



**Request for Proposal  
#193308**

**MnPALS Library Management System**

Minnesota State Colleges & Universities -- MnPALS



**Minnesota State University, Mankato**

**Facilities Purchasing Office**

**Request for Proposal**

**MnPALS Library Management System**

**Return proposals to:**

Donna Hensel, Coordinator  
Minnesota State University, Mankato  
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415 Malin Street  
Mankato, MN 56001  
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Current Date: **12/03/15**

RFP Due Date:	01/29/2016
RFP Due Time:	2:00 p.m. CST
RFP Number:	193308

Name of Vendor Firm: \_\_\_\_\_

Firm Contact: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Signature of Authorized Agent: \_\_\_\_\_ Date: \_\_\_\_\_

**Proposals are being accepted by Minnesota State University, Mankato for a MnPALS Library Management System. See specifications in the RFP following.**

Minnesota State University, Mankato shall bear none of the costs incurred by any proposer or potential proposer in their preparation of the proposal documents or any visits to campus. All such costs are the responsibility of the proposer.

**SUBMISSION**

Proposals are to be submitted in a sealed envelope, plainly marked "Proposal No. 193308 & MnPALS Library Management System" along with the Company's name and date and time of the scheduled opening. Minnesota State University, Mankato, its employees, officers or agents shall not be responsible for any pre-opening or post-opening of any proposal not properly addressed and identified. Proposals made in pencil or forwarded using e-mail and the internet will be rejected.

## **LIABILITY**

Company agrees to indemnify and save and hold the University, its agents and employees harmless from any and all claims or causes of action arising from the performance of this agreement by Company or Company's agents or employees. This clause shall not be construed to bar any legal remedies Company may have for the University's failure to fulfill its obligations pursuant to this agreement.

## **ACCESSIBILITY: COMPLIANCE WITH AMERICANS WITH DISABILITIES ACT (ADA)**

The Company agrees that in occupying the premises as described herein, it is responsible for complying with the Americans with Disabilities Act, 42 U.S.C. section 12101, et seq., and any regulations promulgated pursuant to the Act. The University **IS NOT** responsible for issues or challenges related to compliance with the ADA beyond its own routine use of facilities, services, or other areas covered by the ADA.

This document is available in alternative format to individuals with disabilities by calling Donna Hensel at the Office of Facilities Purchasing 507-389-5016 or 800-627-3529 (TTY).

## **DISCLAIMER**

Issuance of this Request for Proposal in no way commits the University or its faculty or staff to enter into a contract for services outlined above. The University reserves the right to reject any or all Requests for Proposal submitted in response.

## **MINNESOTA DATA PRACTICES ACT**

The CONTRACTOR must comply with the Minnesota Government Data Practices Act, Minnesota Statutes Chapter 13, as it applies to all data provided by the STATE in accordance with this contract, and as it applies to all data, created, collected, received, stored, used, maintained, or disseminated by the CONTRACTOR in accordance with this contract. The civil remedies of Minnesota Statutes Section 13.08, apply to the release of the data referred to in this Article by either the CONTRACTOR or the STATE. In the event the CONTRACTOR receives a request to release the data referred to in this Article, the CONTRACTOR must immediately notify the STATE. The STATE will give the CONTRACTOR instructions concerning the release of the data to the requesting party before the data is released.

**MINNESOTA STATE COLLEGES AND UNIVERSITIES**

**CONSORTIUM OF MnPALS LIBRARIES**

**REQUEST FOR PROPOSAL (RFP) #193308**  
**FOR**  
**MnPALS Library Management System**

**SPECIAL NOTE: This Request for Proposal (RFP) does not obligate the Minnesota State Colleges and Universities (MnSCU) system, its Board of Trustees or Minnesota State University, Mankato to award a contract or complete the proposed project and each reserves the right to cancel this RFP if it is considered to be in its best interest. Proposals must be clear and concise. Proposals that are difficult to follow or that do not conform to the RFP format or binding specifications may be rejected. Responding vendors must include the required information called for in this RFP. MnSCU reserves the right to reject a proposal if required information is not provided or is not organized as directed. MnSCU also reserves the right to change the evaluation criteria or any other provision in this RFP by posting notice of the change(s) on the Facilities Purchasing Website: <http://www.mnsu.edu/fpurchase/>. For this RFP, posting on the captioned website above constitutes written notification to each vendor. Vendors should check the site daily and are expected to review information on the site carefully before submitting a final proposal.**

**December, 2015**

**Request for Proposal (RFP) #193308  
MnPALS Library Management System**

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## **Section I. General Information**

### **Background**

Minnesota State Colleges and Universities is the fifth-largest system of higher education in the United States. It is comprised of 31 two-year and four-year state colleges and universities with 54 campuses located in 47 Minnesota communities. The System serves approximately 430,000 students each year. The Minnesota State Colleges and Universities is an independent state entity that is governed by a 15 member Board of Trustees. The law creating the system was passed by the Minnesota Legislature in 1991 and went into effect July 1, 1995. The law merged the state's community colleges, technical colleges and state universities into one system, other than the University of Minnesota campuses. For more information about Minnesota State Colleges and Universities, please view its website at [www.mnscu.edu](http://www.mnscu.edu).

Minnesota State University, Mankato is under the control and management of the Minnesota State Colleges and Universities (MnSCU) Board of Trustees, an agency of the State of Minnesota.

The Consortium of MnPALS Libraries currently consists of:

- 32 community, technical, and consolidated colleges
- 7 state universities
- 11 private colleges and universities
- 9 state government libraries
- 1 K-12 school district
- 3 special libraries

The community, technical, and consolidated colleges and the state universities belong to the Minnesota State Colleges and Universities (MnSCU).

MnPALS libraries maintain a shared catalog of more than six million bibliographic records and hold over ten million items in their collections. They serve approximately 300,000 patrons directly and thousands more through their participation in resource sharing within Minnesota and beyond. Please refer to the appendix for detailed statistics.

The libraries of the Consortium currently share a single Aleph system, developed by ExLibris and operated and supported by the MnPALS staff on servers at Minnesota State University, Mankato. System functions include acquisitions, serials control, cataloging, circulation, interlibrary loan, and a Web-based public catalog. PALS also supports other products including a discovery tool, a link resolver, an electronic resource manager, and a digital asset manager.

The Consortium provides a forum for discussion and cooperation. Member libraries participate in user groups, task forces, training sessions, and more as they strive to promote excellence in learning and research through innovative, collaborative and cost-effective approaches to information resources and services.

### **Nature of RFP**

Minnesota State University, Mankato is requesting proposals to assist in developing a Library Management System. This RFP is undertaken by Minnesota State University, Mankato pursuant to the authority contained in provisions of Minnesota Statutes § 136F.581 and other applicable laws.

Accordingly, Minnesota State University, Mankato shall select the vendor(s) whose proposal(s), and oral presentation(s) if requested, demonstrate in Minnesota State University, Mankato's sole opinion, the clear capability to best fulfill the purposes of this RFP in a cost effective manner. Minnesota State University, Mankato reserves the right to accept or reject proposals, in whole or in part, and to negotiate separately as

necessary in order to serve the best interests of Minnesota State University, Mankato. This RFP shall not obligate the Minnesota State University, Mankato to award a contract or complete the proposed project and it reserves the right to cancel this RFP if it is considered to be in its best interest.

### **Vision**

The MnPALS Consortium seeks a shared, standards-based library management system (LMS) that will meet the diverse needs of its member libraries and their patrons. The Consortium includes a variety of institution types and sizes with widely differing patron, staff, and collection profiles, operational requirements, and workflows. MnPALS libraries require an LMS with the flexibility to accommodate individual institutional preferences within a common framework that reflects and supports their commitment to collaboration.

The desired LMS will connect patrons with member libraries' collections, services, and expertise and with the larger information universe. The public interface will be easy to use, fostering creativity, flexibility, and serendipitous discovery. The discovery service will respond to the needs of all users, from the novice to the expert, applying searches across different resource silos to find high quality, relevant content. Search results will be fast and accurate. The interface will allow individual libraries and the Consortium to customize the user experience.

The LMS will provide library staff with opportunities to improve quality and efficiency. MnPALS seeks a unified set of services that will exceed traditional integrated library system (ILS) capabilities, streamline workflows, and eliminate redundancies associated with legacy systems that were designed primarily for management of print collections. The desired LMS will include functions which, until recently, have appeared most often as separate, standalone products. It will support the acquisition, description, maintenance, and discovery of all library formats, facilitate management of electronic resources, and meet the diverse circulation and resource sharing needs of member libraries.

Maintaining data security and patron privacy is a core goal for MnPALS libraries. The desired LMS will provide robust protection against unauthorized use of library content or of patron data, make available only such information as may be functionally necessary to perform transactions and usage analysis, and retain patron-specific data only as long as relevant library policies and practices require.

Staff of MnPALS libraries require an LMS that offers powerful and flexible analytical tools and delivers both standard and customized statistical data and metrics. The Consortium seeks to eliminate information silos within different service units and provide properly authorized staff members with access to any components of the LMS that they may need to compile reports.

MnPALS libraries have a long history of working together to help shape the software that they share. The Consortium requires a vendor with an agile development process that will respond to member libraries' input as they continue to adapt to changing needs throughout the life cycle of the LMS.

### **General Selection Criteria**

Evaluation of the RFP proposals will be based on the demonstrated effectiveness of the solution to achieve the vision of the MnPALS Consortium, as described above. Evaluation criteria will include, but are not limited to, the following:

- Ability to fully comply with State of Minnesota RFP and contracting requirements (including, but not limited to, contract terms and conditions, data practices, and affirmative action certification);
- Completeness of the response to the RFP functional requirements/specifications detailed in Section II;
- Scope and ease of resource management provided by the solution;
- Comprehensiveness of adherence to standards;

- Level of system and data security;
- Reliability, scalability, and performance of hosting environment and solution;
- System architecture that meets the needs of our large, diverse consortium;
- Robust reporting and statistics;
- Ease and efficiency of migration;
- Vendor qualifications including vision, responsiveness, capacity, experience, reputation, and quality of client references (especially those from consortia);
- Cost;
- Improvements in efficiency, effectiveness, and ease of use for library staff and patrons over current systems;
- Improvements in performance and productivity at individual libraries and across the consortium; and,
- Opportunities for operational transformations, innovations, and collaborations, either within individual institutions or across the consortium.

### **Selection Process**

A committee consisting of representatives from the Consortium of MnPALS Libraries and the PALS staff will review and score the RFP responses. The committee includes representation from the following institutions:

- South Central College
- Metropolitan State University
- St. Cloud State University
- Minnesota State University, Mankato
- Minnesota Historical Society
- Dakota County Technical College
- Century College
- Normandale Community College
- Saint Mary's University
- Minnesota State Law Library
- PALS

This group will evaluate the proposals and make a recommendation to the Deans, Directors and Coordinators of the MnPALS Libraries, or the Executive Committee acting on their behalf, who will make the final decision.

### **Selection and Implementation Timeline**

The RFP will proceed in three phases:

Phase 1: Written Proposals

Phase 2: Vendor Meetings & Demonstrations

Phase 3: Negotiation & Award

Each phase is expected to yield a reduction in the number of proposals under consideration.

#### Phase 1: Written Proposals

Proposers must use this document and address each point in responding to the RFP. This format is intended to aid the designated Consortium members in evaluating and comparing proposals but does not limit creativity in responses. The Consortium will score proposals and invite those submitting the strongest proposals to proceed to Phase 2, Vendor Meetings & Demonstrations. The Consortium will let all proposers know who among them have been selected to participate in vendor meetings and demonstrations and will provide an opportunity for comment.

Proposals must include references. Provide the name of three (3) institutions who are currently using your LMS. One must be a multi-library system who migrated to your LMS from a different vendor's LMS. All references will include the name and address of the institution/agency, as well as the name and contact person of the director.

**Phase 2: Vendor Meetings & Demonstrations**

Proposers selected from Phase 1 will be required to conduct a series of in-person product demonstrations at a site determined by the Consortium. These demonstrations must also be accessible via the Web. Each demonstration will focus on an area of functionality determined by the Consortium. Proposers will be assigned times and topics and will be required to supply Web-based conference technology and provide a recording of each session to the Consortium. In addition to the demonstrations, the vendor will meet in person with representatives of the Consortium to provide clarification and answer questions.

The Consortium will consider comments from member libraries when evaluating and scoring product demonstrations. The scores for Phase 1 (Written Proposals) and Phase 2 (Vendor Meetings & Demonstrations) will be cumulated and provided to the designated Consortium members to be used for recommendations for Phase 3 (Negotiation & Award). The Consortium will let all proposers know who among them have been selected for negotiation and will provide an opportunity for comment.

**Phase 3: Negotiation & Award**

The Consortium will enter into negotiation with proposers selected via Phases 1 and 2 and present a recommendation for approval. Final decisions will be made by vote of the Consortium of MnPALS Libraries Deans, Directors, and Coordinators, with one vote per member institution. The final contract(s) will be a separate agreement, incorporating relevant provisions of the RFP, proposal, and subsequent negotiation. The Consortium will publicly announce any contracts awarded as a result of this RFP.

Day/Date	Timeline Subject
Thursday, December 3, 2015	Publish RFP
Tuesday, January 5, 2016	Deadline for questions submitted on website
Tuesday, January 12, 2016	Answers posted on website
Friday, January 29, 2016, by 2:00 p.m. CST	Deadline for RFP proposal submissions
February, 2016	Review RFP proposals
March, 2016	Meet with individual responders (demonstrations)
Thursday, April 21, 2016	Complete selection process
August 1, 2016	Approximate deadline for executing contract

**Contract Term**

PALS, a Program of the Minnesota State Colleges and Universities, desires to enter into a contract with the successful vendor effective August 1, 2016. The length of such contract shall be three (3) years with the option to extend an additional two (2) years in annual increments. If PALS and the vendor are unable to negotiate and sign a contract by July 15, 2016, then PALS reserves the right to seek an alternative vendor.

**Parties to the Contract**

Parties to this contract shall be the “State of Minnesota, acting through its Board of Trustees of the Minnesota State Colleges and Universities on behalf of PALS and the successful vendor.

**Contract Termination**

The State of Minnesota, acting through its Board of Trustees of the Minnesota State Colleges and Universities, may cancel the contract upon 30 days written notice, with or without cause.

**Definitions**

Wherever and whenever the following words or their pronouns occur in this proposal, they shall have the meaning given here:

MnSCU: State of Minnesota, acting through its Board of Trustees of the Minnesota State Colleges and Universities on behalf of PALS

System Office: The central system office of Minnesota State Colleges and Universities located at Wells Fargo Place, 30 7th Street East, Suite 350, St. Paul, Minnesota 55101.

Vendor: The firm selected by PALS as the successful responder responsible to execute the terms of a contract.

PALS: PALS, A Program of the Minnesota State Colleges and Universities, located at Minnesota State University, Mankato.

The consortium of MnPALS Libraries: All libraries that have their catalog records in the shared Aleph System hosted by PALS.

