

ARKANSAS TECH UNIVERISTY

**REQUEST FOR SEALED PROPOSALS
FOR
LIBRARY MANAGEMENT SYSTEM
WITH OPTIONAL DISCOVERY TOOL**

RFP 14-108

**Issued by:
Arkansas Tech University
Purchasing Department
Young Building East End
203 West O Street
Russellville, AR 72801**

**Phone: 479-968-0269
Fax: 479-968-0633**

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SECTION 1 ADMINISTRATIVE OVERVIEW

1.1 Background

Arkansas Tech University (ATU), hereafter referred to as “ATU” or the “University,” was founded in 1909 as an agricultural and mechanical school in Russellville, Arkansas. In 2003, a separate campus in Ozark, Arkansas was added and became known as Arkansas Tech University-Ozark Campus. The two campuses combined currently enroll approximately 11,000 students, and employ approximately 400 full-time faculty. The Ozark campus is the regional provider for technical and career education, offering 11 associate degrees and 15 technical certificates. The main campus at Russellville is a four-year public institution, offering 45 bachelor degrees and 24 master degrees. Students have the opportunity to live on campus, commute from nearby communities, or participate in one of the many distance education opportunities offered through online courses and online degree programs.

The University’s library system consists of two libraries which serve ATU students, faculty, and staff. The main campus library, known as the Ross Pendergraft Library and Technology Center, also provides services to ATU alumni, members of the ARKLink library consortium, and members of the public. The library located in Ozark, known as the Ozark Campus Library, and serves a population of 2,326 students, faculty, and staff. These libraries provide services and academic resources, in both online and print formats, to help students and faculty members achieve their educational goals.

The University’s library personnel and material resources include eight professional librarians, 15 library technicians and staff, more than 174,000 print volumes, 756 current subscriptions, and 15,000 DVDs and CDs. The library website provides access to more than 150 databases and 23,000 e-books on various subjects¹.

The Library’s mission is to provide excellent support for learning, research, and discovery among the Arkansas Tech University community with special attention to the following:

- a comfortable, safe, and welcoming environment with a reliable technical infrastructure to encourage all types of intellectual inquiry;
- well-organized and maintained resource collections in a variety of formats and of such breadth and depth as to meet the needs of all degree programs offered at the University;
- a well-prepared and service-oriented staff, including credentialed information professionals, engaged in collaborative learning and instruction with students and faculty;
- an array of services designed to leverage resources and staff expertise to benefit all educational endeavors;
- up-to-date technology to enable all levels of research, communications, and information retrieval;
- a program of continuous assessment and improvement that is data-driven and based on measurable, mission-based objectives.

Both libraries offer quiet settings, computer areas, wireless access, study tables and comfortable seating. The main campus library also circulates graphing calculators, headphones, and portable document scanners. The main library also offers a conference

¹ Information as of June 30th, 2013

room, individual and group study rooms, and copiers. The Ozark Campus Library offers document scanner check-out and disc-golf frisbee checkout. Both campuses provide traditional ILL service, library instruction and LibGuide access and development. The Ross Pendergraft Library and Technology Center also produces special public programs throughout the year in support of and collaboration with other academic faculty.

At the main campus library, efforts are underway to digitize selected materials pertaining to Arkansas Tech University and other materials produced by the university. The library also supports the acquisition, preservation, and access to Special Collections materials, featuring important, rare, and/or fragile resources pertaining to the campus, the region, and the state.

Arkansas Tech University currently uses Ebsco A-to-Z as its electronic resources knowledge base, and Ebsco's LinkSource as its link resolver service. MARC record service and Interlibrary Loan service is currently provided via OCLC products, OCLC Connexion and Worldshare InterLibrary Loan Service, respectively.

1.2 Scope of Desired Services and Outcomes

Arkansas Tech University is seeking proposals from qualified vendors to provide next-generation Library Management System (LMS) software, hosting, training, maintenance, and technical support, for the Arkansas Tech library system. If a vendor supplies a Library Discovery Service (LDS) software, they may optionally include a proposal for this system as offered separately or bundled together with the Library Management System software.

Currently, the ATU library system uses the Voyager ILS from Ex Libris and does not feature a discovery tool or service (LDS).

It is the hope of the ATU library system to contract for a unified set of services which will improve and simplify staff processes. Information in higher education has increasingly shifted to more digital and electronic formats, more complex purchasing and licensing practices, and more varied delivery and access methods. To continue to meet the high expectations of a growing population of users, the ATU library system requires a new, next-generation system with a wider range of capabilities than traditional library software systems. The Library has concluded that a modern, hosted system will result in greater cost efficiency, improved services, more accurate processing, improved maintenance of library inventory, and new opportunities to expand library services and resources.

1.3 Contractual Structure

Arkansas Tech University expects to contract with one vendor for a Library Management System (LMS) and may contract with the same vendor or separate vendor(s) for a Library Discovery Service (LDS). Proposers may submit proposals that respond to just the Library Management System part of the RFP or both an LMS and LDS software as bundled together. The University will only accept proposals for a LDS from vendors who also submit a proposal for an LMS.

1.4 Issuing Officer

To preserve the overall integrity of the RFP process, the University specifically requests

that all questions or concerns regarding this Request for Proposal shall be directed to:

Jessica Holloway, Purchasing Program Director

Phone: (479) 968-0269

Fax: (479)-968-0633

E-mail: jholloway@atu.edu

Arkansas Tech University

Purchasing Department

Young Building East End

203 West O Street

Russellville, Arkansas 72801-2222

1.5 Anticipated Procurement Timetable

| | |
|--|-------------------------------------|
| RFP issue date: | July 25, 2014 |
| Deadline for submission of written questions: | July 31, 2014 |
| Responses to Questions and Addenda (if any) issued on: | August 6, 2014 |
| Deadline for receipt of proposals: | August 15, 2014 at 4:00 p.m. |
| Anticipated contract award date: | September 17, 2014 |

1.6 Submission of Proposals

Each bid must be submitted in a sealed, opaque envelope, bearing on the outside the name of the bidder, name and number of the project mailed to the address above. Only those bids submitted on the University's forms and received prior to the time and date for receipt of bids will be considered.

Cost proposals must be submitted in a separate sealed envelope with the same label information listed above. Proposals may **not** be faxed nor e-mailed directly to the University in response to this invitation for RFP. **Respondents must identify their submissions with appropriate return address information. Late proposals will not be opened or considered under any circumstances, and returned to the sender's address.** The following quantity or quantities of technical proposals and cost proposals are required:

1.6.1 Technical Proposal

One (1) original marked "**Original**"; four (4) copies; two (2) electronic copies, one of which shall be an edited version with all confidential and/or proprietary information redacted. The electronic copies will need to be provided on a thumb drive or cd-rom. The edited electronic copy should be clearly labeled as "**Edit Version.**"

1.6.2 Cost Proposal

One (1) original and one (1) copy required. Separate envelopes.
The cost proposal must be submitted in a separate sealed envelope, and must be submitted simultaneously with the technical proposal in the form of a completed Cost Proposal Bid Sheet (Attachment C). The cost proposal envelope must be clearly labeled **RFP 14-108 Library Management System Cost Proposal.**

1.7 Questions and Addenda of Contract Documents Prior to Bidding

If any person submitting a bid is in doubt as to the true meaning of any part of the bid documents or finds discrepancies or omissions, he may submit to the ATU Purchasing Department a written request for an interpretation or correction thereof not later than five (5) days before the bids will be opened. Address all communications regarding the bid documents to the address specified above (Section 1.3).

The person submitting the request will be responsible for its prompt delivery.

Any interpretation or correction of the bid documents will be made only by addendum and will be mailed or delivered to each bidder of record, as well as posted online with official RFP. The University will not be responsible for any oral explanations or interpretations of the bid documents. All addenda issued in writing during the bidding period will be incorporated into the resultant contract.

Only those University replies to inquiries **which are made by formal written addenda** shall be binding. Oral and other interpretations or clarifications will be without legal effect.

1.8 Proprietary Information

Unless clearly marked as “confidential” or “proprietary,” the University considers all information, documentation and other materials requested to be submitted in response to this solicitation to be of a non-confidential or non-proprietary nature and therefore shall be subject to public disclosure after an agreement is awarded.

Financial data, trade secrets, test data, and similar proprietary information will, to the extent permitted by law, remain confidential provided such material is clearly marked by the respondent as “confidential” or “proprietary” when the RFP is submitted.

ALL SUBMITTALS WILL BE AVAILABLE FOR REVIEW TO THE EXTENT PERMISSIBLE, PURSUANT TO THE ARKANSAS FREEDOM OF INFORMATION ACT 25-19-10-1 ET SEQ.

1.9 Minority Business Enterprise Statement

In accordance with Arkansas Minority Statutes and Regulations, 15-4-301 et seq., the University encourages minority businesses to submit bids in response to this Request for Sealed Bid, as well as all other University procurements

1.10 Employment of Illegal Immigrants – Bidder Certification

Act 157 of 2007 of the Arkansas Regular Legislative Session requires that any business or person responding to an Invitation for Bid with a total dollar value of \$25,000 or more MUST CERTIFY, prior to the award of the contract, that they do not employ or contract with any illegal immigrants. The Illegal Immigrant Certification Form is included with this bid package as **Appendix F**, and it can also be accessed online:

<http://www.atu.edu/purchasing/docs/illegalimmigrantvendors102512.pdf>

Failure to certify will result in reject of bid, and no award will be made to a vendor who has not so certified.

1.11 Statement of Ethical Standards

In accordance with Arkansas Code Annotated § 19-11-708, it shall be a breach of ethical standards for a person to be retained, or to retain a person, to solicit or secure a state contract upon an agreement or understanding for a commission, percentage, brokerage or contingent fee, except for retention of bona fide employees or bona fide established commercial selling agencies maintained by the bidder for the purpose of securing business.

1.12 Disclosure

In accordance with the Governor's Executive Order 98-04, all bidders are herein notified that included with this bid package as **Appendix D** is the "Contract and Grant Disclosure and Certification Form." If the base bid exceeds \$25,000, **the successful bidder shall complete and return the disclosure form when notified and as instructed.**

The form can also be accessed online:

<http://www.atu.edu/purchasing/docs/bid-GrantDisclosureForm.pdf>

Failure to make any disclosure required by Arkansas Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

1.13 Equal Employment Opportunity Policy

Act 2157 of 2005 of the Arkansas Regular Legislative Session requires that any business or person responding to a Request for Quotation (Bid) submit their most current equal opportunity policy (EEO). The EEO Policy form is included with this bid package as **Appendix E**, and it can also be accessed online:

<http://www.atu.edu/purchasing/docs/bid-EEO.pdf>

Failure to submit an EEO Policy or response may result in rejection of your bid response.

1.14 Bidder Qualifications

The supplier selected to provide LMS and LDS software and services to the University must demonstrate evidence of having successfully implemented and maintained the desired services in other comparable settings. The University may make such investigations as it deems necessary to determine the ability of the supplier to meet all requirements as stated herein and the supplier shall furnish to the University all such information and data for this purpose that the University may request. The University reserves the right to reject any RFP if the evidence submitted by, or investigations of, such

supplier fails to satisfy the University that such supplier is properly qualified to carry out the obligations of any executed contract. Submission of a proposal shall be conclusive evidence that the supplier has investigated and is satisfied as to the regulatory, technical, and physical conditions to be encountered in providing end-to-end service to the University.

1.15 Technology Access

When procuring a technology product or when soliciting the development of such a product, the State of Arkansas is required to comply with the provisions of Arkansas Code Annotated § 25-26-201 et seq., as amended by Act 308 of 2013, which expresses the policy of the State to provide individuals who are blind or visually impaired with access to information technology purchased in whole or in part with state funds. The Vendor expressly acknowledges and agrees that state funds may not be expended in connection with the purchase of information technology unless that system meets the statutory requirements found in 36 C.F.R. § 1194.21, as it existed on January 1, 2013 (software applications and operating systems) and 36 C.F.R. § 1194.22, as it existed on January 1, 2013 (web-based intranet and internet information and applications), in accordance with the State of Arkansas technology policy standards relating to accessibility by persons with visual impairments.

