

# Sample Library Request for Proposals: Integrated Library System

|           |  |           |
|-----------|--|-----------|
| <b>1.</b> | <b>Introduction.....</b>                         | <b>3</b>  |
| 1.1       | RFP Purpose.....                                 | 3         |
| 1.2       | Definitions.....                                 | 3         |
| <b>2.</b> | <b>Proposal Instructions.....</b>                | <b>4</b>  |
| 2.1       | RFP Schedule.....                                | 4         |
| 2.2       | Content and Format of Vendor Response.....       | 5         |
| 2.3       | Costs.....                                       | 6         |
| 2.4       | Proprietary Information Agreement.....           | 6         |
| 2.5       | RFP Process Conditions.....                      | 6         |
| 2.6       | Submission of Questions.....                     | 7         |
| <b>3.</b> | <b>Selection Process .....</b>                   | <b>8</b>  |
| 3.1       | RFP Evaluation .....                             | 8         |
| 3.2       | Vendor Presentations .....                       | 8         |
| 3.3       | Preferred Vendor.....                            | 9         |
| 3.4       | Contract Negotiations .....                      | 9         |
| <b>4.</b> | <b>Background Information .....</b>              | <b>10</b> |
| 4.1       | Organization Overview .....                      | 10        |
| 4.2       | Current System and Operational Environment ..... | 10        |
| 4.3       | Goals of the Project.....                        | 10        |
| <b>5.</b> | <b>Vendor Information.....</b>                   | <b>12</b> |
| 5.1       | Background .....                                 | 12        |
| 5.2       | Experience.....                                  | 12        |
| 5.3       | Products and Customers.....                      | 13        |
| 5.4       | Custom Code.....                                 | 13        |
| 5.5       | Vendor Contacts.....                             | 13        |
| 5.6       | Training.....                                    | 13        |
| 5.7       | Documentation .....                              | 14        |
| <b>6.</b> | <b>Technical Specifications .....</b>            | <b>15</b> |
| 6.1       | Network.....                                     | 15        |
| 6.2       | Software .....                                   | 15        |
| 6.3       | Database .....                                   | 15        |
| 6.4       | Storage .....                                    | 16        |
| 6.5       | Backup and Archiving .....                       | 16        |
| 6.6       | Hosting Environment .....                        | 16        |
| 6.7       | Servers.....                                     | 16        |
| 6.8       | Upgrade and Maintenance Process .....            | 17        |
| 6.9       | Client.....                                      | 17        |
| 6.10      | Security .....                                   | 17        |
| 6.11      | Authentication and Authorization.....            | 18        |

|            |  |           |
|------------|--|-----------|
| 6.12       | Presentation.....                                | 18        |
| 6.13       | Report Writing .....                             | 19        |
| 6.14       | Performance .....                                | 19        |
| <b>7.</b>  | <b>Subsystem Specifications.....</b>             | <b>20</b> |
| 7.1        | Online Public Access Catalog (OPAC) .....        | 20        |
| 7.2        | Cataloging and Authority Control .....           | 21        |
| 7.3        | Acquisitions and Serials Control .....           | 25        |
| 7.4        | Circulation, Reserve, and Media Booking .....    | 27        |
| <b>8.</b>  | <b>System Migration and Implementation .....</b> | <b>31</b> |
| 8.1        | Installation.....                                | 31        |
| 8.3        | Migration.....                                   | 31        |
| 8.4        | Customization .....                              | 31        |
| 8.5        | Licensing.....                                   | 31        |
| 8.6        | Post-Implementation .....                        | 31        |
| <b>9.</b>  | <b>Acceptance and Ongoing Reliability .....</b>  | <b>33</b> |
| 9.1        | The Components of Acceptance .....               | 33        |
| <b>10.</b> | <b>Costs .....</b>                               | <b>34</b> |

# **1. Introduction**

## **1.1 RFP Purpose**

The purpose of this Request for Proposals (RFP) and subsequent vendor presentations is to identify a vendor with whom the Sample Library will negotiate a contract to supply, install and support an integrated library system. This system must be capable of supporting an online public access catalog, cataloging, circulation, and reporting.

## **1.2 Definitions**

Terms which are used in this RFP are defined below.

Purchaser – Sample Library.

Vendor – a respondent to the RFP, a supplier of an integrated library system.

Product – the Integrated Library System (ILS).

Subsystem – a component of the Product such as cataloging or circulation.

Staff – Library staff who have been given an ID to access the ILS.

User – Students, instructors, teachers, general staff, etc. who need library services which are part of the ILS.

## **2. Proposal Instructions**

### **2.1 RFP Schedule**

The RFP process will proceed on the following schedule:

|                   |                                 |
|-------------------|---------------------------------|
| 19 November       | Letter of intent to propose due |
| 1 December        | Proposals Due                   |
| Mid-Late December | Completion of proposal review   |

The following dates will be set pending a favorable outcome of the bid process:

- Presentations by selected vendors
- Completion of presentation review
- Completion of vendor negotiations
- Contract signed

#### **2.1.1 Letter of Intent to Propose**

A letter of intent to propose should be received by the Sample Library by 5:00 pm EST, November 19, 2006. Letters should be sent to the following address: Sample Library, Street Address, New York, NY 10128. Additionally, a copy of the letter may be faxed to the Librarian at 212-555-1212.

