

State University of New York
Integrated Library Management System

Request for Proposals

Prepared by

the

Office of Library and Information Services
State University of New York
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1 INTRODUCTION

1.1 Purpose

This document presents specifications and related information for the delivery, installation, implementation, and maintenance of an integrated library management system for the libraries of the State University of New York (SUNY) institutions. The software is to be installed over a 4-5 year period as funds become available. This Request for Proposals (RFP) has been developed through the cooperative efforts of the SUNY libraries and the Office of Library and Information Services (OLIS) at SUNY System Administration.

1.2 Background and Project History

A statewide SUNY Library Automation Migration Committee (SLAM) has been formed to investigate library systems for the possible migration of all SUNY libraries to one common platform. This plan is part of the *SUNYConnect* virtual library initiative to provide access to the entire SUNY library collection via a common library management system and to enable patron-initiated remote borrowing.

An overview of the SUNY libraries:

- 71 libraries on 64 campuses
- 18 million volumes combined, in collections ranging from 6,000 to 3 million
- 1,800 staff combined
- Serving nearly 400,000 students
- 4 university center libraries
- 13 university college libraries
- 4 health science center libraries
- 35 community college libraries
- 15 specialized college libraries

The State University of New York employs nine automated library systems to provide library management software to the 64 campuses of the University. Each campus operates autonomously with respect to the acquisitions, cataloging, and circulation of library materials. Some campuses have multiple libraries. Institutions, such as the University Centers, have fully implemented all standard library software modules including OPAC, circulation, cataloging, authority control, acquisitions, fund accounting, and serials. Other campuses have implemented selected modules such as OPAC, circulation, cataloging and authority control.

Currently, 40 libraries participate in the SUNY Library Automation Implementation Program (LAIP), a program that runs DRA/MultiLIS software. The software and data files are housed on 5 separate servers around the state. Participating libraries connect to the server sites through the SUNYNet Telecommunications System. Each server site services from 6 to 10 libraries. The remaining campuses have implemented locally autonomous systems. Appendix A provides a list of the SUNY campuses and the library systems currently in use. At this time it is not known exactly which SUNY campuses will participate in the *SUNYConnect* project. It is

anticipated that, at a minimum, the 40 existing MultiLIS campuses along with several Colleges and University Centers will be included. Planners hope that eventually all 64 campuses will participate.

One of the goals of this project is to maintain the concept of some number of shared servers located around the state. In the current LAIP program each server site, called a “cluster” host, supports the system’s hardware, software, and data files for libraries located on separate campuses. In the cluster environment each campus views and maintains its own data and locally controls the profile and security configurations for that local library. Libraries within a cluster also share authority records as well as maintain local authority records. OPAC searches for various libraries can be done within and across clusters. Since the exact configuration and deployment of the proposed system has not been finalized, the winning vendor’s system must provide the flexibility to accommodate a number of different configurations and still provide needed functionality for libraries SUNY-wide.

The SUNY Office of Library and Information Services (OLIS), located in Albany, NY, had significant involvement in the LAIP implementation. During the initial implementations the OLIS worked in close cooperation with the vendor. After this period of training, orientation and initial implementations, conversion and loading responsibilities were transferred from the vendor to OLIS. The office continues to provide database maintenance, implementation services, software training and secondary technical support. It is assumed that OLIS will serve similar roles in the implementation and support of this current project. See Section 6.3.6 (Cost - Maintenance and Support) for more information.

The network infrastructure used by the project is in transition. Currently the University Centers rely primarily on the existing Applied Theory (NYSERNet) network for access to the Internet. Many campuses use the SUNYNet network for access to each other and in many cases to the Internet as well.

1.3 Objectives

SUNY is committed to providing exceptional library and information services to the university community by implementing an integrated library management system of superior functionality and cost efficiency. The type of functionality the SUNY libraries are seeking to incorporate includes:

- Consortia-based capabilities such as union catalog and non-mediated requesting of library materials.
- Excellent performance for all participating libraries.
- Ability of the consortia to distribute the system across different servers, provide real-time mirroring of essential data, and permit the pooling of systems staff across the libraries.
- The ability for the system to support the combined transaction load of SUNY libraries on all 64 campuses.
- A state-of-the-art integrated library system that provides access to public services, collection management, and technical services functions.
- A system that enables each campus to view and maintain its own data with local control of profile and security configurations.

- The ability to effectively convert data from the existing library systems into a new format that will preserve and insure its continued development and preservation, as well as the ability to migrate data to new generations of library systems.
- Allow for the integration of electronic resources that are made available through the *SUNYConnect* initiative (e.g., bibliographic and full-text databases, image databases, electronic journals, etc.).
- To provide a means of, or an interface to, user authentication and user authorization vis-a-vis the SUNY-wide borrowing of library materials.
- The ability to exploit emerging technologies and information resources to raise the level of library services, facilitate an increase in staff productivity, and improve effectiveness.

1.4 Assumptions

- SUNY will purchase a system that provides the most forward-looking, flexible, extensible, and cost efficient solution. The system architecture should be open, client-server, and make use of a commercial relational or object-oriented database for much of its functionality
- SUNY will not be an alpha site for a new system and will award a contract on the basis of what is actually in general release at the time of purchase.
- SUNY will select a system that runs on standard hardware. Hardware will not be part of the RFP. Rather, it is assumed that hardware will be purchased separately using existing New York State contract terms and pricing.
- The system chosen will support the library management system needs of the 64 campuses. The system must provide for a range of desired functions that will serve the range of libraries from the smallest to the largest site. For a system to be considered, it must satisfy the requirements for the largest, most complex libraries in the SUNY system that includes three institutions that are members of the Association of Research Libraries.
- The system must support the ability for the SUNY libraries to provide consortial services such as an online union catalog of an estimated twelve million records in machine-readable form (as outlined in Appendix B) and circulation for all 400,000 SUNY students from any SUNY library.
- The software and hardware used to support the system will be housed on servers distributed within the state. Each server site (i.e., a “cluster” host) will support some number of libraries on various campuses. The clusters will provide redundancy for the libraries’ data as well as for hardware and software support to those sites supported from the node.
- The system will be designed to work across a wide area network and will be Internet accessible.
- Significant funding for this program's acquisition of software, hardware, and/or support services will be available from SUNY System Administration.

2 ADMINISTRATIVE INFORMATION

2.1 Proposed Schedule of Events

Following is the schedule of events for this project.

<u>EVENT</u>	<u>DATE</u>
Release of RFP by SUNY	January 19, 1999
Submission of Questions Deadline	February 15, 1999
Mandatory Bidders' Conference	February 23, 1999
Submission of RFP Responses Deadline	March 30, 1999
Vendor visits/interviews/demonstrations	May/June 1999
Vendor Selection	July 1999
Projected Vendor Contract	December 1999
Start of System Installation	January 2000

Proposers' attention is drawn to the scheduled dates for on-site scripted demonstrations by selected vendors. Proposers should review this schedule and be prepared to make relevant staff available during these dates.

2.2 Inquiries

All vendor inquiries must be directed in writing (mail or fax) to the principal contact who is the only authorized SUNY contact:

Ms. Gail Barcher
 Contract Manager
 Office of Business Affairs
 Room S-106
 State University of New York
 State University Plaza
 Albany, NY 12246

Phone: (518) 443-5341
 Fax: (518) 443-5513

Answers to all questions of a substantive nature (as well as copies of the questions) will be given to all vendors being solicited, unless the question is of such a nature that it relates to

proprietary information. The closing date for the submission of questions is February 15, 1999, as set forth in Section 2.1 (Proposed Schedule of Events). Answers to all substantive questions will be provided at the mandatory bidders' conference scheduled for February 23, 1999.

2.3 Bidders' Conference

The SUNY Office of Library and Information Services will convene a mandatory Bidders' Conference. This session will provide vendors with an overview of the *SUNYConnect* project, discuss considerations related to the development of the SUNY-wide library management system, and review bidders' questions. Any and all bids received from a bidder not represented at this Bidders' Conference will be automatically considered non-responsive and summarily rejected.

Date, Time, and Location of the Mandatory Bidders' Conference

Date: February 23, 1999

Time: 1:00 p.m. Eastern Standard Time (EST)

Location: Front Courtroom
Old Federal Building
State University of New York
State University Plaza
Albany, NY 12246

Directions to the Bidders' Conference are available at the following URL:

<http://www.sysadm.suny.edu/directions.htm>.

2.4 Submission of Proposals

The vendor is required to respond to all information requested in the RFP. More specific guidelines are outlined in Section 3.2 (Evaluation Response Requirements). Any vendor, who does not address requests for required information, will be excluded from further evaluation. The vendor assumes all costs incurred for preparation of the bid.

An electronic version of the RFP is available at the following URL:

<http://olis.sysadm.suny.edu/projects/slam/slamover.html>.

The final bid proposal must be submitted in paper form. Faxed proposals will not be accepted. The vendor is required to submit **fifteen (15)** copies of the final bid response, and **one (1)** complete set of user and system manuals covering all operations and functions.

It is the vendor's responsibility to deliver the final bid proposal to the proper place by the correct date and time. No telephone, telegraphic or facsimile proposals will be considered. Proposals received after the time for closing will be returned to the proposers unopened. The use of express or priority mail services does not guarantee that bids will be received on time.

Proposals must be submitted by **3:00 p.m. EST on March 30, 1999** to:

Ms. Gail Barcher
Contract Manager
Office of Business Affairs
Room S-106
State University of New York
State University Plaza
Albany, NY 12246

SUNY reserves the right to reject any or all proposals as deemed in the best interest of the University. The decision to award a contract will be based upon the evaluation system outlined in Section 3 (Evaluation).

Bidders must indicate which parts of the project, if any, will be performed by subcontractors.

Bidders should be prepared to deliver a presentation about the bid products and services, if invited. The presentation will be at a site in the state to be determined during Spring 1999.

All proposals and attachments will become the property of SUNY as permitted by law. Bidders must identify those portions of their proposals that they deem to be confidential, proprietary information, or trade secrets. SUNY will make every reasonable effort to honor such confidentiality in accordance with statutory requirements.

The final contract will include the standard New York State clauses included as appendices, this RFP, and the bidder's response to this RFP.

2.5 Proposal Duration

Bidders must guarantee their proposals for a period of **ONE (1) YEAR** from the bid opening date.

2.6 Pricing

The bidder must provide itemized pricing on the system being proposed in Section 6 (Cost Summary). Pricing for products must be in the form of guaranteed discount from the vendor's suggested retail prices in effect at the time the purchase is made. Vendors are encouraged to propose discount ranges based on volume. It is acceptable for different discount levels to be applicable to different classifications of products. Complete price lists of all vendor products and services (conversion, maintenance, installation, training, etc.) must be included in the bid proposal. During the term of the contract, the vendor must provide to SUNY updated vendor price lists within fifteen (15) days after they become available. Vendors are requested to provide available cost figures for any products/services discussed in this section. The proposal must indicate compliance with this requirement.

The discounts proposed must be guaranteed not to decrease over the life of the contract. (See Section 2.9, Contract Duration and Extension Option.)

Bidders should quote additional discounts if systems are purchased by other state agencies or affiliates. Discounts will reflect the combined volume of all agencies participating at that point. Other state agencies and affiliates shall not be required to participate; however, if they elect to do so, separate agreements must be made with the successful bidder and the individual institutions. (See Section 2.10, Use of Contract by Other Agencies.)

The vendor shall provide the first year of the library management software maintenance as part of the bid proposal at no additional cost. Maintenance price quotes shall be included in Section 6 (Cost Summary) as part of the cost evaluation. The vendor shall provide a guaranteed annual escalation cap for maintenance fees or use the Consumer Price Index (CPI), whichever is lower.

2.7 Payment Schedule

SUNY proposes that a "progress payment" schedule be negotiated with the successful vendor. Planning of payments will be based on the number of campuses that will commit to the implementation of the proposed system in the initial phases. It is anticipated that the payments will be made over a 3 to 5 year period. The number of campuses that will participate in the initial implementation phases will be finalized during the contract negotiations.

2.8 Acceptance Testing

Acceptance testing will be contingent on the ability of the mandatory system modules (as outlined in Section 4, Mandatory Specifications) to perform adequately using SUNY data at mutually agreed upon installed site(s). SUNY reserves the right to establish acceptance tests to determine the functionality of the system within the context of a statewide consortial environment. The SUNY Office of Library and Information Services will work with the winning vendor to identify an appropriate list of transactions for these final acceptance tests.

At the time of the acceptance test, the entire system must be compliant with the ALA subset of the UNICODE character set.

2.9 Contract Duration and Extension Option

The initial term of the contract will be 5 years. SUNY shall have the option to renew for additional 5 year terms at the approval of the Office of the State Comptroller.

2.10 Use of Contract by Other Agencies

The winning vendor agrees to abide by Section 163 of the New York State Finance Law that allows the Commissioner of General Services to "authorize purchases required by state agencies or other authorized purchasers...by approving the use of a contract let by any department, agency or instrumentality of the United State government and/or any department, agency office

political subdivision or instrumentality of any state or states." This, in effect, allows other agencies to establish parallel contracts based on the SUNY contract resulting from this RFP. Examples of such entities would be the City University of New York (CUNY), public library systems, private higher education institutions, etc. For more information refer to the New York State Office for Technology, "Case Studies in Procurement." *Emerging Trends Bulletin #5*, December 8, 1997. URL: http://www.irm.state.ny.us/trend/et_5.htm.