ACCORDINGLY, THE VENDOR EXPRESSLY REPRESENTS AND WARRANTS to the State of Arkansas through the procurement process by submission of a Voluntary Product Accessibility Template (VPAT) or similar documentation to demonstrate compliance with 36 C.F.R. § 1194.21, as it existed on January 1, 2013 (software applications and operating systems) and 36 C.F.R. § 1194.22, as it existed on January 1, 2013 (web-based intranet and internet information and applications) that the technology provided to the State for purchase is capable, either by virtue of features included within the technology, or because it is readily adaptable by use with other technology, of:

- Providing, to the extent required by Arkansas Code Annotated § 25-26-201 et seq., as amended by Act 308 of 2013, equivalent access for effective use by both visual and non-visual means;
- Presenting information, including prompts used for interactive communications, in formats intended for non-visual use.

1.16 Exceptions

The submission of a proposal shall be considered an agreement to all terms, conditions, and specifications provided herein and in the various proposal documents (**see Exhibit A**), unless specifically noted otherwise in the proposal.

1.17 Contract Award, Term and Signing

Any contract awarded for the services listed herein shall be in the form of a purchase order and contract in accordance with the provisions, terms and conditions of this solicitation. Contract awarding and signing will be contingent upon Arkansas Tech University receiving advice from approving authorities, if necessary. The anticipated length of the initial contract shall be a minimum of two (2) years; the cumulative maximum allowable length of the original contract term and any mutually agreed-upon extensions is seven (7) years. Any extension(s) of the contract period are valid and in force **ONLY** if both parties agree in writing **within thirty (30) days prior to the end** of the initial contract period. Otherwise, the contract will terminate at the end of the contract

period or current extension thereof.

END OF SECTION ONE

SECTION 2 SPECIFICATIONS

2.1 General

The successful respondent shall furnish a complete 'next-generation' library management system (LMS) which will produce a unified resource management approach to the full spectrum of library collections. This will include the integrated management of digital, electronic and printed collections and the services which are associated with academic libraries and their constituencies.

2.2 Overall System Specifications

The following list of system specifications is intended to summarize some of the salient functions desired in the LMS system selected by the University. System specifications in alpha or beta phases of development will not be considered, unless significant proof of viability and functionality is provided by the vendor. In order for a proposal to be responsive, the proposed LMS shall meet the following minimum system specifications:

2.2.1 Include an LMS and a public interface, such as an LDS or OPAC;

2.2.2 Be hosted by the provider or the provider's subsidiary;

2.2.3 Include provisions for annual maintenance, technical support and administrative support functions as an agreement between the successful supplier and the University.

2.3 Subcontracting Condition

The contractor is fully responsible for all work performed under the contract. The contractor may, with the consent of the University, enter into written subcontract(s) for performance of certain of its functions under the contract. Subcontracts must be approved in writing by the Contract Administrator prior to the effective date of any subcontract.

No subcontract which the contractor entered into with respect to performance under the contract shall in any way relieve the contractor of any responsibility for performance of its duties.

The contractor shall give the University immediate notice in writing by certified mail of any action or suit filed and prompt notice of any claim made against the contractor by any subcontractor or supplier which, in the opinion of the contractor, may result in litigation related in any way to the contract or the State.

The names of any subcontractor(s) utilized by the successful respondent, and a description of the services to be provided by such subcontractor(s) must be disclosed in **Section 4.9 (Part 7)** of the RFP. Subcontractors may be approved for providing ONLY the following deliverables:

2.3.1 Hosting of the LMS;

2.3.2 Hosting of the LDS, if included in proposal;

2.3.3 Software maintenance (both ongoing and annual) and updates of LMS software;

2.3.4 Software maintenance (both ongoing and annual) and updates of the LDS software, if included in proposal;

- 2.3.5 System redundancy (back-up);
- 2.3.6 Web 2.0 content management systems.

2.4 System Capability Checklist

In addition to the general system specifications listed above, each respondent is required to complete the System Capability Checklist (SCC) (Attachment B). The SCC represents a number of specific capabilities within the infrastructure of the system proposed by a respondent. Respondents are cautioned that although some of the specifications identified in the SCC may not be available in a proposed system, such exclusions do not preclude a proposal's consideration for award; therefore, **care and thoroughness should be exercised when completing it**. Also, the column labeled **Comments** should be used where further explanation is necessary or desired. Instructions for completing the SCC are as follows:

For each specification, a respondent must check or mark the appropriate cell (A, D, N, U, or O) adjacent to that specification. Letter codes and their descriptions are listed below.

- A Available:** Vendor currently supplies this capability as a part of a general software release; price is included in the basic system.
- D Under Development:** Testing and release planned within 2 years from the due date of this RFP.
- N Not Available:** Capability is not available in current release of software and not under development.
- U Unnecessary:** Vendor's system does not offer this capability because the system architecture provides a suitable or superior alternative, thus rendering this feature unnecessary.
- O Optional:** Vendor currently supplies this capability as part of the general software release but this is an added cost item.

- 2.4.1 The absence of a response will be considered as if the vendor cannot meet the requirement of that specification.
- 2.4.2 The use of the word "option" in a specification indicates that the Libraries should be able to choose whether to implement the feature by turning ON or OFF a system setting. If the feature is available but is not an option, please describe how it works.
- 2.4.3 If the feature, capability, function, product, or service is in development, indicate in the Comments the date it will be available in general release and if it will be added to existing system functionality or will be offered at an additional cost.
- 2.4.4 If the feature, capability, function, product, or service is an optional addition, indicate the added cost, including initial cost and subsequent annual cost, if any.

2.5 Deliverables

- 2.5.1 All record migration services will be provided by the vendor. All existing Arkansas Tech University Libraries data will be migrated to the newly acquired system.
- 2.5.2 All setup and configuration services will be provided by the vendor.
- 2.5.3 If included in proposal, discovery system configurations services will be provided by the vendor.
- 2.5.4 Training services, including core system component training, will be provided by the vendor.

END OF SECTION TWO

SECTION 3 EVALUATION REQUIREMENTS, PROCESS AND CRITERIA

3.1 Evaluation by Committee

In accordance with Arkansas Procurement Law and Regulations, Arkansas Tech University will utilize an Evaluation Committee for the evaluation of this RFP and all Technical Proposals submitted. A request for proposals differs from a sealed bid in that the University is seeking a solution to the requirement described in this document and its attachments, if any, rather than a bid or quotation on a product meeting firm specifications for the lowest price. As such, the lowest priced proposal will not guarantee an award recommendation. Proposals will be evaluated based on objective criteria formulated by the University on the most important features of a product or desired outcome of a service. Cost is only one, and not necessarily a principal, component in selection of a contractor or supplier. The proposal evaluation criteria should be viewed as standards which the University will use to measure how well a supplier's proposed product, service, method or technique meets the requirements and needs of the University.

The University will thoroughly review all proposals received. One or more bidders may be requested to provide additional information or clarify ambiguity. The Evaluation Committee will score proposals and invite those submitting the strongest (highest scoring) proposals to provide product demonstrations. The University will let all proposers know who among them have been selected to provide product demonstrations and will provide an opportunity for comment. The University reserves the right to award multiple contracts, or to reject any and all proposals and re-solicit or temporarily or permanently abandon the procurement, as deemed in its best interests. If a contract is awarded, it will be awarded to the responsible and responsive bidder(s) whose proposal(s) is (are) most advantageous to the University.

All proposals must be complete and convey all of the information requested to be considered responsive. If the proposal fails to conform to the essential requirements of the RFP, the University alone will determine whether the variances are significant enough to consider the proposal acceptable and therefore considered for award.

The Supplier shall not be relieved from assuming full responsibility for properly estimating the difficulties and costs of performing the services required by this RFP. This includes the failure to investigate or be aware of all the information concerning the services to be performed. Arkansas Tech University will not be responsible for any costs incurred by the Supplier in responding to this RFP, including any and all costs associated with a demonstration if one is requested by the RFP evaluation committee.

When selecting the most advantageous proposal, the University will consider the factors listed below. Submission of a proposal indicates Proposer's acceptance of the University's evaluation factors and Proposer's recognition that the University will make objective judgments about the merits of each proposal compared to these factors.

3.2 Opening of Proposals

Proposals will be opened on August 15th, 2014 at 4:00 p.m. Proposals will then be given to the selection committee for review.

3.3 Demonstrations

A series of web-based demonstrations by each respondent may be requested by the evaluation committee; if so, presentations will be considered by the evaluation committee in determining scores for criteria described in **Section 3.5** of the RFP. Each vendor may be asked to perform basic library tasks in a live data or sandbox environment covering specific areas of functionality. These tasks will reflect an array of ordinary functions expected to be performed by library staff using the LMS. The list of tasks will be created by the evaluation committee and communicated to the vendor upon an invitation to present.

For example, Vendor A may be asked to demonstrate the process for placing a single physical book order, submitting that order through a cataloging workflow, discovery of that item by a user, and check-out or discharge of that item in Circulation. An hour will be allotted for each functional area (i.e. Acquisitions tasks, Cataloging tasks, etc.). Total time for presentations will not exceed six hours. Vendors must provide a recording of all web-based demonstrations. Vendors should also be prepared to field questions from committee members using the Web-based conference technology. **Any and all costs associated with a respondent's presentations are the sole responsibility of the respondent.**

3.4 Incorporation of Documents

The RFP and the supplier's proposal documents are automatically incorporated into the contract(s) by reference, including any requirements not specifically addressed in the RFP, an exception statement in the proposal, an addendum, or contract documents shall stand as contractual responsibilities of the supplier.

In the event of any conflict between the provisions of the resulting Agreement and the provisions of any Exhibit, Addendum, Schedule, or any other documents constituting the Agreement, such conflict shall be resolved by giving precedence in the following order:

- Addendum or addenda made part of the Agreement
- The Agreement
- Exhibits and Schedules of the Agreement
- The Supplier's Proposal
- This RFP

3.5 Technical Proposals - Evaluation Criteria and Weights (Points)

Arkansas Tech University will evaluate the proposals with the objective of selecting the response and supplier deemed to represent the best interests of the University at a competitive price, and in strict accordance with Arkansas Procurement Laws and Regulations.

Written proposals will be evaluated, scored, and cumulated by the Evaluation Committee to determine which proposers will receive invitations to provide product demonstrations. Product demonstrations will be evaluated, scored and cumulated with the written proposal scores to inform the Evaluation committee's final recommendation for contract negotiation and award.

The following scoring methodology will apply to proposals which include both a LDS and an LMS:

| | Written Proposal | Product Demo | Total Possible Points | % of Total |
|---|------------------|--------------|-----------------------|----------------|
| Organization and Completeness of RFP Response | 5 | | 5 | 2.5% |
| General Functionality & Ease of Use | 10 | 20 | 30 | 15% |
| Collections and Resource Management | 10 | 15 | 25 | 12.5% |
| Metadata and Description | 10 | 15 | 25 | 12.5% |
| Fulfillment | 10 | 15 | 25 | 12.5% |
| Systems | 10 | 15 | 25 | 12.5% |
| Discovery and User Experience | 10 | 20 | 30 | 15% |
| Business References and Experience | 10 | | 10 | 5% |
| Price | 25 | | 25 | 12.5% |
| TOTAL | 100 | 100 | 200 | 100.00% |

The following scoring methodology will apply to proposals which only offer an LMS:

| | Written Proposal | Product Demo | Total Possible Points | % of Total |
|---|------------------|--------------|-----------------------|----------------|
| Organization and Completeness of RFP Response | 5 | | 5 | 2.5% |
| General Functionality & Ease of Use | 12 | 24 | 36 | 18% |
| Collections and Resource Management | 12 | 19 | 31 | 15.5% |
| Metadata and Description | 12 | 19 | 31 | 15.5% |
| Circulation and Resource Sharing | 12 | 19 | 31 | 15.5% |
| Systems | 12 | 19 | 31 | 15.5% |
| Business References and Experience | 10 | | 10 | 5% |
| Price | 25 | | 25 | 12.5% |
| TOTAL | 100 | 100 | 200 | 100.00% |

1. **Organization and Completeness of Response**
Evaluation including but not limited to:
 1. Highly detailed and organized following format of RFP and the list of specifications,
 2. Thorough explanations and definitions,
 3. Comprehensive coverage of all items in the RFP,
 4. Thorough and accurate completion of the System Capability Checklist (SCC).

