State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER	PAGE
LIB07017	1

ADDRESS CORRESPONDENCE TO ATTENTION OF:
RON PRICE
304-558-0492

VENDOR:
RFQ COPY
TYPE NAME/ADDRESS HERE

SHIP TO:
LIBRARY COMMISSION

CULTURAL CENTER
1900 KANAWHA BOULEVARD, EAST
CHARLESTON, WV
25305-0620 558-2041

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
07/19/2006				

BID OPENING DATE: 08/22/2006 BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
0001	1	LS		920-49		

INTEGRATED LIBRARY SYSTEM

INTEGRATED LIBRARY SYSTEM

TO REPLACE THE CURRENT INTEGRATED LIBRARY SYSTEM (ILS) USED AT THE WEST VIRGINIA LIBRARY COMMISSION AND THE WEST VIRGINIA STAT ARCHIVES AND HISTORY LIBRARY, A SECTION OF THE DIVISION OF CULTURE AND HISTORY. THE CURRENT SYSTEM HAS BEEN IN PLACE FOR ALMOST 30 YEARS AND NO LONGER MEETS THE NEEDS FOR THE TWO LIBRARIES TO PROVIDE SOPHISTICATED INFORMATION SERVICES TO STATE GOVERNMENT AND THE GENERAL PUBLIC. THE CURRENT SYSTEM DOES NOT PERMIT FULL USE OF CURRENT INFORMATION TECHNOLOGY AND LIMITS THE CAPABILITIES AND EFFICENCY OF THE LIBRARIES. ADDITIONAL SPECIFICATIONS ARE ATTACHED.

THE SPECFICATIONS ARE AVAILABLE TO REGISTERED VENDORS AT WWW.STATE.WV.US/ADMIN/PURCHASE/NEWBUL.HTM

VENDOR PREFERENCE CERTIFICATE

CERTIFICATION AND APPLICATION* IS HEREBY MADE FOR PREFERENCE IN ACCORDANCE WITH WEST VIRGINIA CODE, 5A-3-37 (DOES NOT APPLY TO CONSTRUCTION CONTRACTS).

A. APPLICATION IS MADE FOR 2.5% PREFERENCE FOR THE REASON CHECKED:

( ) BIDDER IS AN INDIVIDUAL RESIDENT VENDOR AND HAS RESIDED CONTINUOUSLY IN WEST VIRGINIA FOR FOUR (4) YEARS IMMEDIATELY PRECEDING THE DATE OF THIS

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE

TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

GENERAL TERMS & CONDITIONS
REQUEST FOR QUOTATION (RFQ) AND REQUEST FOR PROPOSAL (RFP)

1. Awards will be made in the best interest of the State of West Virginia.

2. The State may accept or reject in part, or in whole, any bid.

3. All quotations are governed by the ***West Virginia Code*** and the ***Legislative Rules*** of the Purchasing Division.

4. Prior to any award, the apparent successful vendor must be properly registered with the Purchasing Division and have paid the required $125.00 registration fee.

5. All services performed or goods delivered under State Purchase Orders/Contracts are to be continued for the term of the Purchase Order/Contract, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise available for these services or goods, this Purchase Order/Contract becomes void and of no effect after June 30.

6. Payment may only be made after the delivery and acceptance of goods or services.

7. Interest may be paid for late payment in accordance with the ***West Virginia Code.***

8. Vendor preference will be granted upon written request in accordance with the ***West Virginia Code.***

9. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.

10. The Director of Purchasing may cancel any Purchase Order/Contract upon 30 days written notice to the seller.

11. The laws of the State of West Virginia and the ***Legislative Rules*** of the Purchasing Division shall govern all rights and duties under the Contract, including without limitation the validity of this Purchase Order/Contract.

12. Any reference to automatic renewal is hereby deleted. The Contract may be renewed only upon mutual written agreement of the parties.

13. **BANKRUPTCY:** In the event the vendor/contractor files for bankruptcy protection, this contract is automatically null and void, and is terminated without further order.

14. **HIPAA Business Associate Addendum -** The West Viginia State Government HIPAA Business Associate Addendum (BAA), approved by the Attorney General, and available online at the Purchasing Division's web site (**http://www.state.wv.us/admin/purchase/vrc/hipaa.htm**) is hereby made part of the agreement. Provided that, the Agency meets the definition of a Covered Entity (45 CFR §160.103) and will be disclosing Protected Health Information (45 CFR §160.103) to the vendor.

INSTRUCTIONS TO BIDDERS

1. Use the quotation forms provided by the Purchasing Division.

2. **SPECIFICATIONS:** Items offered must be in compliance with the specifications. Any deviation from the specifications must be clearly indicated by the bidder. Alternates offered by the bidder as **EQUAL** to the specifications must be clearly defined. A bidder offering an alternate should attach complete specifications and literature to the bid. The Purchasing Division may waive minor deviations to specifications.

3. Complete all sections of the quotation form.

4. Unit prices shall prevail in cases of discrepancy.

5. All quotations are considered F.O.B. destination unless alternate shipping terms are clearly identified in the quotation.

6. **BID SUBMISSION:** All quotations must be delivered by the bidder to the office listed below prior to the date and time of the bid opening. Failure of the bidder to deliver the quotations on time will result in bid disqualifications.

SIGNED BID TO:

Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER	PAGE
LIB07017	2

ADDRESS CORRESPONDENCE TO ATTENTION OF:
RON PRICE
304-558-0492

VENDOR
RFQ COPY
TYPE NAME/ADDRESS HERE

SHIP TO
LIBRARY COMMISSION

CULTURAL CENTER
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CERTIFICATION; OR

( ) BIDDER IS A PARTNERSHIP, ASSOCIATION OR CORPORATION RESIDENT VENDOR AND HAS MAINTAINED ITS HEADQUARTERS OR PRINCIPAL PLACE OF BUSINESS CONTINUOUSLY IN WEST VIRGINIA FOR FOUR (4) YEARS IMMEDIATELY PRECEDING THE DATE OF THIS CERTIFICATION; OR 80% OF THE OWNERSHIP INTEREST OF BIDDER IS HELD BY ANOTHER INDIVIDUAL, PARTNERSHIP, ASSOCIATION OR CORPORATION RESIDENT VENDOR WHO HAS MAINTAINED ITS HEADQUARTERS OR PRINCIPAL PLACE OF BUSINESS CONTINUOUSLY IN WEST VIRGINIA FOR FOUR (4) YEARS IMMEDIATELY PRECEDING THE DATE OF THIS CERTIFICATION; OR

( ) BIDDER IS A CORPORATION NONRESIDENT VENDOR WHICH HAS AN AFFILIATE OR SUBSIDIARY WHICH EMPLOYS A MINIMUM OF ONE HUNDRED STATE RESIDENTS AND WHICH HAS MAINTAINED ITS HEADQUARTERS OR PRINCIPAL PLACE OF BUSINESS WITHIN WEST VIRGINIA CONTINUOUSLY FOR THE FOUR (4) YEARS IMMEDIATELY PRECEDING THE DATE OF THIS CERTIFICATION.