2.11 Escrow of Essential Software

Within thirty (30) days following the execution of the contract, the vendor must either (a) provide source version of all software and all associated manuals to SUNY, or (b) establish and place in escrow a complete copy of the current source version of all software and all associated manuals, proprietary or otherwise, which are essential to support the system provided by this agreement. SUNY shall be a party to the escrow agreement and such escrow agreement shall be subject to the approval of all parties. The escrow agreement shall authorize the escrow agent to release the source code to SUNY in the event a petition in bankruptcy is filed by or against the vendor, or, if for any reason (except for material breach by SUNY) the vendor terminates the Agreement. The vendor shall pay all costs of providing and maintaining the source code in escrow, including the fees of the escrow agent. SUNY may at any time during the term of this contract have access to and review deposited software and associated manuals. The vendor shall replace the deposited software and related documentation with an updated version at least once every six (6) months or upon the vendor's distribution of new release software to its customers.

2.12 Taxes

Purchases made by the State of New York are not subject to state and local sales taxes or Federal excise taxes. There is no exemption from the New York State truck mileage, unemployment insurance, or Federal social security taxes. The official state agency purchase order or voucher is sufficient evidence to qualify the transaction for exemption from sales tax section 116(a) (1), New York State Tax Law.

For tax-free transactions under the Internal Revenue Code, the New York State registration number is 14740026K.

2.13 Suspension and Termination

SUNY may suspend or terminate any contract in whole or in part for cause, which will include failure or unwillingness of the vendor to comply with the terms of the approved contract or with applicable state statutes. Suspension or termination will not affect any expenditures of legally binding commitments made prior to receiving notice of the suspension or termination, provided such expenditures or commitments were made in good faith and not in anticipation of termination and are otherwise allowable.

3 EVALUATION

3.1 General Information

The award will be based on "best value" which optimizes quality, cost, and efficiency among responsive and responsible bidders. Cost will not be the sole determining factor.

SUNY may, at its discretion and at no cost to the University, invite any vendor to appear for questioning or provide written responses during response evaluation for the purpose of clarifying statements in the response. For effective evaluation of responses, each item and topic contained and presented will be addressed in a similar format and detail in the vendor's response.

3.2 Evaluation Response Requirements

The response must follow the numbering system in the RFP. The bid must provide complete and comprehensive responses with a particular focus on concise answers.

In Section 1 (Introduction) vendors must indicate that they have read and understand the information provided.

In Section 2 (Administrative Information) and Section 3 (Evaluation) vendors are required to follow all instructions as indicated and to respond to all information as requested. Vendors must list each section number, state that they understand and comply, and provide all requested information.

Section 4 (Mandatory Specifications) focuses on the minimum system capabilities required by SUNY.

In Sections 4.1 – 4.4 vendors are required to state a **Yes** or **No** answer next to each section number. A **Yes** answer indicates compliance with these requirements. If a vendor answers **Yes** to all mandatory specifications and SUNY subsequently determines, that these mandatory specifications are not met the proposal will receive no further consideration.

In Section 4.5 vendors are required to complete the hardware recommendations based on the configurations in Appendix B.

Section 5 (Functional Specifications) focuses on the individual modules that together make up the integrated system. A point system based on the relative importance of each feature will be used to quantify the responses. Vendors must respond to each statement as indicated here:

Sections 5.1 – 5.4: vendors must indicate, next to each section number, the system's state of compliance using these indicators and provide detailed explanations of the functions or capabilities represented in each specification as requested.

A = Available in current general release as of January 19, 1999
D = Developing application. To be in general release within twelve (12) months of January 19, 1999
N = Not available

An application identified as a developing application (**D**) must include descriptive information about that application as well as whether the application is in test, (alpha or beta) or design (with existing documentation) phase.

Section 5.5: vendors must indicate whether the function is available or true in the current general release and provide detailed explanations of the functions or capabilities represented in each specification. If a feature is included in a new release, detail the development schedule.

In Section 6 (Cost Summary) vendors are required to provide a:

1. complete price list as outlined in Section 2.6 (Pricing).
2. guaranteed discount as outlined in Section 2.6 (Pricing).
3. separate cost quotes for each configuration listed in Appendix B.

In Section 7 (Vendor Viability) vendors are required to respond to each statement with complete information.

The vendor's bid proposal should provide concise and complete descriptions of the vendor's capability to satisfy the requirements of the RFP. It is expected that the vendor will provide relevant or essential data needed to complete this requirement. Expensive displays, bindings, or promotional materials are not required unless they provide concise and complete descriptions of the vendor's capability to satisfy the requirements of the RFP. Responses of "see attached" are not considered sufficient. If attachments are required they must pertain to specific questions. In these cases, indicate on the attachment the section and question number to which it refers and clearly mark on the attachment the relevant information that responds to the question.

3.3 Evaluation Criteria

Responses will be evaluated based on point awards derived from the vendor response weighted by the relative importance of the feature or question. The evaluation categories are cost, functionality, systems, and vendor viability. Cost carries a lower weight than the other components.

3.4 Evaluation Process

Proposals will be evaluated by members of the SUNY Library Automation Migration (SLAM) Evaluation Team comprised of staff from the SLAM Committee. Other staff members from the SUNY Administration may be involved.

The evaluation process will include:

- 3.4.1 Review of all bid proposals received to verify compliance with the requirements outlined in Sections 2 - 7.
- 3.4.2 Separate review of functional specifications and of financial data by the appropriate subcommittees.
- 3.4.3 Meeting of the Evaluation Team to recommend a group of vendors for further evaluation.
- 3.4.4 The review of the vendors selected for further evaluation may include:
 - a. multi-day vendor demonstrations at a site selected by SUNY
 - b. site visits and other contacts by members of the Evaluation Team with libraries that have the vendor's system in production
- 3.4.5 The Evaluation Team will then present a recommendation to the SUNY Library Automation Steering Group.
- 3.4.6 The final recommendation will be submitted through the SUNY procurement channels.

3.5 Network Test

SUNY reserves the right to research the network impact of library management system data and configuration files, as appropriate, within a controlled network environment. Vendors may be asked to provide a server containing a mutually agreed upon database size. SUNY System Administration staff would execute a number of standard transactions such as a circulation check-out or an online catalog search to measure the speed of the octets over a controlled network at various simulated bandwidth speeds. The data from this test would enable a mathematical model to be created for anticipating the potential impact of an estimated number of system transactions on the network. SUNY may request selected vendors to participate in this test as part of the evaluation process and reserves the right to have this activity be part of the acceptance testing component of the contract with the winning vendor.

4 MANDATORY SPECIFICATIONS

4.1 Mandatory - General System Functions

The features in this section are required. Vendors must state a **Yes** or **No** answer next to each section number. A **Yes** answer indicates compliance with these requirements.

- The implemented SUNY-wide system:
- _____ 4.1.1 shall consist of software, installation, database conversion programs, on-site training and documentation, hardware/software maintenance, software support, and ongoing software enhancements necessary for full operation, all of which must be quoted by the vendor.
 - _____ 4.1.2 must be fully integrated, with all modules capable of sharing common bibliographic databases and a consistent staff interface across functions.
 - _____ 4.1.3 must fully support a 'consortium' arrangement that will allow separate campuses to share hardware and software while enabling each campus to access and maintain its own library data. The library management system and local data for each campus must be able to have separate profile and security configurations that are controlled at the campus level. An example of this arrangement is the cluster concept described on page 6.
 - _____ 4.1.4 must fully support a 'consortium' arrangement that enables the data from multiple libraries on a single campus to coexist in the same data files. The OPAC incorporates all the libraries located on that single campus. In addition, each library on the campus must have the option to have separate profile and security configurations for staff functions. An example of this arrangement is the complex of libraries located on the University of Buffalo campus.
 - _____ 4.1.5 must be capable of supporting a 50 percent increase in database size, number of terminals/workstations, and/or activity levels without a server upgrade or a significant decrease in system response based on the configurations proposed in Appendix B.
 - _____ 4.1.6 must support the following functions:
 - online public access catalog (OPAC)
 - acquisitions (ordering, claiming, receiving, payment processing, vendor file, fund accounting)
 - cataloging and database maintenance
 - authority control
 - serial control (checkin, claiming, acquisitions, item/summary holdings)
 - circulation (charge, discharge, renewal, recall, hold, e-mail and printed notifications, patron records, bill and fine, reserves)
 - patron record loading from multiple campus files in the various formats represented by systems listed in Appendix A
 - _____ 4.1.7 must allow separate databases for staff training and testing purposes.
 - _____ 4.1.8 must support library defined resource files (i.e., LC resource files, MARCIVE, GPO record resource file). It should be possible to share these files within and across clusters as well as by multiple libraries on a single campus.

- _____ 4.1.9 must be able to receive and output bibliographic, authority, and holdings records in USMARC communications format.
- _____ 4.1.10 must make every effort to accommodate future changes in the USMARC bibliographic, authority, and holdings formats, or new format standards as they are developed.
- _____ 4.1.11 must interface with bibliographic utilities such as OCLC and RLIN and with vendor services for transfer and overlay of bibliographic and authority records in both real-time and in batch mode.
- _____ 4.1.12 must operate in a real-time interactive mode with the capability to create, update, maintain, and access all data for library materials and patrons in real-time.
- _____ 4.1.13 must provide dynamic indexing for all new and revised data regardless of method of entry into the system.
- _____ 4.1.14 must provide daily reporting and updating in the background so that the system can be operated continually regardless of system configuration or number of libraries using the system. The system's staff functions must be available at least 20 hours per day. The system must be available for OPAC use on a continuous basis (24 hours per day).
- _____ 4.1.15 must provide continuous backup so all transactions can be recovered to the point of failure. Routine point of failure restoration from software or hardware failure should not exceed four (4) hours. Must allow for transaction roll-back in case of failure.
- _____ 4.1.16 must be fully compliant with the following standards:
 - Z39.2 USMARC
 - Z39.71 MARC holdings format or Z39.44 serial holdings and Z39.57 non-serial holdings statements
 - Z39.50 Information Retrieval Service Definition and Protocol Specifications for Library Applications (client and server)
 - Codabar modulus 10 barcodes
 - Code 39 modulus barcodes
 - IEEE 802.2 and 802.3 ethernet (10 and 100 megabit per second)
 - HTTP
 - TCP/IP standards, Telnet, FTP, SMTP, etc.
- _____ 4.1.17 must include a report generator to facilitate retrieval of management information. This report writer should allow non-programmers to develop reports independent of support from programming staff. Control options for systems administration must be included to protect system resources and response time. In addition to a proprietary report writer, the system must be as SQL compliant as possible. SQL access must be possible and a database data dictionary must be provided. The

system must be open for sophisticated data manipulation beyond the limited capabilities of proprietary report writers.

_____ 4.1.18 must include a security function that can be maintained easily by library staff and does not require programming expertise. Security will govern which staff have access to which functions and data across all modules.

_____ 4.1.19 must be able to input, store, edit, and output the ALA subset of the UNICODE character set at the time of the acceptance test.

The vendor:

_____ 4.1.20 must have a maintenance and support program for the proposed system's software.

4.2 Mandatory - Data Conversion

The features in this section are required. Vendors must state a **Yes** or **No** answer next to each section number. A **Yes** answer indicates compliance with these requirements.

The vendor:

_____ 4.2.1 must support data migration strategies from the library management systems outlined in Appendix A to the proposed system.

_____ 4.2.2 must convert the following record types:
bibliographic/authority records
item records
holdings records

4.3. Mandatory – New York State Year 2000 Warranty Guideline

The feature in this section is required. Vendors must state a **Yes** or **No** answer. A **Yes** answer indicates compliance with the requirement.

_____ Year 2000 Warranty

Year 2000 Warranty “compliance” shall be defined in accordance with the following warranty statement:

Vendor warrants that Product(s) furnished pursuant to this Agreement shall, when used in accordance with the Product documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000, including leap year calculations. Where a purchase requires that specific Products must perform as a package or system, this warranty shall apply to the Products as a system.

In the event of any breach of this warranty, Vendor shall restore the Product to the same level of performance as warranted herein, or repair or replace the Product with conforming Product so as to minimize interruption to Authorized User's ongoing business processes, time being of the essence, at Vendor's sole cost and expense. This warranty does not extend to correction of Authorized User's errors in data entry or data conversion.

This warranty shall survive beyond termination or expiration of the Agreement.

Nothing in this warranty shall be construed to limit any rights or remedies otherwise available under this Agreement.

4.4 Mandatory – Requirements for Computer Hardware and Platforms

The features in this section are required. Vendors must state a **Yes** or **No** answer next to each section number. A **Yes** answer indicates compliance with these requirements.

- _____ 4.4.1 The implemented SUNY-wide system:
must run on all common, commercially available Unix servers.
- _____ 4.4.2 staff interfaces must operate on workstations running the current versions of Microsoft-Windows or Windows NT.
- _____ 4.4.3 OPAC catalog must operate on common browser technology.
- _____ 4.4.4 must operate over a TCP/IP network and must be compatible with domain addressing and domain name resolution (DNS).
- _____ 4.4.5 must be compatible with the "fast" ethernet (100 megabit/second) network standard.

4.5 Mandatory - Hardware Recommendation

Vendors are required to complete the hardware recommendations as outlined in this section.

Although computer hardware will not be a cost item in this RFP, it is required that the bidder provide a detailed hardware recommendation based on the configurations outlined in Appendix B. Keeping in mind the requirement that the system must be capable of supporting a 50 percent increase in database size, number of terminals/workstations, and/or activity levels without a server upgrade or decrease in response time, recommend appropriate server and storage hardware. Note that PC or other graphical workstation hardware is expected to have a useful life of 3 years. Servers should offer a 5 year life cycle. The hardware recommendation should include:

- 4.5.1 standard commercially available Unix servers (vendor, model, and configuration); include hardware for the union catalog component, if proposed.

- 4.5.2 disk storage for servers, including backup.
- 4.5.3 peripheral devices for servers including uninterruptable power supply, etc.
- 4.5.4 client distribution server, if proposed.
- 4.5.5 sample workstation configuration for staff functions.
- 4.5.6 sample workstation configuration for public functions.
- 4.5.7 additional server capacity required for mirroring of files, if proposed.
- 4.5.8 proposed network/infrastructure requirements.