**Applicable Law**

A contract entered into as a result of this RFP shall be governed and interpreted under the laws of the State of Minnesota.

**Contract Assignment**

A contract or any part hereof entered into as a result of this RFP shall not be assigned, sublet, or transferred directly or indirectly without prior written consent of the Vice President for Finance and Administration of Minnesota State University, Mankato.

**Entire Agreement**

A written contract and any modifications or addenda thereto, executed in writing by both parties constitutes the entire agreement of the parties to the contract. All previous communications between the parties, whether oral or written, with reference to the subject matter of this contract are void and superseded. The resulting contract may be amended at a future date in writing by mutual agreement of the parties.

**Deviations and Exceptions**

Deviations from and exceptions to terms, conditions, specifications or the manner of this RFP shall be described fully on the vendor's letterhead stationery, signed and attached to the proposal submittal page(s) where relevant. In the absence of such statement the vendor shall be deemed to have accepted all such terms, conditions, specifications and the manner of the RFP. A vendor's failure to raise an issue related to the terms, conditions, specifications or manner of this RFP prior to the proposal submission deadline in the manner described shall constitute a full and final waiver of that vendor's right to raise the issue later in any action or proceeding relating to this RFP.

### **Duration of Offer**

All proposal responses must indicate they are valid for a minimum of one hundred eighty (180) calendar days from the date of the proposal opening unless extended by mutual written agreement between PALS and the vendor.

Prices and terms of the proposal as stated must be valid for the length of the resulting contract.

### **Authorized Signature**

The proposal must be completed and signed in the firm's name or corporate name of the vendor, and must be fully and properly executed and signed in blue or black ink by an authorized representative of the vendor. Proof of authority of the person signing must accompany the response.

### **Proposal Rejection and Waiver of Informalities**

This RFP does not obligate the Minnesota State Colleges and Universities (MnSCU) system, its Board of Trustees, Minnesota State University, Mankato, or PALS to award a contract or complete the proposed project and each reserves the right to cancel this RFP if it is considered to be in its best interest. PALS also reserves the right to waive minor informalities and, notwithstanding anything to the contrary, reserves the right to:

1. reject any and all proposals received in response to this RFP;
2. select a proposal for contract negotiation other than the one with the lowest cost;
3. negotiate any aspect of the proposal with any vendor;
4. terminate negotiations and select the next most responsive vendor for contract negotiations;
5. terminate negotiations and prepare and release a new RFP;
6. terminate negotiations and take such action as deemed appropriate.

## **Section II. Parties to the RFP**

The Consortium of MnPALS Libraries

## **Section III. Vendor Requirements**

### **A. General Library Management System Expectations**

Describe how the LMS meets each of the following expectations. Provide explanation for unmet expectations.

#### **A1. Comprehensive Standards**

The Consortium expects the LMS to provide a comprehensive library resource management and access environment for the diverse needs of member libraries. The LMS is expected to conform to current and evolving national and international standards addressing library operations, including:

- A1.1.** resource description formats such as BIBFRAME, EAD, and MARC21 for bibliographic, authority, holdings and classification, UNIMARC, ISO 639 for representation of language names;
- A1.2.** holdings standards such as ANSI/NISO Z39.71-2006, MARC 21 for Holdings, and ISO 20775;
- A1.3.** information resource retrieval protocols such as Z39.50 and SRU 2.0 Contextual Query Language;
- A1.4.** data exchange such as EDIFACT, EDI, and CICA; Standard Interchange Protocol, SIP, SIP2, and SIP3; and NISO Circulation Interchange Protocol, NCIP;
- A1.5.** resource sharing such as ISO 10160: 2015, and ISO 10161-1:2014;
- A1.6.** link resolution standards such as NISO Z39.88-2004.
- A1.7.** statistics harvesting for electronic resources compliant with NISO COUNTER-SUSHI Schema

**A2. Reliability**

Consortium institutions expect a very high degree of system availability and response time 24/7/365. The LMS must meet these very high reliability expectations. The vendor must be ready to mitigate failures and resolve them quickly and accurately.

**A3. Scalability and Performance**

The Consortium consists of Minnesota libraries, including government agency libraries, small two year technical colleges, large community colleges, private liberal arts colleges, and large public regional comprehensive universities. The LMS must successfully accommodate workload across a wide geographic area, variable operational needs, and common security and privacy concerns, with acceptable performance and room for future growth.

**A4. Manageability**

The Consortium and its member libraries maintain lean, cost-effective systems staffing levels within a complex and constantly changing environment. Therefore, the Consortium requires an easily managed LMS with limited demands on smaller libraries, but retaining flexibility for larger libraries.

**A5. Ease of Use**

The Consortium expects an LMS that is easy for patrons and staff to learn and use.

**A6. Security**

The Consortium will entrust an extremely large amount of critical data to its shared LMS. The LMS should offer strong mechanisms for data backup and recovery, as well as safeguards against data tampering and theft. In addition, the LMS must allow Consortium members to manage data security and privacy at multiple levels: individual staff or patron user, single institution, subsets of the Consortium, and consortium-wide.

**A7. Robust Identity Management**

The Consortium has a very large patron and staff population, with many of those patrons and staff already represented in institutional identity management systems. The LMS should allow the Consortium to leverage those identity stores, instead of requiring their re-creation. The LMS should also provide for LMS-hosted identities for institutions with no identity store of their own.

**A8. Robust Authorization Model**

The Consortium strongly embraces a cooperative management model, and the LMS should allow for administrative and functional authorization at multiple levels: individual staff or patron, single institution, subsets of the Consortium, and consortium-wide.

**A9. Powerful, Flexible Reporting and Statistics**

The Consortium members increasingly depend on timely, flexible, and customizable system reporting capabilities, as well as detailed system and use statistics for analytics. The LMS should support both standard and custom reports, including cross-functional, at multiple levels: individual staff, single institution, subset Consortia, and Consortium-wide.

**A10. Integration Flexibility**

Many Consortium members rely on integration between their LMS and other institutional platforms to support strategic workflows. Examples of such systems include registrar management, collection agency, enterprise resource management, course management, general ledger management, and identity management. Many Consortium members also participate in interlibrary loan with libraries outside the Consortium via various platforms. The LMS must allow Consortium members to retain strategically important systems integrations.

**A11. Extensibility**

Consortium members require application programming interfaces (APIs), scripting functionality, and integration with external reporting tools.

**A12. Migration Feasibility**

Owing to its size, the Consortium envisions its migration occurring in stages, with a subset of libraries migrating at each stage. The Consortium would like to complete the migration of all libraries in an elapsed time of two years or less. Both the LMS and its vendor should be prepared to

support such a migration plan, or be able to offer an equally suitable plan. The LMS must also allow any Consortium member or group to migrate out of or into the system.

**A13. Comprehensive User Support**

The Consortium desires long-term partners that can not only deliver a sound, useful LMS with a strong documentation set, but can also deliver services, training, and support when called upon. The Consortium also seeks partners with a history and culture of proactively responding to customer needs and suggestions, and supporting the activity of user groups and communities.

**A14. Comprehensive Resource Support**

The Consortium requires that the LMS support the entire lifecycle of all library resources from request to deselection. This also includes acquisition, discovery and access, administration, support, and evaluation.

**B. Systems**

From its inception, the Consortium has supported a shared system that enables resource sharing and collaboration across its member base. The Consortium maintains a national leadership role in the application of technology to enhance library cooperation. The Consortium continues to push the boundaries of what libraries can accomplish through shared systems in areas such as consortial sharing and delivery, cooperative buying, and digital collection initiatives. Through this RFP, the Consortium seeks a vendor and new shared Library Management System (LMS) to help realize even greater possibilities in service delivery. The demands and requirements placed upon the shared LMS will be as great as the benefits it will bring to members.

**B1. Reliability**

**B1.1. Performance Reliability:** As previously described, the Consortium intends to share a single LMS across multiple types and sizes of libraries. The Consortium seeks to maintain the highest possible level of service availability and response times to all Consortium participants in all locations. Describe the overall performance reliability of the LMS. The response should address how the LMS minimizes business disruptions and maximizes system availability, identifying the major risks to LMS reliable performance, particularly within the context of a geographically large implementation.

**B1.2. Risk Assessment:** Define uptime and a desired level of annual uptime. Explain the biggest risks to the LMS, in terms of availability (e.g., power outages, network outages, data corruption, software bugs, reliance on external partners), and how these risks are mitigated. Provide any examples of large outages that have occurred, how long they lasted, and process of resolution.

**B1.3. Reliability Reports:** Describe how the LMS monitors and reports on system reliability and performance, and provide sample reference data or screenshots, as appropriate, of monitoring feedback.

**B1.4. Maintenance Time:** Describe the downtime the LMS requires, noting the frequency, duration, and purpose. Explain which tools are available to continue essential functions, such as Circulation, during downtimes, including information about automated jobs that are scheduled to run during downtimes.

**B1.5. Service Level Agreements:** Describe the parameters of a standard Service Level Agreement (SLA) with a large partner such as the Consortium. Provide evidence that the LMS meets those targets.

**B1.6. Test Environment:** Describe vendor support for a test environment for migration testing, review of major improvements, or changes in the LMS, and for testing global changes before application in production environment. Describe the frequency with which the vendor updates the test environment to match the production environment.

## **B2. Scalability and Performance**

- B2.1. Ease of Scalability--Expansion:** The Consortium expects its user population, collection size, and collection formats to change over time. At times, change may be rather immediate, as when a new, larger member is added. In addition, the systems workload of the Consortium varies dramatically, on a minute-by-minute, hourly, daily, weekly, and monthly basis. Describe how the LMS addresses the need to add institutions or groups of institutions over time, with the accompanying increases in users served and collections managed, with attention to shared resources, or resources on loan to or from other libraries in the Consortium.
- B2.2. Ease of Scalability--Reduction:** Describe the ability of the LMS to extract any one institution's or group's records (e.g., bibliographic, holdings records, usage data, and patron records) should they choose to leave the Consortium. The response should address related time to re-index databases and any potential service impact.
- B2.3. Termination of Contract:** Describe the ability of the LMS to extract all Consortium data (e.g., bibliographic, holdings records, usage data, and patron records) should the contract be terminated. Include a timeline example.
- B2.4. Load Management:** Describe how the LMS manages peaks and spikes in workload over varying periods of time, including seconds, minutes and hours.
- B2.5. Batch Management:** Describe how the LMS enables simultaneous batch operations across multiple institutions. Include any limits on such operations.
- B2.6. Unique Identifiers:** Describe how the LMS insures that identifiers that are unique within an institution are also unique across all institutions. Areas where this issue may manifest itself include, but are not limited to, item and patron barcodes, institutional identification numbers, and user names and identifiers.
- B2.7. Limits of Number of Records:** Describe any limits on the number of records of various types which the LMS can manage or can be associated to a higher level record. Explain the process to change the limits.
- B2.8. Limits on Record Length and Data Values:** Describe the limits on both the size and number of values in data elements within records of various types that the LMS can manage. Explain what is involved in changing the limits.
- B2.9. Workload Impact on Performance:** Describe any performance versus workload relationships inherent in the LMS, citing specific examples. Among other evidence, explain the effect of a higher-than-normal cataloging transaction load on indexing, search, and display. Explain how functionality is monitored and how the LMS is adjusted to address competing needs.

## **B3. Manageability**

- B3.1. Architecture:** Describe and provide a diagram of the LMS architecture. [An entity relationship diagram (ERD) and data definitions dictionary are expected upon completion of contract.]
- B3.2. Modularity of Architecture:** Explain which portions of the LMS are separable. For example: describe how one library within the Consortium or the Consortium as a whole could use an alternate discovery environment but still use the LMS for fulfillment and for back-end processing. Similarly, describe how one library within the Consortium, or the Consortium as a whole, could use an alternative Electronic Resource Management system (ERM) but still interoperate with the LMS. Describe any interfaces and APIs that are available to support such integration/interoperability.

- B3.3. Operating Environment:** Describe server environment in which the LMS runs, including third party hosting providers, location of servers, security and reliability provisions, disaster recovery plans, and data center certifications.
- B3.4. Configuration Constraints on Install:** Describe any initial configuration or implementation decisions in a consortium environment that cannot be later changed, or altered only with great effort or expense.
- B3.5. Global Configuration Decisions:** Explain which system profiling/configuration decisions apply globally across the LMS, and which can apply to a subset of institutions.
- B3.6. Consortium Support Requirements:** Describe the expected level of Consortium support required to manage and sustain the LMS. The response should address the expertise and knowledge required.
- B3.7. Local Support Requirements:** Describe the expected level of individual library support required to manage and sustain the LMS. The response should address the expertise and knowledge required.
- B3.8. Installed Consortium Implementations:** With the understanding that every consortium has unique relationships and operational dependencies, describe the implementation of the largest consortium that adopted the LMS and any significant hurdles encountered during implementation. Include information that refers to the size of the consortium (patrons, records, etc.)
- B3.9. Staff Interface Requirements:** Describe how staff interact with the LMS for operations. For example, if a staff client component is required, describe any related system requirements (e.g., operating systems, memory, drive space) and how client updates are handled; or, if the LMS is cloud-based, describe any browser or device dependencies and how the LMS communicates potential problems with browser or device upgrades. Explain the process to determine which platforms and browsers the LMS will support.
- B3.10. Upgrade Process:** Describe the frequency and scope of both major and minor software releases, patches, or updates. Describe the major version upgrade process for the LMS. Describe how upgrades are tested and results communicated, particularly for a consortium environment. Explain the responsibility of the Consortium for testing patches, updates, or version upgrades and what kind of testing environment is provided. Explain the process to resolve problems that affect performance or workflow that appear with an upgrade to the LMS.
- B4. Data Security and Data Access**
- B4.1. Data Management:** Describe data management practices to which the LMS adheres, particularly with regard to data security, including those for patron and circulation transaction information. Include relevant information on standards compliance (such as ISO 27001) and any organizational information technology audits that have been completed. Describe how the LMS expresses the logical construct "limiting the scope of a policy, workflow, or permission to patrons or staff, bibliographic holdings or licenses, digital collections and so on associated with a group of libraries" in any functional area where these issues come into play.
- B4.2. Data Transit Security:** Describe the use of and support for secure protocols to safeguard data in transit.
- B4.3. Backup Encryption:** Describe support for encryption in backups and in replicated data sets.
- B4.4. Data Loss Prevention and Recovery:** Describe how the LMS prevents loss of data, and how it provides data recovery or rollback to specific points in time in the event data loss does occur. Also, describe the process through which data is recovered, including, for example, whether the recovery process is a self-service mechanism or the Consortium, or affected library, must contact the vendor to request data recovery. Note the typical

turnaround for data recovery. Explain how compartmentalized the data is with respect to data recovery. For example, can a customer recover a subset of bibliographic records or a subset of patrons--such as for an individual library-- or a particular range of transactions? Or, is system recovery or rollback only possible in its entirety--such as at the Consortium level?