B. APPLICATION IS MADE FOR 2.5% PREFERENCE FOR THE REASON CHECKED:

( ) BIDDER IS A RESIDENT VENDOR WHO CERTIFIES THAT, DURING THE LIFE OF THE CONTRACT, ON AVERAGE AT LEAST 75% OF THE EMPLOYEES WORKING ON THE PROJECT BEING BID ARE RESIDENTS OF WEST VIRGINIA WHO HAVE RESIDED IN THE STATE CONTINUOUSLY FOR THE TWO YEARS IMMEDIATELY PRECEDING SUBMISSION OF THIS BID;
OR
( ) BIDDER IS A NONRESIDENT VENDOR EMPLOYING A MINIMUM OF ONE HUNDRED STATE RESIDENTS OR IS A NONRESIDENT VENDOR WITH AN AFFILIATE OR SUBSIDIARY WHICH MAINTAINS ITS HEADQUARTERS OR PRINCIPAL PLACE

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE

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Purchasing Division
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OF BUSINESS WITHIN WEST VIRGINIA EMPLOYING A MINIMUM OF ONE HUNDRED STATE RESIDENTS WHO CERTIFIES THAT, DURING THE LIFE OF THE CONTRACT, ON AVERAGE AT LEAST 75% OF THE EMPLOYEES OR BIDDERS' AFFILIATE'S OR SUBSIDIARY'S EMPLOYEES ARE RESIDENTS OF WEST VIRGINIA WHO HAVE RESIDED IN THE STATE CONTINUOUSLY FOR THE TWO YEARS IMMEDIATELY PRECEDING SUBMISSION OF THIS BID.

BIDDER UNDERSTANDS IF THE SECRETARY OF TAX & REVENUE DETERMINES THAT A BIDDER RECEIVING PREFERENCE HAS FAILED TO CONTINUE TO MEET THE REQUIREMENTS FOR SUCH PREFERENCE, THE SECRETARY MAY ORDER THE DIRECTOR OF PURCHASING TO: (A) RESCIND THE CONTRACT OR PURCHASE ORDER ISSUED; OR (B) ASSESS A PENALTY AGAINST SUCH BIDDER IN AN AMOUNT NOT TO EXCEED 5% OF THE BID AMOUNT AND THAT SUCH PENALTY WILL BE PAID TO THE CONTRACTING AGENCY OR DEDUCTED FROM ANY UNPAID BALANCE ON THE CONTRACT OR PURCHASE ORDER.

BY SUBMISSION OF THIS CERTIFICATE, BIDDER AGREES TO DISCLOSE ANY REASONABLY REQUESTED INFORMATION TO THE PURCHASING DIVISION AND AUTHORIZES THE DEPARTMENT OF TAX AND REVENUE TO DISCLOSE TO THE DIRECTOR OF PURCHASING APPROPRIATE INFORMATION VERIFYING THAT BIDDER HAS PAID THE REQUIRED BUSINESS TAXES, PROVIDED THAT SUCH INFORMATION DOES NOT CONTAIN THE AMOUNTS OF TAXES PAID NOR ANY OTHER INFORMATION DEEMED BY THE TAX COMMISSIONER TO BE CONFIDENTIAL.

UNDER PENALTY OF LAW FOR FALSE SWEARING (WEST VIRGINIA CODE 61-5-3), BIDDER HEREBY CERTIFIES THAT THIS CERTIFICATE IS TRUE AND ACCURATE IN ALL RESPECTS; AND THAT IF A CONTRACT IS ISSUED TO BIDDER AND IF ANYTHING CONTAINED WITHIN THIS CERTIFICATE CHANGES DURING THE TERM OF THE CONTRACT, BIDDER WILL NOTIFY THE PURCHASING DIVISION IN WRITING IMMEDIATELY.

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE

TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

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State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
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Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER	PAGE
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VENDOR:
RFQ COPY
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LIBRARY COMMISSION

CULTURAL CENTER
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25305-0620 558-2041

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07/19/2006				

BID OPENING DATE: 08/22/2006 BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT

BIDDER: ------------------------------

DATE: ------------------------------

SIGNED: ------------------------------

TITLE: ------------------------------

* CHECK ANY COMBINATION OF PREFERENCE CONSIDERATION(S) IN EITHER "A" OR "B", OR BOTH "A" AND "B" WHICH YOU ARE ENTITLED TO RECEIVE. YOU MAY REQUEST UP TO THE MAXIMUM 5% PREFERENCE FOR BOTH "A" AND "B".
(REV. 12/00)

NOTICE

A SIGNED BID PLUS SIX CONVENIENCE COPIES MUST BE SUBMITTED TO:

DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
BUILDING 15
2019 WASHINGTON STREET, EAST
CHARLESTON, WV 25305-0130

THE BID SHOULD CONTAIN THIS INFORMATION ON THE FACE OF THE ENVELOPE OR THE BID MAY NOT BE CONSIDERED:

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE

TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
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Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER	PAGE
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VENDOR

RFQ COPY
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CULTURAL CENTER
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LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT

SEALED BID

BUYER: 41

RFQ. NO.: LIB07017

BID OPENING DATE AND TIME

PLEASE PROVIDE A FAX NUMBER IN CASE IT IS NECESSARY
TO CONTACT YOU REGARDING YOUR BID:

CONTACT PERSON (PLEASE PRINT CLEARLY):

****** THIS IS THE END OF RFQ LIB07017 ****** TOTAL: ______________

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE		TELEPHONE	DATE
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE	

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

West Virginia Library Commission
Integrated Library System
Request for Proposal
Proposal # LIB07017

Bid Opening:

West Virginia Library Commission
1900 Kanawha Blvd. E.
Cultural Center
Charleston, WV 25305-0620

1 Section 1 GENERAL INFORMATION

1.1 Purpose:
The Acquisition and Contract Administration Section of the Purchasing Division, hereinafter referred to as "State," is soliciting proposals for the West Virginia Library Commission, hereinafter referred to as "Agency," to provide a new integrated library system replace their current system.