2. **General Functionality & Ease of Use**
Technical evaluation, including but not limited to:

1. Basic functionality,
2. System reliability,
3. 3rd party product support,
4. Ease of use,
5. Ease of administration,
6. User interface support.

3. **Collections and Resource Management**

Technical evaluation of following areas, including but not limited to:

1. Acquisitions management,
2. Serials management,
3. Electronic resource management,
4. Collection maintenance,
5. Reports and analytics.

4. **Metadata and Description**

Technical evaluation of following areas, including but not limited to:

1. Cataloging,
2. Authority control,
3. Holdings and item management,
4. Quality control.

5. **Circulation and Resource Sharing**

Technical evaluation of following areas, including but not limited to:

1. Circulation,
2. Interlibrary Loan,
3. Communications & notifications,
4. Course reserves.

6. **Systems**

Technical evaluation of following areas, including but not limited to:

1. Architecture,
2. Security,
3. Performance,
4. Authorizations,
5. Migration and training,
6. Customer service and support.

7. **Discovery and User Experience [OPTIONAL]**

Technical evaluation of following areas, including but not limited to:

1. Discovery service,
2. Interface design and customization,
3. User/system interaction,
4. Staff control and customization,
5. Interoperability with other systems.

8. **Business References and Experience**

Evaluation of following areas, including but not limited to:

1. Strengths of respondent's qualifications,
2. Breadth and depth of respondent's experience,
3. Strength of overall methodology including strategy, plan, and

timeline for providing the scope of services and deliverables in Section 2,

4. Relevance and strengths of provided references.

9.

Price**

Financial evaluation, including but not limited to:

1. Overall pricing,
2. Ongoing costs,
 - a. Maintenance fees (5 year projection),
 - b. Support,
 - c. Installation of enhancements.

Cost Proposals should be submitted in a format which clearly lists in US dollars the cost for the services specified in **Section 2.0.

END OF SECTION THREE

SECTION 4 TECHNICAL PROPOSAL RESPONSE FORMAT

4.1 Technical Proposal Response and Contents

The Proposal should be labeled and organized as follows to facilitate ease of verifying accuracy of responses and other technical requirements of this RFP. Proposals should be prepared simply and economically, and focused on providing information salient to a firm's capacity to provide the requested services. Responses which are not submitted in the format below may be subject to rejection. References to particular sections within the RFP and attachments are noted in parentheses.

4.2 Response Format: One (1) Original marked "Original,":

1. Transmittal Letter;
2. Required Documentation;
 - Completed Reference Forms (Attachment A)
 - [AR Contract and Grant Disclosure Certification Form](#) (Attachment D)
 - [Equal Employment Opportunity Policy](#) (Attachment E)
 - [Illegal Immigrant Certification Form](#) (Attachment F)
3. Respondent's Qualifications;
4. Executive Summary and Proposal Overview;
5. Litigation
6. Services
7. Subcontractors (s) Disclosure Statement
8. Completed Systems Capabilities Checklist (Attachment B)
9. Cost Proposal Bid Form (Attachment C)

4.3 Part 1: Transmittal Letter

The Transmittal Letter shall be signed by an individual authorized to legally bind the respondent. It shall include the following statements indicating:

- 4.3.1 The respondent's understanding of the work to be performed described in the RFP;
- 4.3.2 Acknowledgement of any addenda issued to this RFP by the University;
- 4.3.3 Acceptance of financial responsibility for any expenses incurred in the preparation of the proposal;
- 4.3.4 Any deviations from, or exceptions to, this RFP, and justification(s) thereof. **NOTE:** A response which takes exception to any mandatory item in this RFP may be rejected and may not be considered for award;

4.4 Part 2: Required Documentation

Information provided here includes the vendor's equal employment opportunity policy (EEO) (Section 1.12), completed reference forms, and the AR Contract and Grant Disclosure Certification Form. Although a respondent is not required to have an EEO, documentation in the form of a statement to that effect should be submitted.

4.5 Part 3: Respondent Qualifications

The purpose of the qualifications section is to determine whether the respondent meets the minimum requirements necessary to provide the services which are the subject of this RFP.

- 4.5.1 The successful contractor must furnish certification of authority to conduct business in the State of Arkansas. Registration is obtained from the Arkansas Secretary of State, who will also provide certification thereof. However, the contractor need not be registered as a prerequisite for responding to the RFP.
- 4.5.2 State full name and address of your organization and identify parent company if you are a subsidiary. Provide company background and information. Specify the office or contact person that will perform, or assist in the performing the work herein.
- 4.5.3 The Contractor must not have had a contract terminated for cause with any customers within the last twenty-four (24) months.
- 4.5.4 Contractor must be in good standing with the Better Business Bureau (BBB), if applicable. (Contractor does not need to be a member of the BBB in order to submit a proposal.)
- 4.5.5 Contractor must show evidence of possessing Worker's Compensation Insurance as required by law.
- 4.5.6 Financial background must be in good standing. Reports are not required unless specifically requested during the evaluation process.
- 4.5.7 Contractor must not have filed bankruptcy (reorganization or liquidation) within the past ten (10) years.

4.6 Part 4: Executive Summary and Proposal Overview

Condense and highlight the contents of the proposal in such a way as to give the evaluation committee a complete understanding of your firm's proposal.

4.6.1 Ownership and Organization

State the firm name. Give the firm's principal address and the satellite office(s) from which services under this contract will be conducted. Provide the names of contact persons principally responsible for this account, their phone numbers and office addresses. Provide the number of years the firm has been in business, and the number of years the firm has been in business at its principal address. Identify parent company if you are a subsidiary.

4.6.2 Record of Service

Provide details of your experience demonstrating your ability to successfully provide the service proposed (i.e., a record of service). Do not include experience

prior to 2009. Information provided should be related to specific projects and related responsibilities.

4.6.2.1 References

A respondent must provide a minimum of three (3) references for which similar services are currently being performed or have been performed. References must include the name of the company/entity, length of service, contact person, and present address and phone number. Experience providing similar services to higher education entities is preferred but not mandatory. References will be validated prior to recommendation for award.

References must be parties who can attest to the respondent's qualifications relevant to providing the services outlined in the request for proposal. Only organizational, institutional, and professional references will be accepted; personal references will not. Past performance notes from other Arkansas state agencies may also be submitted, but are not required.

These references will be included as Appendix A.

4.6.3 Customer Service

4.6.3.1 Describe your strategy for delivering a high level of customer service.

4.6.3.2 Describe how you will handle complaints, comments, or suggestions received.

4.6.3.3 Describe how your firm is staffed and managed for these types of services.

4.6.3.4 Describe any unique qualifications for performance of these types of services.

4.6.3.5 Provide a brief description of the methodology to be used in the services to be provided.

4.6.3.6 Provide a sample copy of a standard agreement of services.

4.6.3.7 Provide samples of all bills, notices, and reports offered in this proposal.

4.7 Part 5: Litigation

4.7.1 Is your firm a party, in any capacity, to any current, actual or pending litigation? If yes, provide the details of the litigation and explain in detail.

4.7.2 Within the last six years, has your firm, any predecessor of your firm, or any member of your firm been the subject of any stop order, consent decree, censure, reprimand, or any other disciplinary action? If yes, explain in detail.

4.8 Part 6: Services

Thoroughly describe the services your firm will provide to the University and your firm's delivery methods for those services.

4.8.1 All contract employees are required to adhere to all federal, state and municipal laws and ordinance, and all University policies and procedures, as well as other guidelines and rules of regulating agencies or entities having jurisdiction of University activities.

4.8.2 All contract employees are required to adhere to all federal, state and municipal laws and ordinance, and all University policies and procedures, as well as other guidelines and rules of regulating agencies or entities having jurisdiction of University activities.

4.9 Part 7: Subcontractor(s) Disclosure Statement

The names of any subcontractor(s) utilized by the successful respondent, and a description of the services to be provided by such subcontractor(s) must be disclosed in this section in the form of a statement signed by a person authorized to represent the firm which submits a proposal. As described in **Section 2.3 Subcontracting Condition**, subcontractors may be approved for providing ONLY the following deliverables:

4.9.1 Hosting of the LMS and LDS;

4.9.2 Software maintenance (both ongoing and annual) and updates of LMS software;

4.9.3 Software maintenance (both ongoing and annual) and updates of LDS software, if included in proposal;

4.9.4 System redundancy (back-up).

4.9.5 Web 2.0 content management systems.

4.9.6 **If there are no subcontractors to be disclosed, a brief statement indicating same must be submitted in this section.**

4.10 Part 8: System Capability Checklist

Attachment B of the RFP (pages 25 through 41)

4.11 Part 9: Cost Proposal Response and Contents

Cost proposals must be submitted in a separate sealed envelope using the attached cost proposal bid sheet (attachment C). Any reference to cost(s) included with a respondent's technical proposal may result in that proposal's rejection.

Pricing as submitted shall include rates, fees, charges, equipment, services and all other elements of costs. Fee schedules and description of items may be clarified by attaching additional sheets to the Cost Proposal Bid Form.

END OF SECTION FOUR

END OF RFP

ATTACHMENT A
RFP LIBRARY MANAGEMENT SYSTEM - REFERENCE FORM

The following form must be completed and submitted with the proposal under Part 2.

1. Company Name: _____
 Contact Person: _____
 Title: _____
 E-Mail Address: _____
 Phone/Fax Number: _____
 Address: _____

2. Company Name: _____
 Contact Person: _____
 Title: _____
 E-Mail Address: _____
 Phone/Fax Number: _____
 Address: _____

3. Company Name: _____
 Contact Person: _____
 Title: _____
 E-Mail Address: _____
 Phone/Fax Number: _____
 Address: _____

ATTACHMENT A, CONTINUED
RFP LIBRARY MANAGEMENT SYSTEM - REFERENCE FORM

4. Company Name: _____
Contact Person: _____
Title: _____
E-Mail Address: _____
Phone/Fax Number: _____
Address: _____

5. Company Name: _____
Contact Person: _____
Title: _____
E-Mail Address: _____
Phone/Fax Number: _____
Address: _____

RFP LIBRARY MANAGEMENT SYSTEM - SYSTEMS CAPABILITIES CHECKLIST

Vendors have the option of adding comments in the space provided or attaching separate documents.

