

The University of Iowa Request for Proposals: Integrated Library System

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1. Introduction

1.1 RFP Purpose

The purpose of this Request For Proposals (RFP) and subsequent vendor presentations is to identify a vendor with whom The University of Iowa will negotiate a contract to supply, install, and support an integrated library system. This system must be capable of supporting an online public access catalog, cataloging and authority control, acquisitions and serials control, circulation, and reserve. It should be capable of supporting media booking, interlibrary loan and document delivery, and preservation control.

1.2 Definitions

Terms used throughout the RFP are defined below.

Purchaser—The University of Iowa.

Vendor—a respondent to this RFP, typically a producer or supplier of an integrated library system.

Product—the Integrated Library System (ILS).

Subsystem—a component of the Product, such as serials control or interlibrary loan.

Application Administrator—a Purchaser individual who will support local application needs, including setting access rights for Staff and overseeing configuration of the Product.

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

User—Students, faculty, general staff, etc. who need library services which are part of the ILS.

UI libraries—General term referring to libraries on the University of Iowa campus including, but not limited to, the University Libraries system and the Law Library.

2. Proposal Instructions

2.1 RFP Schedule

The RFP process will proceed on the following schedule:

13 July	letter of intent to propose due
17 July	pre-bid conference (10:30am, Main Library)
10 August	proposals due (3:00pm, Purchasing Dept.)
Early fall	completion of proposal review

Dates for the following will be set in the fall pending a favorable outcome of the bid process:

- presentations by selected vendors
- completion of presentation review
- completion of vendor negotiations
- contract signed

2.1.1 Letter of Intent to Propose

A letter of intent to propose should be received by the University of Iowa by 5:00pm CDT, July 13, 1998. Letters should be sent to the following address: Purchasing Department, 800 Jefferson Building, University of Iowa, Iowa City, IA 52242. In addition, a copy of the letter may be FAXed to Donna Hirst at 319-335-5900. Indicate if you plan to attend the Pre-Bid Conference (see below).

2.1.2 Pre-Bid Conference

The pre-bid conference will be held on The University of Iowa campus on July 17, 1998, from 10:30am CDT through noon at the Main Library Conference Room, 2nd Floor, Burlington and Madison, Iowa City. Attendance is not mandatory. No verbal statements by the University or its representatives will be considered binding at this meeting unless confirmed by written addenda. All changes and material clarifications will be forwarded to all specification holders in the form of a written addendum, after the pre-bid conference.

2.1.3 Proposal Transmittal

Proposals must be received in the Purchasing Department, University of Iowa, 800 Jefferson Building, Iowa City, IA 52242 by 3pm CDT on August 10, 1998. Late bids will not be accepted; they shall be returned unopened to the vendor. (Phone 319/335-0383)

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

After the date and time deadline designated for the receipt of proposals, no vendor will be permitted to make any modifications or withdraw a submitted proposal for one hundred twenty (120) days.

2.1.4 Evaluation and Contract

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

2.2 Content and Format of Vendor Response

2.2.1 Content

Vendors should respond to every numbered item in sections 5 through 9 of the RFP. Below find terms that should be used when responding to these numbered items.

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

For numbered items flagged as mandatory (M), points will be awarded only for responses of “Complies” or “Deviates.” Vendors may reply with “Development <date>” or a “Planned <date>” only to those items that are flagged as desirable (D). Be aware that some numbered items within sections 5 through 9 are questions for which an answer will suffice. For these items, supplying one of the terms defined above would not be meaningful.

2.2.2 Format

Each proposal copy should be submitted in a three-ring binder. Proposals should consist of the following elements in this order: cover or title page, table of contents, letter of transmittal, executive summary, followed by the vendor responses to sections 5-9 of the RFP. The letter of transmittal must identify a person to whom all further correspondence and/or questions should be addressed. Include the individual's address, telephone number, FAX number, and, if available, electronic mail address.

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

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

Fifteen (15) proposal copies must be submitted.

2.3 Costs

Cost quotes should be included for all software and recommended equipment referenced in the response, including equipment components that can be purchased separately. These quotes must include unit pricing. Separate cost quotes should be given for independent services, such as installation, maintenance, and training. Refer to section 9 for cost proposal guidelines.

Conditional proposals will not be considered.

The University is exempt from all excise, state, local, and use taxes for services rendered, equipment, or parts supplied for this contract.

2.4 Proprietary Information Agreement

Vendors are required to submit non-proprietary complete narrative descriptions to the statements, questions, products, and support services requested in this RFP.

All vendor responses and references in regards to costs shall be placed in the public record.

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

Any part of the vendor's response marked "trade secrets," or "confidential" shall be considered additional or supplemental information. The use of such information in the evaluation process shall be limited to verification or further explanation of information presented in the proposal. It is emphasized that The University of Iowa makes procurement decisions following an open and public process. Those decisions must be fully supported

with all pertinent information available for public scrutiny. The laws of the State of Iowa require that at the conclusion of the contract award process, the contents of all proposals be placed in the public record and open to inspection by interested parties. Bonafide trade secrets, confidential, or proprietary information that are recognized as such and are protected by law may be withheld, if clearly identified. The Director of Purchasing reserves the right to reject proposals or parts of proposals which rely in large part upon written proprietary information in making their response.

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

2.5 RFP Process Conditions

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

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

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

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

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

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

All proposals become the property of The University of Iowa and will not be returned to the vendor.

2.6 Vendor Relationship Guidelines

The laws of the State of Iowa provide that it is a criminal offense to offer, promise, or give anything of value or benefit to a state employee with the intent to influence that employee's acts, opinion, judgment, or exercise of discretion with respect to that employee's duties. Evidence of violations of this statute shall be turned over to the proper prosecuting attorney.

2.7 Submission of Questions

All questions concerning the RFP process must be directed to:

James Jetter
Department of Purchasing
800 Jefferson Building
University of Iowa
Iowa City, IA 52242
319/335-0383
<james-jetter@uiowa.edu>

OR

Jayne Keiser
<jayne-keiser@uiowa.edu>

All technical questions during the RFP process should be directed to:

Donna Hirst
University Libraries
OASIS Office
University of Iowa
Iowa City, IA 52242
319/335-5033
<donna-hirst@uiowa.edu>

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

3. Selection Process

3.1 RFP Evaluation

Proposals will be evaluated by a University panel composed of people from the University Libraries, the Law Library, Information Technology Services and Purchasing. Each proposal will be evaluated on a 16,000-point scale divided among the following criteria:

2,000	Vendor Information and Services
2,500	System Specifications and Performance
4,000	Subsystem Specifications
3,000	System Migration
2,000	Costs
2,500	Suitability
16,000	Total possible points

For example, each proposal will be evaluated on a scale of zero (0) to 3,000 points based on the panel's assessment of how well the proposal meets the system-migration specifications stated in the RFP. Submission of a proposal by a vendor will be judged as acceptance of the evaluation technique and as vendor recognition that some subjective judgments must be made by the University during the assignment of points.

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

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

3.2 Vendor Presentations

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

3.3 Final Vendor Rankings

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

3.4 Contract Negotiations

The Vendor receiving the highest ranking will be contacted. The University and this Vendor will enter into contract negotiations. This discussion will finalize any contract terms, such as migration of existing data, implementation process, and acceptance criteria.

If an acceptable contract cannot be negotiated, the University reserves the right to enter contract negotiations with the vendor having the next highest ranking.

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

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

4. Background Information

4.1 Organization Overview

The University of Iowa

Founded in 1847 and located in Iowa City, Iowa, The University of Iowa is a major public research university with an enrollment of approximately 28,000 students and a combined faculty and staff employment of more than 13,000, including University of Iowa Hospitals and Clinics. Ten colleges form the University: Business Administration, Dentistry, Education, Engineering, Graduate, Law, Liberal Arts, Medicine, Nursing, and Pharmacy. The campus is comprised of approximately 1,900 acres and 142 buildings. There is a remote campus at Oakdale along with a research park. Through a variety of distance education formats, the UI also extends its educational resources to citizens throughout the State of Iowa.

University Libraries and the Law Library

The University's Main Library and its eleven departmental libraries, and the independent Law Library, contain more than 3.5 million volumes. The Law Library is administered separately by the College of Law. The libraries at The University of Iowa make up the largest library system in Iowa. Among 108 university research libraries in the United States and Canada, the system ranks 29 in number of volumes held and 36 in expenditures for library materials.

The Main Library, its eleven departmental libraries, and the Law Library provide seating for more than 7,000 users, and have more than seventy miles of shelving. More than 1.8 million library materials are used a year. Staff answer nearly 350,000 questions annually.

STATISTICS for the University of Iowa Libraries and the Law Library, 1996-97

Vols held 6/30/97	3,822,656
Vols added annually	110,813
Monographs purchased annually	49,435
Total serials	39,138
Total FTE staff including students	305
Total circ (excl Reserve)	619,742
Reserve circ	99,008
ILL provided	55,232
ILL received	21,397
No. of staffed service points	31
Elec Databases on Institutional Computers (on campus mainframe or on library LANs)	159
Records in online catalog	1,736,322
Records to be added in recon	775,000

STATISTICS for The University of Iowa, 1996-97

PhDs awarded 96-97	364
Full time faculty	1,052
Student body	28,000
University staff	12,000

4.2 Current System and Operational Environment

Library Automation

The University of Iowa selected the current NOTIS system in 1985 and introduced the online catalog to the academic community at the start of the 1987/88 academic year. The following additional NOTIS subsystems have been implemented: Acquisitions, Cataloging, Circulation, MDAS (locally mounted periodical databases), PacLink (Z39.50 implementation to remote resources), and Serials Control as a subset of the Acquisitions subsystem. The UI libraries provide other information resources via local servers, remote host servers, and CD-ROM networks.

Bibliographic data is currently downloaded in real-time from OCLC and RLG. Additionally data is currently imported in batch from a variety of sources including MARCIVE, OCLC and selected materials vendors.

The campus can access the full range of library resources with a peak of two hundred simultaneous users/second. This number of users is expected to grow at a steady rate over time. The libraries provide their remote users with access to a variety of resources via the online catalog interface or a variety of web interfaces.

