

Request for Proposal Integrated Library System

Proposals Due:
June 13, 2018
4:00PM EST

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Section 1 – Introduction

Westchester Library System (WLS or “the Library System”) collaborates with its member libraries in Westchester County, New York to provide access to resources and services and to enhance and support library service for the more than 925,000 residents. WLS is one of New York State's 23 public library systems which were established in 1958 by State Education Law.

There are thirty-eight-member public libraries within WLS, four of which have branches, for a total of forty-four library locations plus the WLS headquarters office.

WLS has been using integrated library system (ILS) solutions from SirsiDynix since 2007. WLS originally installed the SirsiDynix Unicorn system in 2007 and migrated to the SirsiDynix Symphony system in October 2009. In August 2010 the ILS was moved from servers at WLS headquarters to the SirsiDynix hosted datacenter.

WLS, in its mission to ensure seamless access to excellent library service throughout Westchester County, seeks to implement mobile solutions to mirror or enhance typical in-library services. A new ILS will support the Library System and its membership in their goals with efficient workflows, adherence to both library industry and technology standards and best practices, provide staff access to statistical data on both system use and inventory, provide self-service opportunities for patrons, provide access controls to protect patron privacy and be scalable and adaptable for future growth and needs.

The following chart outlines the library system activity based on the most recently available statistics:

Bibliographic Records*	967,434
Item Records*	3,814,632
Authority Records*	1,199,404
Population Served**	925,933
Cardholders*	454,575
Annual Circulation**	7,231,295
Staff Workstations (Approx)	425

*As of April 1, 2018

**As of 2016 Member Library Statistics

Section 2 – Evaluation

Proposed solutions will be evaluated to:

- Determine if the proposals meet the minimum requirements as defined in this request for proposal (RFP)
- Score the proposals as Advantageous, Acceptable or Unacceptable in terms of the functional solutions described in each
- Rank the proposals based on the amount of each cost schedule

Following evaluation of the proposals, vendors with submitted proposals may be asked to provide a product demonstration.

Timeline

RFP posted:	Friday, May 4, 2018 – 4PM EDT
Vendor questions due:	Friday, May 18, 2018 – 4PM EDT
Question responses posted:	Friday, May 25, 2018 – 4PM EDT
Proposals due:	Wednesday, June 13, 2018 – 4PM EDT
Demonstration period (if needed):	July 9-13, 2018
Contract negotiation period:	July – August 2018

Following the negotiation period, the proposals will be presented to the WLS Board of Trustees for approval. A second negotiation period may be opened, should the Board deem it necessary.

Submission of Questions

Any questions related to this RFP will be submitted to WLS via email at IT+ILS@wlsmail.org by Friday, May 18, 2018, 4PM EDT. A written response will be prepared to all questions. All questions and replies will be posted on the WLS website at:

<https://www.westchesterlibraries.org/ils2018> by Friday, May 25, 2018 at 4PM EDT.

Submission of Proposals

Proposals should be received as detailed in this document by Thursday, June 13, 2018 at 4PM EDT. At least **six (6) physical copies** must be delivered as well as one electronic copy via email. Electronic copy must be in PDF (Portable Document Format).

Send physical copies to:

Westchester Library System
Attention: ILS Request for Proposal
570 Taxter Road, Suite 400
Elmsford, New York 10523
(914) 674-3600

Send electronic copies to:

IT+ILS@wlsmail.org

Terms and Conditions

- This Request for Proposal does not obligate Westchester Library System to accept or contract for any expressed or implied services.
- Proposals received after the deadline will not be considered.
- The Library System reserves the right to enter into discussions and/or negotiations with the vendor or vendors determined to be reasonably possible for award selection. The Library System additionally reserves the right to enter into exclusive discussions and/or negotiations with the vendor whose proposal is deemed to be most advantageous.
- In the event exclusive negotiations are conducted and an agreement is not reached, the Library System reserves the right to enter into negotiations with the vendor of the next highest ranked proposal without notice to the other participants and without a repeat of the formal RFP process.