5 FUNCTIONAL SPECIFICATIONS

Section 5 (Functional Specifications) focuses on the individual modules that together make up the integrated system. A point system based on the relative importance of each feature will be used to quantify the responses.

It is expected that the SUNY libraries will operate autonomously with respect to the acquisition, serial control, circulation, and cataloging of library materials in an environment of shared hardware and software. At the same time the library management system is expected to provide consortia-based capabilities such as a union catalog that is expected to indicate complete bibliographic holdings and circulation status of those holdings and be available from any workstation accessing the proposed system, regardless of its location.

Vendors are required to follow the numbering system in the RFP and must respond to each statement as indicated here:

Sections 5.1 – 5.4: vendors must indicate, next to each section number, the system's state of compliance using these indicators and provide detailed explanations of the functions or capabilities represented in each specification as requested.

A = Available in current general release as of January 19, 1999

D = Developing application. To be in general release within twelve (12) months of January 19, 1999

N = Not available

An application identified as a developing application (**D**) must include descriptive information about that application as well as whether the application is in test, (alpha or beta) or design (with existing documentation) phase.

Section 5.5: vendors must indicate whether the function is available or true in the current general release and provide detailed explanations of the

functions or capabilities represented in each specification. If a feature is included in a new release, detail the development schedule.

It is expected that all the specifications in Section 5 will work within the context of the “consortium” models listed below. Vendors must indicate if the specification cannot be applied to one or both of the models and provide an explanation of the functional limitations.

- The system:
- Model A = must fully support a “consortium” arrangement that will allow separate campuses to share hardware and software while enabling each campus to access and maintain its own library data. The library management system and local data for each campus must be able to have separate profile and security configurations that are controlled at the campus level. An example of this arrangement is the cluster concept described on page 6.
- Model B = must fully support a “consortium” arrangement that enables the data from multiple libraries on a single campus to coexist in the same data files. The OPAC incorporates all the libraries located on that single campus. In addition, each library on the campus must have the option to have separate profile and security configurations for staff functions. An example of this arrangement is the complex of libraries located on the University of Buffalo campus.

As an example, specification 5.2.8.6 states that the system have the capability for authority files to be shared by libraries while providing the option for creating and maintaining local authority records. If, in order to have the option for local input and control, the bibliographic data must coexist in the same data files (Model B); or if libraries with separate bibliographic data (Model A) must have their own complete authority files, it must be indicated.

5.1 Acquisitions and Serial Control

5.1.1 General

The system:

- _____ 5.1.1.1 is fully integrated with all modules.
- _____ 5.1.1.2 has records that are retrievable using any indexed field as defined by SUNY.
- _____ 5.1.1.3 has no limits on the number of order records associated with a title.
- _____ 5.1.1.4 supports the basic functions associated with acquiring and processing all kinds of monographs and serials, including, but not limited to:
 - order record creation
 - receipt
 - claiming
 - cancellation
 - vendor report tracking
 - payment
 - MARC holdings
 - fund accounting

- _____ 5.1.1.5 accommodates the following order types, including, but not limited to:
 - firm order
 - prepayment
 - approval
 - gift
 - membership
 - membership receipt
 - blanket order
 - standing order
 - subscription
 - continuation
- _____ 5.1.1.6 stores acquisitions data, including, but not limited to:
 - bibliographic data
 - order type
 - order status
 - location/copy information
 - invoice information
 - vendor information
 - vendor report information
 - fund accounting information
 - notes to vendor
 - notes to cataloging
 - notes to acquisitions
 - order notes (source/requester)
 - a minimum of four library-defined fields
- _____ 5.1.1.7 provides a complementary capability to set default values and session preferences.
- _____ 5.1.1.8 allows retention of order data for as long as the library desires.
- _____ 5.1.1.9 allows archiving of order data.
- _____ 5.1.1.10 accommodates all types of serials, including, but not limited to:
 - periodicals
 - continuations
 - law reports
 - newspapers
 - annuals
 - governmental
 - monographic series
 - proceedings
 - transactions
 - indexes
 - supplements
 - loose-leaf materials
- _____ 5.1.1.11 provides a variety of order statuses, including, but not limited to:
 - in pre-order process
 - on order
 - claimed

- received but not paid
- partially received
- currently received
- completed
- cancelled
- _____ 5.1.1.12 has a fund structure of at least four levels of hierarchy that is updated dynamically, and includes, but is not limited to:
 - amount appropriated
 - amount encumbered
 - amount expended
 - uncommitted balance
 - cash balance
- _____ 5.1.1.13 has a fund structure flexible enough to identify separately such extra charges as postage, bank charges, surcharges, and rush charges and to allocate these extra charges among the items in a flexible way.
- _____ 5.1.1.14 has a dynamic link of acquisition records to OPAC.
- _____ 5.1.1.15 provides the ability to block bibliographic and/or order records from public view.
- _____ 5.1.1.16 provides the ability to assign unique location code for each copy of a title if desired.
- _____ 5.1.1.17 includes basic word processing features.
- _____ 5.1.1.18 provides free text note fields of unlimited length, including, but not limited to:
 - notes to vendor
 - notes to acquisitions department
 - notes to cataloging department
 - general notes
- _____ 5.1.1.19 provides the ability to delete duplicate records or those created in error.
- _____ 5.1.1.20 supports relevant ANSI/NISO/BISAC/SISAC standards.
- _____ 5.1.1.21 provides the ability to include and search for an item using the purchase order number from a previous system.
- _____ 5.1.1.22 provides the ability to get on-line help in staff mode.
- _____ 5.1.1.23 provides the option of enabling libraries to view acquisitions data such as vendor records from library systems on other campuses in order to share information.

5.1.2 Pre-order Searching and Verification

The system:

- _____ 5.1.2.1 provides guide or index screens containing ample information to identify abbreviated bibliographic entries (e.g. author, short title, date, series volume number).
- _____ 5.1.2.2 provides the ability to check bibliographic records added to the database for duplication using ISBN, ISSN, or some other match point of library's choice.
- _____ 5.1.2.3 differentiates between types of orders (particularly standing orders) in the index display.

5.1.3 Ordering and Order Maintenance

The system:

- _____ 5.1.3.1 links order to bibliographic information.
- _____ 5.1.3.2 allows one purchase order number for each title.
- _____ 5.1.3.3 automatically and immediately updates appropriate fund records when orders are placed.
- _____ 5.1.3.4 facilitates batch ordering by defaulting to user-defined values in fields such as vendor and fund.
- _____ 5.1.3.5 prevents duplicate assignment of purchase order numbers, whether automatically generated or manually input, unless specifically requested.
- _____ 5.1.3.6 supports on-line creation of order records with multiple access points.
- _____ 5.1.3.7 supports record import from a bibliographic utility or resource file.
- _____ 5.1.3.8 provides a template feature or the ability to set default values or session preferences for ordering, receiving, and payment processes.
- _____ 5.1.3.9 allows multi-fund encumbrances.
- _____ 5.1.3.10 supports various "bill to" and "ship to" addresses with default addresses keyed to operator sign-on; indicate if there is a limit to the number of addresses.
- _____ 5.1.3.11 supports the printing of order records as well as purchase orders and the ability to override default fields that print on purchase order (the ability to have operator-defined fields printed on a particular order).
- _____ 5.1.3.12 sorts printed purchase orders by vendor, or other library-assigned fields.
- _____ 5.1.3.13 allows a second printing or re-send of purchase orders.
- _____ 5.1.3.14 supports foreign currency encumbrance and printing.
- _____ 5.1.3.15 maintains distinct order date.
- _____ 5.1.3.16 supports production of paper orders, claims, cancellations, reports, and invoices either in batch mode or on demand.
- _____ 5.1.3.17 supports the transmission of orders, claims, cancellations, reports, and invoices using Electronic Data Interchange (EDI) in accordance with ANSI X12, EDIFACT, and other electronic means.
- _____ 5.1.3.18 supports public display of partial receipts of an order.
- _____ 5.1.3.19 provides the ability to archive receipt statements so information is not lost, but checkin file length stays manageable.
- _____ 5.1.3.20 supports public display of messages from vendors regarding order status at discretion of operator; allows option to display or suppress messages by record.
- _____ 5.1.3.21 provides a mechanism (highlighted text or an audible beep) to alert receipt staff to special processing instructions.
- _____ 5.1.3.22 displays complete payment history including line notes.
- _____ 5.1.3.23 permits changes to all order types and statuses including cancel and ceased.
- _____ 5.1.3.24 can create pseudo orders that do not print and that can be changed back and forth between real and pseudo orders.
- _____ 5.1.3.25 allows for the suppression of order printing.

5.1.4 Receipts

The system:

- _____ 5.1.4.1 supports predictive checkin for serial materials based on pattern records that can be either keyed in locally or imported from an outside source.
- _____ 5.1.4.2 allows staff to override automatically predicted issues/volumes if an unexpected item is received (i.e. combined issues, supplements, directory issues, etc.) without having to edit pattern.
- _____ 5.1.4.3 allows quick and easy receipt with a minimum of keystrokes or carriage returns.
- _____ 5.1.4.4 automatically changes firm order status from "on order" to "in process" upon receipt.
- _____ 5.1.4.5 supports the Z39.56 Serial Item and Contribution Identifier (SICI) standard and the scanning of the Serials Industry Systems Advisory Committee (SISAC) or UPC barcode symbols for one-step receipt.
- _____ 5.1.4.6 displays all call number, location, and routing information at the point of receipt.
- _____ 5.1.4.7 supports the display of receipt holdings data at all levels, up to and including ANSI level 4, in both the OPAC and staff mode.
- _____ 5.1.4.8 supports the option for display in OPAC of the expected date of arrival for serial publications.
- _____ 5.1.4.9 permits free-text description of issues that deviate from established patterns of enumeration/chronology.
- _____ 5.1.4.10 allows a link to bibliographic, order, and holdings records during checkin to resolve problems that occur during receipt.
- _____ 5.1.4.11 maintains distinct date of receipt.
- _____ 5.1.4.12 provides an easy way to force or suppress display of current receipts; format should not dictate display or suppression.
- _____ 5.1.4.13 provides ability to produce a variety of receipt tickets including receipts by email.
- _____ 5.1.4.14 allows staff receiving multiple copies of an issue or item to checkin all at one time or individually.
- _____ 5.1.4.15 allows the operator to set a date other than today's as the receipt date.
- _____ 5.1.4.16 alerts the operator to possible duplicate issues, gaps in receipt, etc.
- _____ 5.1.4.17 supports production of a call number label at time of receipt.

5.1.5 Claiming

The system:

- _____ 5.1.5.1 supports an on-line review of serial issues that need to be claimed with the ability to set limits (by date, new to file, etc.) on how much of the "needs claiming" file is examined in one session.
- _____ 5.1.5.2 does not automatically produce claims unless the library desires this.
- _____ 5.1.5.3 allows for claim cycle overrides on an individual purchase order basis.
- _____ 5.1.5.4 provides a printed report of titles to be claimed.
- _____ 5.1.5.5 provides flexibility in the management of claiming intervals with default claim intervals by frequency and the ability to override and change these values if authorized.

- _____ 5.1.5.6 provides claim history information for every title.
- _____ 5.1.5.7 provides room for extensive claiming notes.
- _____ 5.1.5.8 produces claims that include the purchase order number.
- _____ 5.1.5.9 automatically closes or clears open claims upon receipt.
- _____ 5.1.5.10 supports electronic claims with the vendors.
- _____ 5.1.5.11 alerts the operator (by audible beep and on claim report) if a volume is received that is beyond the range of the expected volume.

5.1.6 Payment and Fund Accounting

The system:

- _____ 5.1.6.1 automatically updates encumbrances, expenditures, and balances when payments are made.
- _____ 5.1.6.2 supports straightforward processing of invoices with real-time updating of fund records.
- _____ 5.1.6.3 allows new accounts to be created at any time.
- _____ 5.1.6.4 allows existing accounts to be updated at any time.
- _____ 5.1.6.5 allows an unlimited number of funds.
- _____ 5.1.6.6 allows for encumbrances to be split across funds.
- _____ 5.1.6.7 provides various end-of-fiscal-year options, which may vary from fund to fund.
- _____ 5.1.6.8 supports the ability to search invoice records by order number, vendor invoice number, vendor name and by other library determined access points; results should be sorted based on operators' options.
- _____ 5.1.6.9 supports electronic transfer of invoice data via EDI, mag tape, magnetic disk, etc.
- _____ 5.1.6.10 tracks fund records on-line with all balances and expenditures available immediately and provides a full audit trail.
- _____ 5.1.6.11 permits funds to be set for over-encumbering and over-expending but prevents the operator from doing this unless parameters have been set or the staff member is authorized to override.
- _____ 5.1.6.12 provides the ability to print out ledgers of invoices posted for a given period of time.
- _____ 5.1.6.13 provides the ability to accommodate different currencies and figure exchange rates.
- _____ 5.1.6.14 electronically links fund accounting to the institution's accounts payable or other appropriate system as an option.
- _____ 5.1.6.15 allows authorized staff to delete payment lines and entire invoice records even after the invoice has been authorized for payment.
- _____ 5.1.6.16 allows an authorized staff member to alter invoice data after record is approved.
- _____ 5.1.6.17 is able to support a variety of procedures for invoice payment to local campus business offices.
- _____ 5.1.6.18 provides campus specific invoice cover sheets and locally defined batch summaries.