The Libraries participate in several consortial projects involving the World Wide Web. The CIC Virtual Electronic Library (CIC VEL) includes the University of Iowa catalog as well as catalogs of the Big Ten plus the University of Chicago. These thirteen institutions currently

use OCLC's WebZ product to provide global searching, searching of a subset of libraries, and interlibrary loan support. Later this year the CIC VEL will switch to the OCLC SiteSearch product for these services. SILO, the State of Iowa Libraries Online, includes the University of Iowa in addition to many other Iowa libraries. As with the CIC VEL, SILO utilizes the Z39.50 protocol for their interlibrary connections. The selected system must be able to communicate in this environment.

Two University of Iowa online services provide information services to the campus and beyond. The Libraries-Wide Information System, LWIS, is the University Libraries Home Page, a campus information gateway to the Internet, and the access to University Libraries databases, documents, image collections, etc. Healthnet is the information system which provides access to references to journal articles in Medline and other health-related databases. Healthnet utilizes the searching software developed by Ovid.

Computing Resources

The UI Information Technology Services, ITS, manages and provides access to a broad range of computing resources for instructional, research, and administrative uses. On campus, ITS supports large-scale systems (including IBM S/390 and scaleable UNIX parallel processing environments), mid-range systems (including Windows NT and multiple UNIX environments), Local Area Network servers (including Novell and Windows NT environments), and personal computer labs (including Windows, Macintosh, and specialized multimedia and visualization environments).

Data Services

The campus data network consists of a small number of large routers interconnected via Fast Ethernet and ATM. These routers provide connectivity to building networks consisting mainly of switched and repeated Ethernet and Fast Ethernet. Connectivity to buildings is predominately via fiber, and various copper (T1, E1, etc.) links where necessary. Internet connectivity is at DS3 speeds with multi-T1 backup service, as well as connectivity to a small number of peer institutions within the state. There are currently approximately ten thousand active campus 10BASE-T or higher connection services provided by ITS.

4.3 Goals of Project

The University is highly dependent on a powerful and flexible integrated library system, supporting the academic, research, and administrative needs of students, faculty, and staff. The University needs to replace its current ILS in order to support and enhance library services as well as to facilitate internal processing activities. The UI's library users and partners demand a far more flexible and functionally current system than that now in use. The new ILS should provide barrier-free, timely access to the information resources of the UI Libraries as well as gateways to national and international resources. The University intends to select a system that will be available for use in all of the UI libraries. The new ILS should be:

- Interoperable, coherent and uniform—Capable of interfacing with campus legacy systems and other institutional data through industry-defined standards.
- Adaptable—Offering state of the art technology that is able to embrace future technological innovations.
- Scalable and extensible—The campus infrastructure is becoming more complex, and the libraries' ILS should embrace regular addition of new pieces of equipment and independent software products.
- Expandable—The libraries must be able to acquire, provide access to, manage, and (where appropriate) control the growth of local, national and global resources in a variety of formats.
- Accessible—The full range of information in the ILS must be available from a variety of locations to the campus community, to library staff, and to remote users.
- Authoritative—The ILS must serve as a dynamic central repository of data describing and providing access to a broad variety of library resources and holdings, local and remote, that facilitate the maintenance and expansion of library service and research. Full support for traditional library processing and control functions must be offered.
- Flexible—New relationships, new queries, and new reports should be able to be added or modified without changing the program source code. Users should be able to get needed information without moving hierarchically between ILS functional subsystems.
- Intelligent—The ILS should support and enforce national data standards; it should reduce the likelihood of incorrect or conflicting information being entered into the database, and speed users through any operations. Flexible and powerful search engines and interfaces should be available.

Vendor responses to the information requested in Sections 5 through 9 will help us determine which Product will best help us meet our goals. Consult Section 2.2 for important information regarding the format that should be followed when making your responses.

5. Vendor Information

5.1 Background

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

5.2 Experience

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

6. How does your company actively participate in the development and use of industry standards?

5.3 Strategic Partners

1. What other companies and organizations are strategic or development partners in relation to the Product? Are there other alliances that have been forged in relation to the Product?
2. Explain the value and impact of these partnerships relative to this RFP.

5.4 Annual Reports and Financial Data

1. Characterize your company's financial performance for the last three years.
2. Furnish balance sheets/financial statements for the last three years.
3. Include your company's annual report to shareholders for the last two years with your RFP response.

5.5 Product and Customers

1. Name the Product that you will bid in response to this RFP and describe it in several succinct paragraphs.
2. State the dates and general content of the last three general releases or major upgrades of that Product.
3. How are Product fixes and enhancements prioritized for work and implementation?
4. How many customers are currently running production versions (not experimental or test versions) of the Product? Break down this total by the server's operating environment (AIX, other UNIX, NT, other [specify]).
5. Is the Product that you are bidding in response to this RFP based on source code from an earlier product?
6. List three higher education institutions of similar size and characteristics to Purchaser that are currently using the Product. Identify a central contact person for each, including name, address, telephone number, and electronic mail address. (M)

5.6 Escrow of Software

1. If customized code is required, this source code must be kept in both hard and soft copy by Vendor and be fully documented. A current copy must also be maintained in an escrow account with the Purchaser as the only recipient. (M)
2. Describe the terms and costs for the escrow of Product software.

3. Identify the escrow agent and its location.

5.7 Vendor Contacts

1. List names, locations, and contact information for user groups of Product.
2. Is the Vendor represented at user-group meetings?
3. Describe costs associated with meeting participation.
4. What electronic forms of communication are supported between you and your clients? Web sites? E-mail? Listservs? Other?
5. Do representatives of your company visit libraries using your Product on a regular basis?
6. To what professional organizations does your organization belong?

5.8 Training

1. Training should be done at Purchaser's site or Vendor site at Purchaser's discretion. (D)
2. Trainer should have at least one year's experience in using the Product being bid in response to this RFP. (D)
3. List the number of training hours typically required before staff have mastered initial use of the Product.
4. Training materials should be usable by Purchaser's training staff to train additional users. (D)
5. Can training programs be modified based on Purchaser needs? Give examples.
6. Training should be offered when a new release or new version is distributed. (D)
7. Separate training from user training should be provided for those responsible for Application Administration. What is the scope/content/duration of initial technical training for the Application Administrator? (D)

5.9 Documentation

1. State the media and number of copies of Product user documentation that will be provided at time of purchase.
2. State the media and number of copies of Product configuration and application administration documentation that will be provided at time of purchase.

3. State the media and number of copies of Product technical documentation that will be provided at time of purchase.
4. User documentation should be updated in a timely manner with each Product change or update. Describe the process over the past two years. (D)
5. List the price for user documentation updates.
6. All necessary documentation should be included with the Product and should not be purchased separately. (D)

6. System Specifications and Performance

6.1 Technical Architecture

6.1.1 General Issues

1. The Product must be Year 2000 Compliant and able to accurately process data (including, but not limited to, calculating, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000. (M)
2. Based on the Purchaser's current system environment and goals of the project specified in this document, is there any aspect of our environment that is not optimal for the effective utilization of your Product? Give specific details.
3. Identify how the following technologies are used:
 - a) open architecture design and object-oriented code
 - b) three-tier client-server architecture [i.e., separation of presentation (screen display), application (business rules), and database]
 - c) database management architecture, relational or other database structures. Clarify which aspects use your own proprietary design and which are components of other commercial products
 - d) HTTP and other standards-based network technologies (e.g., Z39.50, ISO 10160,10161)
 - e) standard Web browsers as clients and their relationship to proprietary client products
4. The Product should be configurable to meet Purchaser's needs without custom programming. (D)
5. The Product must allow separate campus libraries to run separate and unique technical and OPAC functions. These separate ILS systems must share a common OPAC front end. (M)
6. Identify third-party licenses required for implementation and use of the Product.
7. Print functions should be managed through standard operating system calls. (D)
8. The Product should have interactive and batch mode capabilities to run programs, ad hoc queries, and reports. (D)
9. Can the system technically support a test version and a production version? Explain how this is done.
10. Describe how the server hardware configuration can flexibly meet the needs of the User.
11. How does the Product support workstation and system-level printing?

6.1.2 Authentication and Authorization

1. An Application Administrator must be able to set functions and screen access rights by individual or group. (M)
2. Describe how your system authenticates a staff member and a public user. Security for remote and campus users should include the following features: Anonymous login (no authentication required); User-specific authentication using login ID and/or password; Group-level authentication. (D)
3. The Product must consist of integrated logical and functional subsystems that allow for a single point of authentication/authorization. (M)
4. User authentication/authorization must be provided on an individual basis. (M)
5. The system must have the ability to specify authorization/authentication for specific record types and field groups within records. The system must provide the ability for authorized staff to create, edit, and delete all types of records. (M)
6. A login API should be provided to allow access by an authentication/authorization system. (D)
7. The Product should offer templates to support the creation of user-authentication profiles (basic definitions which can be copied into new user profiles). (D)
8. Authorization/authentication should be role/attribute based (i.e., a single user can have multiple roles without needing multiple IDs). (D)
9. The Product's authorization/authentication system should be compliant with other authorization/authentication systems that support industry standards, including, but not necessarily limited to, DCE-based authentication. (D)
10. Which external security systems are supported by your Product?
11. The Product should allow for data to be encrypted while transmitting over the network. (D)
12. The Product should provide audit reports for user and administrator activity. Provide sample security reports. (D)

6.1.3 Backup/Archive Processing

1. Data backup/restore process must be independent of Operating System backup process. (M)
2. Backup process must notify system operator if process was unsuccessful. (M)

3. It should be possible to initiate backup process automatically, unattended, and pre-scheduled. (D)
4. Backup process should be able to run concurrently with online users with appropriate locking mechanisms. (D)
5. Backup process should be selectable for entire system or for a single function or database. (D)
6. Backup process should have transaction logging by user ID, data, and time to allow the application of incremental changes since last backup. (D)
7. Product should include a guided restore utility. (D)
8. Describe any utilities provided for backup/archive.
9. What parameters of the archival process are user defined or controlled? Describe.
10. What benchmarks are available to predict time required for backups?

