

ACQUISITIONS QUESTIONS

Yes

No

1 Interfaces:

1.1 Utilities and External Products

1.1.1 Does your system interface with bibliographic utilities such as OCLC and RLIN to receive/download bibliographic data?

1.1.2 Does your system interface with subscription agent databases such a DataSwets and Faxon Source?

1.1.3 Does your system interface with CD-ROM products to receive/download data?

1.1.4 Does your system allow for the transfer of records from online or offline resource files of LC/MARC records?

1.1.5 Does your system have the ability to interface with vendor label printing software?

1.1.6 Does your system allow for the ability to link by E-mail to vendors?

1.1.7 Does your system build on an existing system so that migration is as seamless as possible?

1.1.8 Does your system allow an institution to work with its own book or subscription vendors to provide for interfacing as may be desired?

1.1.9 Does your system provide for consortia-level interfacing if desired (i.e., between one vendor and several institutional customers)?

1.1.10 Is your system committed to providing compatibility to its customers on a current basis as information technology and standards continue to change?

1.2 Internal Interfaces

1.2.1 Does your system provide links between order records and full bibliographic records, and between serial check-in records and holdings in the online catalog, for data transmission between both types of records

1.2.2 Does your system make it possible to search and display records from any system file while performing acquisitions functions?

1.2.3 Does the system have the capability to interface with institutional accounting systems?

1.2.4 Does your system allow for the ability to overlay brief Acquisitions records with a full MARC record, which must match on a distinct field to eliminate duplicate records?

1.2.5 Does your system interface with the library's E-mail server?

1.2.6 Does the system provide a hot link to a URL from the OPAC if the record has information in the 856 field?

- 1.2.7. Does your system provide consistent commands through all acquisitions and serials functions and with those used in other modules of the system?
- 1.2.8 Does your system allow the ability to link from acquisitions and serials to user database for notification of arrivals, holds, purchase request received, purchase recommendations?
- 1.2.9 Does your system provide passwords and user ids for library staff? What specific read/write capabilities can be provided to regular staff as opposed to supervisors? Are passwords available across all modules of the total system (i.e., can a staff member have rights in the cataloging or circulation modules as well as in serials/acquisitions? Are passwords controllable at the local institutional level, or only at the system administrator level)?
- 1.2.10 Does your system provide the capability to perform all technical services functions via TCP/IP or other protocol separately from web-based OPAC functions, in order to guarantee speedy and stable response time and ensure efficient high-volume productivity by library staff across all technical services functions without slowing down workflow?
- 1.3 EDI (Electronic Data Interchange)
- 1.3.1 Does your system provide the capability of implementing Electronic Data Interchange (EDI) according to national standards (ANSI, X12), international standards (UN/EDIFACT) and related industry implementation guides? The system should be able to:
- send and receive transactions with support for standard EDI formats
 - send electronic orders and claims, and receive acknowledgments and reports electronically
 - receive electronic order status reports from vendors
 - receive electronic invoices, including data for price, period covered, invoice number, invoice date and currency conversion data as appropriate
 - allow automatic updating of records by electronic transactions, or to have staff review transactions before posting, at processing unit discretion
 - generate error reports for failed or suspect electronic transmissions
 - send lists of desiderata to selected sites, such as vendors, publishers, other libraries
 - allow launching from an acquisitions record to external online resources, initiating browsers or other applications as appropriate
 - the ILS should import from and export to a commercial EDI translation package
 - all ILS systems or modules should be able to share a commercial EDI translation package
 - outside of the online ILS software, no human intervention should be required to transmit, send, receive, or otherwise handle EDI data
 - updating of the database with EDI messages should be able to occur while the system is in use
 - when it is not possible or it is undesirable to update the database with an EDI message, the message should be available for review online
 - a transaction log of all EDI transactions should be viewable online or should be printable as an off-line job
 - all EDI data should be able to be archived.
- 2 Record Content/Format:
- 2.1 Structure
- 2.1.1 Does your system record structure include the following requirements, in addition to a description of the material (i.e., author, title) being acquired?
- fund(s) used for acquisitions

- purchase order number
- place, publisher, date
- price
- vendor
- invoice number
- notes concerning special processing or instructions to a vendor
- routing status
- action dates
- type of order, i.e., rush
- physical format
- recommender
- intended recipient
- # of copies being acquired
- shipping address
- supplier address
- billing address
- standard control numbers, i.e., ISBN, ISSN
- local systems bibliographic record identifier

2.2 Customization/Local Flexibility

- 2.2.1 Does your system allow the ability to customize record content to meet requirements of local libraries, including the custom creation of data mnemonics specific to special needs (i.e., Faxon title number, BNA series ID number)?
- 2.2.2 Does your system have the ability to customize the display of records based on authorization numbers?
- 2.2.3 Does your system have the ability to define/add local fields?
- 2.2.4 Does your system allow a library to record notes on order and invoice records?
- 2.2.5 Does your system allow the ability to include variable length note files which are indexes and searchable?