5.1.7 Vendor File

The system:

- _____ 5.1.7.1 supports an unlimited number of separate vendor record files. Indicate if it is possible to create a union vendor file with library or consortia-defined fields, to which all libraries using the system would have access.
- _____ 5.1.7.2 incorporates a vendor file which makes provision for adding an unlimited number of records incorporating vendor names and including an unlimited number of both order and remittance address. Indicate if there are links among vendor records representing related companies or names.
- _____ 5.1.7.3 is updated in real-time to maintain the currency of all vendor records and statistics.
- _____ 5.1.7.4 provides a formatted screen with appropriate prompts for entry of vendor file data.
- _____ 5.1.7.5 can print the entire contents of the vendor name/address file.
- _____ 5.1.7.6 provides vendor file accessibility, including, but not limited to:
 - vendor name
 - vendor code
 - keyword search for vendor name
- _____ 5.1.7.7 supports vendor records that include, but are not limited to, the following information:
 - vendor name
 - vendor addresses (the number to be determined by the local library)
 - vendor phone, fax, e-mail, id numbers, accounts, notes
 - library-supplied vendor claim period indicator
 - vendor performance statistics
 - discount information by vendor
 - federal id number
- _____ 5.1.7.8 supports cumulative vendor statistics for the current and closed fiscal years, including, but not limited to:
 - average receipt period in days
 - number of claims sent
 - number of copies cancelled
 - number of copies claimed
 - total amount ordered
 - amount encumbered
 - amount invoiced

5.1.8 Holdings

The system:

- _____ 5.1.8.1 supports the MARC Format for Holdings and Locations at all levels.
- _____ 5.1.8.2 provides a clear display of both current issues and bound and permanent holdings in the OPAC.
- _____ 5.1.8.3 includes a straightforward way of showing status of issues (bound or unbound).
- _____ 5.1.8.4 provides a clear display of lost, missing, charged out, and other statuses in the OPAC and staff mode for all formats.

- _____ 5.1.8.5 allows flexible labeling of holdings for non-paper formats such as microform and computer files.
- _____ 5.1.8.6 provides the ability to create linked or unlinked item records and to relink items and holdings statements.
- _____ 5.1.8.7 allows easy/automatic renumbering of holdings statements.
- _____ 5.1.8.8 easily collapses individual issue item holdings into one volume holding statement.
- _____ 5.1.8.9 allows updating of serial holdings to external databases, such as union lists, using extract tape output in standard formats, like USMARC.
- _____ 5.1.8.10 allows multiple copy statements with more than one classification number, location, status code, etc., per record. If so, describe any limit on the number of copies allowed.
- _____ 5.1.8.11 allows only valid location codes to be added.
- _____ 5.1.8.12 allows local notes, both public and non-public, in the holdings record. Describe any limitations to the size of those notes.
- _____ 5.1.8.13 allows for the change of specific data elements, such as location information, in a selected group of holdings records without having to edit each individual holdings record.
- _____ 5.1.8.14 allows for a selected group of holdings records to be deleted without having to edit each individual holdings record.
- _____ 5.1.8.15 allows for the customization of messages associated with the status of items.
- _____ 5.1.8.16 supports an unlimited number of bibliographic records that can be attached to a single holdings record. Describe any limitations.

5.1.9 Routing

The system:

- _____ 5.1.9.1 maintains a tracking system of all individuals to whom journals are routed.
- _____ 5.1.9.2 captures lists of journals routed by title and by person.
- _____ 5.1.9.3 easily updates and deletes routing information (including global changes).
- _____ 5.1.9.4 allows the production of printed routing slips.

5.1.10 Binding

The system:

- _____ 5.1.10.1 produces slips and lists of serial titles that are ready for binding.
- _____ 5.1.10.2 supports the creation of a binding pattern database which takes advantage of windowing to display the appearance of the spine label.
- _____ 5.1.10.3 produces locally customizable printed binding tickets to accompany issues to the bindery.
- _____ 5.1.10.4 automatically updates the summary holdings statement when the volume is received back from the bindery.
- _____ 5.1.10.5 lists all items processed for binding on a certain date.
- _____ 5.1.10.6 displays "at bindery" status with a "due back" date in the OPAC and staff mode. Describe if the display is automatic or requires operator input. If operator input is required, describe the keystrokes required.
- _____ 5.1.10.7 supports links to external bindery databases.

5.2 Cataloging and Database Maintenance

5.2.1 General

The system:

- _____ 5.2.1.1 maintains each library's individualized bibliographic data with separate profiles and security configurations.
- _____ 5.2.1.2 supports separate processing units within a shared bibliographic database if desired by a library.
- _____ 5.2.1.3 indicates the existence of other, related records to staff. Explain the record structure in terms of how the various record types relate to each other. For example, if a title has a bibliographic record, an order record, a USMARC holdings record, and an item record, how are these associated with each other?
- _____ 5.2.1.4 automatically enters enough "brief" identifying information from a bibliographic record in related records without staff having to retype it.
- _____ 5.2.1.5 supports the automatic update of "brief" title information in all related records when a change is made to the bibliographic record.
- _____ 5.2.1.6 supports easy movement among all modules (functions).
- _____ 5.2.1.7 supports individual user access to all authorized functions with one secured logon. If not, describe how access is achieved.
- _____ 5.2.1.8 supports standard statuses (such as "in processing," "available," etc.) and the ability for libraries to define additional statuses.

5.2.2 Standards

The system:

- _____ 5.2.2.1 supports full compliance with the USMARC Format for Bibliographic Data.
- _____ 5.2.2.2 supports USMARC repeatable fields, tags, subfield codes, indicators and delimiters. List any specific fields, tags, subfield codes, indicators and delimiters which the system does not support.
- _____ 5.2.2.3 allows and displays all current and former USMARC fields, tags, subfield codes, indicators and delimiters. If not, list any fields, tags, subfield codes, indicators or delimiters not allowed.
- _____ 5.2.2.4 imposes no limits on the record length, field length, or subfield length (other than those consistent with USMARC). If any such limits do exist, describe them and indicate whether they are library or system defined.
- _____ 5.2.2.5 performs bibliographic and authority record verification against the USMARC tables upon input.
- _____ 5.2.2.6 allows acceptance of brief or incomplete bibliographic records, most likely created at the ordering stage.
- _____ 5.2.2.7 generates clear and context-specific error messages for invalid use of fields, tags, subfield codes, indicators, and delimiters.
- _____ 5.2.2.8 allows cataloger-determined order of tags within a level of tagging (4XX, 5XX, 6XX, 7XX).
- _____ 5.2.2.9 accommodates future changes in the USMARC authority/bibliographic/holdings formats or new format standards as they are developed. Describe how this is done.

5.2.3 Import and Export

The system:

- _____ 5.2.3.1 supports the dynamic transfer of bibliographic and authority records from bibliographic utilities such as OCLC and RLIN as well as vendor files, CD-ROMs, and other available technology.
- _____ 5.2.3.2 supports locally managed library defined resource files (i.e., local and LC resource files). If not, describe how this type of resource is accommodated.
- _____ 5.2.3.3 supports the transfer of bibliographic and authority records into the system:
 - in tape format.
 - by FTP.
- _____ 5.2.3.4 allows batch loading of such records without interrupting other system use. If this is not possible, describe how the procedure is handled and any dedicated hardware or software needed for this process.
- _____ 5.2.3.5 supports output of bibliographic, authority, and holdings files in USMARC format.
- _____ 5.2.3.6 supports the overlay of existing bibliographic and authority records. Describe the minimum amount of information needed to support an overlay and the fields that need to be matched to generate an overlay.
- _____ 5.2.3.7 allows the library to define fields which will generate an overlay without programmer intervention.
- _____ 5.2.3.8 prevents any loss of copy specific information in the overlay. If this is not the case, describe what information would be lost.
- _____ 5.2.3.9 allows protection of specified fields on an existing bibliographic or authority record when that record is being overlaid by another record.

5.2.4 Indexing

The system:

- _____ 5.2.4.1 supports dynamic indexing of all USMARC fields.
- _____ 5.2.4.2 allows indexing down to the indicator and subfield levels. List all fields, subfields, and/or indicators which are not supported by dynamic indexing.
- _____ 5.2.4.3 supports the dynamic indexing of keyword for all of the above fields, subfields, and indicators.
- _____ 5.2.4.4 supports keyword access to specified fields in staff mode.
- _____ 5.2.4.5 supports display of the search key in the staff side.
- _____ 5.2.4.6 supports search history display, revision, and combination in the staff side.
- _____ 5.2.4.7 allows the library to configure, as a default, the maximum number of records that could be retrieved by a search.
- _____ 5.2.4.8 supports access in the staff side through standard numbers, including, but not limited to:
 - LCCN (010)
 - ISBN (020)
 - ISSN (022)
 - Standard recording number (024)
 - Standard technical report number (027)
 - Music publisher number (028)

CODEN (030)

System control number (former system and current system numbers, OCLC, etc.)

- _____ 5.2.4.9 supports unlimited search string indexing. If not, describe any limits.
- _____ 5.2.4.10 supports integration of series into title index. Describe what role series numbering plays in subarrangement of series titles.
- _____ 5.2.4.11 supports detection of duplicate records. If so, describe whether this can be overridden by the operator.
- _____ 5.2.4.12 allows for search indexes to be defined by the library.
- _____ 5.2.4.13 allows indexing of brief or incomplete records.
- _____ 5.2.4.14 allows manual update, overlay, and/or batch overlay of bibliographic data on records with attached items checked out.
- _____ 5.2.4.15 supports dynamic suppression/masking of bibliographic records and all associated records.
- _____ 5.2.4.16 supports dynamic reversal of the suppression/masking of records.
- _____ 5.2.4.17 imposes no limits on the number of indexed fields for a single bibliographic, authority, or holdings record.

5.2.5 Call Numbers

The system:

- _____ 5.2.5.1 supports separate indexing of various classification schemes, including, but not limited to:
 - LCC
 - SuDocs
 - NLM
 - Local
 - Free-text
 - New York State Document
 - Canadian Document
 - Dewey
- _____ 5.2.5.2 returns a range for call number searches. If not, describe result.
- _____ 5.2.5.3 returns an appropriate surrounding range of call numbers in an actual shelflist if base call number is unused.
- _____ 5.2.5.4 supports a "true" shelflist." In other words, supports an index presentation in call number order containing brief main entry and/or title information to allow easy shelving of new titles.

5.2.6 Printing and Data Entry

The system:

- _____ 5.2.6.1 supports screen printing and printing of specific screen elements which can be defined by each library.
- _____ 5.2.6.2 supports full bibliographic and authority record printing.
- _____ 5.2.6.3 supports batch workform printing.
- _____ 5.2.6.4 supplies full and current system documentation in print form.
- _____ 5.2.6.5 supplies full and current system documentation in online form.
- _____ 5.2.6.6 provides formatted templates and default values for online data entry.

- _____ 5.2.6.7 supports the explosion of fixed fields into mnemonically tagged fields for ease of data entry and editing.
- _____ 5.2.6.8 supports copying/deriving a bibliographic or authority record to create a new record.
- _____ 5.2.6.9 allows easy insertion of tags and data into their proper positions in the USMARC record.
- _____ 5.2.6.10 supports full screen editing.
- _____ 5.2.6.11 supports word processing capabilities.
- _____ 5.2.6.12 supports "cut and paste" from one record to another (from both local databases and outside sources).
- _____ 5.2.6.13 supports (accepts, edits, stores, retrieves, and displays) the entire ALA character set, including diacritics. List any ALA characters, diacritics, or the musical sharp, which do not display accurately.
- _____ 5.2.6.14 supports accurate "cut and paste" of diacritics.

5.2.7 Other General

The system:

- _____ 5.2.7.1 supports the direct connection from the 856 field in the OPAC record to the Internet source.
- _____ 5.2.7.2 allows true physical deletion of bibliographic and authority records.
- _____ 5.2.7.3 blocks record deletion if a connection to another record is present, for example, a circulating item.
- _____ 5.2.7.4 provides a review file.
- _____ 5.2.7.5 supports a spell check function.
- _____ 5.2.7.6 supports record purges by library defined parameters.
- _____ 5.2.7.7 supports the ability to delete and undelete records (before they are physically purged from the system).
- _____ 5.2.7.8 supports the ability to search authority-controlled, library-defined identifiers that can be both system generated, based on data in the fixed and variable fields of the bibliographic record, and added by library staff at any time. Examples include internet resource, periodical, microform, reference, and various special collections. This functionality, called Document types, is currently supported by the MultiLIS system. Describe comparable functionality in the proposed system.

5.2.8 Authorities

The system:

- _____ 5.2.8.1 allows an authority record for each authorized heading. Explain the structure of the authority control function and how the authority records interact with the bibliographic records. Describe if an authority record is required for each authorized heading. Describe whether an integrated display of authorities and bibliographic records is possible.
- _____ 5.2.8.2 supports full compliance with the USMARC Format for Authorities Data.
- _____ 5.2.8.3 allows all USMARC Format for Authorities Data field tags, subfield codes, indicators, and delimiters in authority records.
- _____ 5.2.8.4 supports one authority record for occurrence of a heading in various indexes.

- _____ 5.2.8.5 supports input of local authority records and/or local authority files.
- _____ 5.2.8.6 supports authority files to be shared by libraries while providing the option for creating and maintaining local authority records. Describe how this is done.
- _____ 5.2.8.7 supports the dynamic indexing of authority records.
- _____ 5.2.8.8 supports separate indexes for multiple thesauri, such as LCSH and MeSH. Describe how conflicts between LCSH and MeSH are handled and displayed in the OPAC.
- _____ 5.2.8.9 supports a logical indexing of uniform titles. Explain the indexing of uniform titles. Are they segregated in a separate index or are they naturally integrated with other titles? If the former, where does that separate index fall?
- _____ 5.2.8.10 allows for local notes (e.g., 690 field) in authority records.
- _____ 5.2.8.11 permits existing and new authority records to automatically create "See", "See Also" and "Explanatory/Scope references" in both OPAC and staff modes.
- _____ 5.2.8.12 allows the automatic suppression of blind references from the OPAC, but allows for such display in staff mode.
- _____ 5.2.8.13 flags unauthorized authority headings for review and/or reporting. Describe how.
- _____ 5.2.8.14 flags new and dropped authority headings for review and/or reporting. Describe how.
- _____ 5.2.8.15 allows authority records that are not linked to any bibliographic heading, for example, series-like phrase and base conference heading authority records.
- _____ 5.2.8.16 supports global update functionality for headings, subdivisions, and strings of characters. Indicate if global change capabilities are limited to specific fields. Also indicate whether matching fields, subfields, and strings can be deleted, and whether any indicators and subfield letters remaining by themselves are automatically removed.
- _____ 5.2.8.17 supports services of third-party authority control vendors. Address issues including, but not limited to the electronic transfer of library identified bibliographic records/headings to an authority control vendor for editing; the overlay of bibliographic records/headings edited by the authority control vendor on appropriate records in the system; and the overlay of authority records in the system with updated records supplied by the authority control vendor. Provide the names of all authority control vendors that have worked with the system's vendor to create appropriate interfaces.