6.1.4 Restart/Recovery

1. The Product must allow recovery and roll back of the database in the event of hardware or software failures, or errors caused by humans. (M)
2. What are the business or disaster recovery features of the Product?
3. The Product should use standard database functionality to handle true roll back/roll forward transaction recovery. (D)
4. The Product should not inhibit the use of operating system implementations of RAID 1 (mirroring) or RAID 5 technologies. (D)
5. Batch jobs should participate in roll-back / roll-forward recovery process. (D)
6. The system should be able to restart and complete interrupted batch jobs without having to restart the process from the beginning. Explain how this would be accomplished. (D)
7. Describe the recovery and restart procedures for system failure and program failure.
8. In the event of file corruption, what is the minimum level of restore (table, database, server, entire system)?
9. The system should report its downtime, providing monthly total and averages. (D)

6.1.5 Auditing

1. The Product must manage the long-term storage of auditing reports and data. (M)

2. The Product should provide an audit trail across all modules by associating a user ID, date, and time stamp with all adds, changes, and deletes throughout Product. (D)
3. The audit trail should include all batch changes. (D)
4. The audit trail should include all import and export file actions. (D)
5. The audit trail should be readable by a vendor-supplied or third-party query tool. (D)

6.2 Workstation Client

1. Product client must run simultaneously with other common clients and applications on a single workstation. (M)
2. List supported client platforms. Describe minimum and recommended configurations. Include CPU model and speed, RAM usage, OS version, and disk space. The Windows 95 client should be 32-bit compliant.
3. The system should support a non-graphical text-based interface. Describe. (D)
4. The system should support a user-friendly graphical interface. (D)
5. Is a browser version of the client supported? How does its functionality compare to your other clients?
6. What additional client system software is recommended or required to run in conjunction with Product?
7. What additional client system hardware is recommended or required to optimize performance of Product?
8. Multiple copies of client should run simultaneously from a single workstation. (D)

6.3 Presentation

6.3.1 Online Help

1. The Product should have complete context-sensitive online help documentation across all subsystems. Online help should be searchable. (D)
2. Updates to the online help should be delivered with changes and updates to the Product. (D)
3. Online help should be easily modified by the Purchaser through an editing interface built into the Product. (D)
4. Locally modified online help should be protected from overlay by Product updates. (D)

6.3.2 User Interface

1. The Product must consist of integrated functions with a single point of entry. (M)
2. Client should adhere to common industry human-interface guidelines for windows, pull-down menus, toolbars, and mouse operations. (D)
3. Screen layout/design should be clear and consistent across all functions. Terminology, function keys, icons, etc., should be consistently applied across all functions. (D)
4. It should be possible to access any record without the need to exit a particular function. (D)
5. Users and staff should be able to simply and quickly switch between different client windows. The system should support ease of movement between public and technical mode. (D)
6. Users and staff should be able to switch between the client and another application using standard operating system procedures. (D)
7. The client should allow for queries from additional windows, while maintaining the current input screen. (D)

6.3.3 Customization

1. Staff and users should be able to define and save for future use presentations (screen displays) built from any database elements based on their access rights. (D)
2. Application Administrator should be able to set customization rights for individuals and groups. (D)
3. Users should be able to set basic environmental parameters, i.e., colors, sort order, etc. (D)

6.3.4 Input

1. Describe any editing tools your system provides including but not limited to:
 - a) ability to cut and paste across separate files or databases
 - b) ability to move among associated or linked records while editing
 - c) ability to display, re-size, move, cut and paste among multiple windows
 - d) key-stroke, command line, or button-bar equivalents for editing and processing functions
 - e) special record-editing functions such as erase-end-of-field, word wrap, add/insert line, reformat, end-of-field mark
2. The client should support one or multiple levels of undo. (D)

3. Data entry should facilitate minimal keystrokes, including the optional selection of input from a list. (D)
4. Does the system provide the ability to create and store input templates for use in record creation?

6.3.5 Data Entry Error Detection and Correction

1. Warnings should be given for improbable data. (D)
2. Warnings should be given for chronologically ambiguous data. (D)
3. Error alerts should be obvious and clearly explain problem. (D)
4. Describe the system's general approach to validation of records and data within records. Specify whether validation routines change according to input method (e.g., import of a record vs. direct input by staff).
5. Does the system provide online, contextual help for all data validation tests?
6. The text of standard error messages should be customizable by library staff. (D)

6.4 General Application Software

1. The vendor must commit to UNICODE support for the import, export, creation, deletion, editing, storage, retrieval and display for CJK and for Arabic, Hebrew and Cyrillic. Outline the timetable for implementation of UNICODE. (M)
2. The system must be able to display the complete ALA character set with diacritics positioned correctly over the letter (not before or after). Explain how this is supported in the user OPAC and in technical functional modules. (M)
3. The system must provide a Z39.50 server and client. The system must demonstrate compliance with ANSI/NISO Z39.50-1995 by inter-operating over a TCP/IP line with another vendor's client software that is Z39.50-1995 compliant. (M)
4. Describe your compliance with library automation standards.
5. The Product should be modular in design to facilitate maintenance. (D)

6.5 Searching

Please specify if a feature discussed below is only available in the OPAC.

6.5.1 Search Engine

1. Describe the elements that are indexed in your system providing lists or other documentation as appropriate.

2. The system should allow locally defined data elements to be indexed in each index. (D)
3. Is it possible for an authorized staff member to define specialized indexes and store those index definitions and corresponding search keys on an as-needed basis? Across all data or limited only to some records?
4. Is it possible to define search features based on user categories and staff authorizations?
5. Is it possible to use, without rekeying, any part of a displayed record as the search argument for the next search?
6. The system should provide a visual cue or message to indicate that the system is working when a long search is in process. (D)
7. It should be possible to index, display and search for information using the URL in field 856. (D)
8. Is it possible for the system to create hypertext links between 856 fields, subfield u and the electronic object being referenced?
9. Which character sets and writing systems are supported for indexing?
10. A keyword search must cover all bibliographic fields determined in the local configuration, but there must be the option to limit the search to a specific field. (M)
11. The system should support both command- and menu-driven searching? Describe how your system meets this objective. (D)
12. The system should provide the ability to combine result sets from like (e.g., two author searches) or different (e.g., author and keyword) searches. (D)
13. The system should allow the user to select multiple headings from a search result screen or browse list for a combined display. (D)

6.5.2 Display of Search Results

1. Provide examples of screens that demonstrate your system's approach to the display of search results.
2. It must be possible to display, print and download any specific bibliographic record, range of records, or results set. (M)
3. The system should provide the ability to move forward and backward within an ordered list of data elements or list of records. (D)
4. It should be possible to see the format of an item from the index display. (D)
5. Multiple users or staff should be able to view a given record simultaneously, allow

technical and public information to display side by side, and have ability to turn off frames (e.g., Java) if desired. (D)

6. Describe how your system permits the ability to suppress a record from public view.
7. How does your system handle the retrieval of duplicate records—within one database and across several databases?
8. The search interface should be case insensitive with a configuration option. (D)
9. Is it possible to create and combine search sets for later manipulation, including the capability of saving search results sets and using as a component for a later search?
10. Does the system allow a user to return through previous search stages using a single keystroke?
11. Search results displays should include the number of hits associated with each term or phrase. Items in a search results display should be numbered in one list across all screens. (D)
12. Is relevancy ranking integrated with both OPAC and staff search result displays?

6.6 Database

6.6.1 General

1. The Product must be able to process input from multiple workstations, applying appropriate record locking to insure data integrity. (M)
2. If a change is made to the database, the Product must automatically update all affected records in real time. (M)
3. List and define all record types used in your system. Include screen prints. Include diagrams that show how all record types are linked or associated with each other.
4. The product must allow duplicate bibliographic records with identical standard numbers. Describe. (M)
5. The Product should use an open relational database that is ANSI SQL compliant. (D)
6. The Product should provide ODBC connectivity (Open Data Base Connectivity). (D)
7. Tools should be available to monitor and tune performance to ensure that users are receiving proper response time from the database. These tools must be online and non-disruptive. (D)
8. Tools should be available to diagnose and troubleshoot the database. These tools should be online and non-disruptive. (D)

9. Tools should be available to check system database integrity in both exclusive and shared-access modes. (D)
10. It should be possible to physically delete records from the database. (D)

6.6.2 Data Exchange

1. The Product should have well-defined and -documented applications program interfaces (APIs) that allow easy and secure import and export of data without program modifications to the Product. (D)
2. The system must support batch loading and export of bibliographic, authority, holdings, and patron records by tape, disk, CD-ROM, FTP or other electronic file transfer methods. Describe. (M)
3. How (such as by APIs and utilities) does your Product transfer data to external systems and databases?
4. How (such as by APIs and utilities) does your Product accept data from external systems and databases?
5. Does the system provide a facility for downloading or otherwise extracting data at a workstation in a standard format that is exchangeable for standard client products (e.g., MS Access or a POP client e-mail system)?
6. The Product should be able to export any file or portion of a file to ASCII format. (D)
7. Data should be exchangeable with external SQL systems. (D)

6.7 Report Writing

1. State the name of the reporting system used within your Product and indicate whether it is written and or maintained by a third party.
2. The system must provide a comprehensive and flexible report-writing function that supports library-staff generation of reports on any data element used by the system or created by functional activity, singly or in combination, for standard or customized time periods. Describe how your system meets this requirement. (M)
3. Library staff must be able to define and format specific reports without having to explicitly write SQL commands. Describe how staff use your report writer. (M)
4. The reporting system should be able to access and integrate data elements across functions, fiscal years, participating libraries, and time (i.e., the system should access archived as well as current data). (D)
5. Staff report definitions should be savable for easy future rerun. (D)

6. The system should be able to provide a wide variety of system use and performance data to authorized users including, but not limited to, terminal use statistics (by location, time period, type of transaction, etc.), response time for each type of basic function, and database-access statistics. Describe how your system meets this requirement, what system-performance data your system provides, and its format. (D)
7. The system should support pre-programming and scheduling of standard reports. (D)
8. The system should support a wide variety of statistical-analysis and data-manipulation capabilities, including the ability to calculate sums, differences, percents of change, and means. Describe your system's abilities in this area. (D)
9. A variety of output options should be available for reports including, but not limited to, printed in batch, printed to local printer, printed on demand, viewable online, and sent to e-mail, word processor, spreadsheet, or other database software. (D)
10. The system should provide a wide range of options for report formatting. Describe your system's abilities in this area. (D)

6.8 Performance

1. Is the Product capable of handling a minimum of seventy-five multiple simultaneous update users and two hundred inquiry users (local and/or remote) and transactions without significant degradation of Product performance?
2. What is the maximum number of multiple simultaneous update users and inquiry users (local and/or remote) that the Product can handle?
3. The system should have a time-out feature that can be adjusted by the Application Administrator by function. Describe. (D)
4. It should be possible to run multiple reports simultaneously and/or at peak periods without system performance degradation. (D)
5. Describe any operation that may cause a noticeable performance degradation to other users on the system.
6. Does the system ensure that batch update processing has successfully completed before allowing the related online update system to become functional?
7. How do we measure performance of the application and predict capacity changes?