Attached comments should refer back to specific capability by assigned number (e.g. A.1.1, etc.).

| Library Management System (LMS) | | |
|--|-------------|--|
| A. GENERAL FUNCTIONALITY | | |
| A.1 General | | |
| Technology Feature: | CODE | Comments: |
| A.1.1 | | Capable of exchanging data with campus financial, registrar, human resources, and course management systems, specifically BANNER and Blackboard. |
| A.1.2 | | Fully integrated staff client that allows movement between all subsystems without logging into each. |
| A.1.3 | | Displays newly created and updated LMS information in real time in the Discovery Service or other user interface (OPAC). |
| A.1.4 | | Notifies staff when loading duplicate metadata, vendor, resource, or patron records, and provides various duplicate handling options. |
| A.1.5 | | Staff client accessible in a variety of OS options, including Windows, Mac, Unix, iOS, Android. |
| A.1.6 | | Access to data via API or other standard included with cost of the system. |
| A.1.7 | | Offers APIs that permit development of extensions to the core software, as well as integrate the software into the institutional environment, at no additional cost. Documentation must be provided by the vendor. |
| A.1.8 | | Pushes workflows to staff and notifies staff of new tasks. |
| A.1.9 | | Offers customizable workflows. |
| A.1.10 | | Provides labeling and routing capabilities in staff workflows. |
| A.1.11 | | Provides a single, unified workflow for print and electronic acquisitions. |
| A.1.12 | | Equipment, room, and event booking calendar, visible in staff client and user interface. |
| A.1.13 | | Provides system-wide change tracking capabilities for accountability, training, problem solving, and decision making. |
| A.1.14 | | Stores records, data, and reports from library processes indefinitely at no additional charge. |
| A.1.15 | | Supports a multi-site shared installation. |
| A.1.16 | | Takes advantage of multi-tenant architecture for tasks such as resource sharing and central indexing. |
| A.1.17 | | Provides a customizable staff interface created through user-centered design. Workstations show only functions needed by staff in their role, rather than all available functions. |
| A.1.18 | | Supports accessibility to the staff client through mobile devices for staff functions. |
| A.1.19 | | Provides contextual, interactive help with links to documentation, examples, tutorials, videos, and/or other instructional tools. Please clarify in the Comments. |
| A.1.20 | | Provides integrated spellcheck in both the staff and user interfaces. |
| A.1.21 | | Supports adding comments and file attachments to any record in the system. |
| A.1.22 | | Ensures that every resource record, patron, staff user, etc., has a unique identifier. |
| A.1.23 | | Provides a customizable, role-based dashboard based on real-time information to automate workflows, monitor performance and display trends. |
| A.1.24 | | Offers "Out of the Box" definitions and configurations so that the sites need only make minimal changes to the standard settings. |
| A.1.25 | | Provides real-time inventory control/shelf reading capabilities. |

ATTACHMENT B

CODES: A=Available, D=Under Development, N=Not Available, U=Unnecessary, O=Optional

| | | | |
|---|---|-------------|------------------|
| A.1.26 | Provides a method for authorized users to make global edits, including batch record deletions across any record type (bib, authority, order, holdings, etc), including entire fields, subfields, specific strings within fields and subfields, as well as, validation, normalization, and data editing. Please define any limitations in the Comments section, including any record types not available for global editing. | | |
| A.1.27 | Supports hotkeys in all staff workflows for navigation and to allow editing entirely with the keyboard. | | |
| A.1.28 | Provides customizable templates for all types of records (bibliographic, item, order, check-in, patron, etc.) with no limit to the number of templates allowed, including specifying default elements, fields, subfields, and fixed field values stored in these templates. | | |
| A.1.29 | Supports multiple mechanisms for entering, scanning or reading data into the system (barcode scanners, RFID tags, magstripes, keyboard, etc.). | | |
| A.1.30 | Includes indexed and searchable comments fields in all types of records. | | |
| A.1.31 | Unicode compliant. | | |
| A.1.32 | Provides ADA-compliant staff interfaces that are functional for users with visual impairments (color blindness, low-vision, etc.) | | |
| A.1.33 | Ability for user to preview snippet of discovered resource, whether visual (image, etc.) or textual (article, book, etc.) material. | | |
| A.1.34 | In the Comments section, briefly describe any unique features regarding the general functionality not otherwise described above or in other functional areas throughout this checklist. | | |
| A.2 Online Public Access Catalog | | | |
| Technology Feature: | | CODE | Comments: |
| A.2.1 | System includes an OPAC on a web-based platform that is accessible across modern browser environments, including mobile device browsers. | | |
| A.2.2 | OPAC must be integrated into the LMS and be updated in real-time, including circulation status, as records are updated on the LMS, requiring no batch loading or nightly re-indexing of the Library's data. | | |
| A.3 Shared / Local Databases | | | |
| Technology Feature: | | CODE | Comments: |
| A.3.1 | Supports a database of shared institutional records while retaining the ability to add and maintain fields and data unique to library sites. Vendor shall describe in comments section how both shared and unique information is displayed in staff workflows. | | |
| A.3.2 | Allows workflows to be integrated across sites to avoid repetitive data management. | | |
| A.3.3 | Allows for collaborative collection development through shared access to common files of on-order materials, check-in records, etc. | | |
| A.3.4 | Provides precedence tables for record overlay. Vendor will state in Comments section if records are overlaid or merged, how they will be designated or unique fields be protected. Vendor will also describe how these records will be displayed in a shared environment. | | |
| A.3.5 | In the Comments section, briefly describe any unique features regarding sharing systems between libraries not otherwise described above. | | |
| A.4 Staff Searching and Indexing | | | |
| Technology Feature: | | CODE | Comments: |
| A.4.1 | Offers basic and advanced search capabilities in the staff interface. | | |
| A.4.2 | Advanced search allows for searching multiple fields simultaneously for words or phrases. Staff can define their own search conditions, based on standard index options. | | |
| A.4.3 | Has an out of the box set of standard indexed fields, including, but not limited to: author, title, subject, series, call number, ISBN/ISSN, publisher, and comments. | | |
| A.4.4 | Can filter large result sets (such as by facets, by date, or by format). | | |

ATTACHMENT B

CODES: A=Available, D=Under Development, N=Not Available, U=Unnecessary, O=Optional

| | | | |
|--------|---|--|--|
| A.4.5 | Can search across all types of content – bibliographic physical, digital, electronic – in one search query. | | |
| A.4.6 | Can set a pre-search filter – for example by: bibliographic information, physical title, physical item, digital title, digital file, or electronic resource. | | |
| A.4.7 | Allows staff to save, manage, and export sets based on staff queries. Sets should be the result of a query – i.e. all the items resulting from the search will be included in the set. Staff should be able to create sets of all record types (bibliographic, holdings, item, or authority). Query tool should be robust, accommodate large sets, and be easy to use. It should also be possible to choose items from a query, and to form a set from the chosen items. In Comments, Vendor should describe this feature and provide a list of output or export options for data sets. | | |
| A.4.8 | Searches for electronic resources by, but not limited to, title, journal title, package and provider, format, type (e-book, journal, media), and subject. | | |
| A.4.9 | Allows staff to view and retain search history. | | |
| A.4.10 | Has a persistent search box so that staff can search the database regardless of where they are in the system. | | |
| A.4.11 | Can create customized indexes with no additional charge. | | |
| A.4.12 | Can re-define existing indexes at the institution or site level. | | |
| A.4.13 | Provides real-time indexing/re-indexing of data. | | |
| A.4.14 | Includes a universal keyword index that can search the central knowledgebase, the institution's database, or the site's database. | | |
| A.4.15 | In the Comments, Vendor should describe the level of staff expertise needed to perform all reporting, updating, importing and exporting functions. In particular, identify which functions require the intervention of a database administrator or Systems/IT personnel as opposed to functions that library staff can perform on their own. | | |
| A.4.16 | In the Comments section, briefly describe any unique features regarding staff searching and indexing not otherwise described above. | | |

B. ACQUISITIONS**B.1. General Functionality**

| Technology Feature: | | CODE | Comments: |
|----------------------------|--|-------------|------------------|
| B.1.1 | Ability to provide a fully functional, integrated acquisitions subsystem that automatically manages encumbrances, disencumbrances, and expenditures in multiple library-defined accounts based on acquisitions activities including, but not limited to, selecting, ordering, receiving, claiming, cancelling, invoicing, and reporting. | | |
| B.1.2 | Provides a unified workflow for print and electronic resources. | | |
| B.1.3 | Supports automated selection, ordering, invoicing, and claiming. In the comments, Vendor should describe how the system checks for duplicate orders or records. | | |
| B.1.4 | Supports the ability to track items as it moves through the workflow (from order--receipt--cataloging--processing--shelf). | | |
| B.1.5 | Supports loading vendor order records. | | |
| B.1.6 | Can import bibliographic records from a vendor, OCLC, or the central knowledgebase, and automatically creates order, invoice, and/or item records as desired by the individual site. | | |
| B.1.7 | Allows for the creation of brief bibliographic records if no MARC record is available. | | |
| B.1.8 | Allows non-purchased materials to have bibliographic records without an order or invoice attached. | | |
| B.1.9 | Can export vendor notifications from the LMS to an LDS to support patron-driven acquisitions. | | |
| B.1.10 | The system keeps a history of all completed and cancelled acquisition transactions, including orders, credits, financial history, invoices, etc. This information can be archived, searched, or deleted according to local policy | | |

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|----------------------------|---|-------------|------------------|
| B.1.11 | The system allows operators to create, revise, and print forms and letters such as order forms, publication information requests, serial sample requests, requests for gifts and exchanges, out-of-print queries, and price/availability quotation requests. | | |
| B.1.12 | Operators have the ability to create custom financial reports without assistance or mediation from the vendor. | | |
| B.2 Purchasing | | | |
| Technology Feature: | | CODE | Comments: |
| B.2.1 | Supports the following purchasing workflows: print approval; print firm order; print continuation; electronic firm order (package or single-title); electronic subscription (package or single-title); electronic or print subscription renewals; print replacements; and patron-driven acquisitions. | | |
| B.2.2 | Flags a purchase order for further review if it meets library-defined criteria (such as incomplete order lines or prices above a threshold). | | |
| B.2.3 | Provides links from a purchase order to other related information such as invoice, vendor and linked descriptive record. | | |
| B.2.4 | Has a full EDI interface with major library vendors for ordering and invoicing; sites have the ability to add new vendors to the interface. | | |
| B.2.5 | Supports purchase requests for and from end users, including: privilege restrictions on which patrons may place requests; potential for mediation in the approval/rejection of purchase requests; and notification of/delivery to patron once a requested item has been received. | | |
| B.2.6 | Supports automated acquisitions workflows for purchase requests. Describe in the comments how rules to support this can be defined and managed. | | |
| B.2.7 | Supports setting up RSS feeds by subject or by classification number for newly acquired items. | | |
| B.2.8 | Provides an audit trail for financial transactions. | | |
| B.2.9 | Supports e-signatures. | | |
| B.2.10 | Supports the archiving of vendor invoices. All paid invoices must be searchable and viewable. | | |
| B.2.11 | ATU Libraries currently uses Amazon to purchase most physical monograph titles. In the Comments, Vendor should describe any features which would assist ordering items from this vendor. | | |
| B.3 Receiving | | | |
| Technology Feature: | | CODE | Comments: |
| B.3.1 | Allows print items to be received from both approved purchase orders and invoices. | | |
| B.3.2 | Allows for the receipt of the following item types: single-title monographs, serial monographs, and issues of serials. | | |
| B.3.3 | Can automatically create new item records when an item is received. | | |
| B.3.4 | Notifies staff when a volume or issue of a series has not arrived after a predefined interval, and allows for claiming of missed items. | | |
| B.3.5 | Routes received items based on the completeness of their metadata and item information (i.e. to cataloging, physical processing, or shelves). | | |
| B.4 Vendors | | | |
| Technology Feature: | | CODE | Comments: |
| B.4.1 | Maintains site-specific accounts for a single vendor and can distinguish between vendor types (such as consortia, publisher, provider, membership, etc.) | | |
| B.4.2 | Can maintain multiple physical and email addresses for a single vendor, and can tie these addresses to individual accounts. | | |
| B.4.3 | Can maintain discount and delivery information in the vendor record for each site. | | |
| B.4.4 | Provides reports of orders and invoices for each site. | | |