2.3 System Features

- 2.3.1 Does your system provide spell check capabilities against designated fields during data creation/editing?
- 2.3.2 Does your system allow the ability for a library to search on specific fields in acquisitions?
- 2.3.3 Does your system provide the ability to link parent and child orders, such as titles received on membership or on a blanket order?
- 2.3.4 Does your system have the ability to suppress the display of records in the OPAC?
- 2.3.5 Does your system have the ability to permanently retain acquisition and billing information?
- 2.3.6 Does your system have the ability to delete online and in batches records which have expired or failed to overlay with catalog records?

- 2.3.7 Does your system have the ability to validate input and provide automatic correction for codes and standardized inputs (i.e., vendors, funds, etc.)?
- 2.3.8 Does your system have the ability to use templates for standard record types?
- 2.3.9 Does your system have the ability to support multiple records for the same title in different formats?
- 3 Budget/Fund Accounting:
 - 3.1 Archiving
 - 3.1.1 Does the system maintain a journal of all transactions that increase or decrease any fund balances?
 - 3.1.2 Does your system support online storage of payment history for multiple years?
 - 3.2 Fiscal Year-End Close
 - 3.2.1 Does your system provide for encumbrances, payment data and fund code allocations/balances to be easily converted from one fiscal year to the next, either globally or partially? What fiscal-year closeout/rollover options are provided? Can each institution act independently?
 - 3.2.2 Does your system allow for the purging of fiscal data from previous fiscal years to be stored and accessed from a separate database? Is this functionality system wide or can a local institution act independently?
 - 3.3 Financial Structure
 - 3.3.1 Does your system provide financial functions for each of the following?
 - fund file maintenance
 - adjust fund balance
 - post invoices & encumbrances
 - display financial status
 - print financial status
 - print fund activity reports
 - process invoices (pay files)
 - 3.3.2 Does your system provide a budget overview with the options to display the following? Fund Name, Fund Codes, Graph and Print?
 - 3.3.3 Does your system provide fund accounting that has columns for Appropriations, Expenditures, Encumbrances and Free Balances?
 - 3.3.4 Does your system describe the following?
 - number of encumbrances to post
 - number of pay files and the number of records contained in each file
 - 3.4 Fund Record Structure

- 3.4.1 Does your system make it possible to associate funds to each other in a hierarchical relationship with multiple levels, such that a fund can have multiple levels of subfunds?
- 3.4.2 Does your system make it possible to designate a fund as active or inactive?
- 3.4.3 Does your system restrict fund codes by character length?
- 3.4.4 Does your system allow the ability to subdivide budget/funds into types of orders (i.e., firm, approval)?
- 3.4.5 Does your system allow a library to establish a fund structure for each fiscal year?
- 3.4.6 Does your system permit otherwise identical funds for multiple fiscal years to exist?
- 3.4.7 Does the system allow for no limit on the number of funds?
- 3.5 Functionality
 - 3.5.1 Does your system allow a library to encumber more than one fund per purchase order and split payments between different vendors?
 - 3.5.2 Does your system automatically check for fund availability at the time an order record is created and at the time the order is placed?
 - 3.5.3 Does the system immediately reflect each obligation and payment transaction in the online display of fund balances?
 - 3.5.4 Does your system provide an explicit level of security for staff authorized to create and modify fund account data beyond the level needed to access the acquisitions module as a whole?
 - 3.5.5 Does your system automatically de-obligate any unpaid balance remaining on the order if the order is canceled?
 - 3.5.6 Does your system convert foreign currency at time of order and receipt?
 - 3.5.7 Does your system alert the operator when a fund is reaching encumbrance limit/refuses payment when the limit is over expended?
 - 3.5.8 Does your system provide basic error detection capabilities such as entering into the system all the correct amounts in order to balance an invoice?
 - 3.5.9 Is your system able to separate out accounting for shelf-ready services (i.e., processing, TechPro)
 - 3.5.10 Does your system allow the return of monies to the appropriate fund accounts when received via a refund from one of the Library's suppliers?
 - 3.5.11 Does your system have the ability to validate input and provide automatic correction for vendor or fund codes and other standardized inputs?