#### **2.1.2 Proposal Transmittal**

Proposals must be received by the Sample Library, Street Address, New York, NY 10128 by 5:00 pm EST on December 1, 2006. Late bids will not be accepted; they shall be returned unopened to the vendor.

Prior to the date and time deadline designated for the receipt of proposals, proposals submitted early can be withdrawn by written notice to the Sample Library, and modified proposals may be resubmitted.

After the date and time deadline designated for the receipt of proposals, no vendor will be permitted to make any modifications or withdraw a submitted proposal.

#### **2.1.3 Evaluation and Contract**

Section 3 of this RFP describes how proposals will be reviewed and a vendor selected.

## 2.2 Content and Format of Vendor Response

### 2.2.1 Content

Vendors should respond to every numbered item in sections 5 through 10 of the RFP. Below find terms that should be used when responding to these numbered items.

- 1) “Complies.” Where the existing capabilities of the Vendor’s proposed system comply with a section of the Request for Proposals, the Vendor shall respond “Complies” to indicate that the capability described by the Request for Proposals is installed and operating successfully in at least one library as of the date of the proposal.
- 2) “Deviates.” Where existing capabilities of the Vendor’s proposed system are similar but deviate to some degree with respect to a section of the Request for Proposals, the Vendor should respond “Deviates” to indicate that the capability described by the Request for Proposals is available with deviation and is installed in at least one library as of the date of the proposal. The Vendor should describe the capabilities that are available and how they deviate from Request for Proposals. “Deviates” will be an acceptable response to a Mandatory requirement or function if the Sample Library determines the deviation is acceptable.
- 3) “Not Planned.” Where the Vendor does not plan to provide a function with respect to a section of the Request for Proposals, the Vendor should respond “Not Planned” to that function or requirement.
- 4) “Development (date)” responses. Where the Vendor’s system is under development with respect to a section of the Request for Proposals, the Vendor should respond with “Development \_\_\_\_\_,” specifying the date of availability. The vendor should indicate any deviations from the description provided in the RFP.
- 5) “Planned (date)” responses. Where the Vendor’s proposed system is planned, but not yet under development with respect to a section of the Request for Proposals, the Vendor should respond “Planned \_\_\_\_\_,” specifying the date of availability. The vendor should indicate any deviations from the description provided in the RFP.

For numbered items flagged as mandatory (M), points will be awarded only for responses of “Complies” or “Deviates.” Vendors may reply with “Development <date>” or a “Planned <date>” only to those items that are flagged as desirable (D). Be aware that some numbered items within sections 5 through 10 are questions for which an answer will suffice. For these items, supplying one of the terms defined above would not be meaningful.

### **2.2.2 Format**

Each proposal copy should be submitted in a three-ring binder. Proposals should consist of the following elements in this order: cover or title page, table of contents, letter of transmittal, executive summary, followed by the vendor responses to sections 5-10 of the RFP. The letter of transmittal must identify a person to whom all further correspondence and/or questions should be addressed. Include the individual's address, telephone number, FAX number, and, if available, electronic mail address.

A master copy of the proposal must be signed by an individual authorized to extend a formal proposal to the Sample Library. Proposals that are not signed may be rejected.

All erasures or corrections shall be initialed by the person signing the proposal.

### **2.3 Costs**

Cost quotes should be included for all software and services referenced in the response, including installation, maintenance, and training. Refer to section 10 for cost proposal guidelines.

Conditional proposals will not be considered.

### **2.4 Proprietary Information Agreement**

Vendors are required to submit non-proprietary complete narrative descriptions to the statements, questions, products, and support services requested in this RFP. All vendor responses and references in regards to costs shall be placed in the public record.

Any part of the vendor's response marked "trade secrets," "confidential," or "proprietary information" must be placed in a separate envelope and marked "proprietary" by the vendor. Failure to clearly identify any portion of trade secrets, confidential, or proprietary information shall relieve the Sample Library from any responsibility, should such information be accidentally released or viewed by the public.

Any part of the vendor's response marked "trade secrets," or "confidential" shall be considered additional or supplemental information. The use of such information in the evaluation process shall be limited to verification or further explanation of information presented in the proposal.

Submission of vendor's proposal constitutes acceptance of these terms.

### **2.5 RFP Process Conditions**

In addition to terms and conditions stated on the RFP cover sheet, vendors agree to adhere to and accept the following conditions:

The Sample Library reserves the right to qualify, accept, or reject any or all vendors as deemed to be in the best interest of the Library.

The Sample Library reserves the right to accept or reject any or all proposals and to waive any irregularities or technicalities in the RFP and any proposal as deemed to be in the best interest of the Library.

The Sample Library reserves the right to accept or reject any exception taken by the vendor to the terms and conditions of this RFP.

The Sample Library reserves the right to seek clarification from vendors about questions during the evaluation process.

The Sample Library will not pay for any information requested herein, nor will it be liable for any costs incurred by the offerer in preparing a proposal.

All proposals become the property of Sample Library and will not be returned to the vendor.

## **2.6 Submission of Questions**

All questions concerning the RFP process must be directed to:

Librarian  
Sample Library  
Street Address  
New York, NY 10128  
212-555-1212 x111  
[Emailaddress@samplelibrary.org](mailto:Emailaddress@samplelibrary.org)

Responses to the questions will be provided by telephone or electronic mail and may be confirmed in writing. If the questions materially affect the RFP specifications, all vendors will receive copies of the questions and responses without identification of the source of the questions.