- B4.5. Access Detection:** Describe the vendor's protocols for detecting unauthorized access to or disclosure of confidential data and how the vendor responds to breaches of established protocols.
- B4.6. Data Validation:** Describe what data validation the LMS performs on records as they are created or edited, and indicate whether this is different for batch jobs as compared to single records.
- B4.7. Record Changes Tracking:** Describe how the LMS tracks changes to records. List for which records audit trails are available and for how long. Describe how a record can be reverted to a prior version and who has authorization to do so. Describe the prioritization when multiple people are editing the same record simultaneously. Describe how record changes are reflected in the audit trail.
- B4.8. Data Privacy Compliance:** Describe the extent to which the LMS has been designed to comply with laws and regulations governing the storage and use of "protected" user data. The response should address examples of such laws and regulations, including Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), and Payment Card Industry Data Security Standards (PCI-DSS).
- B5. Usability and Interface**
- B5.1. Interface Options:** An LMS requires at least two interfaces, one for public users and one for staff users; each interface must fulfill the diverse needs of each group, yet each group has some overlapping needs as well. Describe the different interface options available to public and staff users as well as the usability testing conducted by the vendor to arrive at the current interface. The response should include reference to the vendor's definitions for usability, how the vendor continuously evaluates and improves usability, and how user feedback, solicited from LMS participating libraries and the Consortium, is implemented.
- B5.2. Responsive Interface:** Describe how the LMS accommodates the current proliferation of browsers, operating systems, and devices without resorting to multiple sites (for example, explain if the user experience platform is agnostic and device responsive.). Describe how the public user interface works regardless of access mode.
- B5.3. Staff Interface Efficiency:** Describe how the vendor studies and continually measures and provides improvements in workflow effectiveness, efficiency, and ease of learning.
- B5.4. ADA Interface Compliance:** Describe how the public and staff user interfaces are accessible to users with disabilities (ADA compliance: for example, to US Dept of Justice technical guidelines "Accessibility of State and Local Government Websites to People with Disabilities."). Describe LMS support for assistive technologies such as screen readers. Identify any areas of functionality that, owing to the complexity of the interface or for other reasons, are less effectively used with assistive technologies.
- B5.5. Multilingual Interfaces:** Describe how the LMS supports multiple languages for the public interface (at the user's discretion) and for bibliographic and other records.
- B5.6. Interface Branding:** Describe the branding and customization options available to libraries at the local level for the public and staff interfaces.
- B5.7. Interface Personalization:** Describe how public and staff users can personalize the LMS interface, including whether or not unused features or steps can be hidden and capabilities for setting default options from the staff interface to optimize workflows.

- B5.8. Task Automation:** Describe the LMS support for staff client automation for repetitive tasks and processes, using such techniques as keyboard shortcuts, task-oriented macros, and keystroke recording.
  - B5.9. Workflow Hand-Offs:** When different staff users perform steps or components of a task, explain how workflows support the hand-offs through queuing and/or notification. Explain how information about specific records, (e.g., bibliographic records, orders, invoices, etc.) is shared among staff.
  - B5.10. Module Navigation:** Describe navigation from one area in a large complex LMS to another (e.g., across functional modules). Explain if reauthentication is required as staff switch from one module to another.
  - B5.11. Session Length:** Describe whether public or staff sessions are timed out after a specified period of time, under what circumstances, and whether the length of a session is configurable. Explain if staff users return to the context of their work and if any uncommitted/unsaved work is recoverable after session expiration and re-authentication.
  - B5.12. Refresh Rate:** Describe how the LMS automates the refresh of displays with updated information. Note frequency or rate.
  - B5.13. Multi-Module Searching:** Describe options for searching and locating records in any context where staff users view or edit records.
  - B5.14. Contact Management:** Describe how the LMS supports contract and contact management across functional areas, including licensing and acquisitions contacts, as well as e-resource administrative information and usage statistics access. Describe how contact information can be accessed by authorized staff users from any functional area. Note whether all contact information is centrally integrated or spread across more than one area.
  - B5.15. Collaborative Record Editing:** While the occurrence of contention over edits to a shared record is rare, within the distributed work environment of the Consortium, resolving contention can be challenging. Explain how the LMS supports collaborative editing.
  - B5.16. Workview Security and Sharing:** Describe how work views are limited to the management of a single library within a consortium environment. Explain how the work views can be shared with members of a subgroup or across the Consortium while retaining control at the local library level. Describe the control structure and process to manage the degree of interoperability in managing resources across multiple libraries in the LMS.
  - B5.17. Staff and User Training:** Workflow efficiencies and effectiveness are essential for Consortium member library operations. Inherent in this desire is the amount and type of training to achieve proficiency with workflows. Describe the initial training required to achieve operational proficiency and the continuing training opportunities in order to sustain proficiency over time. Describe any contextual training or help available to a staff user at different points in the workflow for different functions. Include information about this help's synchronization with system updates and changes.
- B6. Integration and Extensibility**
- B6.1. Integration through Protocols:** Describe how the LMS integrates with related services such as self-check and exchange of information with external LMS (Standard Interchange Protocol, SIP, SIP2, and SIP3; and NISO Circulation Interchange Protocol, NCIP), resource sharing (ILL; NISO Z39.50), link resolution (NISO Z39.88-2004), proxy services, vendor services (EDI messaging protocols) collection agency services, discovery, etc.
  - B6.2. Integration through APIs:** Describe the ability to communicate with external ERMs, link resolvers, and discovery systems. Describe how it offers a robust API that lets libraries customize interactions between the LMS and other systems, including public facing and back-end systems.

- B6.3. Integration with Campus Systems:** Describe how the LMS can be integrated with other campus systems, such as financial systems, as used for ordering, invoicing and other functions; or other campus services such as Human Resources, Records and Registration, and telecommunications (e.g., SMS, SMTP, and AMIS).
- B6.4. Integration with Learning Management Systems:** Describe the ability to integrate with Learning Management Systems, such as D2L/Brightspace, Blackboard, Moodle, Canvas, etc.
- B6.5. Data Access:** Describe how the LMS exposes data through documented Web services and APIs, including supported data operations (read, write, update, delete, and so on). Describe any licensing or technical restrictions or constraints placed on the use of these tools and services and how business rules and access controls are applied.
- B6.6. Integration through Harvesting:** Describe how the LMS exposes bibliographic records through APIs or OAI-PMH for inclusion in search engines, such as Google, Bing, etc.
- B6.7. Linked Data Model:** Describe the support for the Library Linked Data model, including the Resource Description Framework (RDF) and RDFa. For example, does the LMS possess the ability to expose, as linked data, authority-controlled names and holdings in the shared management system?
- B6.8. Batch Ingest:** Describe how the LMS supports batch ingest (loading) and batch updates of records of all types from external sources. The response should include the types of records supported for batch ingest and a description of the ingest processes.
- B6.9. Electronic Payments:** Electronic payments are increasingly common. Describe how the LMS accommodates patron electronic payments, including, for example, PayPal-type or ApplePay-type payments or other electronic payment systems. If a member library does not have access to an enterprise financial system that includes electronic payment options for acquisitions, describe how the LMS supports electronic payments to vendors.
- B6.10. Digital Content:** Describe how the LMS supports digitized content and online archives.
- B6.11. Extensibility:** Provide examples of how libraries have used this API to add innovative workflows to the core processes (acquisitions, selection, circulation, cataloging, etc.) or to meet other library service needs.
- B7. Reports and Statistics**
- B7.1. Data Sources:** Describe the sources (statistics, data, etc.) and the array of variables from which statistics may be extracted for reports. The response should address whether reporting tools are able to compare data variables from multiple record types (e.g., bibliographic data with order data, payment data with loan data (cost per use), etc.) in a single report. The response should also note any limitations on comparing multiple data variables from multiple record types in a single report.
- B7.2. Methods of Counting:** Transaction statistics, like volume counts, are standard reporting requirements for any LMS. Describe how the LMS counts reshelving actions, such as for in-house and non-circulating usage (“browse” statistics) and distinguishes it from other transactions.
- B7.3. Standardized and Dashboard Reports:** Describe the reporting capability of the LMS, including any special skills or expertise required to run and retrieve standard reports. Describe how a single library, subgroup of libraries, or the Consortium might customize the output from or display of standardized reports. The response should describe any real-time dashboard-style reports that inform a staff person of their productivity as well as pending tasks.

- B7.4. Custom Reports:** Describe how the LMS delivers customizable, aggregated, multi-dimensional relational views of data from multiple modules or external sources (such as COUNTER usage data). Include information about what data are available through these views, whether the views are read-only or provide update capabilities, and any export or scripting capabilities. Describe how these views might include data from multiple record types (e.g., bibliographic data and order data). Describe any limitations that exist on combining data elements from multiple record types for reporting or updating. Describe how reports are scoped to the collections or activities of a specific library or, within the data security parameters outlined elsewhere, for a subgroup of libraries or the Consortium as a whole.
- B7.5. Custom Reports and Repeated Use:** Describe how customized report templates can be stored for repeated use and shared among all members of the Consortium. The response might address how custom reports become adopted as standard reports, either by the Consortium or by the vendor.
- B7.6. Public Real-Time Reports:** Describe how collection trends and activity can be exposed to the public in real time--showing, for example, trending search topics, usage by collection, media type, or subject.
- B7.7. Reporting Tools:** Describe which external reporting tools, such as Crystal Reports, Hyperion, or Microsoft Access, can be used with the LMS. Describe the limitations of the data made available to external reporting tools.
- B7.8. Data Documentation:** Describe how the data are documented and/or the training provided to help users construct valid and useful reports using external reporting tools. Provide a data dictionary and Entity Relationship diagrams.
- B7.9. Data Security:** Describe how access to data is secured and accessible only to those with permissions. The response should address how the LMS complies with federal and state regulations and guidelines on data privacy. At the same time, the LMS should be able to support reports at the individual library or subgroup level that include individual data that could be extracted to an external data analytics system.
- B7.10. Data Scrubbing:** Describe the processes for periodically deleting the link between individuals and transactions and how this can be managed based on individual library policy and discretion. The response should address how this process can be automated or sequenced with other reports prior to scrubbing.
- B7.11. Data Warehouse:** Describe how the LMS could provide standard or custom report data to an external data warehouse. The response should include the data format options--such as CSV or XML.
- B7.12. Transaction Records:** Describe how data used to create record and transaction reports are stored, retained, and deleted. Transactions here is defined as creation, edits, and deletion of records or data of any type.
- B7.13. Workflow Tracking:** Describe how individual workflow actions can be tracked in the LMS, including automated reminders, alerts, or reports, including whether workflow metadata can be added, such as customized data elements descriptive of workflow (e.g., next steps for particular items) and whether workflow actions can be scheduled (e.g., end of year or end of license changes to records).
- B8. Authentication, Authorization, and Identity Management**
- B8.1. Authentication Protocols:** Describe support for standard authentication protocols, such as IP address, LDAP, Kerberos. Describe any support for single sign-on or pass-through authentication.

- B8.2. Integration with External Authentication:** Many Consortium institutions have significantly invested in the development and management of existing identity-related data stores using authentication protocols (e.g., LDAP and Kerberos). Describe how the LMS can leverage these identity stores, both for staff and patron accounts. Describe how such capabilities can co-exist alongside identities natively managed within the LMS.
- B8.3. Patron Record Loading:** Describe the API and processes by which patron data can be fed into the LMS from external data sources. Describe how patron/user attributes imported or accessed from external sources are used to determine the user's roles and permissions configured in the authorization framework.
- B8.4. Administrative Permissions Controls:** Describe how administrative rights are assigned within the LMS, including rights assigned to groups. Explain how the LMS allows compartmentalizing of administrative rights to a single institution, such as viewing patron data, or across multiple institutions, such as sharing report templates. Describe any differences in what permissions and privileges can be managed for a group versus an individual account. Additionally, describe how the LMS supports proxies to create privileges for some functionalities, assigning proxies to people who need a particular set of privileges.
- B8.5. Principle of Least Privilege:** Describe the level of hierarchy and granularity of access controls for staff functions (principle of least privilege) and management. For example, describe how certain data elements be made read-only for some staff, read-write for others, and not readable for others. Describe any overrides that might be available. Similarly, describe how any actual or implied permissions hierarchy limits access to or editing of records.
- B8.6. Authentication with Multiple Identities:** Some Consortium staff and patrons may have identities with multiple institutions. Describe how users with multiple affiliations are supported in the LMS, with respect to authentication, permissions assignment to their account, and permissions on their accounts.
- B9. Migration**
- B9.1. Migration Services:** Describe the migration services, including training, configuration and policy planning.
- B9.2. Experience Migrating Consortia:** Describe previous experiences with migrating a consortium to the LMS. Include specific examples of the types and sizes of libraries in the consortia you have migrated.
- B9.3. Migration Timeline:** Describe a typical migration timeline for a consortium of approximately similar size to MnPALS, based on institutional size, number of patron or bibliographic records, or some other applicable metric. The response should include the typical or recommended amount of LMS downtime for the migration as well as potential management techniques to assure migration timelines are met.
- B9.4. Migration from ExLibris Aleph:** Describe experiences migrating data from ExLibris Aleph. Describe any specific considerations or difficulties in migrating bibliographic, acquisitions, serials, check-in, electronic resource, content license, patron and circulation records and data into the LMS. Describe any data that will not be able to migrate.
- B9.5. Migration from 3rd Party Products:** Describe experiences migrating from other 3rd party products, such as an ERM or OpenURL knowledgebase. Describe how the migration practices integrate data migrated from disparate sources, for example, from an LMS and an ERM and link resolvers. The response should describe any data that will not be able to migrate.