1.2 Project:
The purpose of this Request for Proposal (RFP) is to evaluate and select a vendor to replace the current integrated library system (ILS) used at the Agency. The Agency is the leader for providing and promoting effective and efficient library services to the state's public libraries and citizens. The goal of this project is to choose an ILS that best meets the Agency's needs for current services and to allow the Agency to provide new services.

1.3 RFP Format:
This RFP has four parts. "Part 1" contains information/terms and conditions, sections, "Part 2" describes the background and working environment of the project, "Part 3" is a statement of the specifications for the services requested pursuant to this RFP, contractual requirements, and special terms/conditions, and "Part 4" explains the required format of the Bidder's response to the RFP, the evaluation criteria the State will use in evaluating the proposals received, and how the evaluation will be conducted.

1.4 Inquiries:
Additional information inquiries regarding specifications of this RFP must be submitted in writing to the State Buyer with the exception of questions regarding proposal submission, which may be oral. The deadline for written inquiries is identified in the Schedule of Events, Section 1.16. All inquiries of specification clarification must be addressed to:

Ron Price, Senior Buyer
Purchasing Division
2019 Washington Street, East
P.O. Box 50130
Charleston, WV 25305-0130
Telephone: (304) 558-0492
Fax: (304) 558-4115
E-mail: rprice@wvadmin.gov

Absolutely NO contact shall be made by the vendor with any member of the evaluation committee. Violation may result in rejection of the bid. The State Buyer named above is the sole contact for any and all inquiries after this RFP has been released.

1.5 Vendor Registration:
Vendors participating in this process should complete and file a ***Vendor Registration and Disclosure Statement*** (Form WV-1) and remit the registration fee. Vendor is not required to be a registered vendor in order to submit a proposal, but the ***successful bidder must*** register and pay the fee prior to the award of an actual purchase order/contract.

1.6 Oral Statements and Commitments:
Vendor must clearly understand that any verbal representations made or assumed to be made during any oral discussions held between Vendor's representatives and any State personnel is **not** binding. Only the information issued in writing and added to the Request for Proposal

specifications file by an official written addendum are binding.

1.7 **Economy of Preparation:**
Proposals should be prepared simply and economically, providing a straightforward, concise description of Vendor's abilities to satisfy the requirements of the RFP. Emphasis should be placed on completeness and clarity of content.

1.8 **Labeling of RFP Sections:**
The sections within this RFP contain instructions governing how the Vendor's proposal is to be arranged, submitted and to identify the material to be included therein.

1.8.1 Mandatory Requirements.
The mandatory sections included in section 3 and 4 require a response, and they describe the minimum requirements requested in this RFP. Any specification or statement containing the word "must", "shall, or "will" are mandatory. The vendor is required to meet the mandatory specifications in order to be eligible for consideration and to continue in the evaluation process. A simple "yes" or "no" response to these sections is not adequate. Failure to meet mandatory items shall result in disqualification of the vendor's proposal and the evaluation process terminated for that vendor. Decisions regarding compliance with the intent of any mandatory specification shall be at the sole discretion of the State.

1.8.2 Contract Terms and Conditions:
This Request for Proposals contains all the contractual terms and conditions under which the State of West Virginia will enter into a contract.

1.8.3 Informational Sections:
All information specifications do not require a response from the vendor. They are intended to aid the vendor in structuring an effective proposal capable of meeting the needs of the issuing Agency.

1.9 **Proposal Format and Submission:**

1.9.1 Vendors must complete a response to all mandatory specifications in order to be considered. Each proposal should be formatted as per the outline in Part 4 of this RFP. No other arrangement or distribution of the proposal information may be made by the bidder. Failure on the part of the bidder to respond to specific requirements detailed in the RFP may be basis for disqualification of the proposal. The State reserves the right to waive any informality in the proposal format and minor irregularities.

1.9.2 State law requires that the original technical and cost proposal be submitted to the Purchasing Division. All proposals must be submitted to the Purchasing Division **prior** to the date and time stipulated in the RFP as the opening date. All bids will be date and time stamped to verify official time and date of receipt.

1.9.3 Vendors mailing proposals should allow sufficient time for mail delivery to ensure timely arrival. In accordance with State Code 5A-3-11, the Purchasing Division cannot waive or excuse late receipt of a proposal which is delayed and late for any reason. Any proposal received after the bid opening date and time will be immediately disqualified in accordance with State law and the administrative rules and regulations.

Submit:
One original technical and cost plus (6) convenience copies in separately sealed envelopes to:
Purchasing Division
2019 Washington Street, East
P.O. Box 50130
Charleston, WV 25305-0130

The outside of the envelope or package(s) should be clearly marked:

Buyer:	Ron Price, Senior Buyer
Req #:	LIB07017
Opening Date:	08-22-06
Opening Time:	1:30 P. M.

1.9.4 Best Value Purchasing Standard Format
All Requests for Proposals shall follow the standard format defined by the Purchasing Division. This format addresses required areas and enables the Agency to modify the background and scope of work to meet its needs.

1.9.4.1 Evaluation Criteria: All evaluation criteria must be clearly defined in the specifications section and based on a 100 point total score. Based on a 100 point total, cost shall represent a minimum of 30 of the 100 total points in the criteria.

1.9.4.2 Proposal Format and Content: Proposals shall be requested and received in two distinct parts: Technical and Cost. The cost portion shall be sealed in a separate envelope and will not be opened initially.

1.9.4.3 Technical Bid Opening: The Purchasing Division will open only the technical proposals on the date and time specified in the Request for Proposal. The Purchasing Division representative will read aloud the names of those who responded to the solicitation. The Purchasing Division Buyer will confirm that the original packages contain a separately sealed cost proposal prior to providing the courtesy copies to the Agency to begin the evaluation process.

1.9.4.4 Technical Evaluation: The pre-selected, approved evaluation committee will review the technical proposals, deduct appropriate points for deficiencies, and make a final written consensus recommendation to the Purchasing Division Buyer. If the Buyer approves the committee's recommendation, the technical evaluation will be forwarded to an internal review committee within the Purchasing Division.

1.9.4.5 Cost Bid Opening: Upon approval of the technical evaluation from the internal review committee, the Purchasing Division shall schedule a time and date to publicly open and read aloud the cost proposals. The Agency and the vendors shall be notified of this date.