### **3. Selection Process**

#### **3.1 RFP Evaluation**

Proposals will be evaluated by a committee composed of people from the Sample Library, Education Department and the Technology Department. Each proposal will be evaluated on considering the following criteria:

- Vendor Information and Services
- Technical Specifications and Performance
- Subsystem Specifications
- Implementation
- Costs
- Suitability

For example, each proposal will be evaluated based on the committee's assessment of how well the proposal meets the system and performance specifications stated in the RFP. Submission of a proposal by a vendor will be judged as acceptance of the evaluation technique and as vendor recognition that some subjective judgments must be made by the Library.

Any or all vendors may be asked to further explain or clarify, in writing, areas of their RFP response.

The Sample Library reserves the right to accept or reject any or all bids, to waive irregularities or technicalities in any bid which the Sample Library deems to be in its best interest.

#### **3.2 Vendor Presentations**

The top Vendors, identified through the evaluation process, will be invited to The Sample Library to give presentations on their Product pending a favorable outcome of the bidding process. Vendors will be given a list of specific processes to demonstrate and will be expected to answer any questions about their Product and proposal. Presentations will be evaluated by Library staff composed of people from the Sample Library, Education Department and the Technology Department. Each Product will be rated based on how well the product is able to perform the given list of processes.

### **3.3 Preferred Vendor**

In addition to information gathered through a formal review of the RFP responses and the information obtained during vendor presentations, recommendations from peer libraries using the product will also be part of the evaluation process. The preferred Vendor will be based on RFP responses, the system as demonstrated, and peer library references.

### **3.4 Contract Negotiations**

The preferred Vendor will be contacted by The Sample Library and will enter into contract negotiations. This discussion will finalize any contract terms, such as migration of existing data, implementation process, and acceptance criteria.

If an acceptable contract cannot be negotiated, the Library reserves the right to enter contract negotiations with any other Vendor who submitted a proposal.

It is mutually agreed between the Library and the Vendor that the Library's acceptance of the Vendor's offer by the issuance of written notification incorporates into the resulting agreement all terms and conditions of the RFP and the Vendor's proposal, except as amended by mutual agreement.

Using the conventions outlined in 2.2.1, the vendor shall clearly state in the submitted proposal any exceptions to, or deviations from, the requirements or terms and conditions of this RFP. Such exceptions or deviations will be considered in evaluating the proposals.

## **4. Background Information**

### **4.1 Organization Overview**

#### **The Sample Library's Organization**

The Sample Library, opened in 1982 in New York, NY is designed to improve public understanding of the arts through exhibits, programs and media. The Sample Library's organization has attracted national and international attention as a leader in arts programming. Approximately 575,000 people come to the organization each year and an additional 450,000 visit our web site.

#### **The Sample Library**

The Sample Library serves a growing population of nearly 575,000. Nearly 10,000 are patrons. Each day, approximately 300 patrons come into the library's facilities.

The library has 50,000 titles in its collection including; print items, CDs, DVDs, and VHS tapes. The library also subscribes to 45 current serials. There are a total of 8 staff members, two of which are part-time. There is a single service point in the library at the reference/circulation desk. Circulation is approximately 12,000 volumes/year.

### **4.2 Current System and Operational Environment**

The Sample Library currently utilizes a Filemaker Pro database to store its bibliographic records and another to store its patron information.

Bibliographic data is entered manually and an abbreviated Dewey classification call number is assigned with a preceding category identifier, i.e. GREF B016 Hur. Spine and pocket labels are printed for all materials.

At present only 2 usage reports are kept and are maintained in an Excel spreadsheet. Overdue reports are created by manually checking through bibliographic records for overdue dates. Letters are created manually.

Circulation is currently accomplished by placing the patron name in a field in the bibliographic record and deleting it upon return of the item. Circulation statistics are not kept.

Serials are tracked in an Excel spreadsheet.  
There is no OPAC.

### **4.3 Goals of the Project**

The Sample Library needs to replace its current system with an integrated library system in order to enhance its library services as well as to facilitate internal processing activities. The new system should offer far more flexibility and functionality than the system that is currently in use. The Sample Library intends to select a system that will be:

- Adaptable—Offering state of the art technology that is able to embrace future technological innovations.
- Accessible—The information in the ILS must be available from a variety of locations and to remote users. The patron OPAC must be available to remote users.
- Flexible—New relationships, new queries, and new reports should be able to be added or modified without changing the program source code. Users should be able to get needed information without moving hierarchically between ILS functional subsystems.

Vendor responses to the information requested in Sections 5 through 10 will help us determine which Product will best help us meet our goals. Consult Section 2.2 for important information regarding the format that should be followed when making your responses.

## **5. Vendor Information**

### **5.1 Background**

1. Provide a brief description of your company including the name(s) of its owners and/or principal officers, date of origin and/or incorporation, length of time in the library automation field, and length of time supporting the Product being bid in response to this RFP.
2. How many FTEs work for your company?
3. What is the percentage breakdown of staff among sales, R&D, support, and other vendor functions?
4. Identify the number and location of sales and support personnel accessible to Purchaser.
5. If your company is currently for sale or involved in any transactions to expand or to be acquired by another organization, explain.
6. If your company has been involved in a reorganization, acquisition, or merger in the last three (3) years, explain.
7. If your company has been involved in the last three (3) years in public litigation with a client or a third-party vendor related to the Product that is being bid in response to this RFP, explain.