- B9.6. Migration of Temporal Data:** Describe the ability to retain and preserve transient or temporal data, such as checkouts, holds, item status, item statistics (such as total checkouts), patron status and patron blocks, through the migration process. The response should describe any data that will not be able to migrate, such as open invoice records, historic budget records, or transaction records.
- B9.7. Bibliographic Merging:** Describe the ability during migration to merge similar bibliographic records without loss of locally-created data.
- B9.8. Duplicate Handling:** Describe the ability during migration to handle and resolve duplicate patron and item barcodes, patron IDs, order numbers, invoice records, OpenURL knowledgebase records, etc.
- B9.9. Migration Testing and Error Reporting:** Describe the typical tests of migration processes, as well as customer review opportunities, provided by the vendor. Describe the types of error reports that typically occur during migration; provide examples.
- B9.10. Preparation for Migration:** Describe recommended data clean-up process in preparation for migration.
- B9.11. Documentation for Migration:** Describe the documentation required from the Consortium and/or member libraries to support vendor planning for migration. If possible without betraying trade secrets, provide copies of required documentation.
- B10. Vendor Support**
- B10.1. System Monitoring and Alerts:** Describe any proactive monitoring of the LMS, and any actionable communications to the customer that result from this monitoring. For example, explain the process of warning the customer when certain system limits are being reached, such as record counts or processing capacity. Include the process to alert the customer in the event of planned downtime and unplanned system anomalies.
- B10.2. Customer Support Model:** Describe the company's customer support model. Include the preferred structure for support requests and how accounts are managed, whether per representative, geographical region, or functional area. Describe customer support venues (e.g., Web, phone, email), periods of coverage, and expected response times.
- B10.3. Training:** Describe vendor-provided training for members of the Consortium during migration and implementation. Describe any ongoing training opportunities provided by the vendor, including training updates and training for new libraries and/or staff.
- B10.4. User Documentation:** Describe the content and delivery methods of administrative, staff-user documentation or tutorials, and public user help or tutorials, as well as the frequency of updates. Also describe the availability of user-authored content, such as shared procedure documentation or community wikis.
- B10.5. API Support:** Describe the support including documentation and online forums provided for APIs and Web services that enable the customer to extend management system functionality. Describe how the company supports customers sharing innovative API integration solutions or unique widget scripts with each other.
- B10.6. Consortium Support Responsibilities:** Describe the Consortium responsibilities in providing customer support to its member libraries.
- B10.7. Customer Community:** Consortium member libraries have a history of actively participating in vendor-centric user community groups to help steer product direction and enhance the usefulness of the LMS for all community members. Describe any customer community activities sponsored or supported by the company, such as online or in-person venues to allow customers to share ideas and solutions. Include information about annual conferences and attendance and regional interest groups.

- B10.8. Product Enhancement Process:** Describe the product enhancement process and the role that customers play in determining and prioritizing new features and enhancements. Describe any changes or updates made to the LMS in the past year as a direct result of customer feedback. Explain how the vendor and customer community work to ensure the transparency of product enhancement processes.
- B10.9. Vendor Expertise:** If selected, the vendor will be expected to provide resumes of key migration management and support professionals, including areas of expertise and knowledge of standards, protocols, and trends.

## C. Acquisitions and Print Serials Management

### C1. Workflow Management

- C1.1. General:** Acquisitions processes can span the functionality of a library management system, including cataloging steps, electronic resource management steps, and other steps outside of the specific acquisitions area. Describe the integrated workflow, including steps such as material selection, acquisition, circulation, access provision, or de-selection.
- C1.2. Shared Data:** Describe how data entry can be integrated and differentiated across institutions to avoid repetitive data management (e.g., contact, license, etc.) without constraining local practice or imposing centralized terms on individual libraries.
- C1.3. Alerts:** Describe the overall workflow notification tools, such as automated reminders or dashboard conveniences. These might include reminders to pay, to renew, to send items to the bindery, to close trials, to set up access, or to close records upon the completion of subscription periods.
- C1.4. Personalization:** Describe the local and individual options to personalize workflows.
- C1.5. Material Selection:** Describe how the LMS helps manage collection development record-keeping, such as wish-lists based on previous reviews, records of decisions not to add, records of decisions to cancel, etc.
- C1.6. Display Printing:** Describe how the LMS enables on-screen display and printing for integrated workflow for any given record or a list of records (e.g., ability to print the bib, item, order and circulation of a given title(s)).
- C1.7. De-selection:** Describe how the LMS automatically updates all public and staff displays of the resource, including holdings records, upon deselection of a resource.
- C1.8. Reports and Statistics:** Describe the standard reports for managing and tracking acquisitions workflow. Describe how these reports can be customized.

### C2. Acquisition Management

- C2.1. General:** Acquisitions covers a wide range of tasks in a variety of areas of any library management system. Each MnPALS library has its own policies and processes. Describe how the LMS accommodates customizations at the individual library, subgroup of libraries, and at the Consortium levels.
- C2.2. Cooperative Collection Development:** Describe how the LMS enables cooperative collection development within the Consortium. Describe how member libraries can compare collections, orders, and check-in records. Describe how member libraries can see what other libraries are acquiring or cancelling.
- C2.3. Local Information:** Describe how each institution will manage local information, such as binding information, or processing notes, in a shared environment.
- C2.4. Donor Information:** Describe how the LMS manages public and private donor information within a library and across a shared environment.
- C2.5. Record Relationships:** Describe how order data is stored in relationship to each of the following: bibliographic data, item data, and electronic resource management data.

- C2.6. Records Import:** Describe how bibliographic records can be imported from a vendor, including the automatic creation of order, invoice, and/or item records from data supplied by the individual institution. Describe how the LMS distinguishes between print titles and e-resource titles when the same title is imported, either from the same vendor or from different vendors.
- C2.7. Record Creation:** Describe how bibliographic records can be created when full records are unavailable. Describe what templates are currently available to assist with this process and how these templates can be customized. Describe the process for overlaying such records.
- C2.8. Ordering and Claiming:** Describe support for manual and electronic selection, ordering, invoicing, and claiming. Describe what electronic submission protocols are supported. Describe how the LMS alerts staff when duplicate copies are ordered within a library.
- C2.9. Acquisitions Interaction:** Describe how the LMS integrates interlibrary loan, course reserves, and the public catalog with a variety of acquisitions models, such as purchase-on-demand programs, patron driven acquisitions, etc.
- C2.10. Document Management:** Describe how digital copies of invoices can be stored within the LMS and linked to order records or license records, and in what formats these files are supported. Describe how the LMS accommodates audit standards and variable retention/removal policies and schedules.
- C2.11. Deposit Accounts:** Describe how the LMS supports deposit and prepayment accounts. Describe how the LMS supports invoicing for patron driven acquisitions (including short-term loans), including when these orders are not linked to specific titles.
- C2.12. Budget Management:** Describe any limits on fund code structures in the LMS. Describe how the LMS accommodates a variety of fund code structures in a consortial environment. Describe how budget privacy is maintained in a consortial environment.
- C2.13. Payments:** Describe any limits to how funds can be used for payments. List any limit on the number of funds that can be used for payments. Describe how funds from multiple institutions may be used for payments and how payments can be transferred between institutions within the Consortium.
- C2.14. Financial Systems Integration:** Describe the ability to integrate with campus/state financial systems, including export and import of financial transactions such as payment of invoices by various methods.
- C2.15. Tax and Currency:** Describe how the LMS handles taxes for material purchasing as well as tax exempt purchases. Describe how foreign currency transactions are updated for exchange fluctuations with open unpaid orders and fixed upon payment.
- C2.16. Fiscal Year Management:** Describe the functionality for fiscal year rollover, including opening, closing, and using multiple years simultaneously. Describe how the LMS accommodates a variety of independent fiscal year rollover calendars. Describe how orders not yet received are rolled over into the next fiscal year. Describe how the LMS alerts users to orders that do not have sufficient funds remaining for that fiscal year. Describe how budget allocations for the next fiscal year can be set automatically to advance according to variable inflation schedules, per order, or per groups of orders.
- C2.17. Vendor Management:** Describe the architecture for storing vendor data. Describe how vendor information is shared, differentiated, and updated. Describe how multiple accounts for a vendor at a single institution would function.
- C2.18. Reports and Statistics:** Describe the standard reports for collection, budget, and acquisitions analysis at the individual library, subgroup of libraries, and consortium levels. Describe how these reports can be customized. Describe any limitations to how collection, budget, or acquisitions data can be combined with data from other functional areas of LMS

for the purpose of reporting. Describe any delays in the generation of reports. Describe any data elements that will not be reported in real time.

### **C3. Print Serials Management**

- C3.1. Item Management:** Describe support for materials management at the issue level, including receiving, item generation, labeling, routing, claiming, binding, modifying, duplicating items, and deleting/extracting.
- C3.2. Binding:** Describe how the LMS handles the binding processes for print resources, including print serials and multiple monographs bound together. Describe the methods and formats for sharing binding information with a vendor. Describe which bindery communication protocols are supported. Explain how circulation statistics for individual issues are retained after binding.
- C3.3. Processing and Labeling:** Describe how the LMS supports the processing of physical materials, including support for spine-label printing. Describe the process for customizing multiple label layouts and printer options.
- C3.4. Shared Collections:** Describe how the LMS supports transferring materials between institutions, allowing for flexible or joint ownership, floating collections, and a shared storage facility as well as inventory processes for each.
- C3.5. Prediction Patterns:** Describe the support for creating prediction patterns or sharing of prediction patterns across libraries. Describe how the LMS supports externally supplied check-in data, for example data coded in bibliographic MARC tag 891.
- C3.6. Item Formats:** Describe the support for managing multiple instances of a given title, including moving to a different title; for example, one subscription to a title might include individual issues, bound volumes, pocket parts, pamphlet supplements, legislative service, and possibly other parts, each received on a regular or irregular basis. Describe how each of these parts can be accommodated and distinguished, either within a single record or on separate records.
- C3.7. SISAC/UPC Codes:** Describe the support for recording and receipt of issues via SISAC and/or UPC codes.
- C3.8. Claiming:** Describe the support for serials claiming and display of claim status across functional areas. Describe how the LMS supports automated claiming with vendors.
- C3.9. Holding Records:** Describe the support for current MARC 21 holdings record standards. Specifically, describe how the serials check-in module can automatically update the MARC 21 holdings record, including all content related to the 85X/86X paired fields, either during receiving or as a separate function. Describe the ability to handle non-MARC encoding structures.
- C3.10. Global Change:** Describe how the LMS supports global changes across different types of records regardless of item status within a single member library, within a group of libraries, or across the Consortium. Describe the permission controls to manage who has global change access.
- C3.11. Routing:** Describe how the LMS supports item routing.
- C3.12. Hierarchical Relationships:** Describe the support for managing related bibliographic records (linked, whole/part, hierarchical), ex. a serial cover record for a set of related monograph records.
- C3.13. Reports and Statistics:** Describe the standard reports for serials management at the individual library, subgroup of libraries, and consortium levels. Describe how these reports can be customized. Describe how the LMS generates binding preparation reports or reports which facilitate preservation assessment.

## D. Electronic Resources Management

### D1. Knowledgebase

- D1.1. General:** Describe the knowledgebase. Describe how the knowledgebase operates at consortial, subgroup, and individual institution levels. In a consortial environment, some resources may be shared across libraries, but individual libraries will also have local collections under locally negotiated license terms. Coverage may also vary depending on acquisitions history. Describe how an individual library will manage its own knowledgebase or work within a shared knowledgebase.
- D1.2. Non-Traditional Digital Content:** Describe how non-traditional digital content will be managed, including but not limited to streaming audio, streaming video, digital humanities projects, statistical datasets, archival materials and individual institutional repositories both public and private.
- D1.3. Maintenance:** Describe how frequently the knowledgebase is updated based on vendor data. Describe how the quality of the knowledgebase is assured, (e.g., date coverage, links, etc.) Describe user community involvement in the maintenance and management of the knowledgebase. Provide a list, in electronic format, of publisher/providers currently represented in the knowledgebase and any other pertinent details.
- D1.4. Development:** Describe how enhancement or change requests are enabled and handled. Describe user community involvement in the development of the knowledgebase.
- D1.5. Local Holdings:** Describe the process for importing holdings and coverage from another system. Describe how long it takes for updates to the knowledgebase to appear in related displays, such as OpenURL menus.
- D1.6. Display:** Describe how fields can be displayed or suppressed from public view. Describe how the LMS enables exports of electronic resource records or lists for integration into library Web spaces or catalogs, such as the A-Z or external tools such as Springshare LibGuides. Describe how custom categories (such as “database”) can be applied to resources for the purposes of reporting or display at the individual library, subgroup, or consortium levels.
- D1.7. Cataloging and Acquisitions Integration:** Describe how bibliographic records for electronic resources can be managed from the knowledgebase. Describe how the LMS notifies library staff if a resource is paid for but not made available.
- D1.8. Content Collections Management:** Describe the data fields that are available for electronic resource content management, such as subject (or department) designations, problem logs, user limits, source (local library, consortium, etc.), authentication method, collection URL, subscription notes, and others. Describe to what extent libraries can customize data fields.
- D1.9. Platform management:** Describe how individual platform administration levels of access are handled, including usernames and passwords, location URL’s for administrative sites (acquisition, technical services, support ticket and user help tools).

### D2. Licensing

- D2.1. General:** Describe the support for the management of license agreements at the individual library, subgroup of libraries, and consortium levels. Include information about how scanned copies of executed licenses are stored and linked to license records.
- D2.2. License Relationships:** Describe how the LMS enables management of related licenses, such as parent-child licenses or master agreements and addenda including renewal at the individual library, subgroup of libraries, and consortium levels. Describe how license management functionality integrates with acquisitions functionality (e.g., describe how users can link an order record to multiple related license records and vice versa).

- D2.3. Templates:** Describe how libraries within a consortium can build, modify, and share license agreement templates.
- D2.4. Terms:** Explain license terms and term attributes that are available by default and how they can be customized. Describe how license terms, including customized license terms, can be shared at the subgroup of libraries and consortium levels. Describe support for ONIX-PL. Describe how the LMS enables license term searching.
- D2.5. Display:** Describe how license terms can be displayed or suppressed from public view. Describe how terms are displayed, or otherwise integrated, in other functional areas, such as acquisitions or resource sharing.

### **D3. Linking**

- D3.1. General:** Describe the native OpenURL resolver.
- D3.2. URL and EZproxy Prefix Customization:** Describe how the LMS enables institution level control over URL customization and application of EZproxy prefixes.
- D3.3. EZproxy Integration:** Describe how the LMS integrates with EZproxy or other proxy tools (e.g., Can the LMS generate EZproxy config file formatted data (i.e., EZproxy stanzas)?).
- D3.4. Re-Directs:** Describe how the system responds when a link does not produce expected results or provides an incorrect full-text resource.

### **D4. Reports and Statistics**

- D4.1. Vendor Usage Statistics:** Describe how the LMS enables automatic vendor usage statistics harvesting, as well as manual input of usage statistics at the individual library, subgroup of libraries, and consortium levels. Describe the usage statistics reporting functionality at the individual library, subgroup of libraries, and consortium levels. Describe how these reports can be customized. Describe any limits to how usage statistics elements can be related to other data elements for the purpose of reporting, such as acquisitions data elements. Include a description of the steps to produce cost-per-use analyses. Include a description of the steps to produce use-per-budget code and use-per-classification number analyses.
- D4.2. System Usage Statistics:** Describe how the LMS tracks and reports system usage, ex. click-throughs or circulation, and describe how these system usage statistics can be reported in combination with vendor usage statistics or other data elements managed by the LMS, as above.
- D4.3. Management Reports:** Describe the standard reports for electronic resources management at the individual library, subgroup of libraries, and consortium levels. Describe how these reports can be customized. Describe the overlap analysis reports. Describe how the LMS provides reports of library holdings dropped from databases or packages.