5.2.9 Item Records

The system:

- _____ 5.2.9.1 contains in the item record information, including, but not limited to:
 - item identification number (barcode)
 - author and title
 - date of publication
 - location
 - temporary location
 - call number

- enumeration/chronology data
 - midspine (further identifying) data
 - date last used
 - current status
 - use counter
 - piece counter
 - review flag
 - notes visible to patrons or staff only
 - list any additional information included
- _____ 5.2.9.2 makes available information about an item's status by searching the item ID number (barcode).
- _____ 5.2.9.3 allows authorized circulation staff to create item records on the fly for items that have not yet been barcoded.
- _____ 5.2.9.4 alerts the staff member to the proper routing of the item when an item record created on the fly is discharged.
- _____ 5.2.9.5 contains the following access points for records created on the fly, including, but not limited to:
- item ID number (barcode)
 - call number
 - author
 - title
- _____ 5.2.9.6 list any additional access points
- _____ 5.2.9.6 allows temporary relocation of an item to a different circulation unit or location.
- _____ 5.2.9.7 allows circulation of that relocated item to borrowers from the temporary location.
- _____ 5.2.9.8 allows the option for checkout/checkin of items that do not have barcodes.
- _____ 5.2.9.9 allows display of the temporary location in the OPAC.
- _____ 5.2.9.10 allows a summary display of all item records showing temporary location and/or status.
- _____ 5.2.9.11 supports an unlimited number of bibliographic records that can be attached to a single item record (i.e., bound-withs). Describe any limitations.
- _____ 5.2.9.12 allows a virtually unlimited number of item records to be attached to a single bibliographic record. If this is not the case, describe the limitations.
- _____ 5.2.9.13 allows the item record to be moved to a different bibliographic record or have other maintenance actions performed to it while circulation transactions are present. Describe any limitations imposed on item record maintenance.
- _____ 5.2.9.14 allows the input of various barcode schemes. List the ones supported.
- _____ 5.2.9.15 allows online error checking and validation of barcodes. Describe whether duplication alert can be overridden.
- _____ 5.2.9.16 allows both public and non-public notes on the item record. Describe any limitations to the size of such notes.
- _____ 5.2.9.17 supports resequencing of item records. Describe any limitations the system imposes on this.
- _____ 5.2.9.18 supports creation of date of record entry into system as well as an additional date that changes to reflect latest update.

5.3 OPAC

Please describe functionality within the context of a web-based client.

5.3.1 General

The system:

- _____ 5.3.1.1 provides an online public access catalog (OPAC) that is fully integrated with other modules.
- _____ 5.3.1.2 allows the user to search for all formats (books, journals, computer files, maps, sound recordings, musical scores, visual materials, manuscripts, and archival materials).
- _____ 5.3.1.3 allows the user to find a range of levels of records, from full bibliographic records to brief, minimal-level records.
- _____ 5.3.1.4 allows the user to see records for materials in all status categories (fully cataloged, on order, in process, lost, withdrawn).
- _____ 5.3.1.5 permits the library to display or suppress the public display of any record category or of any particular record, while retaining staff access.
- _____ 5.3.1.6 permits the library to suppress the display of specified fields to the public.
- _____ 5.3.1.7 allows the user to determine item-level circulation status information in real-time and note if items have special locations (in transit, reserve) or statuses (recalled, on hold, etc.).
- _____ 5.3.1.8 allows, at the option of the library, the user to determine serial holdings including retrospective holdings, current receipts, and the next expected journal holding to be received.
- _____ 5.3.1.9 allows access to various other bibliographic, citation, numeric, image, or full-text files; these files may be loaded locally, accessed remotely, or linked through local area networks; allows the user to limit searches to single or customizable groups of databases.
- _____ 5.3.1.10 allows the user to simultaneously search and display bibliographic, holdings, and circulation status information from multiple library catalogs.
- _____ 5.3.1.11 supports ADA compliant features. Specify the types of features that are available.
- _____ 5.3.1.12 allows the user to send to library staff electronic requests for service, e.g., reference questions, holds/recalls and search requests, interlibrary loan requests, or document delivery requests.

5.3.2 Search Interface Functionalities

The system:

- _____ 5.3.2.1 provides for a continuum of users, from novice to experienced users. Describe users' ability to choose options (beginner, intermediate, advanced) at any time during the search with screens and commands to adjust accordingly.
- _____ 5.3.2.2 gives users the maximum possibility of finding library resources, without requiring knowledge of cataloging rules or established form of headings.

- _____ 5.3.2.3 encourages the user to explore the software capabilities without fear of getting lost.
- _____ 5.3.2.4 performs (optionally truncated) phrase search for names, subjects, series, and titles.
- _____ 5.3.2.5 allows the library to create customized headings, search keys, and indexes if these are not otherwise provided (for example, journal titles, conference proceedings, corporate authors).
- _____ 5.3.2.6 provides a means by which records for periodicals can be searched separately.
- _____ 5.3.2.7 allows searching of reserves by course number, course name, and instructor name.
- _____ 5.3.2.8 supports automatic right-hand truncation which may be overridden.
- _____ 5.3.2.9 supports searching on the full length of a field.
- _____ 5.3.2.10 supports searching on rotated (i.e., permuted) subject headings.
- _____ 5.3.2.11 supports case-insensitive searching.
- _____ 5.3.2.12 supports standard number searches (ISBN, ISSN, LC card number, report number, local control numbers, publisher's number for music, other).
- _____ 5.3.2.13 supports call number searching (LC, NLM, SuDoc, other).
- _____ 5.3.2.14 fully supports keyword searching:
 - all fields may be indexed.
 - universal and field-delimited keyword searching.
 - logical search operators (Boolean AND, OR, NOT).
 - positional operators ('adjacent', 'near', 'with', 'same').
 - explicit right truncation, (including trailing character count).
 - wildcards (for example, "wom?n").
 - ability to nest terms.
 - library configurable default operators.
- _____ 5.3.2.15 supports the ability to combine call numbers with other terms.
- _____ 5.3.2.16 allows override of the stoplist to search for entries consisting primarily or entirely of stopwords.
- _____ 5.3.2.17 allows inclusion of symbols (such as the musical symbols for sharp and flat) in the search.
- _____ 5.3.2.18 allows the user to limit a search by library-specified data elements, including, but not limited to:
 - year of imprint
 - range of dates
 - language
 - format
 - item type
 - place of publication
 - publisher
 - holding library
 - location within library
 - circulation status
- _____ 5.3.2.19 allows all records for any heading to be retrieved. Describe any limits to the index.

- _____ 5.3.2.20 provides feedback on search progress.
- _____ 5.3.2.21 warns of large search result.
- _____ 5.3.2.22 allows in-process searches to be stopped/canceled.
- _____ 5.3.2.23 allows searches to be modified without having to be fully retyped.
- _____ 5.3.2.24 allows user to search on displayed heading in a bibliographic record without rekeying.
- _____ 5.3.2.25 saves searches throughout a session; allows search history to be displayed.
- _____ 5.3.2.26 allows sets to be combined.
- _____ 5.3.2.27 allows a set to be combined with other terms or numerals.
- _____ 5.3.2.28 allows earlier sets to be redisplayed.
- _____ 5.3.2.29 allows search strategies to be stored and invoked by user at another time or in another database.
- _____ 5.3.2.30 supports user selected display format for a searching session.
- _____ 5.3.2.31 supports an interface that permits users to choose from among multiple language interfaces. Specify languages supported.

5.3.3 Navigation

The system:

- _____ 5.3.3.1 allows easy toggling between OPAC and staff functions.
- _____ 5.3.3.2 allows user to review partial set before all records have been retrieved if result set is large.
- _____ 5.3.3.3 makes it easy for a user to navigate among retrieved records.
- _____ 5.3.3.4 provides a clear guide mechanism to facilitate moving around within the alphabetical (or other) sequence.
- _____ 5.3.3.5 supports forward and reverse browse/scan of headings displays, call number indexes, and standard number indexes.
- _____ 5.3.3.6 allows user to skip to a specified record or line number.
- _____ 5.3.3.7 bypasses index and goes directly to record when search results in one hit.
- _____ 5.3.3.8 minimizes number of mouse clicks and scrolling required.
- _____ 5.3.3.9 allows the user to return easily to a previous level or screen.
- _____ 5.3.3.10 integrates results so multiple (duplicate) retrievals of the same record are shown to the user only once but multiple records for the same title in different processing units will not be consolidated.
- _____ 5.3.3.11 allows the user to easily determine location and holdings of a serial.
- _____ 5.3.3.12 provides functional keyboard equivalents for user interface elements such as menus, push buttons, scroll bars, etc., that can be activated by pointing devices such as a mouse.
- _____ 5.3.3.13 supports hypertext capabilities that permit use of part of a displayed record (e.g., subject, author, etc.) as the search argument of the next search.
- _____ 5.3.3.14 supports hypertext capabilities that permit an Internet URL in the displayed record to retrieve the item referred to by that URL.
- _____ 5.3.3.15 allows the user to move through long, complex holdings statements in a flexible and efficient manner.

5.3.4 Help and "Artificial Intelligence" Enhancements

The system:

- _____ 5.3.4.1 should be designed to anticipate and prevent "errors" from occurring.
- _____ 5.3.4.2 provides pull-down lists of options for searching and limiting.
- _____ 5.3.4.3 ignores errors in spacing, punctuation, and diacritics.
- _____ 5.3.4.4 checks for and drops initial article in a title search.
- _____ 5.3.4.5 ignores stopwords;
- _____ 5.3.4.6 displays a browse screen with the user's search argument in its proper alphabetical location in the index when a search retrieves no records. Describe the system's ability to suggest to the user possible courses of action.
- _____ 5.3.4.7 provides full help system:
 - brief instructions and examples on search screen.
 - maximum library control over and editing of help and explanatory screens.
 - help is contextual.
 - help can be read/scanned in its entirety.
 - help can be printed, downloaded, and e-mailed.
 - library customizable online tutorial.
- _____ 5.3.4.8 sets no limit on results but alerts user if large set would be retrieved and offers suggestions for refining search.
- _____ 5.3.4.9 leads user to the correct form of name when unauthorized form is searched and notifies user when doing so.
- _____ 5.3.4.10 supports variations in spelling, common abbreviations and acronyms, and singular/plural forms of words (e.g., color/colour, "&"/and, St./Saint).
- _____ 5.3.4.11 provides messages that are clear, concise, and easily understood by all levels of users.

5.3.5 Content Display

The system:

- _____ 5.3.5.1 supports both a text-based interface and a web browser interface. Indicate if Lynx is supported.
- _____ 5.3.5.2 displays full USMARC record and customized brief record.
- _____ 5.3.5.3 displays all applicable See and See Also references.
- _____ 5.3.5.4 does not display blind references.
- _____ 5.3.5.5 provides maximum local library control over bibliographic record displays; library chooses:
 - data elements to display at each level
 - order in which displayed
 - text of labels for tags and messages
 - limit on the number of records that can be displayed, sorted, printed
- _____ 5.3.5.6 provides maximum local library control over copy information displays, i.e., display multiple copies in different locations of the same library on a single screen.

- _____ 5.3.5.7 provides the ability to show location, call number, and copy information in any order desired, and to change order, e.g., display call numbers at beginning of record display.
- _____ 5.3.5.8 displays full ALA-character set.
- _____ 5.3.5.9 displays non-Roman characters.
- _____ 5.3.5.10 supports various user specified sort capabilities on retrieved sets such as those listed here. Please describe other available options:
 - reverse chronological by date
 - library location or sublocation
 - call number
 - most times circulated
 - author
 - title
 - chronology (especially to link successive title entries for serials)
 - relevancy
 - alphabetical
- _____ 5.3.5.11 displays search query and number of hits obtained along with search results.
- _____ 5.3.5.12 displays system record number in public mode.
- _____ 5.3.5.13 displays received date in public mode for the most recent issue of a serial.
- _____ 5.3.5.14 displays fields containing sequential numeric designators in correct numeric sequence.
- _____ 5.3.5.15 provides a display that clearly expresses the relationships among bibliographic records that are associated (e.g., collection level and item level bibliographic records, separately cataloged book records and the bibliographic record representing the series, component part/subunit and host item, and serials whose titles have changed, split, or merged).
- _____ 5.3.5.16 displays call number and location prominently in every view.
- _____ 5.3.5.17 supports auto time-out set by library with user warning message.
- _____ 5.3.5.18 provides for displays that are clearly labeled, with the text of the labels determined locally; the MARC protocols for tags and indicators are expected to determine what is encompassed by each label.
- _____ 5.3.5.19 provides a display that clearly indicates when full text is available for a citation.
- _____ 5.3.5.20 provides the option to highlight call numbers and status displays.
- _____ 5.3.5.21 displays status information whenever item level information is displayed; such statuses include “On Order,” “In Process,” “On Reserve,” “Missing,” “Charged Out,” “At Bindery,” or similar language.