1.9.4.6 Cost Evaluation and Resident Vendor Preference: The evaluation committee will review the cost proposals, assign appropriate points and make a final consensus recommendation to the Purchasing Division. In accordance with West Virginia State Code §5A-3-37, the Purchasing Division will make the determination of the Resident Vendor Preference, if applicable. Resident Vendor Preference provides an opportunity for qualifying vendors to request (at the time of bid) preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the West Virginia State Code. A certificate of application is used to request this preference. Generally, a West Virginia vendor may be eligible for two 2.5% preferences in the evaluation process.

1.9.4.7 Contract Approval and Award: After the cost proposals have been opened, the evaluation committee completes its review and prepares the final evaluation making its recommendation for contract award based on the highest scoring vendor. The final evaluation is submitted to the Purchasing Division buyer. Once approved by the buyer, the final evaluation must be reviewed and approved by the Purchasing Division internal review committee. The contract is prepared and signed in the Purchasing Division, forwarded to the Attorney General's Office for approval as to form, encumbered and mailed to the appropriate parties.

1.10 **Rejection of Proposals:** The State shall select the best value solution according to the evaluation criteria. However, the State reserves the right to accept or reject any or all proposals, in part or in whole at its discretion. The State reserves the right to withdraw this RFP at any time and for any reason. Submission of, or receipt by the State of proposals confers no rights upon the bidder nor obligates the State in any manner.

A contract based on this RFP and the Vendor's proposal, may or may not be awarded. Any contract resulting in an award from this RFP is not valid until properly approved and executed by the Purchasing Division and approved as to form by the Attorney General.

1.11 **Incurring Costs**: The State and any of its employees or officers shall not be held liable for any expenses incurred by any bidder responding to this RFP for expenses to prepare, deliver the proposal, or to attend any mandatory prebid meeting or oral presentations.

1.12 **Addenda:** If it becomes necessary to revise any part of this RFP, an official written addendum will be issued by the State to all bidders of record.

1.13 **Independent Price Determination:** A proposal will not be considered for award if the price in the proposal was not arrived at independently without collusion, consultation, communication, or agreement as to any matter relating to prices with any competitor unless the proposal is submitted as a joint venture.

1.14 **Price Quotations:** The price(s) quoted in the bidder's proposal will not be subject to any increase and will be considered firm for the life of the contract unless specific provisions have been provided for adjustment in the original contract.

1.15 **Public Record:**

1.15.1 Submissions are Public Record.

All documents submitted to the State Purchasing Division related to purchase orders/contracts are considered public records. All bids, proposals, or offers submitted by bidders shall become public information and are available for inspection during normal official business hours in the Purchasing Division Records and Distribution center after the award is complete and documents have been microfilmed.

1.15.2 Written Release of Information.

All public information may be released with or without a Freedom of Information request, however, only a written request will be acted upon with duplications fees paid in advance. Duplication fees shall apply to all requests for copies of any document. Currently the fees are $0.50/page, or a minimum of $10.00 per request which ever is greater.

1.15.3 Risk of Disclosure.

The only exemptions to disclosure of information are listed in West Virginia Code §29B-1-4. Primarily, only trade secrets as submitted by a bidder are the only exemption to public disclosure. The submission of any information to the State by a vendor puts the risk of disclosure on the vendor. The State will make a reasonable effort not to disclose information that is within the guidelines of §29B-1-4 and is properly labeled "proprietary information not for public disclosure". The State does not guarantee non-disclosure of any information to the public.

1.16 **Schedule of Events:** (Dates to be set upon mutually agreed upon (TBA) after submission and approval of the RFP by Purchasing. Events not required may be deleted.).

Release of the RFP........ ....07/20.., 2006
Vendor's Written Questions Submission Deadline 08/03.., 2006
Response to Questions...................................08/09.., 2006
Addendum Issued...08/09.., 2006
Bid Opening Date ....08/22.., 2006

1.17 **Mandatory Prebid Conference:**
The Agency does not elect to have a Prebid Conference.

1.18 Affidavit:
West Virginia State Code §5A-3-10a requires that all bidders submit an affidavit regarding any debt owed to the State. The affidavit must be signed and submitted prior to award. It is preferred that the affidavit be submitted with the proposal.

1.19 **General Terms and Conditions:**

By signing and submitting their proposal, the successful Vendor agrees to be bound by all the terms contained in this RFP.

1.19.1 *Conflict of Interest*:
Vendor affirms that it, its officers or members or employees presently have no interest and shall not acquire any interest, direct or indirect which would conflict or compromise in any manner or degree with the performance or its services hereunder. The Vendor further covenants that in the performance of the contract, the Vendor shall periodically inquire of its officers, members and employees concerning such interests. Any such interests discovered shall be promptly presented in detail to the Agency.

1.19.2 *Prohibition Against Gratuities*:
Vendor warrants that it has not employed any company or person other than a bona fide employee working solely for the vendor or a company regularly employed as its marketing agent to solicit or secure the contract and that it has not paid or agreed to pay any company or person any fee, commission, percentage, brokerage fee, gifts or any other consideration contingent upon or resulting from the award of the contract.

For breach or violation of this warranty, the State shall have the right to annul this contract without liability at its discretion, and/or to pursue any other remedies available under this contract or by law.

1.19.3 *Certifications Related to Lobbying:*
Vendor certifies that no federal appropriated funds have been paid or will be paid, by or on behalf of the company or an employee thereof, to any person for purposes of influencing or attempting to influence an officer or employee of any Federal entity, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal,

amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Vendor shall complete and submit a disclosure form to report the lobbying.

Vendor agrees that this language of certification shall be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this contract was made and entered into.

1.19.4 *Vendor Relationship:*
The relationship of the Vendor to the State shall be that of an independent contractor and no principal-agent relationship or employer-employee relationship is contemplated or created by the parties to this contract. The Vendor as an independent contractor is solely liable for the acts and omissions of its employees and agents.

Vendor shall be responsible for selecting, supervising and compensating any and all individuals employed pursuant to the terms of this RFP and resulting contract. Neither the Vendor nor any employees or contractors of the vendor shall be deemed to be employees of the State for any purposes whatsoever.

Vendor shall be exclusively responsible for payment of employees and contractors for all wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension or other deferred compensation plans, including but not limited to Workers' Compensation and Social Security obligations, and licensing fees, etc. and the filing of all necessary documents, forms and returns pertinent to all of the foregoing.

Vendor shall hold harmless the State, and shall provide the State and Agency with a defense against any and all claims including but not limited to the foregoing payments, withholdings, contributions, taxes, social security taxes and employer income tax returns.