## **E. Cataloging**

### **E1. Cataloging/Bibliographic Description**

- E1.1. General:** Describe the capability and limitations of the LMS for importing, exporting, editing and overlaying bibliographic, holding, and authority records in MARC 21 format and future formats from OCLC Connexion and other sources of bibliographic data. Explain how the LMS provides access to library-specific local data and practices and how local data will be accommodated in a consortial environment. Describe any limits to the size of bibliographic and holdings records.
- E1.2. Editing - Individual, Batch and Global:** Describe the capabilities for editing data, both for individual records and batch updates and deletions of a selected group of records. Describe any limitations on batch processing. Describe how the LMS saves and displays record edit histories. Describe how the LMS supports global changes across different types

of records regardless of item status within a single member library, within a group of libraries, or across the Consortium. Describe the permission controls to manage who has what global change access. Explain how the LMS interfaces with batch editing tools such as MarcEdit.

- E1.3. Classification:** Explain how the LMS manages multiple classification systems within a single member library, a group of libraries, and across the Consortium (e.g., Library of Congress, Superintendent of Documents, Dewey, locally-developed schema).
  - E1.4. Data Standards:** Describe the standards used for storage of data. For example, MARC21, MARC XML, etc.
  - E1.5. Templates, Constant Data, etc.:** Explain how the LMS incorporates templates or constant data, drop down menus, and contextual help such as field/element descriptions. Describe any shortcuts for commonly executed commands.
  - E1.6. Diacritics and Non-Roman Characters:** Explain how the LMS handles diacritics and non-Roman characters. Include information on whether any these can be input directly and how are they indexed.
- E2. Evolving Standards**
- E2.1. General:** Describe plans for future incorporation of BIBFRAME records into the database. Describe support for retroactive conversion to BIBFRAME. Describe plans for the support of the Linked Data model, including the Resource Description Framework (RDF) and RDFa. Explain how the LMS exposes linked data, authority-controlled names and holdings in the shared management system. Describe participation and involvement in the development of these evolving standards. Describe plans for soliciting input from customers regarding incorporating these standards.
- E3. Holdings Management / Items**
- E3.1. General:** Describe how the LMS creates and stores item level data in relation to other data.
  - E3.2. Limitations:** Describe any limits on the number of items that can be associated with other data. Describe any limitations on the number of holding locations.
  - E3.3. Record Movement:** Describe the capability for moving item data from one bib record to another or to a different holding location.
  - E3.4. Record Suppression:** Describe how the LMS supports the suppression of individual items from public view and how items may be omitted from harvesting, such as reports or other forms of data extraction.
  - E3.5. Linked Records:** Explain how the LMS handles linked records. For example, describe how the LMS handles a single item linked to separate holding locations on multiple bibliographic records such as boundwiths. Provide an example of how linked items display in the public and staff views.
- E4. Indexing**
- E4.1. General:** Describe how indexes are created and maintained. Describe options for customizing indexing at the Consortium and individual institution level. Explain the process to maintain the index, including frequency of maintenance and effects on service.
- E5. Authority Control**
- E5.1. General:** Describe authority control functionality, including how the LMS identifies which data can be controlled. Describe the default authority control practices and the ability to customize these practices. Describe how the LMS manages the import and export of authority data with one or more authority vendors.
  - E5.2. Standards:** Describe how the LMS supports current standards for authority data and allows all relevant bibliographic data to be authority controlled without intervention by the LMS vendor.

- E5.3. Shared Authority Files:** Describe how the LMS will allow the management and maintenance of a shared authority file.
  - E5.4. Local Authority Files:** Describe how and if the LMS allows for locally-created authority records or third party authority files.
  - E5.5. Duplication Quality Control:** Describe how the LMS prevents duplication of authority data. Describe how it enables the removal of duplicate authority data. Describe how it identifies and reports headings which do not correspond to an authorized form.
  - E5.6. Display:** Describe how the LMS manages and displays cross-references. Describe how locally created cross-references will be preserved and displayed, both in the staff editing view and the discovery tool.
  - E5.7. Integration:** Describe which external authority or thesauri files are integrated and available for use in the LMS and how they are integrated into the workflow.
- E6. Quality Control / Batch Updates**
- E6.1. General:** Describe the quality control/batch updating functionality of the LMS including how the LMS prevents records for items that are currently at some stage of the acquisition, technical services, or circulation process from being improperly modified, deleted, or duplicated
  - E6.2. URLs:** Describe how the LMS identifies invalid URLs. Describe the report format of invalid URLs.
  - E6.3. Linked Records:** Explain how the LMS identifies unlinked or incorrectly linked records.
  - E6.4. Validation and Standards:** Explain how the automated quality control routines, such as validation tables, are kept current with updates to national and international data standards. Include how the LMS ensures that the coding, data, and text strings in bibliographic, holdings, authority, and item records loaded into it conforms to published national and international data standards such as MARC21 and ANSI/NISO Z39.71-2006 (R2011).
  - E6.5. URIs:** Describe any plans the LMS has to integrate URIs into the authority control process.
- E7. Physical Processing**
- E7.1. General:** Describe the capabilities of the LMS for physical processing. Include its capabilities for spine label printing, barcode printing, batch label printing, and printing labels for CDs and DVDs.
  - E7.2. Customization:** Describe any customization options including any ability to accommodate multiple layouts and printer options.
  - E7.3. Notices, etc.:** Explain the capabilities of the LMS to produce various types of notices including routing slips, overdue notices, claim notices, receipts, lists, binding slips, cataloged and ready for circulation to the requester, etc. Include whether or not these can be customized or branded and whether they can be done by a batch or automated process or not.
  - E7.4. RFID Tagging:** Describe support for integrating RFID tagging into physical processing workflows.
- E8. Digital Asset Management Features**
- E8.1. General:** Describe the ability of the LMS to create, edit, store archival metadata records (e.g., Dublin Core, EAD, MODS, METS, or local schema) and to integrate with digital object and metadata repositories. Describe any crosswalk tools or utilities that will convert from one metadata schema to another.
  - E8.2. Functionality to support workflow for creation of finding aids within catalog records.** Describe the ability of the system to accommodate the creation of archival finding aids with their hierarchical arrangement and box/folder listings.

## **E9. Workflows**

- E9.1. General:** Describe the workflow management functionality of the LMS including any tracking alert and customization capabilities specifically for cataloging.
- E9.2. Automated Workflows:** Describe how automated workflows support the flow of materials through the entire technical services process, from acquisition through bibliographic description, physical processing, circulation, inventory and withdrawing an item. Explain the process of hand-offs when multiple staff persons perform steps of a task.
- E9.3. Customization:** Describe how the interface can be customized to support local workflows, including if unused functions can be hidden from view.
- E9.4. Ingesting and Updating:** Describe procedures for automatically ingesting records from bibliographic updating services (e.g., OCLC WorldCat MARC Updates, WorldCat Cataloging Partners, Serials Solutions MARC Delivery). Describe the capacity of the system for batch loading records and the options for using or creating APIs for ingesting records.
- E9.5. Staff Interface:** Describe how the LMS provides for staff workflow automation, using such techniques as keyboard shortcuts, task-oriented macros, keystroke recording, or scripts that can be implemented on the staff interface. Describe how the LMS provides tools in support of cataloging tasks (e.g., ability to create templates, macros, use a MARC editing tool to edit or batch process records).

## **E10. Reports and Statistics**

- E10.1. General:** Describe any cataloging specific reports and statistics that are available.

## **F. Discovery and User Experience**

### **F1. Search Experience**

Describe the user search experience including the options available for basic vs. advanced searching, browsing, linking, known item searching, and serendipitous discovery. Address ease of use by patrons of varying experience levels.

### **F2. Search Results and Results Display**

Describe the options for managing the results display including sorting by relevance, date, author, title, etc. Address refinement of search results and output options including export to a citation manager. List actions that are available from the results display. Address how the LMS avoids dead ends and describe how it handles null results. Explain your plans to incorporate linked data to improve retrieval results.

### **F3. Training and Support**

Describe any training and support available for patrons.

### **F4. End User Customization and Personalization**

Explain what types of authentication methods are supported and how patrons are able to customize their search experience. Describe the patron self-service capabilities and functionality.

### **F5. Continuous Improvement**

Describe how the user experience of the LMS is evaluated and improved. Include methods of gathering user feedback and reporting back to member libraries.

### **F6. Re-Indexing**

Explain how frequently the global discovery index is updated, including the effect re-indexing has on end users. Include information about the time needed for changes at the local level to be reflected in the global index.

### **F7. Central Index**

Describe the current size and scope of the central index. Provide a list and count of the vendors (publishers/aggregators) in the index. Provide access to a file that lists the journal and newspaper titles included in the central index with ISSNs, dates of coverage, and level of indexing. List and

describe any ebook publisher agreements. List and describe any major publisher or aggregator agreements that are especially significant for the discovery service. Include information regarding open access ebooks and journals

**F7.1. Continued Development:** Explain the overall strategy for additions of content to the central index.

**F7.2. Data Formats Indexed:** List which data formats and metadata schemas the central index is able to import, including MARC, EAD, MODS, METS, TEI, KBART, Dublin Core, etc.

**F7.3. Multi-level Management:** Explain how the structure allows for locally managed resources to be administered at the Consortium level, along with the ability to configure individual library instances. Include the strategy for accommodating Consortial subscriptions and the varied needs of the member libraries.

**F8. Frequency and Intervals of Updating**

Describe how quickly and often administrative changes are reflected in the discovery results (e.g., turning on and off databases and customization of the interface)?

**F9. Accessibility**

Describe how the discovery product provides full accessibility to users with disabilities under Section 508 of the Rehabilitation Act and Minnesota's own accessibility standards.

**F10. Scoping and Results Promotion**

Describe the scoping options of the discovery service, including the ability to display the collections of a single library, subgroup of libraries, or the Consortium as a whole. Describe how the user navigates between the scopes. Describe the options for promoting results relevant to the user's affiliation and location. Include any information related specifically to Open Access ebooks, journals, and textbooks and their scopability.

**F11. Branding and Local Library Customization**

Describe how the LMS supports branding. Explain other customization options that are available to individual libraries within the Consortium, including customizing display, results prioritization, output styles, search refinements, default options, ability to insert widgets and custom code, etc.

**F12. Discoverability of Local Content**

Explain how the LMS makes available institutional repository content for indexing via commercial search engines and how the LMS enables discoverability from outside the discovery layer.

**F13. Interoperability**

Describe how the LMS works with a discovery tool other than the vendor's native product.

**F14. Reports and Statistics**

Describe the statistics related to user activity and associated reports.

**G. Circulation**

**G1. Patron Management**

**G1.1. Patron Record Maintenance:** Describe how the LMS allows management of patron access locally, regionally, and consortially at multiple locations. Include information regarding patron record structure and how those records are created, maintained, blocked, and removed, and how data privacy principles are maintained during the process. Address how patrons access services at multiple locations while maintaining a primary affiliation.

**G1.2. User Privileges and Proxies:** Address user record ingest, user privileges, and proxy user assignment and privileges.

## **G2. Loan Management**

- G2.1. Lending Rules:** Describe how the LMS accommodates and manages item loans at an individual library, subgroup of libraries, and for the Consortium as a whole. The response should include how multiple sets of lending rules are created and managed and how they affect users with multiple affiliations and loans across libraries. Include information about exceptions.
- G2.2. Hold Shelf Management:** Describe the hold/hold shelf management capabilities and configuration options of the LMS, including holds on large numbers of items and across multiple institutions.
- G2.3. Calendars:** Describe how the LMS manages multiple calendars. Explain how the LMS manages 24 hour operations.
- G2.4. Workflows:** Describe workflows for specialized loan and billing functions, including, but not limited to, items claimed to be returned, returned items after declared lost, and creation of temporary item records.
- G2.5. Offline Circulation:** Describe the ability to support offline circulation transactions when the LMS is unavailable.

## **G3. Course Reserves**

- G3.1. General:** Describe the course reserves functionality (print, electronic, and streaming media) at an institutional level, including the ability to link reserve items to multiple courses, and suppress temporary items, as well as any reporting features related to reserves.

## **G4. Booking**

- G4.1. General:** Describe how the LMS provides for the booking of equipment, materials, resources, and rooms, as well as how the LMS is used to book appointments with librarians and other staff by library personnel or directly by the patron. Address how the LMS supports varying time blocks and how it interacts with open/closed hours, as well as any exceptions and modifications  
**Definition:** “Booking” means an action to reserve an item, resource, or service for a specified date range and time period. Also can be referred to as “scheduling.”

## **G5. Collection Management**

- G5.1. General:** Describe the inventory and collection management tools available in the LMS and any specific notification and reporting tools associated. Include information about integration with third party collection management and course reserves tools.
- G5.2. Inventory Workflow:** Describe the workflow for performing an inventory of a collection, including the simultaneous inventory of multiple collections.
- G5.3. Item Records:** Describe the methods the LMS provides to allow viewing, updating, and tracking changes to item information. List information that is visible and what display customizations are available.

## **G6. Communications and Notifications**

- G6.1. General:** Describe the types and formats of internal staff use and external patron notices and print products that the LMS provides and how the notifications are produced and customized. Include information about notifications or alerts that are displayed to staff about individual transactions.
- G6.2. Automated Sending and Customization Options:** Describe automated sending as well as customization options, for example, the ability to produce a single return receipt for multiple items returned at a single time.

## **G7. Billing and Payments**

- G7.1. General:** Describe how the LMS manually and automatically generates bills and fees and how those are subsequently processed and that information retained and made available for

reporting. Include information about customization and sending batch or individual notices and/or bills and the formats available (paper, email, SMS, etc.), as well as staff functions to process payment. Address applicable laws regarding payments and confidentiality and integration with multiple financial information systems.

**G7.2. Consortial:** Describe how the LMS can facilitate billing between Consortium libraries.

## **G8. Reports and Statistics**

**G8.1. General:** Describe the reporting tools and array of variables available for the major circulation topics addressed in the RFP (Patron Management, Loan Management, Booking, Collection Management, Course Reserves, Billing and Payments). Include information regarding export and manipulation of data. Provide examples.

**G8.2. Maintaining Data Connections:** Describe the ability of the LMS to retain transaction-oriented information (with and without patron-identifiable data) indefinitely for statistical reporting purposes, even if the associated item or patron has been removed from the LMS.

## **H. Resource Sharing**

### **H1. Vision**

Patrons of MnPALS libraries will be able to request information resources regardless of format (print, audiovisual, electronic, etc.) and regardless of source (local, consortial, external, or virtual) using an interface that is simple and easy to understand.

Staff of MnPALS libraries will be able to manage resource sharing requests of all types using an LMS that integrates with other library functions (discovery, ERM, circulation, etc.) and communicates with other resource sharing platforms.

### **H2. Background**

The members of the Consortium of MnPALS Libraries play an important role in Minnesota's complex and highly developed resource sharing environment. They work closely with Minitex, a program of the Minnesota Office of Higher Education and the University of Minnesota Libraries, Twin Cities. Minitex facilitates cooperation among libraries in Minnesota and neighboring states. Some MnPALS libraries with limited budgets and staffing depend exclusively on Minitex for their resource sharing needs. Others exchange thousands of requests each year with one another as well as with Minitex. Either way, they rely on shared software that streamlines processes and improves service for patrons throughout the state.