7. Subsystem Specifications

7.1 Online Public Access Catalog (OPAC)

NOTE: If there are several interfaces available (e.g., Windows, Macintosh, Web), we will assume that your answers to any question listed below apply to all of those interfaces. Note any exceptions to this assumption in your answers.

7.1.1 General Considerations

1. The system must support, within a single interface, multiple databases/datasets, mounted locally and remotely. Describe the capabilities of the system to support non-traditional databases. (M)
2. The system must provide the ability to assign varying restriction levels to specific databases based on patron information, location of workstation, and/or number of simultaneous users allowed. (M)
3. The system should allow access to the OPAC through a broad variety of current standard protocols and interfaces. Indicate which of the following your system supports. (D)
 - a) vendor-supplied graphical user interface for current versions of Windows
 - b) vendor-supplied graphical user interface for current versions of MacOS
 - c) World Wide Web interface that can interact with standard Web browsers such as Netscape, Internet Explorer, and Lynx
 - d) access from any standard HTTP or Z39.50 client software
 - e) terminal-based interface for telnet access
 - f) dial-in access
5. The system should, as a configurable option, allow staff to log on at any workstation in order to have secure access to a personal profile or search history or to gain access to the staff mode. Describe. (D)
6. Describe any additional system search capabilities, including any of the newer searching features such as natural language querying, fuzzy matching, relevance feedback, etc. (D)
7. The system should provide a secured interface between the OPAC and patron files that will allow patrons to access personal circulation information (e.g., books checked out, overdue, recalled, etc.). (D)
8. Describe and illustrate your system's rules for determining sort, display, and index order. Are numbers treated as characters or digits? Include some examples of music records in your illustration.
9. Provide OPAC performance benchmarks.

7.1.2 Ease of Use

1. The system should provide keyboard equivalents for primary commands. Explain how these are indicated to the user. (D)
2. The system should provide the ability to locally customize the contents and display of the menu, search, and result screens. Describe the level of customization possible. (D)
3. The system should indicate (through color change or other mechanism) items that the user has already viewed. (D)
4. Describe how the system allows for movement between databases.
5. Describe how your system allows movement between various OPAC screens/functions.
6. The system should allow the user to save a profile that might include search strategies, locally configured output format, etc. Describe the capabilities and process. (D)
7. Database search screens and specific search strategies should be referenced by URL or similar addressing scheme to allow bookmarking of searches or linking to a specified URL to launch a database or execute a search. Describe the capabilities and process. (D)
8. The system should provide support for visually impaired users. Describe. (D)
9. Describe how your system indicates the number of screens or pages of a bibliographic record or list and the user's position within that record or list.
10. Search terms should be highlighted in record displays. (D)
11. The system should permit the user to choose from among multiple language interfaces. Specify languages supported or process by which multiple language interfaces are supported. (D)

7.1.3 User Help Capabilities

1. The system should provide the ability to customize, add or suppress commands, help screens, menus, and documentation at the system level for default profiles and at the workstation for session profiles. (D)
2. The system should have online prompts/icons for available commands. Are they customizable? (D)
3. Context-specific help and error messages within the OPAC should be clear and should include such things as type of search, size of results, etc. (D)
4. The system should allow users to access library addresses, phone numbers, maps, and other related information for the locations associated with any item without affecting the functions in progress. (D)

5. The system should provide the ability for the system administrator to broadcast announcements or news to users. (D)
6. The system should allow patrons to initiate requests or to contact library staff (e.g., patron-initiated recall, interlibrary loan requests, electronic reference, suggestion box, etc.). Explain what is possible and to what extent these features are customizable. (D)

7.1.4 Searching Capabilities

1. The system must support Boolean operators in a keyword search. List the keyword operators supported by the system. (M)
2. The system should support proximity (e.g., adjacent, near) operators in a keyword search. List the keyword operators supported by the system. (D)
3. The system should allow local definition of a default keyword operator. (D)
4. The system should allow the user to perform a multi-cast search across multiple databases. The user should be able to define at the workstation a single database or group of databases to be searched. (D)
5. The system should provide hot links to redirect a search to other authors, titles, or subjects in a bibliographic record (tracings). Describe, including the level to which this is customizable. (D)
6. The OPAC should provide the ability to redirect a search based on entries in an authority file (such as subject headings and uniform titles) without retyping. (D)
7. The system should display cross-references for entries in an authority file such as subject headings and uniform titles. (D)
8. Users should be able to search for subject terms either in an individual thesaurus or generally through all thesauri. For example, the term “labor” could be searched generally or limited to MeSH subject headings. (D)
9. The system must support unqualified keyword searches as well as sophisticated keyword search strategies (including parentheses and multiple operators). (M)
10. The system should provide the ability to search with multiple qualifiers simultaneously (e.g., title and publication type and range of publication dates). (D)
11. The system should automatically ignore stop words in a keyword search. Are stop words defined locally? (D)
12. The system should support a variety of search strategies. Does your product support each of the following? (D)
 - a) wild-card searching

- b) left-to-right matches with automatic right-hand truncation
 - c) left-to-right matches without automatic right-hand truncation
 - d) internal truncation
 - e) searching for terms in any position within a field
 - f) non-Boolean operations such as greater than, less than, equal to
 - g) nested logic for Boolean operations
13. The system should have the ability to search phrases. In which indexes can this be done? (D)
 14. The system should support natural-language searching. Describe the capabilities of your product. (D)
 15. The system should provide a spell-checker for search statements and should suggest alternate spellings. (D)
 16. The system should maintain a search history for the session that may be saved and reused in the same or later sessions, in the same or different databases within the system. Describe the options for storing these histories (e.g., on the host system, floppy disk, etc.). (D)
 17. The system should allow the user to interrupt a search in progress and should provide the searcher with possible options for next steps (narrow the search, terminate the search, examine a part of the results, continue the search). Can an interrupted search be resumed without rekeying the search? (D)
 18. The system should allow the user to edit previous search statements without full retyping. (D)
 19. The system should support location-based searching. Is it possible to define a specific location or group of locations as the default to be searched or excluded at a given workstation? Can the user change this default at the individual workstation? (D)
 20. The system should assign numbers to individual search statements which can then be used as search elements in subsequent search statements. (D)

7.1.5 Limiting Searches

1. Users should be able to limit searches by a variety of factors. List all methods available to users to limit searching. (D)
2. The user should be able to limit searches by a range of variables (e.g., 1981-1994). (D)
3. It should be possible to limit a search by more than one parameter at a time. (e.g., language and date). Are multiple qualifiers applied as filters or as merged searches? Can parameters be saved and applied for the duration of a session? (D)

4. If a limited search retrieves a null set, the system should prompt the user to re-execute the search without limits. (D)

7.1.6 Output Capabilities

NOTE: In responding to the criteria in this section, state which output options are supported (e.g., screen display, print, download, and e-mail).

1. The system should provide the ability to locally customize output, including format and content. Describe the extent to which output format can be customized. (D)
2. The system should offer the ability to locally customize output at both the system level for default and at the workstation for individual session. (D)
3. The system should output status information whenever item-level information is available. Some examples of status information might include: Acquisitions status—on order, in process, etc.; Circulation status—checked-out, recalled, lost, etc.; Bindery status—in transit, etc. Can the terminology in these status messages be locally determined? (D)
4. The system should provide an integrated display that pulls data from all appropriate records with a variety of output options. List the options available. (D)
5. The system should output full holdings for serials and monographic sets. Each campus library/department where a search is performed should have the ability to have its own holdings appear before other locations' holdings. (D)
6. The system should identify and output local and remote holdings and availability of items retrieved through a search of locally loaded and remote databases. Describe the system process. (D)
7. Can the system output tables of contents, graphics, full text, etc.
8. The system should output alternative record forms (e.g., brief, long, MARC). (D)
9. The system should support display of online images and embedded audio and video components. (D)
10. The system should provide for library-defined mapping of MARC records to the OPAC output. (D)
11. Output should include the search performed, the number of hits for each search, document type (e.g., book, serials, microform, etc.), database identification, etc. Detail the default output and the level to which it can be locally customized. (D)

12. The system should allow the user to specify a download format for printing or import to database software. Does the system supply any pre-defined formats for existing database software packages? (D)
13. The system should allow the user to sort search results by fields selected by the user (e.g., by author, by date, by location, etc.) and by relevance. Describe how relevance rankings are determined. (D)
14. The system should allow customized current-awareness services (i.e., SDI). Describe this capability and the level to which reports may be customized at the system and user levels. (D)

7.1.7 Reports and Notices

1. The system should produce counts, lists and other statistical reports monitoring search activity, either singly or in combination with each other, and for standard or customized time periods (including comparable data from previous years). Describe/list. (D)
2. The system should have the capability of logging all search statements and other functions (e.g., printing, downloading). (D)
3. The system should have the capability to print large search files offline (e.g., holdings list by location). (D)
4. The system should provide a report when a threshold of failed connections to Internet resources is reached. (D)

7.2 Cataloging and Authority Control

NOTE: In this document, the terms bibliographic record, authority record, holdings record, item/piece record and the like are used for convenience in reference. No assumption is made about the data structure.