| | | | |
|----------------------------|--|-------------|------------------|
| B.4.5 | The system can identify and print orders for vendors who require prepayment. | | |
| B.5 Funds | | | |
| Technology Feature: | | CODE | Comments: |
| B.5.1 | Displays fund balances in real time (including encumbrances and expenditures). | | |
| B.5.2 | Supports a hierarchical fund structure that provides the ability to group and report on funds. Payments for a single order can be split between multiple funds. Note in the Comments if there are limits on the number of funds that can be created. | | |
| B.5.3 | Provides links to invoices committed against each fund. | | |
| B.5.4 | Provides financial reporting capability for acquisitions operations and funds across record types, including but not limited to order, vendor, item, and metadata records. Vendor should describe in the comments what data, if any, cannot be reported out. | | |
| B.5.5 | Provides optional fiscal year close processing at the site level. Fiscal year close data should be maintained indefinitely. Describe in the Comments in what format fiscal close records can be maintained. | | |
| B.5.6 | Foreign currencies entered in the in-process file can be automatically converted to U.S. currency. | | |
| B.5.7 | Allows authorized operators to shift monies from one fund to another in any amount or make adjustments of funds at any time during the fiscal year. | | |
| B.6 Invoices | | | |
| Technology Feature: | | CODE | Comments: |
| B.6.1 | Can automatically create an invoice from a purchase order. | | |
| B.6.2 | Can export payment requests to campus financial systems and import payment confirmation files. | | |
| B.6.3 | Can handle taxes for materials purchasing, including tracking tax-exempt status. | | |
| B.6.4 | All paid invoices must be searchable and viewable. | | |
| B.6.5 | Supports vendor invoices received as PDFs. | | |
| B.6.6 | System automatically notifies staff when volumes, issues, or items of any format have not arrived after predefined interval, and allows for claiming of missing items. | | |
| B.6.7 | In the Comments section, Vendor should briefly describe any unique features available with the Acquisitions subsystem not otherwise described above. | | |
| C. SERIALS | | | |
| Technology Feature: | | CODE | Comments: |
| C.1.1 | Supports print materials management at the issue level, including receiving, item generation, labeling, routing, claiming, and binding. | | |
| C.1.2 | Provides date prediction and enumeration patterns for check-in purposes. | | |
| C.1.3 | Operators can modify prediction patterns, accommodate irregular prediction patterns, and create custom frequencies. | | |
| C.1.4 | Supports MARC tag 891 for automated check-in. | | |
| C.1.5 | Can check-in multiple parts of a title, including individual issues, bound volumes, pocket parts, loose-leaf supplements, legislative service, etc., each received on a regular or irregular basis. Fields are available to distinguish type of material checked-in. | | |
| C.1.6 | Supports receipt of issues via SISAC and/or UPC codes. | | |
| C.1.7 | Automatically updates the MARC21 holdings record, including all content related to the 85X/86X paired fields, either during receiving or as a separate function. | | |
| C.1.8 | Upon check-in of item, system is capable of performing automatic activities such as updating receipt status, claim action date reset, spine label printing, item record creation, and/or routing slip creation. In the Comments sections, list any and all activities the system is capable of performing upon check-in. | | |

| C.1.9 | Can generate reports and statistics from all fields associated with serial records. | | |
|--|---|-------------|------------------|
| C.1.10 | Issue-level information (e.g. current receipt, claimed issues, binding preparation, etc.) is accessible for users within an LDS or other user interface. | | |
| C.1.11 | Supports the display and linking of serial relationships (title changes) in an LDS or other user interface. | | |
| C.1.12 | Supports alerts for duplicate issues, holds on items, routed items, bindery alerts, and other special situations at item check-in. | | |
| C.1.13 | Supports serials cancellation workflows. | | |
| C.1.14 | In the Comments section, Vendor should briefly describe any unique features available with the Serials subsystem not otherwise described above. | | |
| D. ELECTRONIC RESOURCE MANAGEMENT (ERM) | | | |
| Technology Feature: | | CODE | Comments: |
| D.1.1 | Provides management of electronic resources acquired through institutional purchase, site purchase, and consortia purchases outside the institution as well as e-content available via Open Access and cooperative open repositories. | | |
| D.1.2 | Supports the management of license agreements for all electronic resources. In the Comments, Vendor should describe how licenses and related documents are stored and displayed, and list fields available for license terms. | | |
| D.1.3 | The LMS supports the ERMI schema for licenses, including the ability to display only those fields that the library uses and not the rest. | | |
| D.1.4 | Can display selected portions of the license through the LDS to end users. | | |
| D.1.5 | License management functionality cross links license documents to all of the following: resources, vendors/publishers, and consortia. | | |
| D.1.6 | License management functionality includes the ability to retrieve licenses by specific criteria (e.g. expression, resource type, dates of execution/expiration, signatory, maximum payment, etc.). | | |
| D.1.7 | Manages administrative information for electronic resources and contact information for vendors and publishers. | | |
| D.1.8 | Supports renewal reminders and tracking for resources from trial to activation. | | |
| D.1.9 | Provides an integrated OpenURL resolver. | | |
| D.1.10 | Supports cases where the OpenURL resolves to multiple records. | | |
| D.1.11 | Supports customizable usage report generation for OpenURL resolver, including by source and by target. | | |
| D.1.12 | OpenURL resolver supports one-click resolution to full text access when supported by target provider. | | |
| D.1.13 | Open URL resolver menu is customizable. | | |
| D.1.14 | Can produce or ingest and manage usage statistics at the institutional and system level. | | |
| D.1.15 | Allows for the activation of approved purchases for electronic packages and titles. | | |
| D.1.16 | Notifies staff when an electronic package or title is activated. | | |
| D.1.17 | Adds descriptive records for individual title(s) to the catalog, LDS, or user interface automatically if included in the central knowledgebase when an electronic package or title is activated. | | |
| D.1.18 | Notifies staff when electronic resources are not available temporarily or for a longer length of time. Can notify users in the LDS of non-access to resources and this must display in real time. | | |
| D.1.19 | Supports setting up of trials to evaluate e-resources before purchasing, which should include managing participant feedback and groups of participants. | | |

ATTACHMENT B

CODES: A=Available, D=Under Development, N=Not Available, U=Unnecessary, O=Optional

| | | | |
|--------|--|--|--|
| D.1.20 | Supports the ability to evaluate existing electronic resource subscriptions and make a decision to renew or cancel based on usage statistics, cost, changes in license, or changes in title lists to a package. The LMS should provide storage for usage statistics linked to subscription records. | | |
| D.1.21 | LMS includes access to a central Knowledge Base for electronic resource. In the Comments, Vendor should identify the name of the Knowledge Base. | | |
| D.1.22 | The Knowledge Base includes electronic journals (packages & individual titles), ebooks (packages & individual titles), & databases. In Comments, Vendor should list examples of other content and formats that may be available in the Knowledge Base, as well as the total number of resources managed in the Knowledge Base by type (e.g. number of ebook titles, number of ebook packages, etc.). | | |
| D.1.23 | Knowledge Base is updated frequently. In Comments, Vendor should note how frequently updates occur. | | |
| D.1.24 | Staff are able to create custom collections and modify holdings for individual titles in the Knowledge Base to reflect special institutional coverage, unique electronic holdings, and online government documents. | | |
| D.1.25 | Knowledge Base contains method within interface to provide feedback and report errors in coverage. User receives notifications when errors have been corrected. | | |
| D.1.26 | Includes an integrated URL checker for links within the bibliographic records. In the Comments, Vendors should list any special features of this URL checker. | | |
| D.1.27 | System accommodates presence of URLs within the bibliographic records (856 links). In the Comments, Vendor should describe how these will be displayed. | | |
| D.1.28 | In the Comments section, Vendor should briefly describe any unique features available with the Electronic Resource subsystem not otherwise described above. | | |

E. COLLECTION MAINTENANCE

| Technology Feature: | | CODE | Comments: |
|----------------------------|--|-------------|------------------|
| E.1.1 | Supports physical materials processing, including spine label printing in multiple label layouts and printer options. In the Comments, Vendor should list supported label layouts and any label printing features. | | |
| E.1.2 | Identifies and collapses serial binding units. | | |
| E.1.3 | System is capable of issuing claims to the bindery for non-receipt of issues to be bound. | | |
| E.1.4 | System's capable of updating binding records, either individually or globally, when volumes returned from the binder are checked and approved for shelving. | | |
| E.1.5 | Provides reports which facilitate preservation assessment, such as reports based on collection age, collection usage, etc. | | |
| E.1.6 | In the Comments section, Vendor should briefly describe any unique features regarding collection maintenance not otherwise described above. | | |

F. REPORTING AND ANALYTICS

| Technology Feature: | | CODE | Comments: |
|----------------------------|---|-------------|------------------|
| F.3.1 | Provides robust reporting features and analytics to enable staff to make real-time, effective decisions on the use of collections and services, both at the institutional level and at the site level. In comments, Vendor should describe the reporting capabilities of the LMS and provide a list of output or export options, including formats. | | |
| F.3.2 | Allows customization of reports and analytics by staff, including but not limited to changing of report parameters, views, time ranges, etc. | | |
| F.3.3 | Provides usage statistics and complies with industry usage reporting standards such as SUSHI and COUNTER. | | |
| F.3.4 | Ability to produce fund summary reports that include fund allocations, amount encumbered and expended, remaining available, and percentage encumbered and expended for a given fiscal year. | | |
| F.3.5 | Aggregates historical data and provides trends analysis (such as usage or expenditures). | | |

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| F.3.6 | System can retain transaction-oriented information (without patron-identifiable data) indefinitely for statistical reporting purposes, even if the associated item or patron has been removed from the system. | | |
| F.3.7 | Allows staff to schedule reports and record set queries to run at defined intervals. | | |
| F.3.8 | Allows for the creation of custom reports. | | |
| F.3.9 | Provides record set and report creation tools which do not require knowledge of SQL. | | |
| F.3.10 | Provides the option to create record sets and reports using SQL. | | |
| F.3.11 | Provides the option to provide public access to selected record sets. | | |
| F.3.12 | In the Comments section, briefly describe any unique features regarding Reporting and Analytics not otherwise described above. | | |

G. METADATA

G.1 Format Support

| Technology Feature: | | CODE | Comments: |
|---------------------|---|------|-----------|
| G.1.1 | Supports multiple metadata formats and encoding schemas and is extensible to future formats, including Bibframe. Import and export (with no loss of data), full editing, and validation are available for all formats. In the comments, Vendor should list supported and planned formats. | | |
| G.1.2 | Supports multiple classification schemas (such as Library of Congress, SuDocs, Dewey, and local classification schemas) and multiple subject vocabularies (such as Library of Congress Subject Headings and genre headings). | | |
| G.1.3 | Validates appropriate use of elements, fields, subfields, and fixed field values. Supports site-defined validation rules. | | |
| G.1.4 | Provides transformations or conversion tools between supported metadata formats. | | |
| G.1.5 | Supports ALA diacritics input and display. Supports display of Unicode characters in all screens of the solution. | | |
| G.1.6 | The system supports all MARC fixed and variable fields, subfields, tags, and indicators for all MARC bibliographic, authority, and holdings formats. | | |
| G.1.7 | The system accommodates use of designated MARC fields for local data. | | |

G.2 Editing

| Technology Feature: | | CODE | Comments: |
|---------------------|---|------|-----------|
| G.2.1 | Staff can edit any element, field, subfield, or fixed field value as appropriate for the format. | | |
| G.2.2 | Provides the same editing capabilities for all metadata types (physical, electronic and digital). | | |
| G.2.3 | Can suppress display of individual metadata records, specific metadata elements within a record, or holdings records from the LDS or user interface without deleting those records or elements from the database. | | |
| G.2.4 | Enforces data editing policies as set by the institution or site. | | |
| G.2.5 | Permits catalogers to save drafts of records without committing them to the catalog. | | |
| G.2.6 | Supports record versioning, including the ability to roll back to past versions of a record. | | |
| G.2.7 | Supports duplicate checking for specific standard numbers like ISBN, ISSN, LCCN, OCLC, and barcode. | | |
| G.2.8 | Supports the addition of local fields that are displayed only to the owning site. | | |
| G.2.9 | The system provides tracking of and accountability for staff editing of all records within the shared environment. | | |
| G.2.10 | The system is able to index enhanced table of contents fields [505 second indicator "0"] and retrieve titles and authors. | | |