The Vendor shall not assign, convey, transfer or delegate any of its responsibilities and obligations under this contract to any person, corporation, partnership, association or entity without expressed written consent of the Agency.

1.19.5 *Indemnification:*
The Vendor agrees to indemnify, defend and hold harmless the State and the Agency, their officers, and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person or firm performing or supplying services, materials or supplies in connection with the performance of the contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the Vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use or disposition of any data used under the contract in a manner not authorized by the contract, or by Federal or State statutes or regulations; (3) Any failure of the Vendor, its officers, employees or subcontractors to observe State and Federal laws, including but not limited to labor and wage laws.

1.19.6 *Contract Provisions:*

After the successful Vendor is selected, a formal contract document will be executed between the State and the Vendor. In addition, the RFP and the Vendor's response will be included as part of the contract by reference. The order of precedence is the contract, the RFP and the Vendor's proposal in response to the RFP.

1.19.7 *Governing Law:*
This contract shall be governed by the laws of the State of West Virginia. The Vendor further agrees to comply with the Civil Rights Act of 1964 and all other applicable laws (Federal, State or Local Government) regulations.

1.19.8 *Compliance with Laws and Regulations:*
The vendor shall procure all necessary permits and licenses to comply with all applicable laws, Federal, State or municipal, along with all regulations, and ordinances of any regulating body.

The Vendor shall pay any applicable sales, use, or personal property taxes arising out of this contract and the transactions contemplated thereby. Any other taxes levied upon this contract, the transaction, or the equipment, or services delivered pursuant here to shall be borne by the contractor. It is clearly understood that the State of West Virginia is exempt from any taxes regarding performance of the scope of work of this contract.

1.19.9 *Subcontracts/Joint Ventures:*
The Vendor is solely responsible for all work performed under the contract and shall assume prime contractor responsibility for all services offered and products to be delivered under the terms of this contract. The State will consider the Vendor to be the sole point of contact with regard to all contractual matters. The Vendor may, with the prior written consent of the State, enter into written subcontracts for performance of work under this contract; however, the vendor is totally responsible for payment of all subcontractors.

1.19.10 *Term of Contract & Renewals:*
This contract will be effective (date set upon award) and shall extend for the period of one (1) year, at which time the contract may, upon mutual consent, be renewed. Such renewals are for a period of up to one (1) year, with a maximum of two (2) one year renewals, or until such reasonable time thereafter as is necessary to obtain a new contract. The "reasonable time" period shall not exceed twelve (12) months. During the "reasonable time" period the vendor may terminate the contract for any reason upon giving the Agency ninety (90) days written notice. Notice by Vendor of intent to terminate will not relieve Vendor of the obligation to continue to provide services pursuant to the terms of the contract.

Any change in Federal or State law, or court actions which constitute binding precedent in West Virginia, and which significantly alters the Vendor's required activities or any change in the availability of funds, shall be viewed as binding and shall warrant good faith renegotiation of the compensation paid to the Vendor by the Agency and of such other provisions of the contract that are affected. If such renegotiation proves unsuccessful, the contract may be terminated by the State upon written notice to the Vendor at least thirty (30) days prior to termination of this contract.

1.19.11 *Non-Appropriation of Funds:*
If the Agency is not allotted funds in any succeeding fiscal year for the continued use of the service covered by this contract by the West Virginia Legislature, the Agency may terminate the contract at the end of the affected current fiscal period without further charge or penalty. The Agency shall give the vendor written notice of such non-allocation of funds as soon as possible after the Agency receives notice. No penalty shall accrue to the Agency in the event this

provision is exercised.

1.19.12 *Contract Termination:*
The State may terminate any contract resulting from this RFP immediately at any time the Vendor fails to carry out its responsibilities or to make substantial progress under the terms of this RFP and resulting contract. The State shall provide the Vendor with advance notice of performance conditions which are endangering the contract's continuation. If after such notice the Vendor fails to remedy the conditions contained in the notice, within the time period contained in the notice, the State shall issue the Vendor an order to cease and desist any and all work immediately. The State shall be obligated only for services rendered and accepted prior to the date of the notice of termination.

The contract may also be terminated upon mutual agreement of the parties with thirty (30) days prior notice.

1.19.13 *Changes:*
If changes to the original contract become necessary, a formal contract change order will be negotiated by the State, the Agency and the Vendor, to address changes to the terms and conditions, costs of work included under the contract. An approved contract change order is defined as one approved by the Purchasing Division and approved as to form by the West Virginia Attorney General's Office, encumbered and placed in the U.S. Mail prior to the effective date of such amendment. An approved contract change order is required whenever the change affects the payment provision and/or the scope of the work. Such changes may be necessitated by new and amended Federal and State regulations and requirements.

As soon as possible after receipt of a written change request from the Agency, but in no event more than thirty (30) days thereafter, the Vendor shall determine if there is an impact on price with the change requested and provide the Agency a written statement to identifying any price impact on the contract or to state that there is no impact. In the event that price will be impacted by the change, the Vendor shall, provide a description of the price increase or decrease involved in implementing the requested change.

NO CHANGE SHALL BE IMPLEMENTED BY THE VENDOR UNTIL SUCH TIME AS THE VENDOR RECEIVES AN APPROVED WRITTEN CHANGE ORDER.

1.19.14 *Invoices, Progress Payments, & Retainage:*
The Vendor shall submit invoices, in arrears, to the Agency at the address on the face of the purchase order labeled "Invoice To" pursuant to the terms of the contract. Progress payments may be made at the option of the Agency on the basis of percentage of work completed if so defined in the final contract. Any provision for progress payments must also include language for a minimum 10% retainage until the final deliverable is accepted.

If progress payments are permitted, Vendor is required to identify points in the work plan at which compensation would be appropriate. Progress reports must be submitted to Agency with the invoice detailing progress completed or any deliverables identified. Payment will be made only upon approval of acceptable progress or deliverables as documented in the Vendor's report. Invoices may not be submitted more than once monthly and State law forbids payment of invoices prior to receipt of services.

1.19.15 *Liquidated Damages:*
According to West Virginia State Code §5A-3-4(8), Vendor agrees that liquidated damages shall be imposed at the rate of $ 75 per day for failure to provide (deliverables, meet miles stones

identified to keep the project on target, or failure to meet specified deadlines) This clause shall in no way be considered exclusive and shall not limit the State or Agency's right to pursue to any other additional remedy to which the State or Agency may have legal cause for action including further damages against the Vendor.

