUST** provide an online holdings maintenance utility for reQuest that enables participating institution staff to add a holding, delete a holding, and change a holding.
 - a) The holding **MUST** include library ID and local call number.
2. The vendor **MUST** provide an online holdings maintenance utility for the serials catalog that complies with the local holdings record structure of OCLC-derived union list of serials records.
3. The online holdings maintenance utility **MUST** include the following capabilities when adding a holding:
 - a) Allows library staff to enter the local call number (or a summary holdings statement in the case of the serials catalog) in a data entry window.
 - b) Automatically inserts the staff member's library name or library ID code into each holding statement.
4. The online holdings maintenance utility **MUST** enable participating institution staff to download records from reQuest and from LC MARC in MARC21 format, either singularly or in a batch, at the option of staff.
5. The system **MUST** enable participating library staff **MUST** to search reQuest and other MARC resource files (including LC MARC) either simultaneously or separately, at their option.
6. Participating library staff are authorized to change only their own holdings.
7. Participating library staff are not authorized to edit the master bibliographic records.

5.10.2 MARC Editor

1. The vendor **MUST** provide a MARC record editor for staff which includes:

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- a) a full screen editor
 - b) the ability to merge holdings from one record to another
 - c) the ability to add, modify and delete bibliographic records
 - d) the ability to modify any bibliographic variable fields in the MARC record.
 - e) the ability to modify any fixed fields in the MARC record.
 - f) the ability to modify the leader in the MARC record.
 - g) the ability to modify any holdings statement attached to any bibliographic record.
 - h) Templates for various MARC record formats, such as books, videos, serials, etc.
 - i) Access to the LC MARC database
 - j) Access to the LC Name and Subject authorities
2. The MARC Editor MUST run in a Web browser.
 3. At CSL's direction, the vendor MUST provide any number of specific participating institutions with full MARC record editing privileges.
 4. The MARC Editor MUST be able to identify and repair records that have invalid/incorrect:
 - punctuation
 - spelling
 - GMD
 - indicators
 - control fields
 - format (e.g., videos cataloged as books).

5.10.3 Training

1. The vendor MUST provide a direct link to a training database that contains a representative sample of records and holdings for the purpose of training library staff on use of the holdings maintenance module.

5.10.4 Statistics

1. The system MUST provide CSL with online access to a report broken down and labeled by institution and by specific record source (online cataloging on reQuest or batch submissions from local systems or OCLC) that includes the following information both for any user-specified date range, the most recent month and cumulatively (total to date):
 - a) total number of bibliographic records added
 - b) total number of bibliographic records deleted
 - c) total number of bibliographic records modified

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- d) total number of unique bibliographic records added (a unique record is a record that did not previously exist in the reQuest database, e.g., a record derived from the LC MARC database)
- e) total number of holdings added
- f) total number of holdings deleted
- g) total number of holdings changed
- h) total number of MARC records downloaded
- i) total number of bibliographic records merged

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Appendix A

Matching/Deduplication Criteria

The current program proceeds sequentially through the following 5 steps and in this order:

OCLC Records:

1. By OCLC Control Number [mandatory] only. Format Indicator is ignored.

Note: All OCLC Control numbers must have the “ocm” prefix otherwise the record will be processed as a non-OCLC record. Exception: Because Innovative Interfaces (III) systems do not retain the “ocm” prefix, these records will be evaluated using the following criteria:

- Control number must be in the correct field (according to the profile), and
- At least one of the following must be true:
 - Presence of “OCoLC” in Field 003
 - Presence of 049
 - Presence of 019

Non-OCLC Records:

2. LCCN, Format Indicator [mandatory], 1st 10 characters of Title (245a)
3. ISBN, Format Indicator [mandatory], plus 1st 10 characters of Title (245a)
4. ISSN, Format Indicator [mandatory], plus 1st 10 characters of Title (245a)
5. If matching by number with text validation fails, matching would be via TEXT on:

Full Title: 245 \$a [mandatory], \$b, 1st 7 characters of subfield \$h, 1st 20 characters of subfield \$p
Physical Description [mandatory], (Field 007 Positions 00 & 01)

Author (1st 80 characters)

Language (Field 008 Positions 35-37)

Form of item (Field 008 Position 23)

Publication Date: 260 \$c 1st 5 dates (ignores brackets and alpha characters)

Publisher Name: 260 \$b 1st 5 words (ignores initials)

Format Indicator [mandatory]

Note: the text validation criteria for items 2-5 above can be changed. Initial articles are ignored when matching on title. All opportunities for matching by control number (steps 1 - 4) are exhausted before attempting to match by text alone (5). If title match fails, the record is added as a new record to reQuest.

Mandatory and Non-mandatory Criteria

All mandatory items must be present and match. All nonmandatory items must be present otherwise a match is precluded.

Format Indicator - Leader Positions 6 and 7

The absence of a format indicator in only one of the records precludes a match, but its absence in both records does not preclude a match.

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Matching Subfields for Number Matches

<u>Input record subfield</u>	<u>Master record subfield</u>	ACTION
\$a	\$a	match occurs
\$a	\$z	match occurs - only holdings are updated
\$z	\$a	match occurs
\$z	\$z	no action - this condition is not checked for

PUBLISHER VALIDATION (260 \$b)

If 260 \$b is requested as a validation point, a two-way keyword is used for the first 5 keywords in the subfield (initials are ignored).

The match looks for the first significant keyword in the incoming record's 260 \$b subfield, and matches it to that keyword anywhere in the potential match record.

If a match fails, the same process is reversed and the match is tried again. Multiple instances of \$b are searched for a match.

For instance, a match like:

260 \$a New York : \$b A. E. Knopf, \$c 1988.

260 \$a New York : \$b Knopf, \$c 1988.

would occur because initials are ignored in selecting the keyword to be used.

In another example, the keyword match is two-way. Two publishers will be found to be a match:

260 \$a New York : \$b Beginner Books: \$b distributed by Random House, \$c 1997

260 \$a New York : \$b Random House, \$c 1997.

When the matching is reversed: The first pass looks for a match using the keyword BEGINNER and fail, but when the process is reversed, the match is found using the keyword RANDOM, then finding the match in the second \$b of the matched record.

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PUBLICATION DATE VALIDATION (260 \$c)

Validates for the first (x) dates in the 260 \$c subfield. Brackets and alpha characters are ignored. The match is a two-way. For example, the following 260 \$c samples would be seen as a match if the processor chooses to validate for four dates in the 260 \$c

260 \$a New York : \$b Knopf, \$c 1988, c1982

260 \$a New York : \$b Knopf, \$c 1982.