### **5.2 Experience**

1. Describe your firm's experience in providing automation services to small special libraries. Be specific.
2. Describe your position in the ILS marketplace.
3. How many years has your company worked within the library automation industry?
4. Describe your company's commitment to product development in the last three years.
5. How long has the Product that you are bidding in response to this RFP been actively marketed?
6. How does your company actively participate in the development and use of industry standards?

### **5.3 Products and Customers**

1. Name the Product that you will bid in response to this RFP and describe it in several succinct paragraphs.
2. State the dates and general content of the last three general releases or major upgrades of that Product.
3. How many customers are currently running production versions (not experimental or test versions) of the Product?
4. List special libraries of similar size and characteristics to Purchaser that are currently using the Product. Identify a central contact person for each, including name, address, telephone number, and electronic mail address. (M)

### **5.4 Custom Code**

1. If customized code is required, this source code must be provided to the Purchaser as well as kept by the Vendor and must be fully documented. (M)

### **5.5 Vendor Contacts**

1. Describe any user groups or user community resources for the Product.

### **5.6 Training**

1. Describe the typical training offered for new users of the Product following a typical implementation.
2. Describe different types of training that you offer including computer-based training, on-site training and training manuals.
3. How many training hours are typically required before the staff has mastered the initial use of the Product?
4. Training should be offered when a new release or new version is distributed. (D)
5. The library should have the option of videotaping training sessions for future library staff training purposes. (D)

## **5.7 Documentation**

1. State the media and number of copies of Product user documentation that will be provided at time of purchase.
2. User documentation should be updated in a timely manner with each Product change or update. Describe. (D)
3. All necessary documentation should be included with the Product and should not be purchased separately. (D)

## **6. Technical Specifications**

### **6.1 Network**

1. Describe the overall amount of bandwidth which is dedicated to your hosting environment and how much to each customer.
2. Describe your network redundancy including separate connections to the Internet, separate ISP's, etc.

### **6.2 Software**

1. What OS version and build does the software Product run on?
2. What is the underlying database (including version and build)?
3. What programming language is the ILS written in?
4. Describe which character sets are supported. Full UNICODE support is desired.
5. The system must provide a Z39.50 client. The system must demonstrate compliance with ANSI/NISO Z39.50-1995 by inter-operating over a TCP/IP line with another vendor's client software that is Z39.50-1995 compliant. (M)

### **6.3 Database**

1. The Product must be able to process input from multiple workstations, applying appropriate record locking to insure data integrity. (M)
2. If a change is made to the database, the Product must automatically update all affected records in real time. (D)
3. The Product should use an open relational database that is ANSI SQL compliant. (D)
4. The Product should provide ODBC connectivity (Open Data Base Connectivity). (D)
5. The Product should be able to export any record or portion of a record to ASCII format. (D)

## **6.4 Storage**

1. What is your overall storage capacity?
2. How much storage is allocated per customer?
3. Describe any limits on storage including limitations on overall storage, records and graphics.

## **6.5 Backup and Archiving**

1. Describe your backup systems.
2. What type of media are backups made to?
3. What is a typical backup schedule?
4. Describe the process for restoring data including records as well as the whole system?
5. Monthly backups of data must be provided to the Purchaser . (M)

## **6.6 Hosting Environment**

1. Describe your power supply including any battery backups or UPS that you may have as well as information on how long they can generate power in case of power failure.
2. Describe any fire suppression systems you may have.
3. Describe any climate control systems you may have including air conditioning and humidity controls.
4. Describe the physical security of the environment including access restrictions, locks, security guards, etc.

## **6.7 Servers**

1. Describe your typical server hardware.
2. How many servers are dedicated to the ASP system?
3. Describe any clustering, load balancing, and/or failovers?

4. How many customers are there per server?
5. Is each customer on more than one server?

## **6.8 Upgrade and Maintenance Process**

1. Describe your process for performing maintenance and upgrades including whether they are made one server or one customer at a time, etc.
2. Describe whether customers experience downtime during maintenance and upgrades and if so, how much time?
3. Are customers given lead-time or notification before upgrades and maintenance are performed?
4. What is the typical day and time that maintenance and upgrades are performed.

## **6.9 Client**

1. Product client must run simultaneously with other common clients and applications on a single workstation. (M)
2. If software runs on a browser client, it should be cross-browser compliant and work on all major browsers including Internet Explorer 5+, Mozilla and Firefox.
3. If the software does not run through a browser, list supported client platforms. Describe minimum and recommended configurations. Include CPU model and speed, RAM usage, OS version, and disk space. The Windows 95 client should be 32-bit compliant.
4. Describe any plugins, ActiveX or client modules which are required to run the software.
5. We would prefer a browser-based client. If one is supported, how does its functionality compare to your other clients and are there limitations?
6. The system should support a user-friendly graphical interface. (D)

## **6.10 Security**

1. Describe any efforts you've made towards virus protection.

2. Describe your firewall solution.
3. Describe your efforts towards intrusion detection.
4. Describe your software security updates procedures.