1.19.16 *Record Retention (Access & Confidentiality):*
Vendor shall comply with all applicable Federal and State of West Virginia rules and regulations, and requirements governing the maintenance of documentation to verify any cost of services or commodities rendered under this contract by Vendor. The Vendor shall maintain such records a minimum of five (5) years and make available all records to Agency personnel at Vendor's location during normal business hours upon written request by Agency within 10 days after receipt of the request.

Vendor shall have access to private and confidential data maintained by Agency to the extent required for Vendor to carry out the duties and responsibilities defined in this contract. Vendor agrees to maintain confidentiality and security of the data made available and shall indemnify and hold harmless the State and Agency against any and all claims brought by any party attributed to actions of breech of confidentiality by the Vendor, subcontractors, or individuals permitted access by Vendor.

Part 2 OPERATING ENVIRONMENT

2.1 **Location:**
Agency is located at The Cultural Center on the State Capitol Complex in Charleston, West Virginia.

2.2 Background:
The goal of this endeavor is to select an integrated library system (ILS) that will allow the West Virginia Library Commission and the West Virginia State Archives and History Library, a section of the Division of Culture and History, to develop an all inclusive learning research center, where all catalogs, databases, and other media services are retrievable by all library users through a single interface.

The West Virginia Library Commission is the state agency charged with developing library services to meet the needs of West Virginians. The Reference Library of the West Virginia Library Commission develops and maintains collections to provide services to state government, public libraries, and the public. State government officials and employees who work in the Capitol Complex use the resources and services of the Library Commission for work-related information needs and for leisure activities. Public libraries rely on the resources and services to supplement and enhance local resources. The Reference Library is open to the public during regular business hours. The Reference Library is a Federal Government Documents Depository Library and serves as the State Publications Clearinghouse.

Also located within The Cultural Center at the State Capitol Complex, the West Virginia Archives and History Library is a governmental library with two main purposes: First, as the West Virginia State Archives, to follow a mandate by the Legislature to collect and preserve West Virginia state documents and public records and to collect all things by and about West Virginia and West Virginians; secondly, to provide access and reference services for these collections through the West Virginia Archives and History Library. Users include other governmental agencies, West Virginia and local history researchers, Civil War researchers, students of all ages, and genealogists.

Collections:
For the 2004/2005 fiscal year, The West Virginia Library Commission had a total collection of 112,539 monographs, 331 serial subscriptions, 233,806 microform pieces, 16 databases, and 7,786 audiovisual materials in a variety of formats. Except for the Reference Collection, all of the Commission's collections circulate for a variety of loan periods, which are based on the format of the material.

The Commission's total user count was approximately 3,500, with 241 users added over the year. The total circulation count for the agency was 8,351 items. The Commission lent approximately 800 interlibrary loans and requested 1180 items over the year.

During the same fiscal year, approximately 6,700 items were added to the Commission's collection. The number of items the Commission adds to the collection is estimated to be around 8,700 per year.

For the same fiscal year, the West Virginia State Archives and History Library had a total collection of 67,093 monographs, 350 serial subscriptions, 31,853 microform pieces, subscribed to 12 databases, and contained 7,700 audiovisual materials in a variety of formats. This library also contains a manuscript, cartographic collection, photograph, state government document, and architectural drawing collection. All of the Archives and History Library's collections are non-circulating.

Statewide Library Infrastructure:
The West Virginia Library Commission network is 100 % TCP/IP over Frame Relay and sits behind a private IP firewall. The local area network consists of Pentium based PCs linked with Cat5 cable. The PC's access the wide area network via a 10/100 manageable switch, a Cisco 2600 series router and a T1 data FR circuit. The library is then statically routed to our ISP WVNET. Sitting between the West Virginia Library Commission and WVNET are the following devices. Vendors must account for these devices when considering the networking responsibility of their product

(a) A St. Bernard Iprism web filter allowing libraries compliance with CIPA standards. This device only filters port 80 Internet traffic so internal cataloging speed and access won't be affected.
(b) An Email filter. This box only filters port 25 and 110. The only restriction here is Email messages over 5mg. Vendors that use email as a source for submitting software patches or information over the 5mg limit will be required to use FTP services instead.
(c) A Cisco pix firewall. This device allows network personnel the option of shutting down open ports for security reasons, yet considering and opening those needed for catalog operations. Vendor maintenance personnel will need to work with the network staff when requesting access from outside our network. Unlimited 24- hour access to the server/servers inside the private domain is unacceptable.

The Catalog server will have a Domain name registered so that users and staff can access the Web pages and the catalog via the World Wide Web.

Part 3 Procurement Specifications

3.1 Payment Schedule:

The vendor ***must*** adhere to the following payment schedule:

Due at Profile Acceptance*	20% of System Total
Due at Initial Training	20% of System Total

Due at Full Data Load	40% of System Total
Due at Live Circulation	10% of System Total
Due upon acceptance** of system performance	10% of System Total

* Based on test database of 93,000 records that are loaded into the System, which the Library Commission will use to evaluate whether the agreed-upon profile specifications are met.

** Acceptance is defined as when the West Virginia Library Commission has full access to all modules and all functions of the software are fully operational and successfully utilized.

3.2 Simultaneous Users

3.2.1 The system ***must*** allow for

3.2.1.1 Thirty (30) simultaneous staff users.

3.2.1.2 Unlimited simultaneous OPAC users.

3.3 Servers and System Security

As approved by the State's Chief Technology Officer, the West Virginia Library Commission's catalog hardware environment is based exclusively on a UNIX operating platform. With this bid, we are requesting that the potential vendor supply a complete system, where the Commission purchases the servers, operating software, associated licenses, and appropriate ILS software. The Commission uses its servers for more than just an ILS; therefore being locked out of the server is not a permissible option.

3.3.1 The vendor's software ***should*** operate on one of the following types of servers:

3.3.1.2 HP UX 11i Operating system, on-line JFS, disk mirroring system, and DataProtector 5.0. The operating software and hardware support should be 24-hours, 7-days a week.