7.2.1 General Features

1. The system must allow creation, editing and deletion of records in standard communications formats (dependent on type of record—i.e., USMARC communications format for bibliographic, authority, holdings records). (M)
2. Which character sets and writing systems are supported for record creation and editing?
3. The system must have cataloging functionality supporting creation and validation of full MARC fields for all formats, including locally defined MARC fields. (M)
4. The system must have the ability to create new records by direct keying, importing from utilities, batch loading, and deriving from existing records. (M)

5. The system should allow direct movement from display of the bibliographic record to its related holding and item/piece information. Does the system allow these to be viewed at the same time? (D)
6. The system should dynamically update both public and staff displays when bibliographic records, holdings, and item/piece information are “deleted” from the system. (D)
7. The system should support locally defined MARC-like records and provide the option of including them in the main OPAC or in a separate database, accessible through the OPAC. (D)
8. The system should support the use of locally mounted resource files, available to staff but not viewable in the OPAC. Describe how your system meets this objective. (D)
9. The system should be able to support multiple versions (formats and/or editions) of the same work on the same record or on separate records according to library policy. Describe how your system handles this. (D)
10. Does the system provide descriptive menus of available options for each MARC field for bibliographic, authority, and holdings records which can be consulted as that field is being edited?
11. Does the system support local creation, batch loading, and online editing of table-of-contents data? Describe how your system handles this process.
12. The system should produce collection counts, lists, and other statistical reports that measure activity for standard (for example, to date, monthly, annually) or customized time periods. List the reports that are available and provide examples. (D)
13. Does the system have the ability to control printing of cards?

7.2.2 Record Display in Technical Mode

1. The system should have the capability to display all data in every field in any record upon retrieval of that record in technical mode (including all MARC tags, indicators and subfield codes), with proper authorization. (D)
2. The system should display default information from the bibliographic record in holdings and item/piece record displays (for example, record type, unique record number, main entry, title, imprint, series). Describe. (D)
3. Does the system allow customization of record displays in technical mode? Is it possible to customize the display constants for MARC data in fields 006, 007, 008? (D)
4. Describe the retrieval and display options related to authority records, including any options to link to bibliographic records.

5. In technical mode, the system should display all cross-references whether in use or not. (Cross-references not in use should not display in public mode.) Describe. (D)
6. When records are suppressed from OPAC display, the records should remain searchable in technical mode. (D)
7. Does the system allow fields within a tag group to be re-ordered in an individual bibliographic record by an authorized user? Does the system retain the user-defined display order when the record is subsequently displayed?
8. Does the system support hypertext coding within records?
 - a) Is it possible to set the default display of hypertext coding?
 - b) Does the system allow staff to override the default display or suppression of hypertext coding through a toggle mechanism? Can this be set by individual record or for an editing session?
9. Is it possible for the system to create a notation indicating the thesaurus used for each subject heading and each subject cross-reference in technical display for any display of:
 - a) authority headings,
 - b) bibliographic headings,
 - c) a combination of authority and bibliographic headings?
 Describe.

7.2.3. Associations Between Linking Entry Fields

1. The system should have the ability to link separate bibliographic records for retrieval and display by means of USMARC-defined linking entry fields 76X - 78X. Describe how your system meets this objective. In both staff function and the OPAC, the system should be able to establish a link regardless of bibliographic format. (D)

7.2.4. Authority Control

1. The system must have authority control capability, conforming to the MARC format for authorities. (M)
2. The system should allow authority records to be locally input, validated, and modified (D)
3. The system should allow the LC authority files to be locally mounted. Describe how your system meets this objective. (D)
4. The system should support multiple subject thesauri and subject headings. Indicate which of the following thesauri are supported: (D)
 - a) LCSH
 - b) MeSH
 - c) LC Children's
 - d) NASA thesaurus

e) Form/genre terms

5. The system should provide for the addition of cross-references between and among thesauri (e.g., a “see also” from a MeSH term to an LC term). Describe how your system meets this objective. (D)

7.2.5 Interaction Between Authority and Bibliographic Records

1. The system should provide the capability of automatically matching headings in bibliographic records with authority records for the purpose of establishing a dynamic link or relationship between the two. This function should be able to be engaged or disengaged by the library. Describe how your system meets this objective. (D)
2. Describe the algorithms used to match bibliographic and authority headings and to link bibliographic headings and authority records, including any local customization options.
3. It should be possible to define which fields and subfields in the bibliographic record are under authority control. (D)
4. The system should link subjects in bibliographic records only with authority records in the same thesaurus (for example, an LC subject should link only to an LC subject authority record, a MeSH subject only to a MeSH subject authority record). Describe how your system meets this objective. (D)
5. Is the system capable of distinguishing among headings and references that differ only in punctuation? For example, could the system distinguish between the heading “Milwaukee (Wis.)” and the see-reference “Milwaukee, Wis.”? Describe.
6. The system’s authority-control features should be fully integrated with record input/edit routines. Describe the interactive authority-control features of the system, including any provisions for automatic record creation or editing. (D)
7. The system should have the capability of automatically substituting the valid heading for a leading portion of a bibliographic heading which is an exact match to a cross-reference at a subfield boundary. The system should retain any trailing subfields in the bibliographic heading. These functions should be able to be engaged or disengaged by the library. Describe how your system meets these objectives. (D)
8. The system should enable authorized staff to manually delete an authority record with bibliographic links to it. The system should generate an online warning prompt to confirm that the staff member intends to complete this action. (D)
9. Does the system allow multiple authority records for the same normalized form? Examples include: the same subject heading in multiple thesauri, the same heading used both as a name and as a subject (Parks \$z Canada as a topical subject, and Parks Canada, a corporate name). Describe.

10. List all validation reports available related to the matching and linking of bibliographic headings and authority records.

7.2.6 Global Changes

1. Describe how your system supports global changes to tags, indicators, fields, subfields (in bibliographic and authority records), a portion of a field, based on character string matching, or specified data elements in other record types. Provide descriptions of all record-identification algorithms.
2. Does the system support both automatic and staff-generated global changes?
3. Describe how your system supports global changes to holdings and item/piece information.
4. It should be possible, at staff option, to review changes record by record, with permanent change taking place only after staff confirmation. (D)
5. List all reports available related to staff-generated and automatic global changes. Include conditions reported and customization available.

7.2.7 Call Number, Location, and Other Copy-Specific Information

1. The system must be able to store, display and sort, and edit: (M)
 - a) Library of Congress call number
 - b) Superintendent of Documents call number
 - c) local call number
 - d) Dewey Decimal call number
 - e) UN document call number
 - f) SWANK number
 - g) Accession number call number
 - h) Technical Reports number
2. The system must have the ability to store, display and sort different call numbers for the same bibliographic record, both for a single location and for different locations. The system must have the ability to sort, store and display multiple call numbers of the same classification type (for example: multiple SUDOCS numbers). Describe how your system meets this objective (M)
3. The system must support the ability to define multiple holdings locations. The system must support multiple sub-locations for every location. These locations must be locally definable. Describe any limits on the number of locations and sub-locations the system supports. (M)
4. The system's call-number searching and browsing functions must support online shelf listing. Describe how your system meets these objectives. (M)

5. The system should provide the ability to designate a copy as “on order” or “in process.” These copies should be fully indexed and searchable. (D)
6. The system should provide the ability to easily change the location of an item. (D)
7. Use and public display of copy numbers should be optional. (D)
8. Does the system flag call numbers that do not conform to formatting standards when they are entered? If it does flag such records, does it block those call numbers from indexing? Describe.
9. Does the system allow places for free-text notes, both displaying and non-displaying, for titles as a whole or for individual copies?
10. Does the system provide a means to indicate when a call number or location was updated? Describe.
11. Does the system provide a means to flag records for reports, particularly for future “to do” lists?
12. Does the system allow musical sharps and flats in call numbers? If yes, how does it index them and how do they display?

7.2.8 MARC Holdings Information

1. The system must support USMARC format for holdings data. The system must support all four holdings levels as described in the NISO standards. At level 4, this includes detailed holdings information in either itemized or compressed form or a combination of the two, in one or more of the 853-855 captions and patterns, 863-865 enumeration and chronology, and 866-868 textual-holdings fields. All MARC tags, indicators and subfields must be displayed in technical mode. Appropriate MARC fields must display in the OPAC. (M)
2. The system must support creation, editing, validation, deletion and storage of all MARC holdings related to a bibliographic entity, and it must have the ability to link MARC holdings information to bibliographic records. (M)
3. Is there a maximum number of MARC holdings statements that may be attached to a related bibliographic record?
4. The system should provide the ability to suppress MARC holdings information and item/piece information from display and indexing in public mode without suppressing display and indexing in technical mode. (D)
5. The system should easily allow reordering of copies and associated MARC holdings records. (D)

6. The system should provide the ability to easily move MARC holdings information from one bibliographic record to another, or to a different copy on the same record. (D)
7. The default sort order of MARC holdings statements should be able to be specified. Describe how your system meets this objective. (D)
8. Does MARC holdings information automatically update during related processing functions, including the following?
 - a) Serials check-in
 - b) Bindery
 - c) Circulation (e.g., when an item is lost and not replaced)
9. Does the system order the display of MARC holdings 85X and 86X fields according to subfield 8 values within each tag group? Describe.

7.2.9 Item/Piece Information

1. The system must support the creation and storage of all physical item/piece information related to a bibliographic entity. Describe how your system meets this objective. (M)
2. The system must allow bar-code numbers to be scanned or typed into records. The system must validate item bar code numbers. (M)
3. The system must support batch creation of item ID numbers according to predefined ID number ranges. In addition, it must be possible to create output that can be used by a vendor to create smart barcodes. Describe how your system meets this objective. (M)
4. The system should provide a summary display of item/piece records when more than one item/piece record is linked to a single bibliographic record. Describe how your system meets this objective. (D)
5. The system should provide the ability to move an item/piece or group of item/pieces from one title or copy to another, including the ability to move multiple item/piece records without researching for the record, and the ability to move a single item/piece, selected item/pieces, or all item/pieces in a single operation. Describe how your system meets this objective. (D)
6. The system should allow the location of an individual piece to be altered, temporarily or permanently, either to a sub-location of a department or to an entirely different location. When temporarily located, the permanent location should be retained. Describe how your system meets this objective. (D)
7. The system should allow at least forty characters of space for piece-specific call number information (volume number, etc.). (D)
8. For multi-volume copies, it should be possible to assign different locations to portions of the holdings (e.g., assign v.1-94 to Main and v.95-137 to Business). Describe how your

system meets this objective. How would the system display a large number of items in a temporary location? (D)

9. Does the system accommodate the need to link one physical item to multiple bibliographic records? Describe.
10. Does the system provide the ability to replace one barcode with another without losing pre-existing links to item/piece, circulation, and acquisitions information? Describe.
11. Does the system allow specification of the number of pieces connected to one barcode (e.g., maps in pocket) and have a place for comments about these pieces? Describe.
12. Does the system provide the option for item/piece records to have “sub-items” with barcodes which could be nested (e.g., music score with multiple parts or a book with accompanying diskette)? Describe.
13. Is it possible to specify the default sort order of item/piece records within a holdings statement for both public and technical display modes? Is it possible to set the default sort order for item/piece records by line number and by enumeration/chronology? Describe.
14. Does the system automatically re-order the display order of item/piece records upon creation of new item/piece records, or an editing change to enumeration/chronology data?
15. Does the system provide the ability to specify why holdings or item/pieces are being suppressed from public display? What specific types of suppression can be noted? Is it possible to obtain reports of suppressed holdings based on the reason for suppression?