Section 2 - Terms and Conditions (continued)

- All responses, questions and correspondence relating to this RFP and all reports, charts, displays, schedules, exhibits and documentation of any kind produced by the vendor that are submitted to the Library System, as part of a proposal or otherwise, shall become property of the Library System when received by the Library System and may be considered public information under applicable law. The Library System generally considers proposals and all accompanying material to be public and subject to disclosure. Any material considered by the vendor to be proprietary must be individually marked as such and accompanied by a written claim of confidentiality and a concise written statement of reasons supporting the claim. Blanket claims that the entire RFP is confidential will be denied. The Library System cannot guarantee that any information will be held confidential. However, no information will be made public until after a formal contract has been awarded

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Section 3 – Proposal Content Requirements

General Information

A successful proposal will include a narrative about the vendor organization, its product deployment and data migration methodologies, as well as its customer service and support practices.

To that end, the narrative should include:

- Summary of the organization’s experience and qualifications. This should include a brief history of the organization, ownership information, number of employees, percentage of employees assigned to product development and/or support, headquarters address and names of key executives.
- Any changes in ownership, other than shares on a public stock exchange, in the organization in the last seven years? If so, please describe.
- How many employees there are in the organization and how many hold an MLS, MLIS or equivalent degree?
- What has been the employee turnover rate of the organization for the last year and past three years?
- Identify staff who would be involved in the implementation and migration to the proposed solution, including title and summary of their qualifications.
- Provide three customer references of consortia which are similar in size and transaction volume to WLS that have been deployed in the last thirty-six (36) months including at least one deployed in the last twelve (12) months. Include customer name, contact name, phone number and email address for each reference.
- Provide an illustration (chart, table, etc.) of how many production versions of the proposed software the organization currently supports and what percentage of customers are currently running each version.
- Does the organization offer / support other ILS products outside the scope of the one offered in this proposal? If so, what percentage of customers is running the software offered in this proposal?
- Given a goal of being live no later than April 1, 2019, provide an estimated timeline for the installation, migration, training and “go live” process. Include in your estimation what Library System staff time and resources will be needed to support the installation, migration, training and go-live process including required roles and degree of involvement. If migration would not be possible by April 1, 2019, provide an estimated timeline.
- From your experience with other customers, are there any potential issues that would prevent data from be migrated to your proposed solution from a SirsiDynix Symphony system.

Section 3 - General Information (continued)

- Describe the ongoing support process following go-live included as part of annual maintenance. Include detailed descriptions of reporting and resolution processes as well as support staff availability, access to that staff by Library System staff, resolution timelines and guarantees, and upgrade support.
- Does your solution have a vendor hosted option? If so, please describe the datacenter where the hosting is performed and any certifications and standards followed by the facility.
- Describe any proactive monitoring and maintenance of the solution available. Whether included in the support agreement for the proposed solution or offered at additional level, please describe the level of proactive monitoring and maintenance provided and at what additional costs, if any.
- Describe the training that can be provided as part of this solution. Does the vendor organization offer on-site training both before “go-live” and ongoing during the length of use? Is there off-site training available? Is there web-based training available? Describe the options or tiers of options available and associated costs for each option.
- Discuss the organization’s development methodology. Include the process for customer enhancement request and what percentage of annual development is driven by customer enhancement requests. Also include what types of ongoing development communications (i.e. development timelines, roadmaps, periodic reports, conference calls) and tracking are provided to customers. Also include a chart showing how many versions and patches for each of the products in the proposed solution have been released annually for the past three years.
- Discuss any innovations that you have developed or are developing of which the Library System may not be aware. For any items in development, please provide timelines for general release and estimated costs to the Library System should they not be available for purchase at the time of proposal.
- Describe and tabulate in detail the pricing model for the proposed solution and any add-on options; include the metrics used to drive the pricing model.
- Are there compatible third-party solutions that enhance products in the proposed solution (i.e. Novelist or Syndetics Solutions for the catalog)? If the third-party services are available through the vendor organization as a reseller, please include those costs.
- Discuss what about the vendor organization or the products it offers sets it apart from and above competitors in the industry.
- Is the vendor organization currently a party to arbitration or litigation of any kind? Please describe.

