

DRAFT (Ver. 5) July 12, 2000

5.1 Acquisitions and Serial Control (60 Points Total=6% of 1000)

5.1.1 General (14 Points=23.33% of 60)

The system:

- _____ 5.1.1.1 enables easy and logical navigation between and within modules, avoiding the necessity of reentering searches in order to retrieve related records and data.
- _____ 5.1.1.2 provides a “go back” feature that retrieves the preceding screen(s) without having to recreate a search or navigate a series of menus.
- _____ 5.1.1.3 allows for the retrieval of records via the indexing of any acquisitions data of the library’s choosing.
- _____ 5.1.1.4 provides the ability to sort the return set of a search by the field of the operator’s choosing.
- _____ 5.1.1.5 provides the ability to search for acquisitions data using the purchase order number from a previous system which has been migrated with the data from that system or manually input.
- _____ 5.1.1.6 has no limits on the number of order records associated with a bibliographic or holdings record.
- _____ 5.1.1.7 supports all functions associated with the process of acquiring library resources, services, and supplies, including, but not limited to:
 - creating order records
 - creating and dispatching purchase order documents
 - modifying and/or canceling orders
 - claiming
 - receiving
 - tracking vendor reports
 - tracking and approving for payment vendor invoices
 - accounting for the dispersal of allocated funds
 - tracking vendor licenses and licensing agreements
- _____ 5.1.1.8 accommodates acquisitions transactions for all formats, including, but not limited to paper, micro-format, all the various audio-visual formats, and all the various electronic formats including remotely stored resources such as those accessed through the Internet (World Wide Web, etc.).
- _____ 5.1.1.9 accommodates the following acquisition transaction types, including, but not limited to:
 - approval
 - continuation
 - credit or debit card
 - deposit account and receipts against deposit
 - firm order
 - gift and gratis materials
 - membership and receipts against membership
 - prepayment
 - quote

- standing order
 - subscription

_____ 5.1.1.10 accommodates all types of serials, current and ceased, including, but not limited to:

 - periodicals
 - continuations
 - newspapers
 - annuals and irregulars
 - monographic series
 - proceedings and transactions
 - indexes and abstracts
 - supplements
 - loose-leaf materials
 - cumulated versions
- _____ 5.1.1.11 captures and stores acquisitions data, including, but not limited to:

 - descriptive (e.g. 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
- _____ 5.1.1.12 allows retention of acquisitions data for as long as the library desires.
- _____ 5.1.1.13 allows archiving of acquisitions data.
- _____ 5.1.1.14 provides productivity assists such as the capability to set form or function default values and session preferences.
- _____ 5.1.1.15 provides a variety of order statuses, including, but not limited to:

 - desiderata or “in abeyance”
 - in pre-order process
 - on order
 - claimed
 - received but not paid
 - partially received
 - currently received
 - completed
 - cancelled
 - ceased publication, order terminated
- _____ 5.1.1.16 supports production of orders, claims, cancellations, reports, and invoices both in batch mode and on demand.

- _____ 5.1.1.17 provides a dynamic link, where appropriate, between acquisitions data and bibliographic, holdings, and inventory (item) data and reflects these links in the OPAC.
- _____ 5.1.1.18 provides the ability to selectively block acquisitions data from public view.
- _____ 5.1.1.19 includes commonly expected word processing features such as cut-and-paste and automatic text formatting.
- _____ 5.1.1.20 provides free text note fields of unlimited length, including, but not limited to:
- notes to vendor
 - notes to acquisitions department
 - notes to cataloging department
 - check-in and payment notes
 - general notes
- _____ 5.1.1.21 provides, with sufficient authorization, the ability to delete individual acquisitions records, including but not limited to duplicates or those created in error.
- _____ 5.1.1.22 supports Electronic Data Interchange (EDI) in accordance with national (ANSI/NISO, X12) or international (UN/EDIFACT) standards in addition to related industry implementation guides (BISAC, SISAC) and provides EDI functions including, but not limited to (indicate which are in production and which are in development):
- sending and receiving of all relevant and currently defined EDI acquisitions forms and documents.
 - automatic or, when desired, individually reviewed and approved updating of relevant records with transmitted data.
 - reporting of failed or suspect electronic transmissions.
 - transmitting, receiving, or otherwise handling of electronic data with minimal or no human intervention.
 - processing of all EDI data in real time without interfering with normal acquisitions functions.
 - logging of all EDI transactions with the provision for on-line viewing or off-line printing.
 - archiving of EDI transactions.
- _____ 5.1.1.23 supports foreign currency input, output, and conversion in all relevant acquisitions sub-functions including fund accounting.
- _____ 5.1.1.24 provides the ability to get on-line help in staff mode.
- _____ 5.1.1.25 provides the option of allowing the staff of one library to view the acquisitions data of any other library in the consortium in order to share information.
- _____ 5.1.1.26 must fully convert all open acquisitions data from previous system (FCLA/NOTIS), including open orders, serials check-in records, vendor and fund accounting data, such that work can begin on the new system without any preliminary manipulations required on the part of the operator. Describe any limitations and, in particular, the number of keystrokes required before records on the new system can be used to receive or check-in materials and services ordered on the old system.