## **6.11 Authentication and Authorization**

1. An Application Administrator must be able to set functions and screen access rights by individual or group. (M)
2. Describe how your system authenticates a staff member and a public user. Security for remote and museum users should include the following features: Anonymous login (no authentication required); User-specific authentication using login ID and/or password; Group-level authorization. (D)
3. User authentication must be provided on an individual basis. (M)
4. The system must have the ability to specify authorization/authentication for specific record types and field groups within records. The system must provide the ability for authorized staff to create, edit, and delete all types of records. (M)
5. The Product should offer templates to support the creation of user-authentication profiles (basic definitions which can be copied into new user profiles). (D)
6. Authorization/authentication should be role/attribute based (i.e., a single user can have multiple roles without needing multiple IDs). (D)

## **6.12 Presentation**

### **6.12.1 Online Help**

1. The Product should have complete context-sensitive online help documentation across all subsystems. Online help should be searchable. (D)
2. Updates to the online help should be delivered with changes and updates to the Product. (D)

### **6.12.2 User Interface**

1. The Product must consist of integrated functions with a single point of entry. (M)
2. Users and staff should be able to switch between the client and another application using standard operating system procedures. (D)

### **6.13 Report Writing**

1. Describe the reporting system used in your Product and specifically indicate whether it is written and/or maintained by a third party.
2. The system must provide a comprehensive and flexible report-writing function that supports library-staff generation of reports on any data element used by the system or created by functional activity, singly or in combination, for standard or customized time periods. Describe how your system meets this requirement. (M)
3. Library staff must be able to define and format specific reports without having to explicitly write SQL commands. Describe how staff use your report writer. (M)
4. The system should support pre-programming and scheduling of standard reports. (D)
5. A variety of output options should be available for reports including, but not limited to viewable online, send to printer, export to a spreadsheet. (D)

### **6.14 Performance**

1. What is the maximum number of multiple simultaneous update users and inquiry users (local and/or remote) that the Product can handle?
2. The system should have a time-out feature that can be adjusted by the Application Administrator by function. Describe. (D)
3. It should be possible to run reports simultaneously and/or at peak periods without system performance degradation. (D)

## **7. Subsystem Specifications**

### **7.1 Online Public Access Catalog (OPAC)**

#### **7.1.1 General Considerations**

1. The system should allow access to the OPAC through all major browsers including Internet Explorer 5+, Mozilla and Firefox. (M)
2. The system should provide a secured interface between the OPAC and patron files that will allow patrons to access personal circulation information (e.g., books checked out, overdue, on hold, etc.). (D)
3. Describe any user personalization options such as; favorite searches, etc.
4. Describe any automated lists which can be generated for display in the OPAC such as; new books, most popular titles, subjects, etc.
5. Patrons should have access through the OPAC to all material types including, but not limited to: monographs, serials, machine-readable data files, maps, vertical files, audio-visual formats, sound recordings, computer software, slides, documents, Web sites, equipment, etc. (D)

#### **7.1.2 Ease of Use**

1. The system should provide keyboard equivalents for primary commands. Explain how these are indicated to the user. (D)
2. The system should provide the ability to locally customize the contents and display of the menu, search, and result screens. Describe the level of customization possible. (D)
3. The system should provide support for visually impaired users. Describe. (D)

#### **7.1.3 User Help Capabilities**

1. The system should provide the ability to customize, add or suppress commands, help screens, menus, and documentation at the system level for default profiles and at the workstation for session profiles. Describe. (D)

#### **7.1.4 Searching Capabilities**

1. Describe the search capabilities of the OPAC. Does the system support Boolean operators, proximity (e.g., adjacent, near) operators in a keyword search, etc.

2. The system should provide hot links to redirect a search to other authors, titles, or subjects in a bibliographic record (tracings). Describe, including the level to which this is customizable. (D)
3. The system should display cross-references for entries in an authority file such as subject headings and uniform titles. (D)
4. Users should be able to limit searches by a variety of factors. List all methods available to users to limit searching. (D)

### **7.1.5 Output Capabilities**

1. The system should output status information whenever item-level information is available.
2. The system should support display of online images including jacket art. (D)

### **7.1.6 Reports and Notices**

1. The system should produce counts, lists and other statistical reports monitoring search activity, either singly or in combination with each other, and for standard or customized time periods (including comparable data from previous years). Describe/list. (D)

## **7.2 Cataloging and Authority Control**

### **7.2.1 General Features**

1. The system must allow creation, editing and deletion of records in standard communications formats (dependent on type of record—i.e., USMARC communications format for bibliographic, authority, holdings records). (M)
2. The system must have cataloging functionality supporting creation and validation of full MARC fields for all formats, including locally defined MARC fields. (M)
3. The system must have the ability to create new records by direct keying, importing from utilities, batch loading, and deriving from existing records. (M)
4. The system should produce collection counts, lists, and other statistical reports that measure activity for standard (for example, to date, monthly, annually) or customized time periods. List the reports that are available. (D)
5. The system must have the capability to catalog Internet websites. (M)

6. The system should have a link verifier to check for dead Internet links. Describe. (D)
7. It should be possible to include jacket art with the cataloging record for display in the OPAC. Describe. (D)
8. The system should have the ability to print out barcode and pocket labels for cataloged items. (D)

### **7.2.2 Record Display in Technical Mode**

1. The system should have the capability to display all data in every field in any record upon retrieval of that record in technical mode (including all MARC tags, indicators and subfield codes), with proper authorization. (D)
2. Describe the retrieval and display options related to authority records, including any options to link to bibliographic records.
3. In technical mode, the system should display all cross-references whether in use or not. (Cross-references not in use should not display in public mode.) Describe. (D)
4. When records are suppressed from OPAC display, the records should remain searchable in technical mode. (D)
5. Does the system support hypertext coding within records?