4 Order Function:

4.1 Supplier Information

4.1.1 Does your system support a supplier list for which it is possible to?

- maintain separate addresses for communication of orders, claims, returns
- enter one or more telephone numbers, either U.S. or foreign
- enter one or more E-mail addresses

4.1.2 Does your system allow the library to create and maintain variant names and cross references for suppliers?

4.1.3 Does your system allow the Library to search the online supplier directory by unique identifier?

4.1.4 Does your system allow the Library to search the online supplier directory by name?

4.1.5 Does your system allow inactive vendor records to be purged?

4.2 Utilities and External Products Interfacing

4.2.1 Does your system allow a library to load records for acquisitions actions and bibliographic records based on machine-readable records provided by suppliers and/or any independent bibliographic support utility?

4.2.2 Does your system allow for the following elements to be retained during vendor/jobber machine-readable records loads?

- data elements provided by vendor/jobber
- vendor title number
- vendor order number
- link to related invoice data

4.2.3 Does your system provide a seamless electronic interface with vendors for orders?

4.2.4 Does your system have the ability to utilize vendor notification files to create orders?

4.3 Order Structure

4.3.1 Does your system record and report acquisitions orders in all forms of materials the Library acquires, including but not limited to?

- books
- serials
- microforms
- manuscripts
- moving images
- photographs
- prints
- drawings
- paintings
- music scores
- maps and atlases

- sound recordings (all formats)
- CD-ROMs
- computer software
- electronic files
- homogeneous and heterogeneous collections of materials in these forms

4.3.2 Does your system accommodate all types of orders, including but not limited to?

- firm orders
- approval plans
- blanket orders
- standing orders
- continuations
- desiderata or provisional orders
- search and quote orders
- serials orders
- gifts
- exchanges
- prepaid orders
- deposit account orders
- subscriptions
- memberships
- back issues or back volumes

4.3.3 Does your system have display capabilities for order data including purchase order?

4.3.4 Does your system permit creation of orders for services; postage and shipping charges as appropriate; contracts for performance of acquisitions-related services, such as shelf ready processing fees?

4.3.5 Does your system provide templates for order entry, production and transmission; templates can be used for print or electronic order transaction?

4.4 Flexibility

4.4.1 Does your system permit reissue of orders previously canceled to the same or a different vendor without reentering order?

4.4.2 Does your system create a record for future possible purchase or suggested purchase that is searchable and can be used to generate an order if desire? . The Library should have the option of suppressing these records from public search and display, or making them public available.

4.4.3 Does your system place no limits on the number of order records that can be associated with a single bibliographic record?

4.4.4 Does your system permit creation of a manual bibliographic record when creating an order record?

4.4.5 Does your system allow the creation of an order record without producing a purchase order?

4.4.6 Does your system allow for the override of an alert when a duplicate order is intended?

4.4.7 Does your system permit re-use of data in the creation of new orders; to make a copy of multi-item purchase order with the option to change the purchase order number or vendor; to use the previous year's order as a basis for a renewal order with option to change the year, fund or vendor?

4.4.8 Does your system permit the use of an existing order number when creating a new order?

4.4.9 Does your system permit the library to designate individual acquisition data elements as mandatory or optional?

4.4.10 Is your system's new module fully integrated with all other relevant modules?

4.5 Printing

4.5.1 Does your system allow for the printing of purchase orders locally, at the desktop?

4.5.2 Does your system provide for the printing of purchase orders as necessary?

4.6 Functionality

4.6.1 Does your system automatically assign vendors according to Library specified parameters?

4.6.2 Does your system provide direct access to a desired activity such as invoicing, without having to go through other screens or activities first?

4.6.3 Does your system provide easy, efficient error correction which automatically updates all relevant records and must be available online and in global batch mode?

4.6.4 Does the system have the capability to automatically detect potentially duplicate orders in the acquisitions module and in the online catalog to alert the library staff member?

4.6.5 Does your system allow for orders to be generated without committing funds (i.e., gifts)?

4.6.6 Does your system provide the ability to create recommendations for acquisitions to be forwarded to acquisitions for order placement?

4.6.7 Does your system permit creation of dummy or temporary records?

4.6.8 Does your system allow for the order of multiple items on a single purchase order or limit purchase orders to single items?

4.6.9 Does your system provide a tracking system that monitors the whereabouts of orders from placement to receipt and through processing?

4.6.10 Does your system provide a training module to all execution of all processing functions without updating real data?

4.6.11 Does your system allow a library to prepay acquisitions?

4.6.12 Does your system have a maximum size in bytes for the order records, including all possible fields?

5 Receiving:

5.1 Claiming/Canceling

5.1.1 Does your system allow the Library to specify the wording of the claim letters?

5.1.2 Does your system allow variable claiming intervals based on unit defined parameters?

5.1.3 Does your system allow for multiple items per claim?

5.1.4 Does your system automatically cease automatic claim production for any acquisition for which receipt in full has occurred?