5.1.2 Ordering and Vendor Data Maintenance (14 Points=23.33% of 60)

As part of the pre-ordering and verification process the system:

- _____ 5.1.2.1 provides guide or index screens containing enough abbreviated bibliographic information (e.g. author, short title, publisher, date, series and volume number) to enable verification without always having to resort to the full record.
- _____ 5.1.2.2 provides index displays containing enough acquisitions data (e.g. "on order" and flags for currently-received serials, etc.) to enable verification without always having to resort to the full record.
- _____ 5.1.2.3 provides the ability to perform verification for duplicate avoidance based on a search by ISBN, ISSN, LCCN, or some other match point of library's choice.

As part of the order placement and maintenance process, the system:

- _____ 5.1.2.4 allows the creation of blanket orders (for approval receipts, binding, etc.) and orders for non-bibliographic materials (supplies, memberships, etc.) without affecting the integrity of the bibliographic database.
- _____ 5.1.2.5 allows both single and multiple line-item purchase orders at the discretion of the library and, when multi-line, allows unique purchase order or identification numbers for each line.
- _____ 5.1.2.6 allows system assigned and, with sufficient authorization, manually assigned purchase order or line order identification numbers.
- _____ 5.1.2.7 prevents duplicate assignment of purchase order numbers, whether automatically generated or manually input, unless specifically requested.
- _____ 5.1.2.8 dynamically encumbers funds and updates fund records upon order record approval (rather than order record creation), or makes the point of encumbrance (at either order creation or approval) a library option.
- _____ 5.1.2.9 allows orders to remain active across fiscal years (particularly to accommodate serials).
- _____ 5.1.2.10 supports MARC record import from a bibliographic utility or resource file.
- _____ 5.1.2.11 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.
- _____ 5.1.2.12 supports the printing or electronic output of order records and/or purchase orders including the ability to override default fields that normally appear on purchase orders (i.e. the ability to have operator-designated fields included instead of or along with default fields on a given order).
- _____ 5.1.2.13 sorts purchase orders by vendor, or other library-designated fields.
- _____ 5.1.2.14 allows for the regeneration of purchase orders (due, for example, to loss, damage, or misdirection, etc.).
- _____ 5.1.2.15 at discretion of operator, supports public display of messages (e.g. from vendors) regarding order status; allows option to display or suppress messages by record.
- _____ 5.1.2.16 permits changes to all order types and statuses including cancel and ceased.
- _____ 5.1.2.17 on an order-by-order basis, allows for the suppression of purchase order printing or electronic dispatch.

As part of the vendor data maintenance process, the system:

- _____ 5.1.2.18 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.
- _____ 5.1.2.19 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.
- _____ 5.1.2.20 is updated in real-time to maintain the currency of all vendor records and statistics.
- _____ 5.1.2.21 provides a formatted screen with appropriate prompts for entry of vendor file data.
- _____ 5.1.2.22 can print the entire contents of the vendor name/address file.
- _____ 5.1.2.23 supports vendor records that include, but are not limited to, the following information:
- vendor name
 - vendor account number
 - 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
- _____ 5.1.2.24 provides sufficient space for foreign vendor addresses which do not conform in size to those of US vendors.
- _____ 5.1.2.25 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 claims received in relation to those sent
 - number of copies cancelled
 - number of copies claimed
 - total amount ordered
 - amount encumbered
 - amount invoiced

5.1.3 Receiving, Claiming, Recording Holdings (14 Points=23.33% of 60)

As part of the receiving process, the system:

- _____ 5.1.3.1 allows quick and easy receipt with a minimum of keystrokes or carriage returns.
- _____ 5.1.3.2 at operators option, automatically changes firm order status upon receipt from "on order" to some other designated status.
- _____ 5.1.3.3 provides a mechanism (highlighted text or an audible beep) to alert receipt staff to special processing instructions.
- _____ 5.1.3.4 supports special receipt/instructions. Describe any limitations to free text notes.
- _____ 5.1.3.5 displays all call number, location, and routing information at the point of receipt.
- _____ 5.1.3.6 supports public display of partial receipts of an order.