5.3.6 Printing and Downloading

The system:

- _____ 5.3.6.1 allows all displayed fields, including copy and status information, to be printed and downloaded.
- _____ 5.3.6.2 allows help text to be printed or downloaded.
- _____ 5.3.6.3 prints to a locally-attached printer or a printer defined on the network.

- _____ 5.3.6.4 formats downloaded data for loading into standard bibliographic management systems as well as in plain ASCII.
- _____ 5.3.6.5 allows user to specify record elements to print or download.
- _____ 5.3.6.6 allows user to mark or select records from a multiple record set and print them with a single command.
- _____ 5.3.6.7 allows user to “or” sets together to display, print, or download in one process.
- _____ 5.3.6.8 gives users options for sorting sets to be printed or downloaded.
- _____ 5.3.6.9 supports various electronic transfer modes including e-mail, etc.

5.4 Circulation and Reserve

5.4.1 Circulation Parameters

The system:

- _____ 5.4.1.1 accommodates very complex yet easily maintained circulation policies.
- _____ 5.4.1.2 allows all circulation parameters to be library specific.
- _____ 5.4.1.3 accommodates circulation parameters based on patron type, item type, and library location. Indicate the number of different patron types, item types, and locations supported. Verify if a difference in any one of these elements could result in an entirely different loan policy being invoked.
- _____ 5.4.1.4 is table driven so that authorized library operators can modify tables that control due dates, grace periods, renewals and hold capabilities, overdue schedules, fines, replacement and processing costs, and content of overdue notices.
- _____ 5.4.1.5 allows circulation policy tables to be easily constructed and modified by authorized library staff.
- _____ 5.4.1.6 provides loan rule options or control, including, but not limited to:
 - hourly loan periods with or without overnight privileges
 - daily loan periods
 - absolute loan periods due on a certain date regardless of checkout date and applicable to user categories specified by the library
 - renewals
 - renewal limits
 - hold/recall status (whether a hold/recall may be placed depending on patron type, item type, or library location)
 - number of overdue and fine notices
 - timing of overdue and fine notices
 - text of overdue and fine notices
 - text of hold available notices
 - text of recall notices
 - rush recall for reserve
 - fine grace periods
 - fine rates and time lengths (including different fine rates for recalled and reserve items)
 - default replacement costs when not specified in item records (depending on library)

- processing fee
- timing of billing notices
- text of billing notices
- ability to print notices on demand
- library unit-controlled notices
- _____ 5.4.1.7 verifies on-line-created patron and item records against all tables
- _____ 5.4.1.8 provides an on-line calendar that accommodates a very complex schedule including adjusting loan periods for holidays and closed library hours. An authorized library operator is able to create and modify calendar. Calendar is library specific.
- _____ 5.4.1.9 provides a real, historic calendar that functions accurately in conjunction with fines calculations and provides the option for not charging fines for days the library is closed.
- _____ 5.4.1.10 verifies check-digits on manually input as well as scanned barcodes.

5.4.2 Circulation Control

The system:

- _____ 5.4.2.1 allows entry of borrower and item identification by scanner or keyboard entry.
- _____ 5.4.2.2 automatically displays patron name, patron barcode, patron address, item barcode, item title, and due date/time slip.
- _____ 5.4.2.3 allows operator to assign due date at checkout.
- _____ 5.4.2.4 allows for checkout/checkin at any library regardless of home library.
- _____ 5.4.2.5 will not checkout items that are non-circulating and alerts the operator both visually and audibly; requires operator acknowledgment before proceeding.
- _____ 5.4.2.6 includes automatic (system) blocks for:
 - library ID has expired
 - too much money owed. Indicate if the system is able to accommodate different thresholds for different patron types, item types, and library locations.
 - overdue recalled items
- _____ 5.4.2.7 allows authorized library staff to manually block patrons with ability to enter an explanatory note.
- _____ 5.4.2.8 allows authorized library staff to override any block.
- _____ 5.4.2.9 allows creation of temporary item record and permits checkout.
- _____ 5.4.2.10 alerts operator when attempting checkout for an item already in circulation; requires acknowledgment by operator before proceeding.
- _____ 5.4.2.11 allows renewals of items depending on patron type, item type, and library location.
- _____ 5.4.2.12 allows global renewal of all items on loan to one person or specified subset of all items.
- _____ 5.4.2.13 allows operator to assign new due date of renewed item.
- _____ 5.4.2.14 allows renewal of overdue items depending on patron type.
- _____ 5.4.2.15 allows a renewal limit on items depending on patron type, item type, and library location.
- _____ 5.4.2.16 allows override of renewal limit by authorized library staff.

- _____ 5.4.2.17 blocks renewal when the item has a hold.
- _____ 5.4.2.18 allows jumping from one circulation function to another (e.g., checkout to patron record) without re-keying the patron ID.
- _____ 5.4.2.19 checks in items by scanner and keyboard entry.
- _____ 5.4.2.20 gives the operator the option to print a receipt of returned items for patron.
- _____ 5.4.2.21 alerts the operator when items are checked in, requires operator acknowledgment before proceeding, and prints a routing slip for the following conditions:
 - on hold
 - not returned to "home" institution
 - needs cataloging review
 - needs circulation review
 - item has been billed for replacement
 - item had been missing
 - needs number of pieces review
- _____ 5.4.2.22 allows operator to modify date and time of checkin prior to current date/time.
- _____ 5.4.2.23 provides circulation backup capability when server is down.
- _____ 5.4.2.24 allows holds to be placed (either by title so that the first available copy satisfies the hold or by specific copy). Allows holds to be overridden by authorized staff.
- _____ 5.4.2.25 allows holds to be placed on items that are not checked out. Allows holds to be overridden by authorized staff.
- _____ 5.4.2.26 allows holds to be placed on items that are "on order". Allows holds to be overridden by authorized staff.
- _____ 5.4.2.27 automatically blocks placing a hold/recall for patrons with any outstanding blocks.
- _____ 5.4.2.28 automatically blocks patrons from placing multiple holds on the same item.
- _____ 5.4.2.29 allows holds to be placed depending on patron type, item type, and library location. Allows operator to determine pickup location.
- _____ 5.4.2.30 allows placement of recalls depending on patron type, item type, and library location. Allows operator to determine pickup location.
- _____ 5.4.2.31 allows rush recall for Reserve.
- _____ 5.4.2.32 allows reordering of hold queue by authorized library staff EXCEPT that a patron cannot be removed from the head of a hold queue after being notified of item availability.
- _____ 5.4.2.33 allows operator to cancel holds.
- _____ 5.4.2.34 monitors the length of time item sits on hold shelf and generates a report to alert staff to cancel holds after library defined period.
- _____ 5.4.2.35 allows authorized library staff to change the status of an item to "lost" or "claimed returned." Indicate if a staff note regarding the status can be added.
- _____ 5.4.2.36 stops the automatic production of overdue notices for items with "claims returned" or "lost" status until situation is resolved.
- _____ 5.4.2.37 accurately calculates and displays fine at time of checkin.
- _____ 5.4.2.38 allows operator to access the patron's fine and payment record. Fine record stores data, including, but not limited to author, title, call number, item barcode, date/time checked out, date/time checked in, and amount overdue.

- _____ 5.4.2.39 determines fines by patron type, item type, and library location.
- _____ 5.4.2.40 allows authorized library staff to waive part or all of assigned fines.
- _____ 5.4.2.41 allows authorized library staff to access patron records.
- _____ 5.4.2.42 allows patron file to be accessed by patron name, barcode, social security number, or some other identifier defined by the library.
- _____ 5.4.2.43 accepts patron records in machine readable form for initial database creation and periodic updates.
- _____ 5.4.2.44 provides patron records which include but are not limited to:
 - patron name
 - patron social security number
 - library-defined identifier
 - patron barcode
 - primary and alternate addresses
 - primary and alternate phone numbers
 - patron type
 - statistical category
 - department
 - creation date
 - expiration date
 - date of last update
 - free text note fields which display to the patron and staff or to staff only
 - e-mail address
- _____ 5.4.2.45 allows for multiple patron records and/or profiles for a particular patron within one patron file.
- _____ 5.4.2.46 allows printing of a patron record including all currently checked out items, holds, fines, and bills.
- _____ 5.4.2.47 allows creation of and updates to patron records, either manually or by batch load.
- _____ 5.4.2.48 allows each library to select whether notices are printed locally or centrally.
- _____ 5.4.2.49 allows each library to determine the text of all notices.
- _____ 5.4.2.50 allows the option to send some or all notices via e-mail.
- _____ 5.4.2.51 generates notices automatically as determined by library-defined parameters, including, but not limited to:
 - overdues
 - finer
 - replacement
 - recall
 - hold availability
- _____ 5.4.2.52 allows operator to print or e-mail notices on demand.
- _____ 5.4.2.53 allows checkout of non-traditional items (e.g., equipment and rooms).
- _____ 5.4.2.54 supports media booking.
- _____ 5.4.2.55 allows patron access to their borrowing records.
- _____ 5.4.2.56 allows patron self-checkout.
- _____ 5.4.2.57 allows patron-initiated renewals.
- _____ 5.4.2.58 allows patron-initiated holds.

- _____ 5.4.2.59 allows patron-initiated traces.
- _____ 5.5.2.60 exports fine and bill records in machine-readable format (e.g., bursar's office or to a collection agency). Describe the machine-readable format(s) supported. Describe capabilities to load machine-readable data from these agencies that report fines/bills collected.

5.4.3 Reserve Processing

The system:

- _____ 5.4.3.1 allows operator to easily transfer an item to a Reserve room location.
- _____ 5.4.3.2 allows operator to place items on Reserve that are not in the catalog database.
- _____ 5.4.3.3 displays Reserve status in OPAC.
- _____ 5.4.3.4 supports access to Reserve materials, including, but not limited to:
 - instructor name
 - course name
 - course number
- _____ 5.4.3.5 accommodates variable hourly, overnight, and daily loan periods. Describe how the system handles several different hourly loan periods at a single library.
- _____ 5.4.3.6 accommodates Reserve fine rates depending on patron type and length of Reserve loan period.
- _____ 5.4.3.7 allows global removal of a subset of all items from Reserve status for a particular course Reserve list based on end-of-semester date.
- _____ 5.4.3.8 allows instructor to submit Reserve list requests via system.
- _____ 5.4.3.9 generates picking lists of items still in the reserve location but no longer on reserve.

5.4.4 Interlibrary Loan

The system:

- _____ 5.4.4.1 has a fully operational Interlibrary Loan (ILL) Module.
- _____ 5.4.4.2 works with ILL management software provided by third-party vendors. Provide the names of all vendors that have worked with the system's vendor to create appropriate interfaces.
- _____ 5.4.4.3 allows patron-initiated requests from the OPAC, requests from other databases searched using Z39.50, or from journal citation databases.
- _____ 5.4.4.4 verifies patron's ILL eligibility depending on patron type, blocks, and request limits before accepting ILL requests.
- _____ 5.4.4.5 provides a management package of the ILL request database, including, but not limited to, access points by:
 - patron name
 - transaction number
 - title of journal/book
 - due date
- _____ 5.4.4.6 maintains a copyright compliance file.
- _____ 5.4.4.7 alerts the operator when a journal has reached its copyright limit.

- _____ 5.4.4.8 employs full circulation control functionality in circulation module to control circulation of borrowed ILL materials.
- _____ 5.4.4.9 allows electronic transmission of ILL requests to OCLC.
- _____ 5.4.4.10 allows printing of ILL requests for submission to suppliers.
- _____ 5.4.4.11 allows e-mail transmission of ILL requests to suppliers.

5.4.5 Shared Remote Storage

The system:

- _____ 5.4.5.1 supports the ability of multiple SUNY libraries to share remote storage facilities.
- _____ 5.4.5.2 allows each storage facility to be represented as a discrete library with a set of collections.
- _____ 5.4.5.3 allows the contents to be accessible through the OPAC for direct checkout and Interlibrary Library Loan according to its own circulation and fine policies.
- _____ 5.4.5.4 supports the placement of ILL requests from SUNY and non-SUNY libraries directly to the storage facility instead of going through a regular SUNY library.
- _____ 5.4.5.5 supports the placement of SUNY patron checkout requests directly to the storage facility instead of going through a regular SUNY library.
- _____ 5.4.5.6 allows any user with direct circulation privileges to recall a remote storage item checked out to any other user, but recalls by remote storage staff take priority.
- _____ 5.4.5.7 supports the ability to either transfer ownership for an item from a SUNY library to a shared remote storage facility or to have a specific SUNY library retain ownership of the item while it is located in the storage facility. Describe how either of these models might be achieved.
- _____ 5.4.5.8 supports links with third party storage inventory packages.
- _____ 5.4.5.9 supports the input of multiple types of barcodes or accessing numbers.
- _____ 5.4.5.10 supports OPAC and staff mode access to items in remote storage by all standard indexes including any accession numbers used to track materials.

5.4.6 Inventory Control

The system:

- _____ 5.4.6.1 supports a means to electronically inventory the collections with hand-held barcode scanners.
- _____ 5.4.6.2 supports loading of inventory data into the system for comparison against the database and the transaction files to identify missing items.
- _____ 5.4.6.3 produces reports of missing items.
- _____ 5.4.6.4 produces reports of misshelved items, showing where they have been misshelved.
- _____ 5.4.6.5 automatically dates the item record for each correctly inventoried item.
- _____ 5.4.6.6 produces a report of all barcoded items on the shelf which do not have corresponding item records and shows where they are shelved.

5.5 Systems Administration

Vendors must indicate whether the function is available or true in the current general release and provide detailed explanations of the functions or capabilities represented in each specification as requested. If a feature is included in a new release, detail the development schedule.