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| G.2.11 | Fonts, font sizes, and color scheme can be altered and customized. | | |
| G.2.12 | System supports creation of macros for storing text strings, hot key commands, and stringing multiple actions into one keystroke. | | |
| G.2.13 | Provides centralized, automatic MARC record updates. In the Comments, Vendor should describe this process and any staff interventions that may be allowed or required. | | |
| G.3 Authority Control | | | |
| Technology Feature: | | CODE | Comments: |
| G.3.1 | Vendor provides a global, shared authority file. | | |
| G.3.2 | Allows sites to create or load local authority records. | | |
| G.3.3 | Authorizes bibliographic headings against local or global authority records. | | |
| G.3.4 | Can make batch changes in bibliographic records that are authorized against a changed heading with minimal staff intervention, including elements of partially validated headings. | | |
| G.3.5 | Flags changes that require staff decisions, such as heading splits and newly qualified names. | | |
| G.3.6 | Provides centralized, automatic authority heading updates. In the Comments, Vendor should describe this process and any staff interventions that may be allowed or required. | | |
| G.4 Holdings & Item Records | | | |
| Technology Feature: | | CODE | Comments: |
| G.4.1 | Can create holdings and item records for both physical and electronic resources. | | |
| G.4.2 | Supports the MARC21 Format for holdings data. | | |
| G.4.3 | Allows a holdings record to be moved to a different bibliographic record, or an item record to be moved to a different holdings record or bibliographic record, while retaining the link to the purchase order. | | |
| G.4.4 | Supports linked records for items bound together with separate bibliographic records but shared holdings record/item records. | | |
| G.4.5 | Supports holding export and import of holdings records. | | |
| G.4.6 | Can create item records on the fly from any workflow area (such as circulation). | | |
| G.4.7 | The system permits an unlimited number of copy/item records to link to a single bibliographic record and allow for various locations of these items. | | |
| G.4.8 | System permits the display and printing of all records attached to bibliographic records, including item, order, and holdings records, in summary or in detailed form. | | |
| G.4.9 | System is able to scroll the bibliographic database by call number. | | |
| G.4.10 | System supports the ability to create custom item record statuses. | | |
| G.4.11 | System supports method for updating and editing batches of item records or holdings records through barcode scanning or identification number import. | | |
| G.4.12 | System has the ability to batch create multiple item records. | | |
| G.5 Importing and Exporting Records | | | |
| Technology Feature: | | CODE | Comments: |
| G.5.1 | Can load records singly or in batch. | | |
| G.5.2 | Can search external databases via z39.50 and import the resulting records to the catalog. | | |
| G.5.3 | Notifies the cataloger when a record being imported matches an existing record in the catalog. | | |
| G.5.4 | Offers options for handling records detected as duplicates: add new records, ignoring duplicates; overlay one record with the other; merge the two records; do not load new records when a duplicate is detected; overlay duplicates and do not load non-duplicates. | | |

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| G.5.5 | Validates incoming records according to institution- or site-defined validation rules. | | |
| G.5.6 | Can enhance incoming records according to institution- or site-defined bulk record change rules. | | |
| G.5.7 | Imports and exports MARC bibliographic, MARC holdings and MARC authority records in MARC21. | | |
| G.5.8 | Can export individual records, groups of records, or an entire catalog to a predefined target with no additional fees. The records to be exported may be based on a selected set, or records that have changed since the last export to that target. | | |
| G.5.9 | Allows for the enhancement of exported records according to library-defined bulk record change rules, including the ability to enhance bibliographic records with holdings information in a single MARC field or the ability to export bibliographic and holdings records in the same file. | | |
| G.5.10 | The Library retains ownership of records within the institutional catalog. The vendor must not take ownership of the records or make any kind of charge for their use. | | |
| G.5.11 | In the Comments section, Vendor should briefly describe any unique features available the Metadata/Cataloging subsystem not otherwise described above. | | |

H. CIRCULATION & ILL

H.1 Circulation Policies

| Technology Feature: | | CODE | Comments: |
|---------------------|---|------|-----------|
| H.1.1 | Allows each site to define the policies by which its physical inventory is circulated to library patrons, such as due date policy, maximum renewals policy, fines, etc. | | |
| H.1.2 | The LMS must provide extensive ability to set parameters including those for loans, limits, and calendar, globally or at the institution or campus level. | | |
| H.1.3 | Supports both institution-wide and site-specific circulation policies for each site. | | |
| H.1.4 | Library is able to define and revise material item types and codes for circulation policies | | |
| H.1.5 | Vendor should describe in the comments how the LMS determines due dates/times, and fines for checkouts, renewals, recalls, etc. | | |
| H.1.6 | Allows authorized operators to circumvent system rules, such as backdating check-in or overriding a due date. | | |
| H.1.7 | System integrates lending rules with library hours and closures. | | |
| H.1.8 | Is fully compatible with self-service equipment such as self-check machines. | | |
| H.1.9 | Supports offline circulation transactions when the system is unavailable. In the comments, Vendor should describe what transactions are supported and describe how a site synchronizes with the LMS after reconnection. | | |
| H.1.10 | System provides the ability to view-only, edit, and manage lending rules based on staff permissions. | | |
| H.1.11 | System alerts operator when a barcode or magnetic strip has been read correctly and the item or patron data is accepted. In Comments, Vendor should describe available methods of alert and any customizations (sounds, pop-ups, etc.) | | |
| H.1.12 | System alerts the operator upon charge or discharge to special circumstances such as fines, holds, items in pocket, multiple items in container, or other situations requiring special attention. In Comments, Vendor should describe available methods of alert and any customizations (sounds, pop-ups, etc.) | | |
| H.1.13 | System provides customizable templates for creating notices, receipts, paging slips/lists, hold shelf tags, pickup and overdue notices. | | |
| H.1.14 | System is capable of recording usage statistics on items that have been 'browsed' (i.e., used in the Library) but not checked out. | | |
| H.1.15 | The system permits the circulation of items that are uncataloged or not fully processed (e.H., unbound and unbarcoded serials). | | |

H.2 Patron/User

| Technology Feature: | | CODE | Comments: |
|------------------------------|---|-------------|------------------|
| H.2.1 | Can create different patron types and set circulation parameters for each type of patron. | | |
| H.2.2 | Creates/updates patron information in batch by institutional systems, such as BANNER, that serve as the initial source of that patron information. In Comments, Vendor should describe experience migrating records from Banner Student Information System. | | |
| H.2.3 | System enables the library to identify and search patron records by name, student identification number, etc. | | |
| H.2.4 | System protects patron data and privacy. In Comments, Vendor should specifically describe how the LMS ensures patron privacy and protects patron borrowing history. | | |
| H.2.5 | Allows authorized staff to create, modify, and delete patron records individually or in batch files. | | |
| H.2.6 | Can update defined areas of the patron record (such as core information, addresses, and phone numbers) independently by disparate sources without affecting information in other segments. | | |
| H.3 Fines and Billing | | | |
| Technology Feature: | | CODE | Comments: |
| H.3.1 | Assesses fines and fees for an item based on transaction policies defined by the library. This includes both overdue fines and lost item fees, which may be automatically applied after an item is overdue for a library-defined period of time. | | |
| H.3.2 | Allows an authorized operator to manually add or waive a fine or fee. | | |
| H.3.3 | Allows an authorized operator to manually set the discharge dates. | | |
| H.3.4 | Can block a patron account from further activity after a set amount of fines is accrued. Authorized staff can override blocks. | | |
| H.3.5 | Can display patron account information in the LDS or user interface. | | |
| H.3.6 | Permits some categories of transactions or specific patron types not to accrue fines. | | |
| H.3.7 | It must be possible to disable fines and not operate a fining regime at all. | | |
| H.3.8 | Can generate bills for services, fines, and lost items both manually and automatically. | | |
| H.3.9 | Retain item-related history and transaction detail (such as holds, charges, renewals, etc.) indefinitely for fines and fees, even if the item is removed from the collection. | | |
| H.3.10 | System is capable of recording the total number of occurrences of such activities as overdues, hold requests, and fines/fees assessed for each patron. | | |
| H.4 Requests | | | |
| Technology Feature: | | CODE | Comments: |
| H.4.1 | Issues holds, recalls, and call slips (for transferring on-shelf items between campuses). These functions can be activated by staff in the LMS or by patrons through the LDS or user interface. | | |
| H.4.2 | Can automatically manage patrons' requests and require staff mediation only when configured to do so by the site. | | |
| H.4.3 | Tracks the location of physical items requested by patrons. | | |
| H.4.4 | Automatically generates a notice to patrons when requested items are available. This notice may be in the form of an email or an SMS and be generated in real time. | | |
| H.5 Interlibrary Loan | | | |
| Technology Feature: | | CODE | Comments: |
| H.5.1 | Supports ANSI/NISO z39.83 (NISO Circulation Interchange Protocol), SIP2, and ISO 10160/10161. | | |
| H.5.2 | Interacts at a transaction level with third-party resource-sharing platforms such as ILLiad. | | |
| H.5.3 | Displays license expressions pertaining to lending of e-resource holdings (permitted electronic, permitted print only, prohibited, etc.). | | |

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| H.5.4 | System alerts the operator if journal title, copyright code, and circulation history indicate that the copyright limit has been reached. In the Comments, the Vendor should list any compliance tracking that the system offers. | | |
| H.5.5 | ATU Libraries currently uses WorldShare ILL to support borrowing and lending. Describe how the system interacts with this OCLC product. | | |
| H.5.6 | In the Comments section, Vendors should briefly describe any unique features regarding Fulfillment (Circulation & ILL) not otherwise described above. | | |

I.6 COURSE RESERVES

| Technology Feature: | | CODE | Comments: |
|---------------------|---|------|-----------|
| I.1.1 | Supports print, digital, and electronic reserve items, including streaming video. | | |
| I.1.2 | Can receive information about course materials from external sources, such as the discovery interface, an integrated messaging system, or a web form. | | |
| I.1.3 | Can display copyright clearance status and license terms. | | |
| I.1.4 | Can produce lists of items held on reserve by a variety of fields, such as course name, course number, department, and instructor. | | |
| I.1.5 | System permits manual entry of reserve records for uncataloged items. | | |
| I.1.6 | Allows staff to upload files (e.g. data sets, images, word docs) to the course reserve system as an electronic reserve item. | | |
| I.1.7 | Allows authorized users to archive information at the end of a semester and re-activate it at a future date. | | |
| I.1.8 | Supports advance booking of material, including items of varying loan periods (e.g. 24 hour as well as 2 hour loans). | | |
| I.1.9 | Provides a digitization workflow for course reserve material. | | |
| I.1.10 | Provides a faculty workflow that allows viewing of item processing status; viewing of circulation statistics by item, course and student; removing or editing of items; setting dates for item display/availability; and creating help ticket requests to be pushed to staff. | | |
| I.1.11 | Assigns processing statuses automatically or manually. | | |
| I.1.12 | Allows staff to create custom processing statuses. | | |
| I.1.13 | Allows staff at one site to view, work on, assign, or reassign items to another site. | | |
| I.1.14 | Provides persistent, proxied URLs for reserves that can be pasted into the campus course management systems, or other third party systems. | | |
| I.1.15 | System enables the use of a single reserve item for more than one course or instructor. | | |
| I.1.16 | Can sync with the campus registrar system to maintain current course lists, enrollment, and instructor data. | | |
| I.1.17 | Allows staff to create courses not on the registrar's course feed. | | |
| I.1.18 | System identifies and displays items held on reserve which are not linked to courses and/or faculty names (e.g., newspapers, items held for safety or heavy use). | | |
| I.1.19 | System supports a digitization workflow for course reserve material. | | |
| I.1.20 | In the Comments section, Vendors should briefly describe any unique features regarding Course Reserves not otherwise described above. | | |

J. SYSTEMS

J.1 General

| Technology Feature: | | CODE | Comments: |
|---------------------|--|------|-----------|
| J.1.1 | System must be vendor-hosted in a cloud or Software-As-A-Service (SaaS) environment. | | |

ATTACHMENT B

CODES: A=Available, D=Under Development, N=Not Available, U=Unnecessary, O=Optional