Section 3 - General Information (continued)

- Does the system integrate with Microsoft Active Directory for staff authentication? If so, to what elements? Include to what extent Active Directory Group Membership can be used to control permissions within the proposed solutions. Discuss similar successful integrations.
- Provide any and all information related to open-source software integrated into the proposed solution, including if open-source code was utilized in the development of any component. If open-source code has been used, provide an illustration of what components and elements contain open-source code and the license through which the code is being implemented.
- Please describe pre-migration data refining or “scrubbing” (i.e. address verification and field normalization) services that the vendor organization offers including pricing and degrees or depth of service.
- Does your organization make periodic site visits to its customers? Describe frequency and typical agenda.
- Describe your Help Desk capacity. Discuss hours of operation, locations of call centers, who from the customer site can be authorized to call for support.
- Discuss the change control process as it relates to support.
- Discuss the process by which user-requested enhancements are added to the software.

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System Functionality Information

Please provide a written response to each function outlined in Section 4.

All features described in the written response must be included in the general availability (GA) of the proposed software at the time the proposal is submitted. Any component or functionality in development or pre-development planning (alpha, beta, etc.) must be clearly marked as such with a timeline for general release.

Any third-party solutions proposed should be included under a separate schedule in the cost of the proposal.

Should a complete component (i.e. OPAC, statistics tool, etc.) of the proposal be listed as in development or pre-development, the Library System reserves the right to cancel that section of the agreement should the general release timeline submitted by the vendor not be met. The vendor is encouraged to include a financial penalty schedule for failure to meet advertised release timelines on non-GA software listed in the proposed solution to ensure a commitment to the proposed timeline provided.

Reference Catalog

Provide a URL of reference to an online catalog of at least one current customer which presents as an exemplary deployment of the proposed solution.

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Cost Proposal

Vendors will submit a cost for their proposed solution in table format. The table will include cost for the year of implementation, plus the three years to follow. The cost should be itemized as shown below. Itemization should be provided at the first level of bullets at a minimum. More detailed itemization by the higher-level bullets is preferred. Provide other itemization as necessary.

This process includes a contract negotiation period after a vendor has been selected. That time is for fine-tuning contract terms, which may include pricing adjustments. However, pricing will be a significant factor in selecting a vendor. **Therefore, vendors are strongly encouraged to provide their best and final offer with proposals.**

Cost Proposal Itemization Levels

- Core Functionality, which includes:
 - Circulation
 - Cataloging
 - Authority control functionality
 - Configuration / Administration
- Acquisitions
- Reporting
- Outreach / Home Delivery
- Public interface which includes:
 - MARC record-based discovery
 - Digital content vendor API discovery
 - Library System generated digital assets
 - User Self Service
 - Online bill payment
 - Patron Account Self-Service
- Authority control processing
- Digital collection management
- Reporting / reconciliation with collection agencies (e.g. Unique Management)
- Patron Notifications for overdue, lost and holds via:
 - Telephone
 - Email
 - SMS

Section 3 - Cost Proposal (continued)

- External Interfaces:
 - SIP
 - SIP2
 - NCIP
 - Z39.50
 - TomCat
 - EDI for Acquisitions
- Application Programming Interfaces (APIs) for:
 - Transaction processing
 - Data access and editing
- Hardware installation services
- Data migration services
- Training Services
- Hardware, database and server licensing for:
 - Production environment
 - Testing environment
- System monitoring and altering
- Android / Apple iOS mobile discovery application
- Android / Apple iOS
- Other installation fees (Provide itemized detail)
- Other functions, modules, applications, mobile apps (Provide itemized detail)