Many MnPALS libraries also exchange requests with partners outside the Consortium and the Minitex region. MnPALS, therefore, requires an LMS that communicates seamlessly with other resource sharing platforms, including the MnLINK Gateway and OCLC WorldShare ILL.

Since 1986, member libraries have enjoyed the benefits of software that integrates resource sharing with other library functions. The Consortium's current LMS automatically authenticates patrons to ensure their eligibility and good standing, tracks loans for both borrowing and lending, and generates notices when items are available, overdue, and renewed. It integrates resource sharing with discovery of materials in the MnPALS catalog, the MnLINK Gateway, WorldCat, and local and statewide databases. Patrons can use the public interface to manage all of their library activity, including their resource sharing requests.

MnPALS libraries use the term "resource sharing" to refer broadly to services that provide information resources to patrons upon request. Resource sharing offers a range of options including interlibrary loan, document delivery, purchase on demand, and direct purchase by patrons.

Libraries may obtain requested resources from their local collections, remote storage facilities, other libraries, and commercial suppliers. “Interlibrary loan” and “ILL” refer specifically to libraries sharing information resources with other libraries, within and outside of the MnPALS Consortium.

### **H3. Integration**

**H3.1. Authentication:** Describe how the LMS automatically authenticates patrons to ensure their eligibility and good standing when they submit resource sharing requests.

**H3.2. Integration with Circulation:** Describe how the LMS integrates circulation and resource sharing to track loans. Address loans of items borrowed from other libraries and loans of items lent to other libraries.

**H3.3. Communications and Notifications:** Describe how the LMS generates notices to patrons when borrowed items arrive, become overdue, are/are not renewed, etc.

**H3.4. Patron Self-Service:** Describe how patrons can use the public interface of the LMS to track and manage all of their library activity, including their resource sharing requests.

### **H4. Standards and Protocols**

**H4.1. Support for Standards and Protocols:** Describe how the LMS supports the NISO Circulation Interchange Protocol (NCIP), ANSI/NISO Z39.50, ANSI/NISO Z39.83, SIP2 Protocol, ISO 10160:2015, ISO 10161-1:2014, and the Interlibrary Loan Protocol Implementors Group (IPIG) patron request submission message. Address how its developers participate in resource sharing protocol development, maintain compliance with protocol updates, and notify the community of exceptions to the standards, particularly those that affect transfer of information with external or third party systems. List the ILL Application services (APDU) supported for borrowing, lending or both.

**H4.2. ISO ILL Interoperability Testing:** Describe the ISO ILL interoperability testing of the LMS. List testing results with vendors such as OCLC WorldShare ILL, ExLibris Aleph Interlibrary Loan, OCLC VDX, ExLibris Alma Interlibrary Loan and any other vendors.

**H4.3. Routing ISO ILL Requests:** Lists of potential lenders for a request can include a mixture of libraries that use a variety of ISO compliant ILL systems. Describe the ability of the LMS to route requests to a succession of potential lending libraries on different ISO compliant ILL systems.

### **H5. Requests**

**H5.1. Request Parameters:** Describe how individual libraries can modify parameters that control their patrons’ requests. Address how libraries can limit their patrons' active requests. Note how libraries can permit or prevent duplicate requests from their patrons. Note how libraries can permit or prevent requests from their patrons for locally available items.

**H5.2. Staff-initiated Requests:** Describe how the LMS supports staff-initiated requests. Address both loan and copy requests. Note how staff can create and duplicate requests on behalf of patrons and reinstate closed requests. Describe how the LMS signals warnings, exceptions, or conditions that apply when staff create or modify requests. Include descriptions of configuration options.

**H5.3. Patron-initiated Requests:** Describe how the LMS supports patron-initiated requests. Address both loan and copy requests. Describe how the patron-initiated request function integrates with the discovery search interface. Note the fields that patrons must supply and those which download automatically from bibliographic and citation databases. Note when

a patron must accept copyright restrictions. Describe how the LMS signals warnings, exceptions, or conditions that apply when patrons create or modify requests. Include descriptions of configuration options.

- H5.4. Request Fields:** List the patron, bibliographic, and electronic database citation fields that the LMS provides in borrowing loan and copy requests and in lending loan and copy requests. Note which fields are required and which are optional. Note which fields may be edited by staff and how delivery and pickup information is conveyed.
- H5.5. Blank Request Forms:** Describe how the LMS supports patron and staff requests for loans and copies using blank forms.
- H5.6. Mediated and Unmediated Requests:** Describe how the LMS supports mediated and unmediated processing of requests. Address how the LMS determines which requests should be mediated and indicate whether reasons for mediation can be determined by individual libraries and/or the Consortium. List the bibliographic detail that the LMS requires for automated processing of a resource sharing request. Note how the LMS determines local and consortial ownership and shelf status of requested materials.
- H5.7. Deflection:** Describe how the LMS supports unmediated deflection of requests based on format, circulation status, and other criteria as determined by individual libraries.
- H5.8. Organization of Requests:** Describe how the LMS organizes borrowing and lending requests. Address searching for requests, status types, and individual and batch updating of requests. Note how the LMS employs a message file or similar mechanism to help staff manage requests efficiently. Address how the LMS handles messages between libraries. Describe how the LMS logs, stores, and displays transactions for each request. Note how the LMS refreshes the display with updated information.
- H5.9. Printing Requests:** Describe how the LMS supports printing of requests. Include examples of the standard print forms that the LMS provides. Note whether individual libraries and/or the Consortium can customize print forms and create new forms. List the elements available for customized retrieval forms.
- H5.10. Management of Loan Requests:** Describe how the LMS manages loan requests for both borrowing and lending libraries, including integration with circulation. Address how the LMS determines due dates, supports patron- initiated and staff-initiated renewal requests, tracks overdues, and supports recalls.
- H5.11. Ebooks:** Describe how the LMS handles requests for ebooks and circulates ebooks for borrowing and lending.
- H5.12. Notification:** Describe how the LMS notifies patrons that their requests were entered successfully, have arrived, have or have not been renewed, could not be filled, etc. Describe how these notifications can be customized by individual libraries and/or the Consortium.
- H5.13. Reasons for Unfilled Requests:** Describe how the LMS provides reasons when libraries respond no to requests. List the supported reasons. Indicate whether reasons for responding no are included in requests and whether individual libraries can customize reasons for responding no.
- H5.14. Expiry:** Describe how the LMS supports expiry of requests and how expiry may be suspended.

- H5.15. Terminal Requests:** Describe how the LMS archives terminal requests and how staff can search for and display them. Address how the LMS supports the eventual removal of personal identifying information from terminal requests to protect patron privacy.
- H6. Local Resource Sharing**
- H6.1. Workflow:** Describe the workflow of requests made by patrons for locally available materials, including delivery of the materials to the patrons' specified pickup locations and, when applicable, circulation of the materials to the patrons and return of the materials.
- H6.2. Branches, Locations, etc.:** Describe how the LMS handles multiple branches, campuses/locations, joint use facilities, remote storage facilities, and special collections within a single institution with respect to requesting, circulation, and delivery.
- H7. Consortial Resource Sharing**
- H7.1. Workflow:** Describe the borrowing and lending workflow of requests made by patrons for consortial items, including delivery of the items to the patrons at the patrons' specified pickup locations and, when applicable, circulation of the items to the patrons and return of the items to their home libraries.
- H7.2. Branches, Location, etc.:** Include how the LMS handles multiple branches or locations within a single institution with respect to requesting, circulation, managing, and delivery of borrowing and lending requests.
- H7.3. Request Routing:** Describe how the LMS routes requests to potential supplying libraries. Address how the system balances the routing of requests among Consortium members and other libraries. Describe how the LMS supports the option of a lender of last resort.
- H7.4. Due Dates and Hold Priorities:** Describe how the LMS determines due dates and hold priority at the consortial level given numerous global and library-specific shelving locations, categories of patrons, and material formats.
- H8. External Resource Sharing**
- H8.1. Workflow:** Describe how the LMS communicates with other resource sharing platforms to locate, request, and deliver physical and electronic materials that are not available within the Consortium. Provide examples of successful tests with other platforms.
- H8.2. Tracking and Management:** Describe how the LMS supports tracking and management of requests sent to and received from external (i.e., non-consortial) partners.
- H9. Referral Centers**
- H9.1. Workflow:** Describe the borrowing and lending workflow that referral centers use to create, manage, and track referrals to third parties. (MnPALS libraries use the term "referral center" to describe a network office that forwards or "refers" requests from member libraries to other libraries within and outside of the network. Minitex is the primary example of a referral center in Minnesota.)
- H10. Delivery**
- H10.1. Physical Delivery:** Describe how the LMS supports delivery to any pickup location within the consortium and delivery to homes and offices.
- H10.2. Electronic Delivery:** Describe support and workflow for electronic delivery of articles to websites and directly to patrons. Note browsers supported, additional software needed, formats supported and file size allowed. Describe electronic delivery controls on patron or library staff use. Address copyright warning notification, number of views, length of time that the article is available for viewing.

**H10.3. Ebooks:** Describe support for the delivery of ebooks.

**H11. Other Resource Sharing Services**

**H11.1. Document Delivery:** Describe how the LMS supports document delivery services. (In this RFP, “document delivery” refers to libraries providing information resources to patrons at their homes, offices, or other designated locations.) Address how the LMS distinguishes document delivery patrons from other patrons and document delivery requests from interlibrary loan requests.

**H11.2. Purchase on Demand:** Describe how the LMS supports Purchase on Demand.

**H11.3. Patron Purchase:** Describe how the LMS supports direct purchase of information resources by patrons.

**H12. Suspension of Service**

Describe how individual libraries can suspend resource sharing services temporarily. Note how libraries can suspend borrowing, lending, or both. Address how the LMS notifies patrons if they try to submit requests when their library’s borrowing service is suspended. Describe how the LMS routes requests when one or more libraries suspend lending.

**H13. Copyright and Licensing**

**H13.1. Copyright:** Describe how the LMS supports copyright compliance. Note how the LMS requires patron acceptance of copyright restrictions, borrowing library indication of CCL (complies with copyright law) or CCG (complies with copyright guidelines) and display of this information on lending requests.

**H13.2. Licensing:** Describe how the LMS supports tracking of and compliance with licensing agreements.

**H14. Reports and Statistics**

**H14.1. Statistical Reports:** Describe how the LMS provides statistical reports for resource sharing requests at the system-wide, individual unit, and delivery location levels. List data elements that appear in statistical reports.

**H14.2. Copyright Reports:** Describe how the LMS provides reports that track copyright compliance and support payment of royalties. Provide examples.

**H14.3. Standard Reports:** Provide examples of resource sharing reports that the LMS includes in its standard reporting package.

**I. Information Contact**

Questions regarding this RFP need to be submitted in writing, and submitted through the Purchasing website (<http://www.mnsu.edu/fpurchas/>) under submit questions. The questions are linked to the contact person below.

Name:	Stephen F. Elfstrand
Title:	PALS Executive Director
Address:	Memorial Library 3022 Minnesota State University, Mankato Mankato MN 56001
Telephone:	1-507-389-5059
E-mail address:	stephen.elfstrand@mnsu.edu

Other persons are not authorized to discuss RFP requirements before the proposal submission deadline and PALS shall not be bound by and responders may not rely on information regarding RFP requirements obtained from non-authorized persons. Questions must include the name of the questioner and his/her telephone number, fax number and/or e-mail address. Anonymous inquiries will not be answered.

## Section IV. Response Evaluation

The following criteria and their identified weights will be used by the Consortium of MnPALS Libraries to evaluate the responses:

<b>Evaluation Criteria Categories</b>	<b>Evaluation Criteria Descriptions</b>	<b>Evaluation Percentages</b>
<b>RFP Response</b>	Solution Functionality as described in the RFP response (Section III, A-H)	30%
<b>Demonstrations and Meetings</b>	Solution functionality as demonstrated or described by the vendor or the vendor's customers	30%
<b>Consortium Needs</b>	Functionality, architecture, and infrastructure that meet the needs of the MnPALS Consortium	15%
<b>Cost</b>	Initial and ongoing costs	15%
<b>Vendor Qualifications</b>		10%
<b>Total</b>		<b>100%</b>

In some instances, an interview will also be part of the evaluation process.

PALS reserves the right to name a date at which all responding vendors will be invited to present demonstrations or participate in an interview. PALS does not agree to reach a decision by any certain date although it is hoped the evaluation and selection will be completed by the date identified in the **Selection and Implementation Timeline** above.

A proposal may be rejected if it is determined that a vendor's ability to work with the existing infrastructure will be too limited or difficult to manage.

## Section V. Additional RFP Response and General Contract Requirements

### Notice to Vendors and Contractors

As a condition of this contract, CONTRACTOR is required by Minn. Stat. §270C.65 to provide a social security number, a federal tax identification number or Minnesota tax identification number. This information may be used in the enforcement of federal and state tax laws. These numbers will be available to federal and state tax authorities and state personnel involved in approving the contract and the payment of state obligations. Supplying these numbers could result in action to require CONTRACTOR to file state tax returns and pay delinquent state tax liabilities. This contract will not be approved unless these numbers are provided.

If you are an independent contractor, Minn. Stat. §256.998 requires the state to report your name, address and social security number to the New Hire Reporting Center of the Minnesota Department of Human Services unless your contract is for less than two months in duration with gross earnings of less than \$250.00 per month. This information may be used by state or local child support enforcement authorities in the enforcement of state and federal child support laws.

### Problem Resolution Process

A formal problem resolution process will be established in the contract to address issues raised by either PALS or the vendor.

### **Affidavit of Non-Collusion**

All responding vendors are required to complete the Affidavit of Non-Collusion form and submit it with the response.

### **Human Rights Requirements**

For all contracts estimated to be in excess of \$100,000 all responding vendors are required to complete the Human Rights Certification Information and Affirmative Action Data Page and submit it with the response. As required by Minnesota Rule 5000.3600, "It is hereby agreed between the parties that Minnesota Statutes §363A.36 and Minnesota Rule 5000.3600 are incorporated into any contract between these parties based upon this specification or any modification of it. Copies of Minnesota Statutes §363A.36 and Minnesota Rules 5000.3400 - 5000.3600 are available from the Minnesota Bookstore, 660 Olive Street, St. Paul, MN 55155. All responding vendors shall comply with the applicable provisions of the Minnesota Affirmative Action law, Minnesota Statutes §363.A36. Failure to comply shall be grounds for rejection.

### **Equal Pay Certificate**

If the Response to this solicitation could be in excess of \$500,000, including renewal and extension options, the Responder must obtain an Equal Pay Certificate from the Minnesota Department of Human Rights (MDHR) or claim an exemption prior to contract execution. A responder is exempt if it has not employed more than 40 full-time employees on any single working day in one state during the previous 12 months. Please contact MDHR with questions at: 651-539-1095 (metro), 1-800-657-3704 (toll free), 711 or 1-800-627-3529 (MN Relay) or at [compliance.MDHR@state.mn.us](mailto:compliance.MDHR@state.mn.us).