### **7.2.3 Authority Control**

1. The system must have authority control capability, conforming to the MARC format for authorities. (M)
2. Indicate which of the following subject thesauri and subject headings are supported by the system: (D)
  - LCSH
  - MeSH
  - LC Children's
  - NASA thesaurus
  - Form/genre terms
3. The system should provide for the addition of cross-references between and among thesauri (e.g., a "see also" from a MeSH term to an LC term). Describe how your system meets this objective. (D)

4. Vendor must describe the Authority Control module's interactive authority control heading verification process. Describe what the system does when an unauthorized heading is detected?
5. At the Library's discretion, the Authority Control module should be configured either to display cross-references but not to verify headings, or to display cross-references and also to verify headings. (D)

#### **7.2.4 Interaction between Authority and Bibliographic Records**

1. The system should provide the capability of automatically matching headings in bibliographic records with authority records for the purpose of establishing a dynamic link or relationship between the two. This function should be able to be engaged or disengaged by the library. Describe how your system meets this objective. (D)
2. The Authority Control module must automatically generate appropriate See and See Also references from authority records for use in the online catalog.

#### **7.2.5 Call Number, Location, and Other Copy-Specific Information**

1. The system must be able to store, display and sort, and edit: (M)
  - a) Library of Congress call number
  - b) local call number
  - c) Dewey Decimal call number
2. The system should provide the ability to designate a copy as "on order" or "in process." These copies should be fully indexed and searchable. (D)
3. The system must provide the ability to designate locations or categories for items in the collection, i.e. Reference, Children's, etc. (M)

#### **7.2.6 MARC Holdings Information**

1. The system must support USMARC format for holdings data. The system must support all four holdings levels as described in the NISO standards. All MARC tags, indicators and subfields must be displayed in technical mode. Appropriate MARC fields must display in the OPAC. (M)
2. The system must support creation, editing, validation, deletion and storage of all MARC holdings related to a bibliographic entity, and it must have the ability to link MARC holdings information to bibliographic records. (M)

3. Is there a maximum number of MARC holdings statements that may be attached to a related bibliographic record?
4. The system should provide the ability to suppress MARC holdings information and item/piece information from display and indexing in public mode without suppressing display and indexing in technical mode. (D)

### **7.2.7 Item/Piece Information**

1. The system must support the creation and storage of all physical item/piece information related to a bibliographic entity. Describe how your system meets this objective. (M)
2. The system must allow bar-code numbers to be scanned or typed into records. The system must validate item bar code numbers. (M)
3. The system must support batch creation of item ID numbers according to predefined ID number ranges. In addition, it must be possible to create output that can be used by a vendor to create smart barcodes. Describe how your system meets this objective. (M)
4. Does the system provide the ability to replace one barcode with another without losing pre-existing links to item/piece, circulation, and acquisitions information? Describe.

### **7.2.8 Import, Export, Batch Loading in General**

1. The system must have the ability to accept records from and generate records that can be accepted by external systems, which must include, but not be limited to, the following: (M)
  - a) OCLC
  - b) RLIN
  - c) Marcive and GPO
  - d) Library of Congress Subject and Name Authorities
  - e) Vendor systems that are capable of creating MARC-compliant records
2. The system must provide for batch loading of files from OCLC, RLIN, LC (LC Subject and LC Name), NLM (MeSH), GPO and Marcive. Describe how you can accommodate this local need. (M)
3. The system must support the extraction and export of standards-compliant MARC records including call-number information. (M)
4. Record size and structure should allow the export of standards-compliant records without loss of data. (D)

5. The Z39.50 copy cataloging client must capture MARC records from OCLC directly into the Library's catalog, while at the same time updating the Library's holdings on OCLC to reflect the addition of the record. (D)
6. How many Z39.50 servers can the system search for cataloging records simultaneously?

### **7.2.9 Loading and Exporting Bibliographic and Authority Records**

1. Describe how the system imports a bibliographic record in real time.
2. When a new bibliographic record is imported into the system, the system should provide the option of creating a holdings record which can be customized. (D)
3. The system should have the capability of loading and displaying a bibliographic utility's unique authority-record number (for example, OCLC's ARN) in a field of an authority record (for example, 035). (D)

## **7.3 Acquisitions and Serials Control**

NOTE: This section is applicable only if you are bidding with these modules included in your system or are bidding with them as options.