5.1.5 Does your system have an automatic cancellation feature for any acquisition action for which the library-specified number of claims has been sent?

5.1.6 Does your system provide a listing of orders that were automatically canceled or cancellation notices that can be sent to suppliers?

5.1.7 Does your system allow one to generate claims (paper and electronic) letters to vendors/librarians?

5.1.8 Does your system allow claim schedules to be adjusted to data provided by reports?

5.1.9 Does your system allow actionable items to be claimed to be detected and flagged according to Library specified parameters?

5.1.10 Does your system allow a claim to be initiated on demand?

5.1.11 Does your system track claim history?

5.1.12 Does your system allow reason for cancellation to be stored?

5.2 Flexibility

5.2.1 Does your system provide the ability to edit the vendor, the fund, the quantity ordered and the unit price at the time of receipt?

5.2.2 Does your system allow the option for a local library to produce a customized processing slip automatically when an item is received?

5.2.3 Does your system allow that receipt/payment can be handled in one transaction, if so desired?

5.2.4 Does your system allow for the receipt of an item without an invoice (i.e., gifts and depository items)?

5.2.5 Does your system allow for the receipt of an item before the invoice is received?

- 5.2.6 Does your system have the ability to create note or receipt lines without going home first?
- 5.2.7 Does your system have the ability to get to the end of the OPR without having to go through every page?
- 5.2.8 Does your system have the ability to go automatically to the last receipt line of the OPR?
- 5.2.9 Does your system allow for multiple ship to/bill to addresses for institutions with multiple library locations?
- 5.2.10 Does your system allow for multiple status codes? Examples include active, inactive, suspension, cessation, cancellation, sample, reroute, discard, exchange?
- 5.2.11 Does your system have an extensive notes facility available for documenting problems and exceptions, i.e., returns, licensed material, etc.?
- 5.2.12 Does your system have the ability to move check-in, holdings and order records from one bibliographic record to another record?
- 5.3 Receipt Notices
 - 5.3.1 Does your system have the ability to notify a patron when an item on order or in process is received and ready to use?
 - 5.3.2 Does your system allow for the generation of notices for recommenders when material is received?
 - 5.3.3 Does your system allow for the communication of receipt notices to be sent in either print or electronic format?
- 5.4 Reports/Archiving
 - 5.4.1 Does your system allow reports to be produced for items requiring further processing?
 - 5.4.2 Does your system allow status reports to be maintained and acted upon?
 - 5.4.3 Does your system allow status reports to be received electronically from vendors and publishers, as well as more traditionally?
 - 5.4.4 Does your system allow for the archiving of titles canceled, completed and deleted?
- 5.5 Functionality
 - 5.5.1 Does your system automatically record the identity of the workstation and/or staff member responsible for the acquisition action, i.e., order, receipt, payment?
 - 5.5.2 Does your system allow barcode numbers to be assigned to items as they are received or checked-in?
 - 5.5.3 Does your system allow multiple access points to both firm order and serials control records?
 - 5.5.4 Does your system have the ability to pull up the OPR even if someone else has it up on their screen?

- 5.5.5 Does your system allow scrolling back only one page while using or viewing the OPR line index?
- 5.5.6 Does your system allow one to pull up the previous screen or record?
- 5.5.7 Does your system allow easy receipt of multiple copies?
- 5.5.8 Does your system allow for having the holding destination right above piece check in on the OPR?
- 5.5.9 Does your system allow for having the OPR attached to the order (full screen)?
- 5.5.10 Does your system allow partial, supplemental, standing order and approval receipts?
- 5.5.11 Does your system allow for the receipt of replacement parts? i.e., single microfiche sheets
- 5.5.12 Does your system allow the format of the item received to be recorded?
- 5.5.13 Does your system allow receipt/payment to be handled in one transaction, if desired?
- 5.5.14 Does your system automatically supply the date received?

6 History:

- 6.1 Does your system allow for order records, fund records and acquisitions information to be retained? Includes active titles, inactive titles, complete and cataloged records, canceled orders
- 6.2 Does your system allow for the history file to be purged subject to auditor requirements?