3.3.1.2 HP rp3410 server with the following:

3.3.1.2.1 800 MHz PA-8900 CPUs (2 each),

3.3.1.2.2 GB RAM (2 each),

3.3.1.2.3 10/100/1000 LAN (2 each),

3.3.1.2.4 73 GB internal hard drives (2 each)

3.3.1.2.5 73 GB external hard drives (each with/w with dual channel SCSI controller cards) (2 each)

3.3.1.2.6 DVD-ROM R/W (1 each)

3.3.1.2.7 DDS-4 tape drive (1 each)

3.3.1.2.8 SCSI library tape drive with no less than 8 tape capacity (1 each),

or

3.3.1.3 Red Hat EL3 Operating System (Factory loaded and configured) with recovery media. Software and hardware support should be 24 hour, 7 day a week.

or

3.3.1.4 Hp rx4640 server with the following:

3.3.1.4.1 VXA 1.5 GHz CPUs (2 each)

3.3.1.4.2 4GB RAM (2 each)

3.3.1.4.3 10/100/1000 LAN (2 each)

3.3.1.4.4 73 GB internal hard drive with hardware RAID on dual channel SCSI controllers (2 each)

3.3.1.4.5 73 GB external hard drive with hardware RAID on dual channel SCSI controllers (2 each)

3.3.1.4.6 DVD-ROM R/W (1 each)

3.3.1.4.7 High capacity tape drive (1 each) or similar product

3.3.2 The system ***must*** be able to protect each user's privacy, as well as provide for the security and integrity of the hardware, software, databases, and network. Any function can be made a secured function.

3.3.3 The vendor ***must*** include information about any sever licenses. ORACLE licenses for example.

3.3.4 The system ***must*** permit:

3.3.4.1 Any workstation to access all system modules.

3.3.4.2 The system operator or staff in any participating library, with appropriate privileges, to limit functions available to any particular user by module.

3.3.4.3 The ability to provide for access control for each function within a module.

3.3.4.4 System access control that is modified through parameters.

3.3.5 The system ***must***

3.3.5.1 Provide security to prevent accidental or unauthorized modification of records.

3.3.5.2 Not display the override code when the operator types in a password or override field.

3.3.5.3 Track and record attempts of illegal access to the system.

3.3.5.4 Track all activity on the whole system.

3.3.5.5 Have a unique password for each user.

3.3.5.6 Allow access only during set hours.

3.3.5.7 Provide for automatic expiration of user/staff passwords (amount of time to be specified by library personnel.)

3.3.6 The server's operating system ***should*** be able to recognize and immobilize a ter virus.

3.3.7 The application ***should*** not

3.3.7.1 Impinge upon the native security mechanisms of the operating system.

3.3.7.2 Interfere with any operating system utilities.

3.3.7.3 The function of all set UID to root executables ***should*** be documented.

3.4 Acquisitions:

3.4.1 The system ***must*** allow pre-order searching on all defined indices in the bibliographic file.

3.4.2 All acquisitions records ***must*** be searchable by staff and users as soon as they are created.

3.4.3 Each monographic or serials acquisitions record ***must*** contain bibliographic information, binding, holdings, item and copy specific information related to the order and be linked to associated holding record(s).

3.4.4 The acquisitions system ***should*** be able to:

3.4.4.1 Create a provisional MARC bibliographic record when a fully-cataloged record is not available

3.4.4.2 Use a fully-cataloged record as the bibliographic portion of the acquisitions record

3.4.4.3 Overlay or merge an acquisitions record's bibliographic information with a full cataloging record without losing any links to fund accounting, binding, claiming, holding, items, or copy specific information.

3.4.4.4 Use full editing capabilities described in the cataloging section regarding bibliographic record creation, edition, deleting, and import/export, as well as for all parts of the acquisitions record.

3.4.4.5 Import bibliographic information electronically from local and other bibliographic resource files such as OCLC, Library of Congress, vendors, Books in Print, or other local library files.

3.4.4.6 Create an order template for order input when no electronic record is available for input.

3.4.5 The acquisitions system ***should*** be able to handle the multiple methods of acquisitions listed below, as well as incorporate vendor and fund data into an order.

3.4.5.1One-time order

3.4.5.2 Approval order

3.4.5.3 Continuation

3.4.5.4 Standing order

3.4.5.5 Depository item

3.4.5.6 Exchange

3.4.5.7 Gift

3.4.5.8 Purchase against a deposit account

3.4.5.9 Received on basis of membership

3.4.5.10 Subscription

3.4.5.11 Series standing order

3.4.5.12 Sample issues

3.4.5.13 Series cataloged as separates

3.4.5.14 Telephone, fax, or email order with batching capability for later transmission

3.4.5.15 Book-in-hand

3.4.5.16 Works in parts

3.4.5.17 Blanket order

3.4.5.18 Added copy

3.4.5.19 Replacement copy

3.4.5.20 Back issues

3.4.5.21 Another edition

3.4.5.22 Rejects

3.4.6 The acquisitions system ***should*** retain information on:

3.4.6.1 Active orders kept

3.4.6.2 Completed orders

3.4.6.3 Payment and claiming histories for serial records

3.4.6.4 Retain all information listed above online indefinitely or,

3.4.6.5 Retain all information listed above online for a West Virginia Library Commission specified time interval after completion of the order

3.4.7 The following order statuses ***should*** be provided by the acquisitions system

3.4.7.1 Authorized order

3.4.7.2 Backordered

3.4.7.3 Claimed

3.4.7.4 Delayed

3.4.7.5 Invoice overdue

3.4.7.6 Invoice received

3.4.7.7 Not yet published

3.4.7.8 On order

3.4.7.9 Out of print

3.4.7.10 Out of stock

3.4.7.11 Canceled: either by library, order failed, or publication has ceased

3.4.7.12 Payment authorized

3.4.7.13 Payment authorization on hold

3.4.7.14 Partially entered

3.4.7.15 Produce purchase order

3.4.7.16 Proof of payment requested (Requested by the publisher)

3.4.7.17 Provisional order

3.4.7.18 Received complete

3.4.7.19 Received partial

3.4.7.20 Received without invoice

3.4.7.21 Reorder

3.4.7.22 Returned complete

3.4.7.23 Returned partial

3.4.7.24 Returned damage

3.4.7.25 Rejected

3.4.8 Staff ***should*** be able to track and automatically update an item's status in the ordering/receiving process and have that status display the appropriate message in the OPAC.