7.2.10 Import, Export, Batch Loading in General

1. The system must have the ability to accept records from and generate records that can be accepted by external systems, which must include, but not be limited to, the following: (M)
 - a) OCLC
 - b) RLIN
 - c) Marcive and GPO
 - d) Library of Congress Subject and Name Authorities
 - e) Vendor systems that are capable of creating MARC-compliant records
 - f) Campus systems such as the Registrar for student data, or the Personnel data system for staff and faculty

Indicate which of the above your system supports.

2. The system must provide for batch loading of files from OCLC, RLIN, LC (LC Subject and LC Name), NLM (MeSH), GPO and Marcive. Describe how you can accommodate this local need. (M)
3. The system must support the extraction and export of standards-compliant MARC records including call-number information. (M)

4. Record size and structure should allow the export of standards-compliant records without loss of data. (D)
5. The system must provide matching algorithms for importing records and allow their local customization. Matching algorithms must be specific to each MARC record format. Describe how your system meets this requirement. (M)
6. The system should support retrieval and overlay of records from both external sources and local files, with a broad range of local options for retention of designated fields and retention of links to other record types when overlay occurs. Describe how your system would do this. (D)
7. The system should be able to provide the option of blocking automatic overlay based on information in an existing record. Describe how your system would do this. (D)
8. The system should be capable of generating locally customizable condition reports related to the batch load of each type of record. List all condition reports your system can generate that are related to the batch load of each type of record. For each report, detail the conditions reported, how the condition is detected and what local customization is available. (D)

7.2.11 Loading and Exporting Bibliographic and Authority Records

1. Describe how the system imports a bibliographic record in real time, including any data validation routines and record-matching algorithms.
2. When a new bibliographic record is imported into the system, the system should provide the option of creating a holdings record which can be customized. (D)
3. When a new bibliographic record is imported into the system, the system should provide the option of creating an item/piece record which can be customized. (D)
4. Describe the validation routines for incoming records, including on-screen alerts or batch reports and any mechanism for blocking incoming records if they do not meet specified conditions. (D)
5. The system should have the capability of loading and displaying a bibliographic utility's unique authority-record number (for example, OCLC's ARN) in a field of an authority record (for example, 035). (D)
6. The default batch loading of authority records should be based on Leader byte 05 (Record status) indicated on the incoming record.
7. The system should not load authority records when the system number on the incoming record matches an obsolete or invalid system number in an existing record. The system should generate a report on this condition. (D)

7.3 Acquisitions and Serials Control

7.3.1 General

1. Acquisitions and Serials Control subsystems must be fully integrated with the total library management system. Describe the integration between relevant subsystems. (M)
2. The acquisitions and serials control subsystems must include ordering, invoicing/payments, claiming, check-in and audit functions. Information available from within these functions must include bibliographic, copy, holdings, and item data. (M)
3. The system must provide ease of movement between order, payment, and receipt screens. (M)
4. For staff, the system must display complete order information and brief bibliographic information (M).
5. For public, the system must display open orders/status of orders, missing issues, and check-in information. (M)
6. The system should provide intuitive links among related records. How are receipt, payment, and claiming interrelated? (D)
7. The system should have the ability to upload and store currency conversion factors, to calculate the cost of an order, and to re-calculate currency conversion at the time of payment. (D)

7.3.2 Acquisitions and Ordering

1. The system must link order records to specific bibliographic records and to a specific copy assigned to the bibliographic record. (M)
2. The system must permit ongoing data input in open orders. (M)
3. The system must handle multiple orders, including multiple locations and funds, on one bibliographic record. Describe your system's capabilities in this area. (M)
4. The system should permit the re-creation of a printed purchase order once the original purchase order has been generated. (D)
5. The system should accommodate creation of an order and ongoing check-in record(s) for items not requiring purchase orders or invoices (e.g., approval orders, phone orders, faxes, electronic orders; gifts, samples, depository items). (D)
6. The system must accommodate cancellation or closing of orders and deletion of orders on demand. (M)

7. The system must provide for the generation of customizable purchase orders by various print and electronic methods. (M)
8. The system must support the storage, indexing, display and deletion of vendor data for use in ordering, claiming, returning, and payment of invoices, and include a search function for vendor data. (M)
9. The system must provide space for addresses compliant with US postal regulations, and be able to specify functions of address (e.g., returns/claims/orders/payments). Describe how your system stores and uses multiple addresses for the same vendor. (M)
10. Describe ways order records can be searched and/or manipulated, such as searchable fields, and capabilities for moving around in an order record.
11. The system should support an online selection request function. Describe. (D)

7.3.3 Receiving/Serials Check-in

1. The system must have the ability to record a description of each item received, including (but not limited to) enumeration and chronology where appropriate. (M)
2. All check-in features and functions must be independent of bibliographic formats. (M)
3. The system should have the ability to create multiple check-in records for a single copy of a title. The system should accommodate check-in for multiple entities of a given title; for example, one subscription to a title includes bound volumes, pocket parts, pamphlet supplements, legislative service, and possibly other parts, each on a regular or irregular basis, and each needs its own receiving record. Describe how your system accommodates multiple continuing parts for a single title. (D)
4. The system must allow check-in of items out of pattern or numerical sequence and rearrangement of receipts for display purposes. (M)
5. Holdings-location information should be available throughout the check-in process. (D)
6. The system should support recording and receipt of items via scanning of the SISAC and/or UPC barcode. (D)
7. The system must support the ability to do decentralized check-in (i.e., at each holding location). (M)
8. The predictive check-in system must support the ability to create prediction patterns and must provide a clear link to prediction pattern from receipt record. (M)
9. In the predictive check-in system, the enumeration (volume/issue, etc.) and chronology (year, month, day, etc.) of the next expected issue must be system-supplied and must be supported by the USMARC holdings format at holdings level 4. (M)

10. The system must support predictive check-in for all publication patterns with any predictable regularity, allowing for issues received out of sequence, indexes, supplements, and combined numbers, as well as manual check-in of irregular serials and other variations such as unnumbered issues, replacements. (M)

7.3.4 Search Capabilities

1. The system must allow searching by standard numbers, such as ISBN, ISSN, LCCN, record ID. (M)
2. The system must provide the ability to search for invoice records. What fields are searchable in your system? (M)

7.3.5 Record Creation/Editing/Updating/Holdings Maintenance

1. Describe any automated updating which may result from interaction between serials check-in, binding and holdings records.
2. The system should have the ability to adjust receipt information without losing original check-in date. (D)
3. The system should have the ability to compress receipts without losing receipt history. (D)
4. The system should provide a way to transfer order and other related records to a different bibliographic record. (D)

7.3.6 Electronic Outputs/Links to External Systems

1. The system should have the ability to import, export, create and edit bibliographic, order, check-in, claim and invoice records electronically in standard communications formats such as BISAC/SISAC, EDI/EDIFACT, and Z39.50. (D)
2. The system must have a defined API to allow for an interface with the University of Iowa's financial system and to reconcile library fiscal data to university fiscal data. Purchaser must have the ability to locally define the Product's interface. Describe. (M)

7.3.7 Claiming

1. The system must have the ability to generate claims and other memos on demand. (M)
2. The system should allow the library to define codes that will expand into text on claims and memos. (D)
3. The system or an operator should be able to set the date a claim will be appropriate regardless of type of material, to delete this date if the item is received before the claim date expires, or to change it if further time is needed. (D)

4. The system must have the ability to automatically include certain elements including, but not limited to, current date, library division responsible for creation, order initiation date, purchase-order number, title, author (if appropriate) on every claim/memo. (M)
5. The system should maintain claim history. (D)

7.3.8 Reporting

1. The system should produce accurate counts, lists, and other sortable (and delimited alphanumerically where appropriate) statistical reports of all types of orders, receipts, and funding information, which cover standard or library-defined time periods. Describe the elements for which your system supports reporting. (D)
2. The system must have the ability to produce a list of items needing claims or follow-up (M)
3. The system should have the ability to report on items encumbered or paid from a given fund. (D)

7.3.9 Invoice Processing/Fund Accounting

1. The system must provide online real-time invoicing and fund accounting fully integrated with acquisitions- and serials-management systems. (M)
2. The system must support a variety of payment options List the options. (M)
3. The system must support a variety of invoicing options (e.g., payments direct to invoice). (M)
4. The fund accounting system must be able to store, dynamically retrieve and optionally compare fund allocations, expenditures and encumbrances for the current or past fiscal years. Describe how your system meets this requirement, including any reports that are generated. (M)
5. The system must offer the ability to encumber dollar amounts prior to expenditure. This encumbrance feature must be fully integrated with the fund accounting system and with the payments process. Describe how your system meets this requirement, including any reports or system alerts that are generated. (M)
6. An audit trail must be maintained for encumbrances, payments and invoice processing. (M)
7. The system must provide automatic and manual options for processing fund allocations that have not been spent at the end of a fiscal year. Rules governing fiscal year closing routines must be library and fund specific. (M)

8. The Product should support automatic creation of fund records by the system and manual creation of records by staff. (D)
9. The system must support validation routines for fund and vendor identifiers, reporting errors and offering the ability to override these routines. (M).
10. The system should be capable of calculating and reporting average annual costs and price increases for categories of material by type and fund, as well as forecast expenditures based on library-specified parameters. (D)