### **7.3.1 General**

1. Acquisitions and Serials Control, subsystems must be fully integrated with the total library management system. (M)
2. The acquisitions and serials control subsystems must include ordering, invoicing/payments, claiming, check-in. Information available from within these functions must include bibliographic, copy, holdings, and item data. (D)

### **7.3.2 Acquisitions and Ordering**

1. The system must link order records to specific bibliographic records and to a specific copy assigned to the bibliographic record. (M)
2. The system should permit ongoing data input in open orders. (D)
3. The system should permit the re-creation of a printed purchase order once the original purchase order has been generated. (D)

4. The system must accommodate cancellation or closing of orders and deletion of orders on demand. (M)
5. The system should provide for the generation of customizable purchase orders by various print and electronic methods. (D)
6. The system must support the storage, indexing, display and deletion of vendor data for use in ordering, claiming, returning, and payment of invoices, and include a search function for vendor data. (M)
7. The system must provide space for addresses compliant with US postal regulations, and be able to specify functions of address (e.g., returns/claims/orders/payments). Describe if your system stores and uses multiple addresses for the same vendor. (M)
8. The Acquisitions module should enable the Library to download MARC records (via the Web) from materials vendors and use the imported records to create orders automatically within the Acquisitions module. (D)
9. System should enable Library to use advanced electronic data interchange (EDI) and X12 transaction set technology to manage their interactions with vendors and suppliers. Describe.

### **7.3.3 Receiving/Serials Check-In**

1. The system must have the ability to record a description of each item received, including (but not limited to) enumeration and chronology where appropriate. (M)
2. The system should have the ability to create multiple check-in records for a single copy of a title. The system should accommodate check-in for multiple entities of a given title; for example, one subscription to a title includes bound volumes, pocket parts, pamphlet supplements, legislative service, and possibly other parts, each on a regular or irregular basis, and each needs its own receiving record. Describe how your system accommodates multiple continuing parts for a single title. (D)
3. The system should have the ability to check-in duplicate and multiple copies of the same item and should provide an alert through reporting. Describe. (D)
4. The system should have the capability to designate a location for these items, i.e. archives, circulating, etc.

#### **7.3.4 Claiming**

1. The system must have the ability to generate claims and other memos on demand. (M)
2. The Serials Control module must flag items as missing, overdue, duplicate, or to be retained for reconsideration. (M)

#### **7.3.5 Reporting**

1. The system must have the ability to produce a list of items needing claims or follow-up (M)

#### **7.3.6 Inventory**

1. If the system has inventorying capabilities, describe.

#### **7.3.7 Invoice Processing/Fund Accounting**

1. The system should provide online real-time invoicing and fund accounting fully integrated with acquisitions- and serials-management systems. (M)
2. The system should support a variety of payment options List the options. (M)
3. The system should support a variety of invoicing options (e.g., payments direct to invoice). (M)

#### **7.3.8 Budgeting**

1. If the system has budgeting capabilities, describe.

### **7.4 Circulation, Reserve, and Media Booking**

#### **7.4.1 Circulation Overview and Parameters**

1. The system must have a circulation subsystem in which local circulation policies and parameters may be defined for and entered into the system by authorized library staff. Describe in detail how your system meets this requirement. Specify the parameters that are used to define and control circulation patterns and loan policies. (M)
2. The system must be able to identify a patron during a circulation transaction by the magstripes or scannable barcodes affixed to the library's patron cards, and by keyed elements including name, unique ID number, and SSN. (M)

3. The system must be able to identify an item during a circulation transaction by the scannable barcodes already affixed to items in the library's collections. (M)
4. The system should provide library staff control over wording of circulation status messages that appear in the OPAC (e.g., "returned 2-2-98; not yet reshelved"). (D)
5. The system must dynamically update all related and affected records/screens upon checkout, renewal, and check-in, including OPAC messages such as "checked out—due 5/27/99." (M)
6. The system should allow authorized staff to adjust due dates, unblock privileges, override loan limits, override item statuses or conditions (e.g., non-circulating), and forgive charges. (D)

#### **7.4.2 Check-out and Renewal**

1. The system must provide an efficient check-out and renewal procedure with onscreen prompts for information. (M)
2. The system must allow the ability to set due dates. (M)
3. Describe what patron information the system displays on the screen during check-out, such as; patron name, ID number, books currently checked out, overdues, etc. (M)
4. Does the system have the ability to renew one, some, or all items from a patron's list of check-outs. Can this ability be limited to authorized staff? (D)

#### **7.4.3 Check-in**

1. The system must provide an efficient check-in procedure with on-screen prompts for information and must display each item on the screen as it is checked in. (M)

#### **7.4.4 Holds**

1. The system must be able to place a hold on an item that is checked out. The existence of a hold must disallow check-out to anyone other than the next patron in the item's hold queue. Describe. (M)
2. It should be possible to easily view the hold queue for an item to easily determine the identity of each requesting patron. Describe. (D)
3. It should be easy to cancel holds after they are placed. (D)

4. It should be possible for the library to institute hold policies and limits such as; three items per patron, one DVD per patron, etc. (D)

#### **7.4.5 Fines and Patron Accounting**

1. The system must support automatic charging for the overdue return of items, for the replacement cost of unreturned items, for various sorts of “processing fees,” according to library-defined parameters set by authorized library staff. The system must also allow staff to create charges. Describe how your system meets this requirement. (M)
2. The system must have the capability to create overdue form letters which can be either mailed or emailed to patrons. Describe how your system meets this requirement. (M)

#### **7.4.6 Statistics and Reports**

1. The system must have the ability to provide statistical reports on circulation transactions, available online or printed on demand, for any data element defined by library staff for standard (e.g., to date, annually, monthly, daily, or by minute) or customized time periods. Describe your circulation reports. (M)
2. The system must have the ability to create overdue reports. (M)
3. Describe the extent to which library staff can determine the order, content, and format of circulation reports.