Exhibits and Attachments

Each vendor submitting a proposal should minimally include:

- General marketing materials for proposed solution
- Technical specifications for proposed solution
- Detailed specifications and licenses for hardware and software for proposed solution
- A sales agreement sample
- A support/maintenance agreement sample

Vendors submitting proposals are encouraged, but not required, to submit a video, not to exceed 30 minutes in length, with a solution walk-through. The purpose of this video is to provide the review panel with a basic understanding of the solution and its functionality to maximize the use of potential demonstrations as described in the timeline in Section 2 of this RFP document.

Section 4 – System Functionality

Section 4.1 – Core Functionality

Section 4.1.1 - Circulation

Minimum Requirements

Proposed solutions must provide the following minimum requirements. Please indicate and provide information if the proposed solution does not include any of the following functions.

- Check-in and check-out physical items
- Optionally check-in items without accruing fines and fees
- Optionally check-in items with a modified discharge date/time
- Optionally check-out item with a modified due date
- Automatically adapt due dates to holidays and individual library and branch closings
- Display patron account comments at check-out
- Process and retain fine and fee payment history
- Ability to create multiple types of patron accounts each with its own loan rules, fine rates, material limits and mandatory fields
- Ability to retain critical data (e.g. number of checkouts) while selectively, by patron choice, purge other data (e.g. titles borrowed) to protect patron privacy
- Display patron last activity date
- Ability to place and fill patron holds based on individual library requirements
- Accommodation for special checkout and hold conditions such as multiple holds for book groups
- Duplicate user verification for card registration

Additional Functionality

Explain if and how the proposed solution will address the following functions:

- Provide multi-level permissions setting at function level (e.g. overriding holds)
- Provide multi-level permissions for viewing data (e.g. checkout history)
- Display digital activity of a patron (i.e. last date account queried through SIP2), discuss the workflow efficiencies this function provides
- Provide an offline circulation process, including what functionality is disabled in offline sessions
- Provide for circulation from outside the physical library
- Process credit/debit card fine and fee payments through staff workstation and online catalog with security and privacy of transactions
- Receipt customization, including value of items checked out and balances due on patron accounts

Section 4.1.1 – Circulation (continued)

Additional Functionality (Continued)

- Email- and SMS-based receipt generation in lieu of paper
- Floating collections
- Online library card registration, including card number generation and delivery
- At-home delivery (e.g. US Mail-based circulation)
- Hold fulfilment prioritization and routing
- ILL management, both as a stand-alone module and/or integration with a third-party service such as, but not limited to ILLiad
- Classification of patrons account for multifaceted reporting
- Fine and fees cash reporting and till reconciliation

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Section 4.1.2 – Cataloging & Acquisitions

Minimum Requirements

Proposed solutions must provide the following minimum requirements. Please indicate and provide information if the proposed solution does not include any of the following functions.

- Load, export and delete RDA-compliant MARC records
- Batch bibliographic record editing
- Overlay functionality to merge existing system records from outside provider such as OCLC or a z39.50 target
- Keyboard and mouse-based cut, copy and paste editor functionality
- Authority record editor
- Authority control processing
- Inventory and weeding workflow
- Item management including add, remove and transfer item workflow
- Create, copy, modify and display fund and vendor accounts
- Create order records
- Automated acquisition order data loading from vendor systems
- Make ad-hoc changes to budgets
- Call number assignment and management
- Display of data from multiple vendors (i.e. prices on the same title) to facilitate creation of order records

Additional Functionality

Explain if and how the proposed solution will address the following functions:

- Handling and display of diacritics and non-roman characters
- Multifaceted item classification for statistical reporting
- Multi-record “find and replace” when editing bibliographic records
- Support for FRBR, RDA and BIBFRAME
- Support for FAST as opposed to LCSH, including functionality for migration
- Describe any special features provided to improve bibliographic editor workflow
- What functionality in this module provides effective staff workflow and efficiency?
- Recording acquisitions invoices and payments
- Acquisitions order tracking
- Interface with key vendor systems, specifically Amazon.com, Baker & Taylor, Midwest Tape, Brodart and Recorded Books
- Batch or group editing of order records
- Compatibility with EDI (provide as much detail as possible)
- Import of vendor system acquisition files into the system

Section 4.1.3 – Discovery and Self-Service

Minimum Requirements

Proposed solutions must provide the following minimum requirements. Please indicate and provide information if the proposed solution does not include any of the following functions.

- Search and discovery of physical items
- Search and discovery of digital items (i.e. ebooks)
- Search and discovery of digital assets (i.e. local history photos)
- Interface for self-service patron account management
- Display of cross-references
- Display of patron checkout history
- Management of patron holds including status and suspension

Additional Functionality

Explain if and how the proposed solution will address the following functions:

- Display of format icon sets in the online catalog, include what item metric drives the icon that is used
- Ability to implement custom format icon sets
- Functionality for social ranking (thumbs up/down, stars) on items
- Self-service opportunities for the patron, be as specific as possible to what settings and information the patron can create and edit, and specifically address entering and maintaining:
 - telephone number, email address, PIN/password, alternative user name, and notification preference
- Patron control of checkout history retention and removal
- Online patron registration, noting features that specifically accommodate consortia
- Ability to customize search facets and facet sources
- Ability to customize the interface of the discovery tool by the library system
- Limit display of records based on patron library including:
 - MARC-based records
 - Electronic content records derived from API
 - Database links and descriptions
- Describe in detail how the solution supports the display of MARC records with hyperlinks to external resources such as Overdrive
- Ability to promote a single title above all other titles within a search results set
- Ability to prioritize or provide weight to MARC record fields and item data to optimize search results (i.e. title, author, number of copies)
- Ability to integrate with third-party vendors for enhanced catalog data (i.e. Novelist, Syndetics Solutions, etc.)
- Describe the indexing and displays 5xx tags, 6xx subfields, and 245 \$h

Section 4.1.4 – Reporting

Minimum Requirements

Proposed solutions must provide the following minimum requirements. Please indicate and provide information if the proposed solution does not include any of the following functions.

- Provide member library staff the ability to define and run reports, without Library System staff intervention or permission.
- Schedule reports to run at a date and time specified by authorized staff
- Schedule reports to be emailed

Additional Functionality

Explain if and how the proposed solution will address the following functions/issues:

- Describe the reporting features of the solution including how the minimum requirements are met
- Describe, in detail, what limitations there are in the reporting tools. Include what conditions, if any, would cause reports not to be emailed, what fields cannot be included in reports, limitations on data blending (i.e. patron and item data) and any other data you feel may be pertinent.
- Ability to limit access to specific data sets by user or user role
- Ability of the reporting tool to import and use external data sets
- Access to the reporting tool via a web browser
- Ability to export, transform and load data via CLI API sets
- Ability to produce financial statement on cash receipts
- Ability to interface/integrate with collection agencies such as Unique Management
- Ability to search and display staff usage (i.e. transaction logs).
- Ability to privatize patron data.

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Section 4.1.5 – Outreach and Home Delivery

Minimum Requirements

Proposed solutions must provide the following minimum requirements. Please indicate and provide information if the proposed solution does not include any of the following functions.

- Label printing and fee accounting for home delivery

Additional Functionality

Explain if and how the proposed solution will address the following functions/issues:

- Discuss any relevant functions and features of the solution that enhance outreach services.
- Logistics management and accounting of home delivery service, indicating any aspects that support application in a consortium
- Library specific event calendar with public display
- Event signup through the online catalog or other public interface
- Management of rooms and equipment resources

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Section 4.1.6 – Administration / Configuration

Minimum Requirements

Proposed solutions must provide the following minimum requirements. Please indicate and provide information if the proposed solution does not include any of the following functions.