7.4 Circulation, Reserve, and Media Booking

7.4.1 Circulation Overview and Parameters

1. The system must have a circulation subsystem in which local circulation policies and parameters may be defined for and entered into the system by authorized library staff. Describe in detail how your system meets this requirement. Specify the parameters that are used to define and control circulation patterns and loan policies. (M)
2. The system must be able to identify a patron during a circulation transaction by the magstripes or scannable barcodes already affixed to UI libraries' patron cards, and by keyed elements including name, unique ID number, and SSN. The University uses CODE 39 with no check digit (e.g., 2 83 025 000 01 05). (M)
3. The system must be able to identify an item during a circulation transaction by the scannable barcodes already affixed to items in the UI libraries' collections. The University uses CODE 39 labels with a check digit (e.g., 3 1858 036 440 99#). (M)
4. The system should provide library staff control over wording of circulation status messages that appear in the OPAC (e.g., "returned 2-2-98; not yet reshelved"). (D)
5. The system must dynamically update all related and affected records/screens upon check-out, renewal, and check-in, including OPAC messages such as "checked out—due 5/27/99." (M)
6. In the OPAC, date-due information for minute/hour loans should display the time due, not just the date. Circulation status messages should display with each bibliographic record associated with that item. (D)
7. The system must allow override of the current date/time for check-out and check-in by session, not just per transaction. (M)
8. The system should provide a visual message and auditory signal when each check-out or check-in operation has been completed. (D)

9. The system should provide a visual and distinctive auditory signal for exception circumstances and when a circulation block is encountered. Show screens of visual signals. (D)
10. The system should allow authorized staff to adjust due dates, unblock privileges, override loan limits, override item statuses or conditions (e.g., non-circulating), and forgive charges. (D)
11. The system should allow function-key or command-driven alternatives to use of a mouse. Describe. (D)
12. The system should provide an inventory-control system, workable by collection (e.g., Art Library Reserve collection)? Describe. (D)

7.4.2 Check-out and Renewal

1. The system must provide an efficient check-out and renewal procedure with onscreen prompts for information. Show screens. (M)
2. The system must allow the ability to set due dates/times as indefinite, at a fixed date, in days, in hours, or in minutes. (M)
3. At check-out, the system must display on the screen at least the patron name, ID number, patron category, and any notes associated with the patron. The system must display each item on the screen as it is checked out or renewed and indicate the due date for the item. (M)
4. The system should be able to locally generate, on demand or by default, a date/time due slip at the time of check-out and renewal. Describe how your system meets this requirement and show a sample. (D)
5. The system should allow for check-out and renewal of material owned by one branch library at another branch library. Can this function be limited to supervisory staff and can portions or all of it be disabled completely? If so, describe how your system handles this. (D)
6. The system should have the ability to renew one, some, or all items from a patron's list of check-outs. Can this ability be limited to authorized staff? (D)

7.4.3 Check-in

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

3. The system must be able to locally generate a “receipt” at the time of check-in. Show a sample. (M)
4. The system must have the ability to automatically print a hold slip for a checked-in item that has a recall, hold, or page on it that should be routed to the hold shelf. Show a sample. (M)
5. The system should allow for check-in of material owned by one branch library at another branch library or library department (such as Binding). If your system has such a function, describe it. (D)

7.4.4 Recalls, Holds, and Pages

1. The system must be able to place a recall and hold on an item that is checked out and a page (hold) on an item that is not checked out but is being searched. The existence of a recall/hold/page must disallow check-out to anyone other than the next patron in the item’s recall/hold/page queue. Describe. (M)
2. The system should allow the placement of a “highest priority” recall, automatically subordinating previously placed recalls on the same item (e.g., for reserve). (D)
3. It should be possible to easily view the recall/hold queue for an item and to easily determine the identity of each requesting patron. Describe. (D)
4. It should be possible for a recall/hold to be placed on an item held in a library department (e.g., binding or cataloging), on an item currently in transit between library departments or branches, and on an item that is “on order” or “in process.” (D)
5. It should be easy to cancel recalls/holds after they are placed. (D)
6. Is it possible to place a page in one branch library for an item owned by another branch library resulting, actually, in a document-delivery request? Is this goal accomplished in some other way? If either is true, describe. (D)

7.4.5 Fines and Patron Accounting

1. The system must support automatic charging for the overdue return of items, for the replacement cost of unreturned items, for various sorts of “processing fees,” and for services such as document delivery, according to library-defined parameters set by authorized library staff. The system must also allow staff to create charges. Describe how your system meets this requirement. (M)
2. The system must support overdue fines that are billable by the minute, hour, day, overnight, week, semester, or as otherwise defined by the library. The system must support a clear distinction among fines associated with overdue recalled items, overdue reserve items, and regular overdue items for all calculations and reports. (M)

3. A patron's fine record (both online and on paper) must display not only the day but the time an item was due and returned for material circulating on an hourly or overnight basis. (M)
4. The system must retain in the patron billing record complete item information and complete circulation history of the transaction even if the item has subsequently been checked out to another patron or withdrawn. (M)
5. The system should support transfer of financial information to the University Bursar. Authorized staff should be able to modify standard charges before they are transferred to the Bursar. (D)

7.4.6 Patron Notices

1. The system must automatically produce overdue, recall, item available, and items to be fined/billed notices for patrons on schedules determined by library staff. The library must have the choice of which patron and item elements to include on notices and must have the ability to customize the format and wording of the notices. Describe how your system meets these requirements and provide examples of each notice. (M)
2. The system must allow the library to maintain several address records for each patron (e.g., campus and home), directing notices to whichever address is appropriate, determined by a library-maintained calendar. (M)
3. The system must allow for the sorting of notices by library-defined variables including circulating unit (e.g., each branch library), address type (e.g., campus vs. external mail), patron name, and type of notice. (M)
4. The system should have the ability to produce circulation notices locally, on demand at any staff workstation. (D)
5. It should be clear on patron and/or item records what notices have been sent, and when. Show screens. (D)

7.4.7 Statistics and Reports

1. The system must have the ability to provide statistical reports on circulation transactions, available online or printed on demand, for any data element defined by library staff for standard (e.g., to date, annually, monthly, daily, or by minute) or customized time periods. Describe how your system meets this requirement. (M)
2. Does the system have the ability to automatically track and report usage by course or instructor for items on reserve? (D)
3. The system must generate a variety of reports that support and allow the control of basic circulation functions (e.g., search lists) or report of system overrides. List the available reports and provide examples. (M)

4. Describe the extent to which library staff can determine the order, content, and format of circulation reports.

7.4.8 Patron Records

1. The system must support online, dynamic library-staff creation of patron records as well as their batch creation via import of patron information from Registrar, Personnel, etc. (M)
2. The system must support one patron having multiple and distinct loan privileges (e.g., for an employee who is also a graduate student) and must support an automatic system for determining loan privileges in these cases. Describe how your system meets this requirement. (M)
3. The system must support a variety of ways to search for a patron record. Describe how your system meets this requirement, what fields are searchable, and how your patron index works. (M)
4. The system must retain and allow display of expired patron records if circulation or financial records are still linked to them. (M)
5. Show each of your patron-record screens.
6. The system should provide the ability to automatically block a patron, based on library-defined parameters, to prevent circulation. The system should also provide the ability to manually block a patron from check-out privileges. The check-out screen should display a clear message describing the block. Describe how your system meets these requirements and provide a list of the conditions under which automatic blocks can be applied. (D)
7. Automatic blocks should lift immediately upon remediation of the blocking condition. (D)
8. Authorized staff must be able to enter information into a patron-record notes field that must display on the check-out screen. What is the length of the notes field? (M)
9. The system must support proxy patrons, in which, for example, a faculty member's graduate assistant can check out items for the faculty member with the faculty member becoming responsible for the item but the proxy's name continuing to be associated with the check-out. Describe how your system meets this requirement. (M)
10. The system must easily provide online display and printing of a sequentially numbered list of items a patron has checked out, overdue, recalled from him, claims returned/lost/stolen, and billed. Describe or show how your system meets this requirement. (M)

11. The system must easily provide online display and printing of a sequentially numbered list of items a patron has placed on recall, on hold, on search, or are available on the hold shelf for him. Show a screen. (M)

7.4.9 Item Records

1. The system must support the ability to link an item record to a bibliographic record for the purposes of item-level activity such as circulation. Provide screen prints of records, including those holding circulation/recall-type data when an item is checked out. (M)
2. The system must support the real-time circulation of uncataloged items. Describe how your system meets this requirement and show any records involved. (M)
3. Records supporting the circulation of uncataloged items must be immediately retrievable in technical mode. List indexed fields in technical mode, and whether, and by what fields, they can be searched in the OPAC. (M)
4. Item records must contain fields showing the circulation history of an item, including the last day/time the item was checked in/browsed, total number of check outs and browses, etc. Show all fields holding historical circulation data. (M)
5. Authorized staff must be able to enter information into item-record note fields which must display on the check-in screen. What is the length of the notes field? (M)

7.4.10 Back-up System

1. To process circulation transactions when the online system is not available, the Product should provide a backup system which handles check-out, check-in, and renewal. Describe this system. (D)

7.4.11 Patron-Initiated Services

1. The system should support the ability for patrons to check out and renew their own items online in an environment in which both barcoded and magstriped patron IDs are used and items are barcoded. Does the system provide an interface with the 3M Selfcheck product? If yes to either of these, describe the system. (D)
2. Patrons should be allowed to place and cancel their own recalls/holds online. (D)

7.4.12 Reserves

1. The system must provide an integrated reserve module with the ability to place items on reserve both temporarily and permanently. The system must provide the ability to create reserve records for existing cataloged items and for uncataloged items such as photocopies and personal copies. Reserve records must be dynamically updated. Describe how your system meets these requirements. (M)
2. Reserve items must be retrievable in the OPAC. List all searchable fields. (M)

3. In the OPAC the system must provide the ability for patrons to limit a search to one of many reserve locations and to see an entire course listing, then move to detailed information about a particular item. (M)
4. Non-current reserve lists should be maintained. (D)
5. The system should be able to produce a variety of reports that support or assist in the control of reserve activities (e.g., “pull for reserve” lists; lists of items on reserve for a particular course). The reports should be generated on demand by reserve unit. Show the reports the system can produce. (D)
6. Does your system have an electronic reserve component? Describe.