#### **7.4.7 Patron Records**

1. The system must support online, dynamic library-staff creation of patron records. (M)
2. The system must support a variety of ways to search for a patron record. Describe how your system meets this requirement, what fields are searchable, and how your patron index works. (M)
3. The system must accommodate expiration dates for patron’s library privileges. (M)
4. The system must retain and allow display of expired patron records if circulation or financial records are still linked to them. (M)
5. The system must have the ability to designate a category or group for patrons, i.e. Staff, Faculty, etc.. The system should provide the ability to easily assign and change a patron’s category. (M)

6. The system should provide the ability to automatically block a patron, based on library-defined parameters, to prevent circulation. The system should also provide the ability to manually block a patron from check-out privileges. The check-out screen should display a clear message describing the block. Describe how your system meets these requirements and provide a list of the conditions under which automatic blocks can be applied. (D)
7. Automatic blocks should lift immediately upon remediation of the blocking condition. (D)
8. The system must easily provide online display and printing of a sequentially numbered list of items a patron has checked out, placed on hold, overdue, claims returned/lost/stolen, and billed. Describe or show how your system meets this requirement. (M)
9. The system should be able to accommodate patron photos in the patron record Describe. (D)
10. Does the system have the capability to print out patron barcodes?
11. When a user has lost or misplaced his/her library card, the Circulation module should automatically deactivate the previous library card number and must transfer the user's charges, fines, overdues, holds and bills to the new ID. (D)

#### **7.4.8 Patron-Initiated Services**

1. The system should support the ability for patrons to check out and renew their own items online in an environment in which both barcoded and magstriped patron IDs are used and items are barcoded. Describe. (D)
2. Patrons should be allowed to place and cancel their own holds online. (D)

#### **7.4.9 Media Booking**

1. Does the system provide an integrated media-booking function which allows advance scheduling for media, equipment, and facilities? If so, describe.

#### **7.4.10 Interlibrary Loan**

1. The system should have an ILL subsystem. If your system does, describe it. (D)

## **8. System Migration and Implementation**

### **8.1 Installation**

1. Describe your expected schedule of events in the installation process. Include a timetable, beginning at Month 0, and continuing to full implementation.
2. How much advance notice is needed to schedule installation?

### **8.3 Migration**

1. Vendor should be able to migrate Purchaser's existing data from Marcive to the Product so that the system is fully operational on 'Day One'. (D)

### **8.4 Customization**

1. Describe the Purchaser's ability to customize the OPAC interface.

### **8.5 Licensing**

1. List any third-party licenses which are required for the implementation and use of the Product.
2. If Vendor, whether directly or through a successor or an affiliate shall cease to be in the information management software business, or if the Vendor should be declared bankrupt by a court of competent jurisdiction, the Purchaser shall have the right to access, for its own and sole use only, for maintenance use only, one copy of the source code to the Software proposed hereunder. (M)

### **8.6 Post-Implementation**

#### **8.6.1 Support and Maintenance**

1. Vendor must guarantee unlimited support for the system without additional charge for the first twelve months after implementation. (M)
2. What is Vendor's support mechanism for technical questions?
3. What are the hours (EST Time) and days of Vendor's live telephone support?

4. Technical questions submitted via electronic mail should receive a response within forty-eight hours. (D)
5. How are problem fixes/patches distributed to purchasers and implemented?

### **8.6.2 Upgrades**

- I. Product upgrades must be included as part of annual maintenance fee. (M)

### **8.6.3 Trouble Resolution**

1. Vendor must have a documented trouble-reporting procedure outlining guaranteed response times and escalation procedures. (M)
2. Any problem remaining open for more than one business day should be addressed in writing, with expected resolution and/or delivery date explicitly outlined. (D)
3. Describe Vendor support for emergencies, such as system failures and disaster recoveries, and associated costs.

## 9. Acceptance and Ongoing Reliability

### 9.1 The Components of Acceptance

1. Post-Implementation acceptance tests shall be performed following implementation.
2. The post-implementation tests shall have three components:
  - a) A review to determine that all specified features are present
  - b) A measurement of response times
  - c) A measurement of reliability over a period of 30 consecutive days following the vendor's written certification that the system is fully installed and operational.
    - 1.) Representatives of the Library and the Vendor shall check the availability and performance of each feature while the maximum number of concurrent users for which the system is licensed are using it.
    - 2.) The system must perform at 99.9% uptime during business hours in the first 30 days.
3. The Sample Library reserves the right to invalidate the contract if post-implementation acceptance criteria are not met. Vendor shall be prepared to return all payments made.

## 10. Costs

### **REQUEST FOR FINANCIAL QUOTE**

Complete for an ASP ILS system to support  
5 staff users and unlimited OPAC users

**INSTRUCTIONS:** Supply a summary page of costs below. Provide a separate, detailed quote with line items and attach. Include any third-party software which is necessary and include detailed breakdowns and explanatory comments as appropriate.

#### **TABLE 1: SYSTEM SUMMARY**

- I. One-Time Setup Fee:
- II. Annual Fee:
- III. Training:
- IV. Other Costs:

Proposals (with financial quotes) must be received by the Sample Library by 5pm EST on December 1, 2006:

Librarian  
Sample Library  
Street Address  
New York, NY 10128  
212-555-1212 x111