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| J.1.2 | Updates to the LMS are conducted periodically and are distributed automatically to all customers simultaneously. In the Comments, describe how often (on average) updates occur and how those updates, including any changes to the software, are communicated to staff users. | | |
| J.1.3 | System provides a means for the institution to monitor basic performance on its cloud environment. | | |
| J.1.4 | The cloud system must be fully fault tolerant without a single point of failure. | | |
| J.1.5 | System must support basic fulfillment capabilities during a local institution outage. In the Comments, please describe this capability in more detail. | | |
| J.1.6 | System should have the ability to store digital collections in cloud storage. In the comments, Vendor should describe the data model for managing digital resources. | | |
| J.1.7 | System retains functionality on multiple browsers. In the Comments, Vendor should list officially supported browsers for the LMS. | | |
| J.1.8 | System retains functionality using multiple operating systems (e.g. Windows, OS/X, Linux). In the Comments, Vendor should list functional differences or limitations that might exist for particular operating systems. | | |
| J.1.9 | In the Comments section, please address the following questions: What portions of your proposed system(s) are separable? E.g., is it possible to use an alternate discovery environment but still use your solution for fulfillment and for back-end processing? With what specific third-party discovery solutions does your solution work? Describe any interfaces and APIs that are available to support such integration/interoperability. | | |
| J.1.10 | In the Comments section, briefly describe any unique features regarding the system architecture and performance not otherwise described above. | | |
| J.2 Security | | | |
| Technology Feature: | | CODE | Comments: |
| J.2.1 | The data centers of the hosted environment must assure complete data protection and have high security capabilities in place. In the Comments, the Vendor should describe security measures in place at data center(s). | | |
| J.2.2 | Applies secure protocols to safeguard data in transit. In the comments, Vendor should describe security practices to which the LMS adheres, especially those for patron and circulation transaction information. Vendor should include relevant information on standards compliance (such as ISO 27001) and any completed organizational information technology audits. | | |
| J.2.3 | Vendor follows industry best practices for regular data and system backups and backup storage. | | |
| J.2.4 | Maintains personal information securely and conforms to relevant legislation (such as FERPA). | | |
| J.2.5 | Provides data recovery or rollback to specific points in time in the event of data loss or corruption. In the comments, Vendor should state whether data recovery is a self-service process or requires the intervention of the vendor. Vendor should also describe compartmentalization of data recovery, specifically whether a subset of data can be rolled back, or if a system rollback or recovery is only possible institution- or site-wide. | | |
| J.2.6 | Vendor has established protocols for dealing with unauthorized access to or disclosure of confidential data. In the event unauthorized access or disclosure occurs, the institution must be informed by the vendor in writing within 24 hours. | | |
| J.2.7 | Manages data security and privacy at multiple levels. | | |
| J.2.8 | Provides granular security for staff functions based on responsibility. | | |
| J.2.9 | In the Comments section, briefly describe any unique features regarding security not otherwise described above. | | |
| J.3 Authentication and Authorization | | | |
| Technology Feature: | | CODE | Comments: |
| J.3.1 | Supports multiple authentication methods for patrons. | | |
| J.3.2 | Can manage staff identities through Active Directory or campus authentication systems. | | |

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| J.3.3 | Supports staff authorization which is role/attribute based (i.e. a single user can have multiple roles without needing multiple IDs) and can facilitate multiple profiles accessing different combinations of functional workflows. | | |
| J.3.4 | Supports EZProxy. | | |
| J.3.5 | Supports SSH Public Key Authentication, SFTP, and HTTPS protocols. | | |
| J.3.6 | In the Comments section, Vendor should briefly describe any unique features regarding authentication and authorization not otherwise described above. | | |
| J.4 Migration | | | |
| Technology Feature: | | CODE | Comments: |
| J.4.1 | In the Comments, Vendor should describe a recommended or typical migration timeline, including phases of data migration, customization, training, and charging of implementation fee(s). | | |
| J.4.2 | In the Comments, Vendor should describe the typical or recommended amount of ILS downtime for the migration, based on institutional size, number of patron or bibliographic records, or some other applicable metric. | | |
| J.4.3 | In the Comments, Vendor should describe the migration services offered, including data migration services, training, and configuration and policy planning. | | |
| J.4.4 | In the Comments, Vendor should describe experiences migrating data from the Ex Libris Voyager ILS. | | |
| J.4.5 | System has the ability to retain and preserve transient or temporal data, such as checkouts, holds, item status, item statistics (such as total checkouts), patron status and patron blocks, through the migration process. | | |
| J.4.6 | System has the ability during migration to merge similar bibliographic records without loss of locally-created data. | | |
| J.4.7 | In the Comments section, briefly describe any unique features regarding the migration process not otherwise described above. | | |
| J.4.8 | In the Comments, Vendor should describe a recommended or typical migration timeline, including phases of data migration, customization, training, and charging of implementation fee(s). | | |
| J.5 Training Support | | | |
| Technology Feature: | | CODE | Comments: |
| J.5.1 | Vendor will provide training (basic and intermediate) in all functioning subsystems. In the Comments, Vendor should describe specific methods of training during implementation period. | | |
| J.5.2 | Vendor will provide training in system management. | | |
| J.5.3 | Continued education opportunities provided in a variety of methods including, webinars, training at user's conference, tutorials, etc. | | |
| J.5.4 | In the Comments section, briefly describe any other information regarding training support not otherwise described above. | | |
| J.6 Vendor Support | | | |
| Technology Feature: | | CODE | Comments: |
| J.6.1 | Customer support hours of operation will be available to the Library 24/7. | | |
| J.6.2 | Vendor provides a customer web site that includes: a knowledge base that includes extensive information to assist customers in troubleshooting; access to product information such as release comments and software documentation; tutorials for common tasks; and information regarding upgrades and patches. | | |
| J.6.3 | Vendor will provide clear procedures and means for all support contact between the vendor and library including emergency procedures. | | |

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| J.6.4 | Vendor's product development process includes customer involvement in prioritizing new features, enhancements, and bug fixes. | | |
| J.6.5 | Vendor provides up-to-date documentation of LMS functionality and known issues, and publicizes extensions of functionality and resolution of issues. | | |
| J.6.6 | Vendor provides documentation for APIs and web services that enable the customer to extend system functionality, including online forums for customer developers and code sharing. | | |
| J.6.7 | Vendor supports customer community activities, such as online or in-person meetings, to allow customers to share ideas and solutions. | | |
| J.6.8 | In the Comments section, briefly describe any unique features regarding vendor support not otherwise described above. | | |

K. LIBRARY DISCOVERY SERVICE (LDS)—[OPTIONAL]

K.1. General

| Technology Feature: | | CODE | Comments: |
|----------------------------|---|-------------|------------------|
| K.1.1 | Web-scale discovery utilizing an integrated central index of processed metadata and full text content. | | |
| K.1.2 | Central indexing is done systematically and frequently. Specify in the Comments frequency of indexing. | | |
| K.1.3 | Metadata and full text content may be harvested from multiple sources including local catalogs, OAI-compliant data sources, and licensed databases. | | |
| K.1.4 | Central index provides seamless access to all institutionally licensed content across providers without additional costs. | | |
| K.1.5 | Search results can permit users to determine the current availability of e-resources; e.g., single user ebooks that may be checked out | | |
| K.1.6 | Discovery product will facilitate known-item searches and open-ended searches (including authors, titles, subject terms, or other identifying information). | | |
| K.1.7 | Discovery service will be accessible (Section 508 compliant) to users with disabilities. | | |

K.2 Searching/Browsing/Interface Tools

| Technology Feature: | | CODE | Comments: |
|----------------------------|---|-------------|------------------|
| K.2.1 | Offers Single Search Box option. | | |
| K.2.2 | Supports faceted browsing. | | |
| K.2.3 | Supports selection of multiple facets. | | |
| K.2.4 | Offers Advanced Search Options from Main Screen. In the comments, Vendor should describe advanced search capabilities. | | |
| K.2.5 | Offers ability to pre-limit search to specific site or library collections. | | |
| K.2.6 | Offers customizable institution-and site-specific bibliographic displays. | | |
| K.2.7 | Eliminates “dead ends” for searchers – searchers are connected with resources or context-specific help in locating resources if a search does not produce results. | | |
| K.2.8 | Offers users searchable access to a thesaurus, a table of names and titles, or a keyword-in-context display. | | |
| K.2.9 | Discovery product can recommend subjects, alternative titles, spelling corrections, and other ways to help the user refine search strategies or find related resources. | | |
| K.2.10 | Clearly distinguishes between full-text and index-only access to digital information. | | |
| K.2.11 | Clearly distinguishes between type of resource, beyond the usual book/article; for example: book chapter, journal article, still image, audio file, 3-D object, DVD, Blu-Ray, ebook, streaming video, letter within collection. | | |

ATTACHMENT B

CODES: A=Available, D=Under Development, N=Not Available, U=Unnecessary, O=Optional

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| K.2.12 | Users will be able to control the scope or refine the search results by criteria such as availability, location, creation or publication date, format, and version or resource type. | | |
| K.2.13 | Ability to move easily between discovery layer and databases or other external delivery interfaces, such as data and other repositories. | | |
| K.2.14 | Ability to move between browsing options, including faceted browsing. | | |
| K.2.15 | Supports browsing and serendipitous discovery. | | |
| K.2.16 | Supports the ability to browse by call number. | | |
| K.2.17 | Searches and records (single records or multiple records marked or added to a holding folder) can be saved, bookmarked, exported, shared in multiple ways across numerous platforms (text-to-phone, email, social media, bibliographic software, etc.). In the Comments, Vendors should list the specific ways searches and records can be saved/shared. | | |
| K.2.18 | Exports records to bibliographic software such as Refworks or Endnote. | | |
| K.2.19 | Search results can be de-duped and FRBRized. | | |
| K.2.20 | Offers searching of subject and name authority files. | | |
| K.2.21 | Allows users to access tables for creating searches utilizing non-Roman character sets. | | |
| K.2.22 | Non-Roman characters and diacritics are displayed correctly and file correctly in search results and bibliographic displays. | | |
| K.2.23 | Access restrictions can be displayed from the LMS. | | |
| K.2.24 | Vendor harvests metadata from, and provides access to, local institutional repositories, archives, special collections, or other locally developed content (e.g. LibGuides, library website, etc.). | | |
| K.2.25 | Offers ability to search for and access graphical resources (e.g. schematics / images / charts / photos). | | |
| K.2.26 | Based on user data, utilizes features like recommendations (i.e. users who searched for this item also viewed this item). | | |
| K.2.27 | Offers patron interaction and social media tools, including reviews, ratings, tagging, comments, RSS feeds, etc. | | |
| K.2.28 | User-supplied comments, tags, ratings, and reviews can be moderated by library staff. | | |
| K.2.29 | User's library account in the LMS is accessible through the LDS, including circulation information, due-date reminders and item renewal capabilities; online fee payment; and sharable virtual collections and alerts based on keywords or other criteria such as item availability. | | |
| K.2.30 | Users are linked to electronic resources with one-click access if supported by target provider. | | |
| K.2.31 | Users can request items for hold or recall. | | |
| K.2.32 | Users can request items via document delivery or interlibrary loan. | | |
| K.2.33 | Integrates content preview data in display, such as TOCs, book covers, and book reviews. | | |
| K.2.34 | Can integrate with in-house or licensed physical location mapping software. | | |
| K.2.35 | Search terms can be highlighted in results display; this function can be controlled by the site or the user. | | |
| K.2.36 | Provides abbreviated, permanent URLs for individual records. | | |
| K.3 Staff Controls | | | |
| Technology Feature: | | CODE | Comments: |
| K.3.1 | Search algorithms are publicly accessible and can be customized at the site level. In the comments, Vendor should describe how sites can modify searches through index choices, field weighting, or other options. | | |