7.4.13 Media Booking

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

7.5 Interlibrary Loan and Document Delivery

1. The system should have an ILL/DD subsystem. If your system does, describe it. (D)
2. The system should support current ILL standards and protocols as well as any new changes or updates to them, such as Z39.63 NISO and ISO 10160/10161. (D)
3. The system should be compatible with and possess a seamless interface with existing ILL electronic utilities such as OCLC, RLIN, DOCLINE. List any. (D)
4. Will the system be able to interface with the ILL/Document Request server that is being developed by OCLC for CIC institutions?
5. The system should support unmediated user-initiated requests for materials including copies from fee-based document suppliers, either commercial vendors or on-campus/library document suppliers. Describe. (D)
6. If a user is requesting items from a non-local library catalog or from a commercial vendor, the system should, by default, search the local catalog and display locally held items before the request is accepted for processing at the remote site. (D)
7. The system should provide the option of routing such requests to a local staff review file before transmission to another institution, utility, or document provider. (D)
8. The system should allow routing/redirecting and handling of requests by multiple ILL/DD units and branch or independent libraries on the same campus. (D)
9. The system should support tracking and circulation of returnable items through the local circulation system. If so, describe. (D)

10. The system should provide a variety of reports that support and allow the control of basic interlibrary-loan functions (e.g., in-state vs. Out-of-state activity). List the available reports and provide examples. (D)
11. The document-request function should be integrated with the online catalog interface so that the patron does not need to leave the online catalog and go into a separate request function. (D)
12. The document-request function should be integrated into the searching of other Z39.50 catalogs and/or databases so that the patron does not have to leave the database search and go into a separate request function. (D)
13. The system should be able to capture or import the bibliographic information for a document request from a variety of sources. Describe/show what your system supports. (D)
14. The system should be able to automatically capture or import data from a local circulation or patron ID system into a document-request form. (D)
15. The request interface should support local fee and payment options (i.e., payment by user, additional fees, etc.). (D)
16. For materials available from commercial providers, the system should enable patrons to order directly from the provider, should maintain a record of the transaction in the local system, and should create a billing charge. (D)
17. The system should be able to receive requests in batch mode or real time from the OCLC ILL system, e-mail, Web forms, DOCLINE, CISTI, RLIN into the ILL/DD for processing. (D)
18. The system should automatically compare requested items coming from a remote system with the local OPAC and generate a retrieval slip with local call number or search slip if a match is found. Show sample. (D)
19. The report writer should provide collection-development data based on outgoing ILL requests. (D)
20. The system should be able to signal a copyright violation alert when the CONTU “rule of five” guideline is exceeded. Show. (D)
21. The system should provide a variety of reports to be generated for each ILL/DD unit on campus and for other consortia. The system should allow for flexibility in the creation of forms based on a variety of fields and variables (e.g., photocopy vs. loan, in-state vs. out-of-state). List available reports and provide examples. (D)

22. The ILL system should maintain statistics and be capable of generating reports on the time taken for ILL workforms to move from any specified status to another, based on an institution-by-institution selection or group of library-specified institutions. (D)

7.6 Preservation

Includes binding, marking and preservation functions in general.

1. The system should provide the ability to print book spine labels from holdings information. The system should provide the ability to customize the content and layout of spine labels at the library and/or workstation level. (D)
2. The system should provide a way to display and, when updated, dynamically change binding-status information for the public. (D)
3. The system should allow staff to flag a record so that they are notified when it is returned from the bindery. (D)
4. It should be possible to record, at staff discretion: (D)
 - a) the return of all items in a bindery shipment in one step,
 - b) the return of a range of items in a bindery shipment in one step, or
 - c) the item-by-item return of a shipment.
5. Recording the return of a bound serial volume from the bindery should trigger an automatic update of serial-holdings information. (D)
6. The system should have the ability to delete item records for any individual issues now in a bound volume while retaining the circulation information with the bound volume. (D)
7. The system should have the ability to collapse individual issue holdings into a single volume. (D)
8. The system should enable staff to generate notes in the OPAC based on condition assessment and preservation information (e.g., “Brittle—fragile item: must be handled with care”). (D)
9. It should be possible to generate printed or electronic bindery products, including alerts, with lists of items ready to go to the bindery, and reports of items overdue from the bindery. Show. (D)
10. The system should have the ability to generate online and printed reports based on condition assessment and preservation information. (D)
11. Bindery functions of the system should be fully integrated with circulation, serials management, and fund accounting. (D)

12. The bindery system should interface with standard commercial bindery software (such as LARS). (D)
13. The system should identify serial titles to be bound based on frequency, publication pattern, and library-determined binding specifications and should produce a printed or electronic alert list (for instance, when the first issue of a volume is received). (D)
14. It should be possible for the library to specify, at the title level, the algorithm for identifying items to be bound. (D)
15. The system should automatically produce lists of missing issues required before an item can be processed for binding. (D)
16. Older binding information should be archived after a library-specified time interval and should be retrievable by authorized library staff. (D)

8. System Migration and Implementation

8.1 Installation

1. Describe your expected schedule of events in the installation process. Include a timetable, beginning at Month 0, and continuing to full implementation.
2. How much advanced notice is needed to schedule installation?
3. What technical skills are required of the Purchaser to implement the Product on the server?
4. What technical skills are required of the Purchaser to implement the Product on a client workstation?
5. Who configures APIs (Iowa staff or vendor)?
6. Do vendor staff visit the UI libraries during initial installation?
7. Are vendor technical staff involved in the local installation of the system?

8.2 Acceptance

1. Describe your standard testing and acceptance process.
2. What is the warranty period for the Product?
3. What is covered during the warranty period?

8.3 Migration

1. Vendor should be able to migrate Purchaser's existing database connections (both locally housed and remote) to the Product. (D)
2. The system must be able to transfer all patron records, including name, SSN, ID number, and patron category, and all linked (attached to a bibliographic record) and unlinked item records, including collection (e.g., bound periodicals or reserve) and item status (e.g., non-circulating) information from the current system to the Product. Describe how your system meets this requirement. (M)
3. The system must be able to transfer from the current system all outstanding check-out/due date information. Describe how your system meets this requirement. (M)
4. Is the system able to transfer from the current system all outstanding recall, hold, and page (on search) information and all patron financial information? If so, describe. (D)

5. The vendor must provide conversion services for all other NOTIS records, MARC and non-MARC, in all subsystems to the new system. Describe how your system accomplishes this requirement. (M)
6. The vendor should provide the data formats required for the libraries to convert their own data to the new system formats. (D)
7. Describe the Vendor and Purchaser roles and responsibilities in data migration.
8. Describe the full system-migration plan, including timetables and parallel operation of the old and new system required.

8.4 Customization

1. If customization is necessary to meet Purchaser needs, how will this customization of the standard system alter warranties, receipt of updates, vendor support, training, etc.?
2. How are Purchaser-specific modifications incorporated into new system releases?

8.5 Post-Implementation

8.5.1 Support and Maintenance

1. Vendor must guarantee support for current releases of all databases and operating systems for the first twelve months after their release. (M)
2. What is Vendor's support mechanism for technical questions?
3. What are the hours (Central Time) and days of Vendor's live telephone support?
4. Technical questions submitted via electronic mail should receive a response within forty-eight hours. (D)
5. Vendor should be able to use a remote diagnostic tool to help resolve technical questions. (D)
6. Application problems should be communicated by electronic mail to Purchaser. (D)
7. Technical support should be available via the Internet, using mechanisms such as Telnet and FTP. (D)
8. How are problem fixes/patches distributed to purchasers and implemented?
9. What Purchaser's staff skills are required to maintain the system?
10. Vendor should provide an account representative. This person should be technically proficient and familiar with any system customizations made for Purchaser. (D)

8.5.2 Upgrades

1. Product upgrades must be included as part of annual maintenance fee. (M)
2. Customized portions of Product should move from old releases to updated releases without additional changes. (D)

8.5.3 Trouble Resolution

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

9. Costs

REQUEST FOR FINANCIAL QUOTE

Complete for a system to
support 200 Simultaneous Users

INSTRUCTIONS:

Supply a summary page of costs. Provide a separate, detailed page for items A through K (attached). Include detailed breakdowns and explanatory comments as appropriate. Include hardware quotes indicating whether you would provide the hardware or the hardware would be obtained from a third party.

TABLE 1: SYSTEM SUMMARY

	One-Time Cost	Monthly Maintenance	Monthly Lease Purchase
A. Recommended Central Hardware including Shipping (itemize)			
B. Recommended Workstation Configuration			
1. Staff workstation (per unit)			
2. Public Workstation (per unit)			
C. System Software (o.s.)			
D. Applications Software (itemize)			
E. Customization if required (e.g. expected hours and rate)			
F. System Installation			
G. Data Migration			
H. Maintenance (1 year for 7x 24 service; all options)			
I. Training (hours and rate)			
J. Documentation (extra copies)			
K. Other			

**TABLE A: RECOMMENDED CENTRAL HARDWARE INCLUDING SHIPPING
(ITEMIZE)**

<u>Quantity</u>	<u>Product Number</u>	<u>Product Description</u>	<u>Purchase Price</u>	<u>Monthly Maintenance Charge</u>
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TABLE B-1: RECOMMENDED STAFF WORKSTATION CONFIGURATION

<u>Product Number</u>	<u>Product Description</u>	<u>Purchase Price</u>	<u>Monthly Maintenance Charge</u>
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TABLE B-2: RECOMMENDED PUBLIC WORKSTATION CONFIGURATION

Product Number	Product Description	Purchase Price	Monthly Maintenance Charge
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TABLE C: SYSTEM SOFTWARE (O.S.)

<u>Quantity</u>	<u>Product Number</u>	<u>Product Description</u>	<u>Purchase Price</u>	<u>Monthly Maintenance Charge</u>
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TABLE D: APPLICATIONS SOFTWARE (ITEMIZE)

<u>Quantity</u>	<u>Product Number</u>	<u>Product Description</u>	<u>Purchase Price</u>	<u>Monthly Maintenance Charge</u>
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TABLE E: CUSTOMIZATION IF REQUIRED (e.g. EXPECTED HOURS AND RATE)

<u>Quantity</u>	<u>Product Number</u>	<u>Product Description</u>	<u>Purchase Price</u>	<u>Monthly Maintenance Charge</u>
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TABLE F-J: ADDITIONAL

	Quantity	Product Description	Purchase Price	Monthly Maintenance Charge
F. System Installation				
G. Data Migration				
H. Maintenance (1 year for 7 x 24 service; all options)				
I. Training (hrs and rate)				
J. Documentation (extra copies)				
K. Other				

**Proposals (with financial quotes) must be received at Purchasing by 3pm CDT
August 10, 1998:**

**Purchasing Department
University of Iowa
800 Jefferson Building
Iowa City, IA 52242**

Phone 319-335-0383