- _____ 5.1.3.7 maintains distinct date of receipt for partially received and, especially, serially received materials.
- _____ 5.1.3.8 allows the operator to set a date other than today's as the receipt date.
- _____ 5.1.3.9 supports predictive check-in for serial materials based on pattern records that can be both keyed in locally or imported from an outside source. Indicate how you are supporting the CONSER Pattern Project and whether you can convert pattern data from 891 bibliographic fields.
- _____ 5.1.3.10 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.
- _____ 5.1.3.11 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.
- _____ 5.1.3.12 supports the display of receipt holdings data at all levels, up to and including ANSI level 4, in both the OPAC and staff mode.
- _____ 5.1.3.13 provides an easy way to force or suppress display of current receipts; format should not dictate display or suppression.
- _____ 5.1.3.14 allows ability to record receipts against a blanket purchase order (such as for binding or, if desired, approval plan receipts)
- _____ 5.1.3.15 provides ability to produce a variety of work slips and notifications of receipt both in paper and electronic format for dispatch by email.
- _____ 5.1.3.16 permits the association of individual title records to membership or other global records.
- _____ 5.1.3.17 allows staff receiving multiple copies of an issue or item to check in all at one time or individually.
- _____ 5.1.3.18 supports multiple types of check-in linked to the same record (e.g., one section received in full, one section received in part.)
- _____ 5.1.3.19 supports the option for display in OPAC of the expected date of arrival for serial publications.
- _____ 5.1.3.20 permits long, free-text notes in order to describe complicated issues or those that deviate from established patterns of enumeration and/or chronology.
- _____ 5.1.3.21 alerts the operator to possible duplicate issues, gaps in receipt, etc.
- _____ 5.1.3.22 supports production of a call number label at time of receipt.

As part of the claiming process, the system:

- _____ 5.1.3.23 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.
- _____ 5.1.3.24 allows for claim cycle overrides on an individual purchase order basis.
- _____ 5.1.3.25 provides an online view as well as the ability to generate a printed report of open orders to be claimed.
- _____ 5.1.3.26 provides flexibility in the management of claiming intervals with default claim intervals by frequency; supports the ability to override and change these values if authorized.
- _____ 5.1.3.27 supports claiming in connection with specific titles within a membership or other multi-title subscription.

- _____ 5.1.3.28 permits, but does not require, single claims for multiple, missing issues of a single title (except when in conflict with EDI standards requiring single issue claims).
- _____ 5.1.3.29 provides claim history or tracking information.
- _____ 5.1.3.30 supports customization of claim-records information (e.g. notes)
- _____ 5.1.3.31 produces claims that include all appropriate identifying information, including, but not limited to, the purchase order number, account number and title number/subscription id, etc..
- _____ 5.1.3.32 provides a claim- sorting and batching mechanism so that claims may be organized by vendor, by date, or other desirable groupings.
- _____ 5.1.3.33 automatically closes or clears open claims upon receipt.
- _____ 5.1.3.34 supports electronic claims, including email capability.
- _____ 5.1.3.35 alerts the operator (by audible beep and on claim report) if a piece is received that is beyond the range of the expected item.
- _____ 5.1.3.36 provides follow-up claims and claim alerts if a specific issue fails to arrive.

As part of the recording of holdings process, the system:

- _____ 5.1.3.37 thoroughly integrates support for the MARC Format for Holdings and Locations at all levels, both within and between functions and modules.
- _____ 5.1.3.38 if not used internally for storage of copy holdings, volume holdings and location data (including call numbers), is, nonetheless, capable of importing and exporting MARC Holdings and Locations records with no loss of data integrity.
- _____ 5.1.3.39 allows a separate and distinct location designation (including call number) and, where appropriate, volume holdings enumeration to be associated with each distinct copy.
- _____ 5.1.3.40 allows an unlimited number of copies of any given resource.
- _____ 5.1.3.41 allows complex relationships to be expressed between holdings data and bibliographic data such that multiple bibliographic descriptions can relate to the same holdings information as in the case of “bound withs,” sub-series, and other analytic-type examples. Describe how this works and any limitations.
- _____ 5.1.3.42 allows flexible labeling of holdings for non-paper formats such as microform and computer files.
- _____ 5.1.3.43 allows easy/automatic renumbering or other reorganizing of holdings statements.
- _____ 5.1.3.44 following pattern data, automatically and/or at operator command, collapses individual issues from check-in or receipt statements into appropriate volume holdings statements.
- _____ 5.1.3.45 validates all holdings/location data to the extent possible and prohibits the input of invalid location codes.
- _____ 5.1.3.46 allows local notes, both public and non-public, in the holdings record. Describe any limitations to the size of those notes.
- _____ 5.1.3.47 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.
- _____ 5.1.3.48 allows for a selected group of holdings records to be deleted without having to edit each individual holdings record.