### **Preference to Targeted Group and Economically Disadvantaged Business and Individuals**

In accordance with Minnesota Rules, part 1230.1810, subpart B and Minnesota Rules, part 1230.1830, certified Targeted Group Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent preference in the evaluation of their proposal, and certified Economically Disadvantaged Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent preference in the evaluation of their proposal. For information regarding certification, contact the Materials Management Helpline at 651.296.2600, or you may reach the Helpline by e-mail at [mmd.help.line@state.mn.us](mailto:mmd.help.line@state.mn.us). For TTY/TDD communications, contact the Helpline through the Minnesota Relay Services at 1.800.627.3529.

### **Veteran-Owned Preference**

In accordance with Minn. Stat. § 16C.16, subd. 6a, (a) Except when mandated by the federal government as a condition of receiving federal funds, the commissioner shall award up to a six percent preference, but no less than the percentage awarded to any other group under this section on state procurement to **certified small businesses that are majority-owned and operated by veterans.**

In accordance with Minn. Stat. § 16C.19 (d), a veteran-owned small business, the principal place of business of which is in Minnesota, is certified if it has been verified by the United States Department of Veterans Affairs as being either a veteran-owned small business or a service disabled veteran-owned small business, in accordance with Public Law 109-461 and Code of Federal Regulations, title 38, part 74.

To receive a preference the veteran-owned small business must meet the statutory requirements above by the solicitation due date and time.

If you are claiming the veteran-owned preference, attach documentation, sign and return the Veteran-Owned Preference Form with your response to the solicitation. Only eligible veteran-owned small businesses that meet the statutory requirements and provide adequate documentation will be given the preference.

## Insurance Requirements

- A. The selected vendor will be required to submit an ACORD Certificate of Insurance to the PALS authorized representative prior to execution of the contract. The selected vendor shall not commence work under the contract until they have obtained all the insurance described below and MnSCU has approved evidence of such insurance. Vendor shall maintain such insurance in force and effect throughout the term of the contract.
- B. The selected vendor will be required to maintain and furnish satisfactory evidence of the following:
  1. Workers' Compensation Insurance. The vendor must provide workers' compensation insurance for all its employees and, in case any work is subcontracted, the vendor will require the subcontractor to provide workers' compensation insurance in accordance with the statutory requirements of the State of Minnesota, including Coverage B, Employer's Liability, at limits not less than \$100,000.00 bodily injury by disease per employee; \$500,000.00 bodily injury by disease aggregate; and \$100,000.00 bodily injury by accident.
  2. Commercial General Liability. The vendor will be required to maintain a comprehensive commercial general liability insurance (CGL) policy protecting it from bodily injury claims and property damage claims which may arise from operations under the contract whether the operations are by the vendor or by a subcontractor or by anyone directly or indirectly employed under the contract. The minimum insurance amounts will be:
    - \$2,000,000.00 per occurrence
    - \$2,000,000.00 annual aggregate
    - \$2,000,000.00 annual aggregate – Products/Completed Operations

In addition, the following coverages must be included:

Premises and Operations Bodily Injury and Property Damage  
Personal and Advertising Injury  
Products and Completed Operations Liability  
Blanket Contractual Liability  
Name the following as Additional Insureds:  
Board of Trustees of the Minnesota State Colleges and Universities  
Minnesota State University, Mankato

3. Commercial Automobile Liability. The vendor will be required to maintain insurance protecting it from bodily injury claims and property damage claims which may arise from operations of vehicles under the contract whether such operations were by the vendor, a subcontractor or by anyone directly or indirectly employed under the contract. The minimum insurance amounts will be:

\$2,000,000.00 per occurrence Combined Single Limit (CSL)

In addition, the following coverages should be included:

4. Errors and Omissions (E & O) Insurance. The vendor will be required to maintain insurance protecting it from claims the vendor may become legally obligated to pay resulting from any actual or alleged negligent act, error or omission related to the vendor's professional services required under this contract. The minimum insurance amounts will be:

\$2,000,000.00 per occurrence  
\$2,000,000.00 annual aggregate

Any deductible will be the sole responsibility of the vendor and may not exceed \$50,000 without the written approval of MnSCU. If the vendor desires authority from MnSCU to have a deductible in a higher amount, the vendor shall so request in writing, specifying the amount of the desired deductible and providing financial documentation by submitting the most current audited financial statements so that MnSCU can ascertain the ability of the vendor to cover the deductible from its own resources.

The retroactive or prior acts date of such coverage shall not be after the effective date of this contract and vendor shall maintain such insurance for a period of at least three (3) years, following completion of the work. If such insurance is discontinued, extended reporting period coverage must be obtained by vendor to fulfill this requirement.

**Additional Insurance Conditions:**

- Vendor's policy(ies) shall be primary insurance to any other valid and collectible insurance available to MnSCU with respect to any claim arising out of vendor's performance under this contract;
- If vendor receives a cancellation notice from an insurance carrier affording coverage herein, vendor agrees to notify MnSCU within five (5) business days with a copy of the cancellation notice, unless vendor's policy(ies) contain a provision that coverage afforded under the policy(ies) will not be cancelled without at least thirty (30) days advance written notice to MnSCU;
- Vendor is responsible for payment of contract related insurance premiums and deductibles;
- If vendor is self-insured, a Certificate of Self-Insurance must be attached;
- Vendor's policy(ies) shall include legal defense fees in addition to its liability policy limits, with the exception of B.4 above;
- Vendor shall obtain insurance policy(ies) from insurance company(ies) having an "AM BEST" rating of A- (minus); Financial Size Category (FSC) VII or better, and authorized to do business in the State of Minnesota; and
- An Umbrella or Excess Liability insurance policy may be used to supplement the vendor's policy limits to satisfy the full policy limits required by the contract.

C. PALS reserves the right to immediately terminate the contract if the vendor is not in compliance with the insurance requirements and retains all rights to pursue any legal remedies against the vendor. All insurance policies must be available for inspection by PALS and copies of policies must be submitted to PALS authorized representative upon written request.

**State Audit**

The books, records, documents and accounting practices and procedures of the vendor relevant to the contract must be available for audit purposes to MnSCU and the Legislative Auditor's Office for six (6) years after the termination/expiration of the contract.

**Minnesota Government Data Practices Act**

**A. Data Ownership and Control.**

The requirements of Minnesota Statutes § 13.05, subd. 11 apply to this contract. The CONTRACTOR and MnSCU must comply with the Minnesota Government Data Practices Act, Minnesota Statutes Chapter 13, as it applies to all data provided by MnSCU in accordance with this contract, and as it applies to all data, created, collected, received, stored, used, maintained, or disseminated by the CONTRACTOR in accordance with this contract. The civil remedies of

Minnesota Statutes §13.08 apply to the release of the data referred to in this clause by either the CONTRACTOR or MnSCU.

MnSCU solely and exclusively owns and retains all right, title, and interest, whether express or implied in and to its data. For purposes of this section “MnSCU data” has the meaning of “government data” in Minn. Stat. §13.02, subd. 7. CONTRACTOR has no and acquires no right, title, or interest, whether expressed or implied, in and too MnSCU data.

**B. Public Data Requests.**

In the event the CONTRACTOR receives a request to release the data referred to in this clause, the CONTRACTOR must immediately notify MnSCU. MnSCU will give the CONTRACTOR instructions concerning the release of the data to the requesting party before the data is released.

**C. Not-Public Data.**

The CONTRACTOR acknowledges that the Contract may allow it to access private data, including but not limited to “educational data” as defined at Minnesota Statutes § 13.32; “not public data” as defined at Minnesota Statutes § 13.02, subd. 8a; and “nonpublic data” as defined at Minnesota Statutes § 13.02, subd. 9. CONTRACTOR is responsible for maintain the confidentiality, security, and protection of MnSCU data related to the Contract.

The CONTRACTOR further acknowledges that for the purposes of this Contract it will be designated as a “school official” with “legitimate educational interests” in MnSCU’s data, as those terms have been defined under the Family Educational Rights and Privacy Act (FERPA) and its implementing regulations, and the CONTRACTOR agrees to abide by the limitations and requirements imposed by 34 CFR 99.33(a) on school officials. The CONTRACTOR will use MnSCU data only for the purpose of fulfilling its duties under this Contract, and will not monitor or share such data with or disclose it to any third party except as provided for in this Contract, required by law, or authorized in writing by MnSCU. CONTRACTOR will not access MnSCU user accounts except to respond to service or technical problems or at MnSCU’s specific request.

The CONTRACTOR agrees that no MnSCU data shall be transmitted, exchanged or otherwise provided to other parties except as specifically agreed to in writing by MnSCU contract administrator or delegate. CONTRACTOR must ensure that any contractors, subcontractors, agents and others to whom it provides MnSCU data, agree in writing to be bound by the same restrictions and conditions under this Contract that apply to CONTRACTOR with respect to such data.

**D. Security Incidents.**

If CONTRACTOR becomes aware of a privacy or security incident regarding any MnSCU data, CONTRACTOR will immediately report the event to MnSCU and MNSCU’s Chief Information Security Officer. The decision to notify and the actual notifications to the MnSCU’s data subjects affected by the security or privacy incident is the responsibility of MnSCU. Notwithstanding anything to the contrary in this Contract, the CONTRACTOR shall indemnify, hold harmless and defend MnSCU and its officers, and employees for and against any claims, damages, costs and expenses related to any privacy or security incident involving any MnSCU data. CONTRACTOR shall reasonably mitigate any harmful effects resulting from any privacy or security incident involving any MnSCU data.

For purposes of this sub-section, "security incident" means the successful unauthorized access, use, disclosure, modification or destruction of data or interference with system operations in an

information system. For purposes of this sub-section, "privacy incident" means violation of the Minnesota Government Data Practices Act (Minnesota Statutes chapter 13) and/or federal privacy requirements in federal laws, rules and regulations. This includes, but is not limited to, improper or unauthorized use or disclosure of not public data, improper or unauthorized access to or alteration of public data, and incidents in which the confidentiality of the data maintained by CONTRACTOR has been breached. For purposes of this section, "not public data" has the meaning in Minnesota Statutes section 13.02, subdivision 8a.

**E. Security Program.**

CONTRACTOR must make all commercially reasonable efforts to protect and secure MnSCU data related to this Contract. CONTRACTOR will establish and maintain an Information Security Program ("Program") that includes an information security policy applicable to any and all cloud computing or hosting services ("Policy"). CONTRACTOR's Program and Policy must align with appropriate industry security frameworks and standards such as National Institute of Standards and Technology ("NIST") 800-53 Special Publication Revision 4, Federal Information Processing Standards ("FIPS") 199, Federal Risk and Authorization Management Program ("FedRamp"), or Control Objectives for Information and Related Technology ("COBIT"). For purposes of this section, "cloud computing" has the meaning defined by the U.S. Department of Commerce, NIST Special Publication 800-145, currently available online at:

<http://csrc.nist.gov/publications/nistpubs/800-145/SP800-145.pdf>.

CONTRACTOR will make its Policy available to MnSCU on a confidential, need-to-know basis, along with other related information reasonably requested by MnSCU regarding CONTRACTOR's security practices and policies. Unless inconsistent with applicable laws, CONTRACTOR and MnSCU must treat the Policy and related information on security practices and policies that are specific to the State as confidential information and as not public data pursuant to Minnesota Statutes §13.37.

**G. End of Agreement Data Handling.**

All MnSCU data shall be remitted, in a mutually agreeable format and media, to MnSCU by the CONTRACTOR upon request or upon completion, termination or cancellation of this Contract. The foregoing sentence does not apply if MnSCU's Chief Information Security Officer or delegate authorizes in writing the CONTRACTOR to sanitize and/or destroy the data and the CONTRACTOR certifies in writing the sanitization and/or destruction of the data. Ninety days following any remittance of MnSCU data to MnSCU, CONTRACTOR shall, unless otherwise instructed by MnSCU in writing, sanitize and/or destroy any remaining data and certify in writing that the sanitization and/or destruction of the data has occurred. Any such remittance, sanitization or destruction will be at the CONTRACTOR's sole cost and expense.

**G. Trade Secrets**

All materials submitted in response to this RFP will become property of the State of Minnesota and will become public record after the evaluation process is completed. Pursuant to the statute, completion of the evaluation process occurs when MnSCU has completed negotiating the contract with the selected vendor. If the vendor submits information in response to this RFP that it believes to be trade secret materials as defined by the Minnesota Government Data Practices Act, the vendor must:

- mark clearly all trade secret materials in its response at the time the response is submitted;
- include a statement with its response justifying the trade secret designation for each item;
- defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the State of Minnesota, MnSCU, its agents and employees,

from any judgments or damages awarded against the State or MnSCU in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives MnSCU's award of a contract. In submitting a response to this RFP, the responder agrees this indemnification survives as long as the trade secret materials are in possession of MnSCU.

MnSCU will not consider the prices submitted by the Responder to be proprietary or trade secret materials.

### **MnSCU IT re: Cloud-Based Computing**

An addendum will be posted on the Purchasing RFP website under the RFP Information Pieces section regarding Cloud-Based Computing. Please check this website prior to submitting your final RFP response.

### **Conflict of Interest**

The vendor must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that it is contemplated in this Request for Proposal. The list should indicate the names of the entity, the relationship, and a discussion of the conflict.

### **Organizational Conflicts of Interest**

The responder warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances that could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, a vendor is unable or potentially unable to render impartial assistance or advice, or the vendor's objectivity in performing the contract work is or might be otherwise impaired, or the vendor has an unfair competitive advantage. The responder agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to the respective school's chief financial officer or the System Office's Business Manager that must include a description of the action which the vendor has taken or proposes to take to avoid or mitigate such conflicts. If an organizational conflict of interest is determined to exist, the school or System Office may, at its discretion, cancel the contract. In the event the responder was aware of an organizational conflict of interest prior to the award of the contract and did not disclose the conflict to the contracting officer, the school or System Office may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed similar to the service provided by the prime contractor, and the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve MnSCU's rights.

### **Physical and Data Security**

The vendor is required to recognize that on the performance of the contract the vendor will become a holder of and have access to private data on individuals and nonpublic data as defined in the Minnesota Government Data Practices Act, Minnesota Statutes Chapter 13; and other applicable laws.

In performance of the contract, the vendor agrees it will comply with all applicable state, federal and local laws and regulations, including but not limited to the laws under Minnesota Statute Chapters 13 relating to confidentiality of information received as a result of the contract. The vendor agrees that it, its officers, employees and agents will be bound by the above confidentiality laws and that it will establish procedures for safeguarding the information.

The vendor agrees to notify its officers, employees and agents of the requirements of confidentiality and of the possible penalties imposed by violation of these laws. The vendor agrees that neither it, nor its

officers, employees or agents will disclose or make public any information received by the vendor on behalf of MnSCU and PALS.