- Add and change both global and local operational configurations
- Provide role-based permissions for access to configuration parameters

Additional Functionality

Explain if and how the proposed solution will address the following functions/issues:

- Granular function controls
- Role-based permission granting as opposed to per-account
- Integration with Active Directory for staff access
- Discuss in detail the tools (API, CLI, GUI) provided for database management such data export, transform and load as well as user activity reporting any other maintenance or data points you feel may be pertinent
- Is there a test instance / server available with full replication of production data? Please describe the testing environment.

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Section 4.2 – Authority Control and Management

The library system has over 1.1 million authority records. Discuss the system's capacity to manage and process this volume of records. Does the vendor offer an Authority Control service? If so, please provide cost estimates for monthly, quarterly, bi-annual and annual Authority Control processing options.

Section 4.3 – Electronic Content

The Library System is a significant consumer of digital content. Discuss in detail if and how the ILS system is able to integrate digital materials to aid in the search, discovery and delivery of content.

Please provide illustrations and/or narratives describing the depth of integration with each of the digital content providers currently available in the proposed solution.

Also discuss how the system can store, manage, search and display digital assets (e.g. locally produced ebooks, photos, sound recordings, etc).

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Section 4.4 – Technology Integration and Management

The Library System technology is managed by an in-house department of eight full-time staff. Their roles include:

- Network management
- Server management and maintenance
- ILS administrator
- Web developer
- General IT support
- Third-party application management
- ILS and technology training

Please describe the ILS system's compatibility with the following technologies and provide any technical specification necessary to document such compliance:

- Microsoft Active Directory authentication for single sign-on, same sign-on and role-based permissions
- Allows staff to access multiple modules of the system, including through a single client site, applet or application.
- Please provide pricing schedules for both vendor-hosted and locally-hosted options. The Library System will review and consider proposals for a locally-hosted solution, but is currently using a fully vendor-managed, vendor-maintained and vendor-hosted solution.
- Describe the hardware and software licensing requirements for both vendor-hosted and locally-hosted installations of the solution.
- While the Library System understands the need to maintain database integrity, the vendor must supply, at a minimum, a full database schema and read access to 100% of the data in the database for the purpose of creating custom reports and activity monitoring. If 100% read access is not permitted, please describe why and to what extent direct data access is available.
- List the browsers supported by web-based components of the solution and the minimum versions required.
- List the minimum PC resource and operating system requirements for all staff-side applications.
- List and discuss what staff-side applications are available for mobile devices and tablets. In detail discuss what functionality is not included from the full staff client and what mobile operating systems are supported.
- Describe how security is maintained by the ILS system in a mobile environment in both library-owned and bring-your-own-device scenarios. Specifically address how access is revoked in a BYOD environment.
- If the solution includes a vendor-hosted option, discuss the proactive monitoring of the system and the reporting of issues to the customer.

Section 4.5 – Third Party Applications

The proposed solution must interact with several third-party (listed below) and in-house products. Please describe the vendor organizations philosophy to interoperability, including how it develops and provides APIs and Web-based data services, compliance with standards such as Z39.50, SIP, SIP2, NCIP, open web-based data exchange standards and general compatibility with other third-party products. Provide any details and documentation as needed and appropriate.

- Member libraries currently have self-checkout solutions from:
 - 3M/Biblioteca
 - Sentry
 - WLS
 - Envisionware
- Member Libraries currently have RFID solutions from:
 - Sentry
 - ITG
- Most libraries use Envisionware PC Reservation and LPTone
- TixKeeper
- Online resources that use SIP2 for patron authentication
- Capira Mobile
- Boopsie

Outline in detail the process for creating SIP2 profiles. Is intervention from the vendor support team required? What additional costs, if any, are associated with the creation of SIP2 profiles?

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