ATTACHMENT B

CODES: A=Available, D=Under Development, N=Not Available, U=Unnecessary, O=Optional

| | | | |
|-----------------------------|---|-------------|------------------|
| K.3.2 | Relevance ranking capabilities can be controlled by the site. In the comments, Vendor should describe options, such as a "more like this" option, discipline-specific or user-controlled ranking, and whether ranking preferences can be saved by the user. | | |
| K.3.3 | Facets should be customizable. | | |
| K.3.4 | Incorporates user-driven enhancements in the development of the discovery system. In the Comments, Vendor should describe ways in which user comments can be contributed and enhancements prioritized. | | |
| K.3.5 | Vendor offers integrated, customizable APIs -- i.e., chat, guides, branch-specific contact information, alt-metrics services. | | |
| K.3.6 | Staff are able to create their own APIs for the LDS. In the Comments, Vendor should describe available documentation and resources for API creation. | | |
| K.3.7 | Ability to add locally as many data sources as needed, e.g. LibGuides, locally developed databases or OAI compliant sources. | | |
| K.3.8 | Discovery product interface can be customized by staff for site-specific branding, relevancy ranking, display of metadata, and the exclusion and inclusion of specific resources. | | |
| K.3.9 | Ability to make changes to the user interface locally and immediately. | | |
| K.3.10 | Spell check and synonym functionality available and customizable. | | |
| K.4 Interoperability | | | |
| Technology Feature: | | CODE | Comments: |
| K.4.1 | Upgrades integrate with LMS and LMS upgrades integrate with discovery layer. | | |
| K.4.2 | Supports patron-driven acquisitions | | |
| K.4.3 | Supports EZ Proxy | | |
| K.4.4 | Supports mobile devices for both public and staff functions. | | |
| K.4.5 | Supports multiple metadata formats. | | |
| K.4.6 | Functionality with multiple course management systems (including Blackboard). | | |
| K.4.7 | Integrates with LMS course reserve system. | | |
| K.4.8 | Integration with Interlibrary Loan systems such as ILLiad. | | |
| K.4.9 | Offers an integrated messaging system. | | |
| K.4.10 | Users can access Discovery service from a variety of browsers and devices without loss of functionality. In Comments, Vendors should list specific browsers officially supported. | | |
| K.4.11 | Staff viewing a record in the LMS interface can view the public display of the same record directly in the LDS without performing a separate search in the Discovery service. | | |
| K.4.12 | Discovery service is interoperable with parent company's Library Management System as well as those systems offered by other Library Management System providers. In the Comments, Vendor should describe any restrictions and loss of functionalities when using an LMS from another provider. Specifically indicate if parent's company's Library Management System can only be publicly interfaced with Discovery system as described in this proposal. | | |
| K.4.13 | In the Comments section, briefly describe any unique features regarding Discovery Service not otherwise described above. | / / / / / | |

ATTACHMENT C
RFP LIBRARY MANAGEMENT SYSTEM - COST PROPOSAL BID FORM

| Bid Option # | Line # | ITEM | Price |
|--------------------------------------|----------------------------------|---|-------|
| 1. Two Systems Bid Separately | Library Management System | | |
| | 1 | Software | |
| | 2 | Installation fees, including data migration and start-up | |
| | 3 | Hosting fees | |
| | 4 | Annual maintenance and upgrade fees (please indicate if first year maintenance is included in the installation fee) | |
| | 5 | Training | |
| | 6 | Other fees (Specify): | |
| | 7 | Optional Component: | |
| | 8 | Optional Component: | |
| | 9 | Optional Component: | |
| | 10 | Optional Component: | |
| | Library Discovery System | | |
| | 1 | Software | |
| | 2 | Installation fees, including data migration and start-up | |
| | 3 | Training | |
| | 4 | Hosting fees | |
| | 5 | Annual maintenance and upgrade fees (please indicate if first year maintenance is included in the installation fee) | |
| | 6 | Other fees (specify): | |
| | 7 | Optional Component: | |
| | 8 | Optional Component: | |
| | 9 | Optional Component: | |
| | 10 | Optional Component: | |

ATTACHMENT C, CONTINUED
RFP LIBRARY MANAGEMENT SYSTEM - COST PROPOSAL BID FORM

| Bid Option # | Line # | ITEM | Price |
|----------------------------------|---|---|-------|
| 2. Bundled System | Library Management System & Library Discovery System | | |
| | 1 | Software | |
| | 2 | Installation fees, including data migration and start-up | |
| | 3 | Hosting fees | |
| | 4 | Annual maintenance and upgrade fees (please indicate if first year maintenance is included in the installation fee) | |
| | 5 | Training | |
| | 6 | Other fees (specify) | |
| | 7 | Optional Component: | |
| | 8 | Optional Component: | |
| | 9 | Optional Component: | |
| 10 | Optional Component: | | |

Name of Firm:

END OF RFP 14-108 COST PROPOSAL BID FORM

ATTACHMENT D CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

| | | | |
|---|------------------------------|---|------------------------|
| SOCIAL SECURITY NUMBER TAXPAYER ID #: ---- | FEDERAL ID NUMBER OR ---- | SUBCONTRACTOR: <input type="checkbox"/> Yes <input type="checkbox"/> No | SUBCONTRACTOR NAME: |
| TAXPAYER ID NAME: | | IS THIS FOR: <input type="checkbox"/> Goods? <input type="checkbox"/> Services? <input type="checkbox"/> Both? | |
| YOUR LAST NAME: | | FIRST NAME: | M.I.: |
| ADDRESS: | | | |
| CITY: | | STATE: | ZIP CODE: --- COUNTRY: |

AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:

F o r I n d i v i d u a l s *

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse *is* a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

| Position Held | Mark (√) | | Name of Position of Job Held <small>[senator, representative, name of board/ commission, data entry, etc.]</small> | For How Long? | | What is the person(s) name and how are they related to you? <small>[i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]</small> | |
|----------------------------------|----------|--------|---|---------------|-------------|--|----------|
| | Current | Former | | From MM/YY | To MM/YY | Person's Name(s) | Relation |
| General Assembly | | | | | | | |
| Constitutional Officer | | | | | | | |
| State Board or Commission Member | | | | | | | |
| State Employee | | | | | | | |

None of the above applies

F o r a n E n t i t y (B u s i n e s s) *

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

| Position Held | Mark (√) | | Name of Position of Job Held <small>[senator, representative, name of board/commission, data entry, etc.]</small> | For How Long? | | What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control? | | |
|----------------------------------|----------|--------|--|---------------|-------------|--|------------------------|---------------------|
| | Current | Former | | From MM/YY | To MM/YY | Person's Name(s) | Ownership Interest (%) | Position of Control |
| General Assembly | | | | | | | | |
| Constitutional Officer | | | | | | | | |
| State Board or Commission Member | | | | | | | | |

| | | | | | | |
|----------------|--|--|--|--|--|--|
| State Employee | | | | | | |
|----------------|--|--|--|--|--|--|

None of the above applies
 ATTACHMENT D, CONT'D

Contract and Grant Disclosure and Certification Form

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.

2. I will include the following language as a part of any agreement with a subcontractor:

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.

3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.

Signature _____ **Title** _____ **Date** _____

Supplier Contact Person _____ **Title** _____ **Phone** _____
No. _____

Agency use only

Agency Number _____ Agency Name _____ Agency Contact Person _____ Contact Phone No. _____ Contract or Grant No. _____

**ATTACHMENT E
EQUAL OPPORTUNITY POLICY FORM**

**ARKANSAS TECH UNIVERSITY
Purchasing Department
203 West O Street
Russellville, AR 72801-2222**

Act 2157 of 2005 of the Arkansas Regular Legislative Session requires that any business or person responding to a Request for Quotation (Bid) submit their most current Equal Employment Opportunity policy (EEO Policy).

Although bidders are encouraged to have a viable equal opportunity policy, a written response stating that the bidder does not have an EEO Policy will be considered that bidder's response and will comply with the requirement of Act 2157.

Submitting your EEO Policy is a one-time requirement. The Arkansas Tech University Purchasing Department will maintain a file of the EEO Policies or written responses received.

This is a mandatory requirement when submitting a bid response. Failure to submit an EEO Policy or response may result in rejection of your bid.

If you have any questions, please call the Purchasing Department at 479-968-0269.

Thank you.

Beth Foster, C.P.M., A.P.P.
Special Projects Coordinator

TO BE COMPLETED BY BUSINESS OR PERSON SUBMITTING BID RESPONSE

_____ EEO Policy attached

_____ EEO Policy previously submitted to ATU Purchasing Department

_____ EEO Policy is not available

Name of Company or Person

Signature

Name (printed or typed)

Title

**ATTACHMENT G
EXHIBIT "A"**

**ARKANSAS TECH UNIVERSITY
Purchasing Department
203 West O Street
Russellville, AR 72801-2222
Tel: 479-968-0269
Fax: 479-968-0633**

Act 157 of 2007 of the Arkansas Regular Legislative Session **requires** that any business or person having a contract with a state agency for professional services, technical and general services or any category of construction in which the total dollar value of the contract is \$25,000 or greater **certify** that they do not employ or contract with any illegal immigrants. Vendors are to certify online at:

<https://www.ark.org/dfa/immigrant/index.php/user/login>

Click: Submit Disclosure Form
 (no password is needed)

Print screen-shot of certification and attach to this form.

This is a mandatory requirement. Failure to certify may result in cancellation of your contract. If you have any questions, please contact the Purchasing Department. Thank you.

Jessica Holloway
Purchasing Project/Program Manager

TO BE COMPLETED BY BUSINESS OR PERSON SUBMITTING RESPONSE:

Please check the appropriate statement below:

_____ We have certified on-line that we do not employ or contract with any illegal immigrants
Date on-line certification completed: _____

_____ We have NOT certified on-line at this time, and we understand that no contract
can be issued or extended until we have done so.
Reason for non-certification: _____

| | |
|------------------------------------|--|
| Name of Company | |
| Mailing Address | |
| City, State & Zip | |
| Signature | |
| Name & Title (printed or typed) | |
| Date | |

ATTACHMENT G
EXHIBIT "A"

Exhibit "A"

1. Nothing in this contract shall be deemed to waive the sovereign immunity of the State of Arkansas, Arkansas Tech University, the Arkansas Tech University Board of Trustees, or Arkansas Tech University administrators, officers, faculty, staff, employees or agents.
2. This contract shall be governed by the laws of the State of Arkansas. Pursuant to A.C.A. §19-10-204, any claim by licensor against Arkansas Tech University shall be brought before the Arkansas State Claims Commission.
3. Licensor agrees that it is solely responsible for obtaining all required permission, licenses, or other authority for all activities that it performs or products it provides, as well as paying all royalties that may be required. Further, Licensor states that it has or will obtain all required and necessary rights, licenses, titles, and copyright authority for all activities to be performed or products or services to be provided. Licensor further agrees to fully indemnify and hold harmless Arkansas Tech University from any and all copyright, copyright infringement, license, royalties, title or other claims that arise or are made as a result of Licensor's contract with Arkansas Tech University.
4. Licensor agrees that it will be solely responsible for any harm, damage or injury that it, its employees, agents or guests cause or permit to occur to any person or their real or personal property as the result of Licensor's actions or failure to act. Licensor further agrees to fully indemnify and hold harmless Arkansas Tech University from any and all losses, damages, or expenses, including reasonable attorney's fees, arising out of or resulting from claims or actions for bodily injury, death, sickness, property damage or other injury or damage caused by any negligent act or omission of Licensor, its employees, agents or guests.
5. Licensor agrees that it will not discriminate on the basis of race, national origin, religion, color, sex, age, disability or veteran's status in the performance of this contract.
6. Upon the signing of this contract by all parties, terms of the contract shall become available to the public, pursuant to the provisions of A.C.A. §25-19-101, et seq.
7. Licensor shall obtain and maintain at its sole expense commercial liability insurance, which policy shall have limits of no less than two million dollars (\$2,000,000.00) per occurrence.
8. Licensor will not assign or otherwise transfer its duties under this contract to another person or entity without Arkansas Tech University's express written permission.
9. Licensor acknowledges that Licensee's performance and obligations under this agreement are contingent upon receipt of any necessary legislative approval and/or funding.
10. Article 12, §12 of the Arkansas Constitution prohibits indemnification of Licensor by Arkansas Tech University.