7 Reports

7.1 Financial Reports

- 7.1.1 Does your system provide financial reports that include the following?
 - fund status
 - encumbrances (daily, monthly, yearly)
 - invoices paid (daily, monthly, yearly)
 - audit trail data

7.2 Management Reports

- 7.2.1 Does your system provide management reports, including the following?
 - outstanding orders, by fund and vendor
 - title listings by fund, subject, location, format, order type
 - claims
 - outstanding claims
 - titles canceled
 - items received but not paid; paid but not received

7.3 Statistical Reports

- 7.3.1 Does your system provide statistical reports, including?
- number of titles purchased, by fund, subject, location, format, order type
 - number of claims generated
 - number of cancellations
 - number of invoices processed

7.4 Vendor Reports

- 7.4.1 Does your system provide vendor performance reports and statistics, including?
- expenditures by vendor
 - average delivery time
 - number of orders
 - average discounts
 - fill rate

7.5 Flexibility

- 7.5.1 Does your system allow a library staff member (not a programmer) to create customized reports on demand?
- 7.5.2 Does your system allow a library staff member (not a programmer) to easily modify the text of standard wording on purchase orders, claims, cancellation notices, reports, memos, and other output?

7.6 Functionality

- 7.6.1 Does your system permit a user to specify output destinations, including?
- workstation screen
 - local printer
 - E-mail
- 7.6.2 Does your system provide for the export of order data to customer spreadsheet programs? If so, which programs are supported?
- 7.6.3 Does your system support a variety of printing options, including but not limited to?
- preprinted forms
 - generated forms
 - notices (i.e., claims, cancellations, memos)
- 7.6.4 Does your system provide for both real-time and batch reporting?

8 Invoicing/Payments:

8.1 Invoice Record Structure

- 8.1.1 Does your system's invoice record structure include the following fields?
- local system record identifier/number

- vendor provided data elements that link to vendor order or title number data
- vendor and vendor addresses
- vendor invoice number
- vendor invoice date
- local system invoice creation date
- local system invoice approval date
- appropriate source or status codes (i.e., approval, memberships, blanket order, gifts, exchange, internal account codes, fund code classifications)
- currency code (plus online conversion capability)
- one or more note fields

- 8.1.2 Does your system provide an invoice record template? Can any fields be set as default so that the same data will carry to the next invoice record being created in the same work session?
- 8.2 Flexibility
- 8.2.1 Does your system allow a Library to search invoice records by vendor name, vendor code and invoice number?
- 8.2.2 Does your system allow an approved invoice to be unapproved?
- 8.2.3 Does your system allow a staff member to key invoice data directly into the online invoice record?
- 8.3 Functionality
- 8.3.1 Does your system interface with standard library book and subscription vendor databases in terms of electronic invoicing and payment functions?
- 8.3.2 Does your system provide the ability to apply multiple credit memos to an invoice or a single credit memo to multiple invoices?
- 8.3.3 Does your system provide mechanisms to ensure correct entry of invoice and invoice line item data (i.e., warning that another invoice from the supplier with the same supplier invoice number exists on the system, checking that line items are associated with the correct orders by checking whether the order supplier and the invoice supplier are the same, checking to see whether the purchase has already been paid in full, checking that the sum of the line items equals the total amount of the invoice?
- 8.3.4 Will your system allow for our existing fiscal system and institutional data, such as fund codes and payment/invoice data for current and previous fiscal years to be easily migrated?
- 8.3.5 Does your system include monographic and serial functionalities within the same system module?
- 8.3.6 Can your system provide for storage and interactive retrieval/editing of several million orders, vendors, invoice and related records in total across all ten SUS institutions, with several fiscal years' worth of stored data and each institution having its own local data?
- 8.3.7 Does your system provide internal security to each institution's own order and fiscal data within the whole system, as well as permit read-only access to some or all kinds of data to other institutions within the system? Is such security maintained solely by the central system administrator, or can the local institution set any parameters?

- 8.3.8 Does your system allow a user to create and post to an invoice record that links only to fund codes rather than to specific bibliographic/order records?
- 8.3.9 Does your system allow data posted to an invoice record to be edited from the order record as well as within the invoice record, with appropriate updating to the fund code records?
- 8.3.10 Does your system allow data posted to an invoice record to be edited after the invoice record has been approved, with appropriate updating of order and fund code records?
- 8.3.11 Does your system provide the ability to calculate and post discounts, surcharges, credits, shipping charges across all or some individual lines of the invoice?
- 8.3.12 Does your system have a maximum size in bytes for the invoice record, including all possible fields?
- 8.3.13 Does your system allow a staff member to key invoice data via the item's online order record?
- 8.3.14 Does your system provide both real and system generated invoice numbers to be indexed, so that the staff member can retrieve the invoice data as posted?
- 8.3.15 Does your system provide both real-time and retrospective invoice/payment reports?
- 8.3.16 Does your system, allow for invoicing to include the ability to support more than 100 invoices per order record?