5.1.4 Payments Processing and Fund Accounting (14 Points=23.33% of 60)

The system:

- _____ 5.1.4.1 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
- _____ 5.1.4.2 allows discounts and extra charges – for example postage, bank, service, rush, and other surcharges – to be treated as separately posted transactions or, at the option of the library, to be figured into the main charge (automatically prorating, if desired, a lump sum charge across multiple items).
- _____ 5.1.4.3 has a fund structure that allows for “reporting funds” – that is, funds which reflect expenditures the allocations for which are made, if at all, only at a higher level.
- _____ 5.1.4.4 allows multi-fund encumbrances and dispersals.
- _____ 5.1.4.5 for a given order, displays complete payment history, including line notes, across multiple fiscal years and invoices.
- _____ 5.1.4.6 allows sufficiently long notes in order to describe complicated receipts or payment transactions.
- _____ 5.1.4.7 automatically updates encumbrances, expenditures, and balances when payments are entered.
- _____ 5.1.4.8 supports straightforward processing of invoices with real-time updating of fund records.
- _____ 5.1.4.9 allows new accounts to be created at any time.
- _____ 5.1.4.10 allows existing accounts to be updated at any time.
- _____ 5.1.4.11 allows an unlimited number of funds.
- _____ 5.1.4.12 allows for encumbrances and dispersals to be split across funds.
- _____ 5.1.4.13 provides various end-of-fiscal-year options, which may vary from fund to fund.
- _____ 5.1.4.14 handles prepaid but not received orders at year-end rollover. Explain how this is done.
- _____ 5.1.4.15 supports electronic transfer of invoice data via EDI, magnetic or optical disk, etc.
- _____ 5.1.4.16 tracks fund records on-line with all balances and expenditures available immediately and provides a full audit trail.
- _____ 5.1.4.17 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.
- _____ 5.1.4.18 provides the ability to print out ledgers of invoices posted for a given period of time.
- _____ 5.1.4.19 allows authorized staff to alter invoice data, delete or add payment lines, or delete the entire record even after the invoice has been authorized for payment.

- _____ 5.1.4.20 is able to support a variety of procedures for conferring accounting information and/or documents to local campus business offices including the optional ability to link electronically.
- _____ 5.1.4.21 provides campus specific invoice cover sheets and locally defined invoice batch summaries.
- _____ 5.1.4.22 provides for the incorporation of vendor credits in the payments and fund accounting process. Describe in detail how the system handles credits.

5.1.5 Routing and Bindery Preparation (4 Points=6.66% of 60)

The system supports a routing process which:

- _____ 5.1.5.1 maintains a tracking system of all individuals/locations for titles routed. Describe any limitations to the number of names and/or locations attached to a specific title.
- _____ 5.1.5.2 captures lists of journals routed by title and by person.
- _____ 5.1.5.3 easily updates and deletes routing information (including global changes). Maintains an address-book feature containing data about a routee.
- _____ 5.1.5.4 allows the production of printed routing slips.
- _____ 5.1.5.5 provides hierarchical prioritization for routing designations and destinations (e.g., routing to a specific individual at a designated location).
- _____ 5.1.5.6 provides ability to block routing information from public view.

The system supports a bindery preparation process which:

- _____ 5.1.5.7 produces pull slips and lists of serial titles that are ready for binding.
- _____ 5.1.5.8 supports the creation of a binding pattern database which takes advantage of windowing to display the appearance of the spine label.
- _____ 5.1.5.9 captures bindery preparation instructions and produces locally customizable printed binding tickets to accompany issues to the bindery. Describe any limitations to instruction sets.
- _____ 5.1.5.10 stores and preserves binding information as historical data. Describe how binding patterns are archived.
- _____ 5.1.5.11 automatically updates the summary holdings statement when the volume is received back from the bindery. Includes the ability to distinguish between bound volumes and loose issues. Describe how this function is accomplished.
- _____ 5.1.5.12 displays "at bindery" status with a customizable "due back" and/or "will be available" 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.
- _____ 5.1.5.13 supports links to external bindery preparation systems such as, but not limited to, ABLE or LARS, and supports the Z39.50 standard.
- _____ 5.1.5.14 employs US MARC field 583 to queue binding. Describe or illustrate how your system does this.
- _____ 5.1.5.15 interacts with serials control subsystem. Detects, reports and claims materials not returned from the bindery.

_____ 5.1.5.16 provides tracking control for material in all stages of binding preparation and processing. Includes option for changing status of all items in a shipment with one or two keystrokes in addition to item-by-item status changes.