5.5.1 General

Describe how the system:

- 5.5.1.1 supports distinct bibliographic databases that have separate profiles and security configurations. Responses should include but not be limited to use by other libraries on the same campus or separate campuses for staff training/testing purposes and to share bibliographic data files as well as library defined resource files (i.e., LC/MARC files, GPO government documents records).
- 5.5.1.2 supports export of complete bibliographic and authority records in MARC format for an entire database, for selected records, and for records added in a particular timeframe.
- 5.5.1.3 operates in a fully integrated manner, with all modules sharing a common bibliographic database (except as libraries sharing the system may choose to maintain separate files) and a consistent staff interface across all functions.
- 5.5.1.4 supports real-time system operations and capabilities to create, update, maintain, and access all data for library materials and patrons in real-time.
- 5.5.1.5 updates all indexes dynamically.
- 5.5.1.6 supports OPAC availability for a continual 24 hour schedule.
- 5.5.1.7 supports system availability for staff for at least 20 hours per day.
- 5.5.1.8 supports continual backup to ensure that no transactions or data are lost.
- 5.5.1.9 allows the option for an unlimited number of concurrent user sessions for all members of university community. If the system limits concurrent user sessions, describe when they are initiated and terminated and how they are counted. If a staff member opens multiple windows of staff clients, and this uses multiple licensed logons or sessions, describe how many concurrent sessions would be necessary to support the configuration environments outlined in Appendix B.
- 5.5.1.10 allows simple and quick movement between staff applications and OPAC.
- 5.5.1.11 supports customization of the number of records displayed, as a result of a search, at the client level for both staff and OPAC workstations. If this is possible describe how it is done.
- 5.5.1.12 allows menu-driven (GUI) access to the staff side of the system.
- 5.5.1.13 allows the menu-driven approach to be bypassed with shortcut, quick keystrokes.
- 5.5.1.14 supports definition of macros and/or operator-programmed function keys.
- 5.5.1.15 supplies logical system-prompted commands in typical workflow situations.
- 5.5.1.16 supports creation of date of record entry into system as well as additional date changes to reflect latest update.

5.5.2 Maintenance and Support

Based on the configurations outlined in Appendix B:

- 5.5.2.1 describe options for providing system support that can be administered centrally and in a distributed fashion by library staff. See Section 6.3.6 (Cost – Maintenance and Support).
- 5.5.2.2 estimate the total number of staff required, their required expertise, and the tasks that they would perform locally. For instance, if the proposed system requires local staff to modify and compile software, this should be indicated. If a systems administrator with background as a programmer/analyst is required to manage the system and hardware, this should be indicated. Vendors should indicate who will perform installations, i.e., what type of library staff member or vendor staff person. Indicate the amount of other staff expertise that might be required, either during implementation or in production: Unix administrator, Oracle (etc.) expert, system operator (day, evening, weekend), backup/batch job staff, etc.
- 5.5.2.3 Describe the support services including, but not limited to: software upgrades and frequency of new releases. List a history of past release dates.
- 5.5.2.4 telephone support options (eastern time zone) and hours per day and days per week of service availability. Include support schedule.
- 5.5.2.5 direct vendor support of installation and troubleshooting of the system software. Estimate installation support days provided.
- 5.5.2.6 direct vendor support of installation and troubleshooting of required third party software such as a commercial relational database package. Specify packages and support. Indicate potential conflicts with release levels between what is used by the system and what is currently marketed by the third party vendor.
- 5.5.2.7 how priorities are assigned to customer support requests.

5.5.3 Software Considerations

Describe:

- 5.5.3.1 to what extent relational database or object oriented technology is used in the proposed system. Identify any commercial database software and the supported release level used as part of the proposed system.
- 5.5.3.2 the multi-tiered distributed client-server architecture of the proposed system. Explain which system modules are implemented with client-server technology. Indicate if the proposed system offers client-free web OPAC running natively with the leading industry browsers.
- 5.5.3.3 capabilities for staff client distribution through networking.
- 5.5.3.4 the timeliness of software upgrades with regard to staff clients and Unix upgrades. Explain how software is kept up to date with operating system changes. Are recompiles run by vendor or library personnel?
- 5.5.3.5 options for customizing web OPAC pages. Describe any limits and restrictions.
- 5.5.3.6 options for customizing certain workstations and groups of workstations.

- 5.5.3.7 how the system supports functions including, but not limited to, separate call number systems, separate acquisitions defaults, and ability to profile overlay of imported records by database or separate processing unit within a database.
- 5.5.3.8 how the system supports options for either sharing authority control functions within/or among clusters of libraries, or having separate authority control functions for a specific library.
- 5.5.3.9 how new system releases are installed. Indicate what is installed by library systems personnel and by vendor personnel.
- 5.5.3.10 how new releases are scheduled. Give current schedule of planned new releases.
- 5.5.3.11 the process for updating the system's software clients. Indicate if they survive server upgrades without being replaced. Indicate if staff clients automatically detect the need for an upgrade and, if so, automatically download upgrades when needed.
- 5.5.3.12 the capability for Windows NT servers to distribute staff clients
- 5.5.3.13 the capability for unlimited licensing for web OPAC and/or staff clients. Describe any limits on numbers of client instance licenses and associated costs.

5.5.4 Union Catalog

Describe how the system:

- 5.5.4.1 provides union catalog functionality. SUNY is open to proposals as to the design of the union catalog. Designs might include an actual union catalog database and indexes comprising the individual databases, or a set of common indexes pointing to individual database records. Any proposal requiring double maintenance of bibliographic records in both individual and union databases is unacceptable.
- 5.5.4.2 provides for OPAC searching with more capabilities than a "broadcast" search.
- 5.5.4.3 retrieves bibliographic records that show real-time holdings detail and circulation status.
- 5.5.4.4 provides for bibliographic displays that automatically "collapse" duplicate records with matching numeric tags, such as OCLC number, ISBN, ISSN, or LCCN.
- 5.5.4.5 enables the union catalog to keep "in synch" with the individual library databases so that the data displayed is as accurate as the local database.
- 5.5.4.6 allows local libraries to define a specific library or group of libraries as the default to be searched or excluded at a given terminal. Indicate if the system would allow the user to easily change this default.

5.5.5 Patron Initiated Transactions

Describe how the system:

- 5.5.5.1 provides a real-time, non-mediated, circulation request function within a consortial environment. SUNY will accept proposals that do not require double maintenance of patron or item data.

- 5.5.5.2 supports the ability of any SUNY student, faculty, or staff to request items from any SUNY campus and for each campus to lend library materials to any student without the need to re-enter patron data. Each campus' circulation policies will determine the loan privileges for all SUNY borrowers.
- 5.5.5.3 provides real-time charge and discharge of library materials to all SUNY students.
- 5.5.5.4 provides a Web-based request system that fills the request form with appropriate patron and bibliographic information.
- 5.5.5.5 provides for a load-balancing algorithm for managing requests.
- 5.5.5.6 obtains appropriate patron data between SUNY campuses so borrowers may check out materials without the need for the lending campus to re-key any patron data.
- 5.5.5.7 provides for the ability to collect all fines and fees owned by a particular user system-wide in one place (e.g., with the patron record at the user's "home" library).

5.5.6 Report Generation

Describe how the system:

- 5.5.6.1 includes a wide range of standard reports. Include samples of all pre-defined reports. Customized reports can be generated with SQL. If report generation is not standard SQL, document this in detail. Describe any third party software required. Include descriptions and samples of all pre-defined reports.
- 5.5.6.2 supports report generation to be immediate or to be scheduled in background.
- 5.5.6.3 supports extraction of entire database in a flat, MARC or ASCII defined format.
- 5.5.6.4 allows for reports creating "what if" scenarios, projecting future trends from current data.
- 5.5.6.5 produces graphical statistical reports.
- 5.5.6.6 generates location-based reports.
- 5.5.6.7 allows customized reports by date and record ID parameters.
- 5.5.6.8 allows for selection of data for report generation at the entire system level as well as by administrative unit and circulation unit and other levels.

5.5.7 Security

Describe how the system:

- 5.5.7.1 includes a flexible, multilevel, library staff security authorization control capability.
- 5.5.7.2 allows an appropriately authorized staff person to examine and alter the authorization levels for other staff persons in a group of libraries or a single library without needing the assistance or involvement of the vendor or central system management personnel.
- 5.5.7.3 allows each library or department manager to establish and maintain a separate set of passwords and authorized functions for their staff.
- 5.5.7.4 allows only authorized staff to view and modify security definitions.

- 5.5.7.5 grants create and update privileges at the logical record level, so for example, certain staff can be authorized to update item records.
- 5.5.7.6 restricts work on authority records, bibliographic records, holdings records, acquisitions records, serial control records, fund records, item records, and circulation records by library or by group of libraries (processing unit).
- 5.5.7.7 prevents unauthorized access (either external or internal) to system management functions and files.

5.5.8 Data Conversion

SUNY expects to convert as many record types that are feasible in terms of technical and cost considerations. In order to determine the vendors' experience with converting data from the library management systems listed in Appendix A, address the responses to the specifications listed in Section 5.5.8 within the context of the record types listed in 5.5.8.1. Note that the 40 MultiLIS sites have not implemented the acquisitions module.

- 5.5.8.1 Record types for conversion:
 - Authority
 - Bibliographic
 - Holdings (including local copy holdings and MARC holdings data)
 - Item
 - Order/Pay/Receipt
 - Fund
 - Invoice
 - Patron
 - Patron financial (bill and fine)
 - Circulation transactions
 - Serials check-in
 - Vendor
- 5.5.8.2 specify the information required in order to carry out conversion tasks.
- 5.5.8.3 outline typical steps in the conversion process, including procedures for library review of test files.
- 5.5.8.4 indicate if conversion of the data element is part of a standard conversion program.
- 5.5.8.5 indicate if conversion of the data element will require a customized conversion program.
- 5.5.8.6 indicate timeframe for making the customization.
- 5.5.8.7 if data can be converted directly from the library management systems listed in Appendix A, to the internal data structures required by the proposed system.
- 5.5.8.8 if location of the data elements within the proposed system may be specified by the SUNY libraries.
- 5.5.8.9 extent to which any data will be modified as part of the conversion process.
- 5.5.8.10 if any obsolete and/or unique MARC based fields (OCLC MARC, RLIN MARC, or vendor specific MARC fields) cannot transfer as valid fields.

- 5.5.8.11 ability to migrate to and retain in the proposed system records that are marked as suppressed from view in the OPAC of the current system.
- 5.5.8.12 the process that will be used to update the initial database file with a subsequent load of all transactions occurring after the initial data extract and before that institution cuts over to the new system. Indicate if two data conversions are used for each database: one for verifying all site-specific parameters and requirements and the second to accommodate the cutover period.

5.5.9 Training

Training for the proposed system will follow a train the trainer model. Two types of designated staff will be trained: functional support staff will provide training in the operation of the system for participating libraries; and system administration support staff will operate and maintain the system hardware and software.

- 5.5.9.1 Describe any functional and/or systems administration support training the vendor requires of library staff.

Describe the courses of training provided to enable the staff to become familiar with system functions and operations, including, but not limited to:

- 5.5.9.2 a list of all deliverable training modules.
- 5.5.9.3 whether instructors are available to train on-site.
- 5.5.9.4 maximum number of trainees per class and the total number of days of training for each module.
- 5.5.9.5 whether it is possible to purchase additional training days.
- 5.5.9.6 availability of other training aids such as videos, software tutorials, or Web-based instruction.
- 5.5.9.7 availability of computer-based training.

Indicate if training sessions for systems administration cover topics, including, but not limited to:

- 5.5.9.8 appropriate administrative functions including supervisory override procedures such as data backup and restoration.
- 5.5.9.9 common causes of system failure and the remedy for each.
- 5.5.9.10 how to obtain telephone support for the correction of system problems.
- 5.5.9.11 how to identify and perform all elements of preventive maintenance of the system not routinely performed by the vendor.
- 5.5.9.12 installation and support of client software applications.
- 5.5.9.13 how vendor tracks problems and assigns severity priorities.

6 Cost Summary

Refer to Section 2.6 (Pricing) for complete information on pricing requirements.

6.1 Complete Price List

- 6.1.1 provide here the complete price list for all vendor products and services as outlined in Section 2.6 (Pricing).
- 6.1.2 indicate how the price lists are used to calculate cost quotes for the system configurations.
- 6.1.3 define specific terms or phrases, such as “simultaneous users,” stated in the price lists.
- 6.1.4 indicate how terms or phrases identified in 6.1.3 are determined for calculating costs.

6.2 Guaranteed Discounts

Provide here information on the guaranteed discounts as outlined in Section 2.6 (Pricing).

6.3 Separate Cost Quotes for Each Configuration Listed in Appendix B

This Section is structured in the following categories in order to ascertain cost comparisons among the proposed bids. All items in this Section must be completed by insertion of a cost figure, a notation that it is a non-applicable item (N.A.), or furnished at no charge (N.C.). If a particular cost item is bundled, indicate where it is included. Note that for personnel services such as training and support, travel expenses will be reimbursed at the state rates. Indicate clearly if a particular cost item is not deliverable. Vendors failing to furnish complete cost data will be considered nonresponsive. All costs listed for each configuration in Appendix B shall be tied to the unit prices provided in the complete price lists in Section 6.1.

6.3.1 Cost - Software

- 6.3.1.1 Commercial relational database software licenses, if necessary. Note that the state has contracts with selected vendors for database management software. SUNY may choose to deal directly with the vendor for licensing.
- 6.3.1.2 Licensing fees for additional commercial relational databases, if necessary. Examples: for use as training/test databases, to accommodate cataloging resource files.
- 6.3.1.3 Functional components: distinguish between license requirements for staff and public use, if different.
 - 6.3.1.3.1 Acquisitions.
 - 6.3.1.3.2 Authority Control.
 - 6.3.1.3.3 Bill and Fine.
 - 6.3.1.3.4 Cataloging and Database Maintenance.
 - 6.3.1.3.5 Circulation.
 - 6.3.1.3.6 Fund accounting.
 - 6.3.1.3.7 Interlibrary Loan.
 - 6.3.1.3.8 Online Public Access Catalog (OPAC).