The vendor shall recognize MnSCU's sole and exclusive right to control the use of this information. The vendor further agrees it shall make no use of any of the described information, for either internal or external purposes, other than that which is directly related to the performance of the contract.

The vendor agrees to indemnify and hold harmless the State of Minnesota, MnSCU, Minnesota State University, Mankato, and PALS from any and all liabilities and claims resulting from the unauthorized disclosure by the vendor, its officers, employees or agents of any information required to be held confidential under the provisions of the contract. The vendor must return all source data to the "Authorized Representative" to be identified in the contract.

### **Reimbursements**

Reimbursement for travel and subsistence expenses actually and necessarily incurred by the contractor as a result of the contract will be in no greater amount than provided in the current "Commissioner's Plan" promulgated by the commissioner of Employee Relations. Reimbursements will not be made for travel and subsistence expenses incurred outside Minnesota unless it has received the State's prior written approval for out of state travel. Minnesota will be considered the home state for determining whether travel is out of state.

## **Section VI. RFP Responses**

### **Submission**

Sealed proposals must be received at the following address not later than **2:00 p.m. CST on Friday, January 29, 2016:**

Institution:	Minnesota State University, Mankato
Name:	Donna Hensel
Title:	Facilities Purchasing Coordinator
Mailing Address:	358 Wiecking Center 415 Malin Street Mankato, MN 56001

The responder shall submit three (3) printed copies of its RFP response and a digital copy with the RFP response in Microsoft Word or derived PDF format. Proposals are to be sealed in mailing envelopes or packages with the responder's name and address clearly written on the outside. One copy of the proposal must be unbound and signed in blue or black ink by an authorized representative of the vendor. Proof of authority of the person signing must accompany the response.

Proposals received after this date and time will be returned to the responder unopened.

Fax and e-mail responses will not be considered.

Proposals made in pencil will be rejected. Alterations in cost figures used to determine the lowest priced proposal will be rejected unless initialed in ink by the person responsible for or authorized to make decisions as to price quoted. The use of "white out" is considered an alteration.

The remainder of this page was intentionally left blank

**Exhibit A: Affidavit of Non-Collusion**

**STATE OF MINNESOTA  
AFFIDAVIT OF NON-COLLUSION**

I swear (or affirm) under the penalty of perjury:

1. That I am the Responder (if the Responder is an individual), a partner in the company (if the Responder is a partnership), or an officer or employee of the responding corporation having authority to sign on its behalf (if the Responder is a corporation);
2. That the attached proposal submitted in response to the \_\_\_\_\_ Request for Proposal has been arrived at by the Responder independently and has been submitted without collusion with and without any agreement, understanding or planned common course of action with, any other Responder of materials, supplies, equipment or services described in the Request for Proposal, designed to limit fair and open competition;
3. That the contents of the proposal have not been communicated by the Responder or its employees or agents to any person not an employee or agent of the Responder and will not be communicated to any such persons prior to the official opening of the proposals; and
4. That I am fully informed regarding the accuracy of the statements made in this affidavit.

Responder's Firm Name: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Subscribed and sworn to me this \_\_\_\_\_ day of \_\_\_\_\_

Notary Public: \_\_\_\_\_

My commission expires: \_\_\_\_\_

## **Exhibit B: Human Rights Certification Information**

### **NOTICE TO CONTRACTORS AFFIRMATIVE ACTION CERTIFICATION OF COMPLIANCE**

It is hereby agreed between the parties that MnSCU will require that affirmative action requirements be met by contractors in relation to Minnesota Statutes §363A.36 and Minnesota Rules, 5000.3400 to 5000.3600. Failure by a contractor to implement an affirmative action plan or make a good faith effort shall result in revocation of its certificate or revocation of the contract (Minnesota Statutes §363A.36, subdivisions 3 and 4).

Under the Minnesota Human Rights Act, §363A.36, businesses or firms entering into a contract over \$100,000 which have more than forty (40) full-time employees within the state of Minnesota on a single working day during the previous twelve (12) months, or businesses or firms employing more than forty (40) full-time employees on a single working day during the previous twelve (12) months in a state in which its primary place of business is domiciled and that primary place of business is outside of the State of Minnesota but within the United States, must have submitted an affirmative action plan that was received by the Commissioner of Human Rights for approval prior to the date and time the responses are due. A contract over \$100,000 will not be executed unless the firm or business having more than forty (40) full-time employees, either within or outside the State of Minnesota, has received a certificate of compliance signifying it has an affirmative action plan approved by the Commissioner of Human Rights. The Certificate is valid for four (4) years. For additional information, contact the Department of Human Rights, Freeman Building, 625 Robert Street North, Saint Paul, MN 55155.

Effective July 1, 2003. The Minnesota Department of Human Rights is authorized to charge a \$150.00 fee for each Certificate of Compliance issued. A business or firm must submit its affirmative action plan along with a cashier's check or money order in the amount of \$150.00 to the Minnesota Department of Human Rights or you may contact the Department for additional information at the Compliance Services Unit, Freeman Building, 625 Robert Street North, Saint Paul MN 55155.

## Exhibit C: Affirmative Action Data Page

### State Of Minnesota – Affirmative Action Certification

If your response to this solicitation is or could be in excess of \$100,000, complete the information requested below to determine whether you are subject to the Minnesota Human Rights Act (Minnesota Statutes 363A.36) certification requirement, and to provide documentation of compliance if necessary. It is your sole responsibility to provide this information and—if required—to apply for Human Rights certification prior to the due date of the bid or proposal and to obtain Human Rights certification prior to the execution of the contract. The State of Minnesota is under no obligation to delay proceeding with a contract until a company receives Human Rights certification.

#### **BOX A – For companies which have employed more than 40 full-time employees within Minnesota on any single working day during the previous 12 months. All other companies proceed to BOX B.**

Your response will be rejected unless your business:

has a current Certificate of Compliance issued by the Minnesota Department of Human Rights (MDHR)

–or–

has submitted an affirmative action plan to the MDHR, which the Department received prior to the date the responses are due.

Check one of the following statements if you have employed more than 40 full-time employees in Minnesota on any single working day during the previous 12 months:

- We have a current Certificate of Compliance issued by the MDHR. **Proceed to BOX C. Include a copy of your certificate with your response.**
- We do not have a current Certificate of Compliance. However, we submitted an Affirmative Action Plan to the MDHR for approval, which the Department received on \_\_\_\_\_ (date). **Proceed to BOX C.**
- We do not have a Certificate of Compliance, nor has the MDHR received an Affirmative Action Plan from our company. **We acknowledge that our response will be rejected. Proceed to BOX C. Contact the Minnesota Department of Human Rights for assistance.** (See below for contact information.)

**Please note:** Certificates of Compliance must be issued by the Minnesota Department of Human Rights. Affirmative Action Plans approved by the Federal government, a county, or a municipality must still be received, reviewed, and approved by the Minnesota Department of Human Rights before a certificate can be issued.

#### **BOX B – For those companies not described in BOX A**

Check below.

- We have not employed more than 40 full-time employees on any single working day in Minnesota within the previous 12 months. **Proceed to BOX C.**

**BOX C – For all companies**

By signing this statement, you certify that the information provided is accurate and that you are authorized to sign on behalf of the responder. You also certify that you are in compliance with federal affirmative action requirements that may apply to your company. (These requirements are generally triggered only by participating as a prime or subcontractor on federal projects or contracts. Contractors are alerted to these requirements by the federal government.)

Name of Company: \_\_\_\_\_ Date \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Telephone number: \_\_\_\_\_

Printed Name: \_\_\_\_\_ Title: \_\_\_\_\_

**For assistance with this form, contact:**

Minnesota Department of Human Rights, Compliance & Community Relations

Freeman Building, 625 Robert Street North, Saint Paul, MN 55155

Phone: 651-296-5663

Toll Free: 800-657-3704

Fax: 651-296-9042

TTY: 651-296-1283

Web: [mn.gov/mdhr](http://mn.gov/mdhr)

Email: [compliance.mndh@state.mn.us](mailto:compliance.mndh@state.mn.us)

6/11 – MDHR

Affirmative Action Certification Page, Revised

## **Exhibit D: Affirmative Action Certification of Compliance**

### **MINNESOTA STATE COLLEGES AND UNIVERSITIES NOTICE TO VENDORS**

#### **AFFIRMATIVE ACTION CERTIFICATION OF COMPLIANCE**

The amended Minnesota Human Rights Act (Minnesota Statutes §363A.36) divides the contract compliance program into two categories. Both categories apply to any contracts for goods or services in excess of \$100,000.

The first category applies to businesses that have had more than 40 full-time employees within Minnesota on a single working day during the previous 12 months. The businesses in this category must have submitted an affirmative action plan to the Commissioner of the Department of Human Rights prior to the due date and time of the response and must have received a Certificate of Compliance prior to execution of the contract or agreement.

The secondary category applies to businesses that have had more than 40 full-time employees on a single working day in the previous 12 months in the state in which its primary place of business is domiciled. The businesses in this category must certify to MnSCU that it is in compliance with federal affirmative action requirements before execution of the contract. For further information, contact the Department of Human Rights, Compliance Services Unit, 625 Robert Street North, Saint Paul MN 55155; Voice: 651-296-5663; Toll Free: 800-657-3704; TTY: 651-296-1283.

**MnSCU is under no obligation to delay the award or the execution of a contract until a vendor has completed the Human Rights certification process. It is the sole responsibility of the vendor to apply for and obtain a Human Rights certificate prior to contract execution.**

It is hereby agreed between the parties that MnSCU will require affirmative action requirements be met by vendors in relation to Minnesota Statutes §363A.36 and Minnesota Rules, 5000.3400 to 5000.3600.

Under the Minnesota Human Rights Act, §363A.36, subdivision 1, no department or agency of the state shall execute an order in excess of \$100,000 with any business within the State of Minnesota having more than 40 full-time employees in a single working day during the previous 12 months unless the firm or business has an affirmative action plan for the employment of minority persons, women, and the disabled that has been approved the Commissioner of Human Rights. Receipt of a Certificate of Compliance issued by the Commissioner shall signify that a firm or business has an affirmative action plan approved by the Commissioner.

Failure by the vendor to implement an affirmative action plan or make a good faith effort shall result in revocation of its certificate or revocation of the order (Minnesota Statutes §363A.36, subdivisions 3 and 4). A certificate is valid for a period of four (4) years.

#### **DISABLED INDIVIDUAL CLAUSE**

- A. A vendor shall not discriminate against any employee or applicant for employment because of physical or mental disability in regard to any position for which the employee or applicant for employment is qualified. The vendor agrees to take disabled individuals without discrimination based on their physical or mental disability in all employment practices such as the following:

employment, upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection of training, including apprenticeship.

- B. The vendor agrees to comply with the rules and relevant order of the Minnesota Department of Human Rights issued pursuant to the Minnesota Human Rights Act.
- C. In the event of a vendor's noncompliance with the requirements of this clause, actions for noncompliance may be taken by the Minnesota Department of Human Rights pursuant to the Minnesota Human Rights Act.
- D. The vendor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Commissioner of the Minnesota Department of Human Rights. Such notices shall state the vendor obligation under the law to take affirmative action to employ and advance in employment qualified disabled employees and applicants for employment and the rights of applicants and employees.
- E. The vendor shall notify each labor union or representative of workers with which it has a collective bargaining agreement or other order understanding, that the vendor is bound by the terms of Minnesota Statutes §363A.36 of the Minnesota Human Rights Act and is committed to take affirmative action to employ and advance in employment physically and mentally disabled individuals.

It is hereby agreed between the parties that Minnesota Statutes §363A.36 and Minnesota Rules 5000.3400 to 5000.3600 are incorporated into any order of Minnesota Statutes §363A.36 and Minnesota Rules, 5000.3400 to 5000.3600 are available from Minnesota Bookstore, 660 Olive Street, St. Paul, Minnesota 55155.

By signing this statement the vendor certifies that the information provided is accurate.

NAME OF COMPANY: \_\_\_\_\_

AUTHORIZED SIGNATURE: \_\_\_\_\_

TITLE: \_\_\_\_\_

DATE: \_\_\_\_\_

## Exhibit E: Equal Pay Certificate Form

Minnesota Department of Human Rights  
ATTN: Contract Compliance  
Freeman Building  
625 Robert Street North  
Saint Paul, MN 55155  
(Or Send to - [compliance.MDHR@state.mn.us](mailto:compliance.MDHR@state.mn.us).)

### Equal Pay Certificate Application

- We are in compliance with Title VII of the Civil Rights Act of 1964, the Equal Pay Act of 1963, the Minnesota Human Rights Act, and the Minnesota Equal Pay Act for Equal Work Law.
- The average compensation for female employees is not consistently below the average compensation for male employees, taking into account mitigating factors, within each of the major job categories in your EEO-1 report. If you are not required to file an EEO-1 report, taking into account mitigating factors, the average compensation for female employees is not consistently below the average compensation for male employees within your organization.
- We make hiring, retention and promotion decisions without regard to gender, nor do we limit employees based on gender to certain job classifications.
- We promptly correct wage and benefit disparities.
- We evaluate wages and benefits (annually) (two year period) (other, please specify) to ensure compliance with the above identified laws.
- In determining our employee compensation we use: (check below)
  - Market pricing approach
  - State prevailing wage or union contract requirements
  - Performance pay system
  - An internal analysis
  - Other method (please specify) \_\_\_\_\_

Enclosed is our application fee of \$150, made payable to the “Minnesota Department of Human Rights.”

In signing below, I affirm that I am the Board Chairperson or Chief Executive Officer and that the above information to the best of my understanding is accurate and complete.

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Signature

Print Name

Date

---

Business Name

Business Address

**Exhibit F: Veteran-Owned Preference Form**

**STATE OF MINNESOTA  
VETERAN-OWNED PREFERENCE FORM**

In accordance with Minn. Stat. §16C.16, subd. 6a, the MnSCU may award up to a 6% preference in the amount bid on state procurement to certified small businesses that are majority owned and operated by veterans.

Veteran-Owned Preference Requirements - See Minn. Stat. §16C.19(d):

1. Principal place of business is in Minnesota.

**and**

2. The United States Department of Veterans Affairs verifies the business as being a veteran-owned small business under Public Law 109-461 and Code of Federal Regulations, title 38, part 74.

Statutory requirements and appropriate documentation must be met **by the solicitation response due date and time** to be awarded the veteran-owned preference. The preference applies only to the first \$500,000 of a solicitation response.

**Claim the Preference**

**By signing below I confirm that:**

My company is claiming the veteran-owned preference afforded by Minn. Stat. § 16C.16, subd. 6a. by making this claim, I verify that:

- My company’s principal place of business is in Minnesota; and
- The United States Department of Veteran’s Affairs verifies my company as being a veteran-owned small business. (Supported By Attached Documentation)

Name of Company: \_\_\_\_\_ Date: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Telephone: \_\_\_\_\_

Printed Name: \_\_\_\_\_ Title: \_\_\_\_\_

**Attach documentation, sign, and return this form with your solicitation response to claim the veteran-owned preference.**