- 6.3.1.3.9 Report writer (including pre-defined reports).
- 6.3.1.3.10 Reserve.
- 6.3.1.3.11 Serial control
- 6.3.1.3.12 Union catalog

6.3.2 Cost - Interfaces

- 6.3.2.1 Bibliographic import/export utilities
- 6.3.2.2 Authority import/export utilities
- 6.3.2.3 Patron record import/export loader utilities
- 6.3.2.4 Bursar billing record import/export loader utilities
- 6.3.2.5 Z39.50 server and client modules for remote database/catalog access
- 6.3.2.6 Character-based interface for OPAC
- 6.3.2.7 Electronic data interchange (EDIFACT, X12)
- 6.3.2.8 Vendor invoicing, e.g., EBSCO, Faxon

6.3.3 Cost – Installation

- 6.3.3.1 Database profile
- 6.3.3.2 Software installation and system initialization
- 6.3.3.3 Implementation consulting

6.3.4 Cost - Data Conversion

Specify the costs associated with the data conversions of the following record types for the library management systems listed in Appendix A. Indicate how the conversion costs for the following record types are determined, i.e., standard or customized programs. If:

- 6.3.4.1 all data is supplied in the local system format, as specified in Appendix A
 - 6.3.4.1.1 authority records
 - 6.3.4.1.2 bibliographic records
 - 6.3.4.1.3 holdings records (local copy holdings and MARC holdings data)
 - 6.3.4.1.4 item records
- 6.3.4.2 bibliographic, holdings, and authority data is supplied in USMARC format and other data is supplied in the local system format, as specified in Appendix A
 - 6.3.4.2.1 authority records
 - 6.3.4.2.2 bibliographic records
 - 6.3.4.2.3 holdings records (local copy holdings and MARC holdings data)
 - 6.3.4.2.4 item records

6.3.5 Cost - Training/Documentation

Quote costs for:

- 6.3.5.1 providing functional training to 25 support staff. Indicate the type of training to be included and whether training is done on-site or off-site.
- 6.3.5.2 providing systems administration training to 10 support staff. Indicate the type of training to be included and whether training is done on-site or off-site.

- 6.3.5.3 providing additional functional training. Indicate the type of training to be included, whether training is done on-site or off-site, and if costs are per person or per training session.
- 6.3.5.4 providing additional system administration training. Indicate the type of training to be included, whether training is done on-site or off-site, and if costs are per person or per training session.
- 6.3.5.5 providing a complete set of user and system manuals covering all operations and functions to each server site as indicated in the configurations in Appendix B. Indicate if format of the documentation (print, CD-ROM, web access) impacts the price.
- 6.3.5.6 each additional set of documentation.
- 6.3.5.7 documentation upgrades.

6.3.6 Cost - Maintenance and Support

The vendor will not be expected to provide direct support to all 64 campuses. Two other models could be developed. The first would have vendor support and maintenance centralized through the SUNY Office of Library and Information Services. If done centrally, OLIS will serve as the sole contact with the vendor technical support service. A second model is to have vendor support and maintenance provided by contacts at each of the cluster host sites. The second model will likely have a central governance structure at OLIS to maintain communication among the clusters. Indicate how costs for maintenance and support would be impacted by the different models when considering the following:

- 6.3.6.1 Describe the different levels of maintenance support (hardware, software, network, telephone, on-site visits, hours of guaranteed emergency response, etc.) and list the associated costs on an hourly, weekly, or flat fee basis.
- 6.3.6.2 Indicate ongoing software enhancements that are provided and any associated recurring or one-time charges.
- 6.3.6.3 Indicate the library management software maintenance costs for years two (2), three (3), four (4), and five (5).

6.3.7 Cost - Additional Costs

List any additional costs that have not been provided for in the preceding categories. For example, since it is not known exactly how many SUNY campuses will participate in this project SUNY will need flexible pricing and will need to know when there are other charges that apply to the host sites for servers as well as individual library participants. For instance, if there are four clusters with four copies of the system, are there additional charges beyond what would be the case if all sites used a single cluster host site? While most of the sites will be sharing server hardware as part of a clustered installation, some sites may choose to run stand-alone systems and would arrange to work with the clusters for consortial services.

7 Vendor Viability

Vendors are required to respond to each statement with complete information.

7.1 Vendor Information and Company Profile

Vendors must provide:

- 7.1.1 information about the vendor's company:
 - Name
 - Home office address
 - Address of nearest sales/customer service office to New York State
 - Name, title, telephone, fax, and e-mail address of contact person
- 7.1.2 short- and long-term mission of the organization. Specify your product development goals, and your vision of the future of library automation.
- 7.1.3 information related to staffing:
 - a) Size of staff
 - b) Allocation of staff among the following areas:
 - i. Research and development
 - ii. Customer service/support
 - iii. Sales
 - iv. Administration
- 7.1.4 audited/certified annual financial statements for the past three years.

7.2 References

SUNY will be relying on vendor references to provide verification of both system and vendor performance. Proposals shall include references allowing the University to obtain information regarding overall performance and satisfaction with the complete system as well as for specific modules from institutions comparable in size and complexity to SUNY. Representatives from the Evaluation Team may, at their discretion, choose to conduct telephone interviews or site visits with references.

Vendors must provide:

- 7.2.1 complete customer list of academic libraries that have implemented the proposed system.
- 7.2.2 customer contact information.
- 7.2.3 prior library system used by the customer.
- 7.2.4 date the customer implemented the proposed system.
- 7.2.5 number of records in each customer database.
- 7.2.6 number of client licenses for OPAC and staff for each customer.
- 7.2.7 number of systems scheduled for installation and when.
- 7.2.8 results of any customer survey taken during the past year.
- 7.2.9 contact information for the system's user groups and addresses of online discussion groups.

7.3 Partnering/Test Sites

Describe:

- 7.3.1 collaborative development efforts with customers.
- 7.3.2 use of alpha and beta test sites (how are sites chosen, etc.)

Appendix A: Library Management Systems Currently in Use on SUNY Campuses

University Centers

Albany	GEAC
Binghamton	NOTIS
Buffalo	NOTIS
Stony Brook	NOTIS

Health Science Centers

Brooklyn	DRA
Buffalo	NOTIS
Stony Brook	SIRSI
Syracuse	MultiLIS

Colleges of Arts and Sciences

Brockport	Dynix
Buffalo	III
Cortland	MultiLIS
Empire State*	
Fredonia	PALS
Geneseo	MultiLIS
New Paltz	Dynix
Old Westbury	MultiLIS
Oneonta	MultiLIS
Oswego	MultiLIS
Plattsburgh	MultiLIS
Potsdam	MultiLIS
Purchase	MultiLIS

Specialized Colleges

ESF	Endeavor
Farmingdale	MultiLIS
Maritime	MultiLIS
Optometry	MultiLIS
Technology	SIRSI

Colleges of Technology

Alfred	MultiLIS
Canton	MultiLIS
Cobleskill	MultiLIS
Delhi	MultiLIS
Morrisville	MultiLIS

Community Colleges

Adirondack	MultiLIS
Broome	MultiLIS
Cayuga	MultiLIS
Clinton	MultiLIS
Columbia-Greene	MultiLIS
Corning	MultiLIS
Dutchess	Winnebago
Erie/City	MultiLIS
Erie/North	MultiLIS
Erie/South	MultiLIS
FIT	MultiLIS
Finger Lakes	MultiLIS
Fulton-Montgomery	MultiLIS
Genesee	DRA
Herkimer County	MultiLIS
Hudson Valley	MultiLIS
Jamestown	MultiLIS
Jefferson	MultiLIS
Mohawk Valley	DRA
Monroe	MultiLIS
Nassau	MultiLIS
Niagara County	III
North Country **	
Onondaga	MultiLIS
Orange County	MultiLIS
Rockland	MultiLIS
Schenectady County	MultiLIS
Suffolk Cty/Amm.	MultiLIS
Suffolk Cty/East	MultiLIS
Suffolk Cty/West	MultiLIS
Sullivan	MultiLIS
Tompkins-Cortland	MultiLIS
Ulster County	MultiLIS
Westchester	PALS

Statutory Colleges

Alfred	MultiLIS
Cornell	NOTIS

* Empire State does not have an operational library facility at this time.

** North Country uses a CD-ROM based union catalog supported by the North Country Regional Library Council.

Appendix B: Sample Configurations

The sample configurations in Appendix B have been provided for vendors to use as a basis for their responses to a number of RFP specifications and requirements including hardware recommendations and cost proposals.

Since it is not know exactly which campuses will participate in the SUNYConnect initiative, an exact configuration of the proposed SUNY-wide library management system cannot be projected at this time. Consequently, the configurations in Appendix B are based on two scenarios. The first represents the goal of the SUNYConnect initiative with the involvement of all 64 campuses, with the four cluster host sites at the University Centers. The second represents a reasonable expectation that the 40 campuses participating in the existing LAIP project and one or more of the University Centers will migrate to the proposed system. In this configuration the 40 LAIP campuses are divided among three cluster sites and each of the four University Centers are stand alone implementations.

The number of server sites in each configuration were determined by:

- an expectation that each University Center be either a cluster host site or a stand alone implementation due to their heavy transaction loads and the desire to keep large transaction loads off the SUNY-wide network.
- a reduction from five cluster sites (currently the case) to three (already proposed with the existing vendor) for the 40 LAIP campuses included in the second configuration.

The two configurations represent SUNY’s best assessment of the number of server sites that would provide the greatest value in terms of performance, cost, and staff support. It is expected that the vendor chosen will work with SUNY in helping to develop the most advantageous configuration design.

[The statistics were derived, in part, from the *SUNY Campus Profiles, 1996-97*. URL: <http://www.sysadm.suny.edu/finman/> and *SUNY Academic Libraries Statistics, Fall 1996*. URL: <http://www.sysadm.suny.edu/irdocs/statrel/>.]

1. Four cluster hosts: Libraries on all 64 campuses served by four cluster sites located at the University Centers:

Site	Estimated Number of Records	Estimated Library Staff	Estimated Student Enrollment
Cluster #1	2,500,000	360	80,000
Cluster #2	4,000,000	522	112,000
Cluster #3	3,600,000	450	108,000
Cluster #4	2,300,000	468	100,000
Total	12,400,000	1,800	400,000

Appendix B: Sample Configurations (continued)**2. Four stand alone implementations for each of the four University Centers and the 40 LAIP MultiLIS campuses sharing three cluster hosts sites.**

Site	Estimated Number of Records	Estimated Library Staff	Estimated Student Enrollment
Stand Alone site	1,100,000	150	16,000
Stand Alone site	1,300,000	125	12,000
Stand Alone site	1,700,000	200	25,000
Stand Alone site	1,100,000	150	18,000
Cluster #1	1,500,000	220	68,000
Cluster #2	1,700,000	230	61,000
Cluster #3	1,500,000	375	98,000
Total	9,900,000	1,450	298,000

Appendix C: Glossary

bid proposal =	bid response.
bidder =	contractor, offerer, proposer, vendor.
cluster site =	supports the system's hardware, software, and data files for libraries located on separate campuses. In the cluster environment each campus views and maintains its own data and locally controls the profile and security configurations for that local library. Libraries within a cluster also share authority records as well as maintain local authority records.
copy =	fields that contain data for location codes, call numbers, status codes, copy numbers, and local notes.
deliverable =	the software must be shown to be functional both by demonstration and by existing library references who have the application in production at their sites.
dynamic =	in reference to indexing done in real-time, so that all changes are reflected immediately in all modules.
LAIP =	SUNY Library Automation Implementation Program.
library =	individual library collections that contain distinct bibliographic data that have separate profiles and security configurations.
module =	functions specific to a particular system capability such as the online public access catalog, cataloging, acquisitions, serials, circulation, etc.
OLIS =	Office of Library and Information Services.
product =	shall include, without limitation: any piece or component of equipment, hardware, firmware, middleware, custom or commercial software, or internal components or subroutines therein which perform any date/time data recognition function, calculation, comparing or sequencing. Where services are being furnished, e.g., consulting, systems integration, code or data conversion or data entry, the term "product" shall include resulting deliverables.
processing unit =	technical services unit within a libraries' system, which maintains own bibliographic, acquisitions, and serials records. Multiple iterations of the same bibliographic record, owned by more than one processing unit, can exist in the system.
required =	mandatory, must, shall.
screens =	displays that are generated by the client software and are understood to indicate MS Windows client screens, Web Pages, or VT100 character mode screens as appropriate.
SLAM =	SUNY Library Automation Migration Committee
staff =	staff members of the SUNY libraries.
State =	State of New York.
status codes =	codes that indicate conditions such as "on order," "in process," or "fully cataloged."
SUNY =	State University of New York.
system =	proposed integrated library system software implemented in any configuration with any number of participating SUNY libraries.

Appendix C: Glossary (continued)

- third party product = shall include product manufactured or developed by a corporate entity independent from vendor and provided by vendor on a non-exclusive licensing or other distribution Agreement with the third party manufacturer. "third party product" does not include product where vendor is: (a) a corporate subsidiary or affiliate of the third party manufacturer/developer; and/or (b) the exclusive re-seller or distributor of product manufactured or developed by said corporate entity.
- Unix = an operating system provided in a variety of versions by different companies that support common API. Standard versions include IBM AIX, SUN Solaris, DEC Alpha, Hewlett Packard UX.
- University = State University of New York.
- user = any library patron accessing the OPAC or staff functions through workstations within the libraries or remotely from campus offices, homes, and other sites.
- vendor's product = shall include all product delivered under the agreement resulting from this RFP by vendor other than third party products.