3.4.9 During receipt and payment, the acquisitions system ***should*** be able to:

3.4.9.1 Receive an item without an invoice

3.4.9.2 Receive an item before the invoice is received

3.4.9.3 Process the invoice before the item is received

3.4.9.4 Receive partial shipment of an order

3.4.9.5 Authorize partial payment of an invoice

3.4.9.6 Process credits and refund checks

3.4.9.7 Create an acquisitions record for invoice payment when generating an order

3.4.9.8 Record information about an invoice such as total cost, total discounts, total service charges, and verify that all invoice lines have been processed correctly

3.4.9.9 Receive an item and choose whether to add an item barcode on receipt, at a later date, or not at all.

3.4.10 The acquisitions system ***should***

3.4.10.1 Be able to generate claims for unfilled orders for all types of material and acquisition methods

3.4.10.2 Allow unlimited number of claims for each order record

3.4.10.3 Detect material that has not been received and that a claim is needed without staff intervention

3.4.10.4 Allow variable claiming intervals

3.4.10.5 Allow staff to modify system-supplied future claim dates

3.4.10.6 Allow manual override of any claim interval or date

3.4.10.7 Allow suppression of claim products

3.4.10.8 Track claim history in order record

3.4.10.9 Allow staff to generate claims for volumes/numbers of serials published out of sequence or multiple copies not received

3.4.10.10 Recognize overdue serial issues based on publication pattern, place of publication, frequency, regularity of receipt and generate a claim

3.4.10.11 Recognize when a serial issue has been skipped, based on publication pattern, and generate a claim

3.4.10.12 Claim multiple serial issues on a single claim

3.4.10.13 Generate a claim on demand

3.4.10.14 Adjust the frequency of claiming for titles

3.4.10.15 Allow variable claiming intervals to be set based on defined parameters

3.4.10.16 Add a customized note/message that is printed on the claim and retained online

3.4.10.17 Send claims electronically

3.4.10.18 Automatically stop sending claims when material is received

3.4.10.19 Batch claims for fax or email transmission

3.4.10.20 Receive claim responses electronically

3.4.11 The acquisitions system ***should*** do the following:

3.4.11.1 Cancel individual orders

3.4.11.2 Cancel multiple orders identified by data elements

3.4.11.3 Reinstate a canceled order with the same PO number to the same/different vendor without reentering the order

3.4.11.4 Record receipt of item after the order has been canceled

3.4.11.5 Display a warning to staff when receipt is recorded on a canceled order

3.4.11.6 Automatically disencumber funds upon cancellation

3.4.11.7 Remove encumbrances as needed

3.4.12 The acquisitions system ***should*** generate locally printed documents such as claims.

3.4.13 Acquisition module reports ***should*** segment by the following elements:

- 3.4.13.1 Format
- 3.4.13.2 Vendor
- 3.4.13.3 Fund
- 3.4.13.4 Selector
- 3.4.13.5 Method of acquisition
- 3.4.13.6 Publisher
- 3.4.13.7 Location within library
- 3.4.13.8 Date of publication
- 3.4.13.9 Order date

3.4.14 The acquisitions system ***should*** provide counts/lists and other statistical data as standard reports, including the following:

- 3.4.14.1 Orders placed
- 3.4.14.2 Orders claimed
- 3.4.14.3 Orders canceled
- 3.4.14.4 Duplicate orders generated
- 3.4.14.5 Items returned
- 3.4.14.6 Ordered titles/volumes received
- 3.4.14.7 Items or parts received or checked-in
- 3.4.14.8 Last/particular date payment recorded
- 3.4.14.9 Last/particular date receipt recorded
- 3.4.14.10 Items bound
- 3.4.14.11 Items encumbered
- 3.4.14.12 List of recent acquisitions

3.4.15 The acquisitions module ***should*** provide the following preorder searches:

- 3.4.15.1 Added entries
- 3.4.15.2 Author
- 3.4.15.3 OCLC number
- 3.4.15.4 ISBN
- 3.4.15.5 ISSN
- 3.4.15.6 LCCN
- 3.4.15.7 GPO number
- 3.4.15.8 Publisher
- 3.4.15.9 UPC number
- 3.4.15.10 SuDoc number
- 3.4.15.11 Title
- 3.4.15.12 Keyword
- 3.4.15.13 Subject
- 3.4.15.14 Uniform title

3.4.16 Onscreen linked bibliographic information ***should*** contain and display the following information:

3.4.16.1 Format
3.4.16.2 Encoding level
3.4.16.3 S-type for serials
3.4.16.4 Frequency for serials
3.4.16.5 010-LCCN
3.4.16.6 020 ISBN or 022 ISSN
3.4.16.7 1xx field Personal, corporate, conference, uniform title
3.4.16.8 245 Title
3.4.16.9 250 Edition statement
3.4.16.10 260 Publication information
3.4.16.11 300 Physical description
3.4.16.12 Unique purchase order (PO) number
3.4.16.13 Original PO number
3.4.16.14 Number of copies ordered
3.4.16.15 Order date
3.4.16.16 Vendor name, address and code
3.4.16.17 Vendor account number
3.4.16.18 Vendor title number
3.4.16.19 Bibliographic source
3.4.16.20 Method of acquisition
3.4.16.21 List/estimated price
3.4.16.22 Actual price
3.4.16.23 Encumbrance
3.4.16.24 Cost
3.4.16.25 Fund
3.4.16.26 Date of receipt
3.4.16.27 Invoice number
3.4.16.28 Invoice date
3.4.16.29 Date invoice is authorized for payment
3.4.16.30 Send rush
3.4.16.31 Process rush
3.4.16.32 Claim date
3.4.16.33 Number of times a claim has been sent
3.4.16.34 Dealer reports
3.4.16.35 Any West Virginia Library Commission defined fields

3.4.17 The acquisitions module ***should*** allow selectors/bibliographers to select materials from within the acquisitions module and create lists of material to purchase.

3.4.18 The acquisitions module ***should*** able to check the lists created by the selectors/bibliographers automatically against the current OPAC database to find duplicate holdings.

3.4.19 The acquisitions module ***should*** be able to compare all selector/bibliographer lists to remove duplicate orders within the multiple lists.

3.4.20 Acquisitions staff ***should*** be able to compare vendor prices for materials from the acquisitions module without going to multiple vendor sites.

3.4.21 The acquisitions system ***should*** be able to create acquisition records for processing and payment only or for "future" or "would like" purchases that can be used at a later time to generate an order.

3.4.22 The system ***should*** have the ability to:

3.4.22.1 Suppress selected acquisitions information from the public, ***or***

3.4.22.2 Suppress the entire record, or only selected order information (such as an internal library copy.)

3.4.23 Library users ***should*** be able to be

3.4.23.1 Notified when an item on order/in process is received and on the shelf ready for use

3.4.23.2 To flag the item with hold/notify information to be held

3.4.24 The acquisitions module ***should*** generate appropriate staff/user notifications automatically.

3.4.25 The acquisitions module ***should*** be able to generate electronic documents based on West Virginia Library Commission specified information in an acquisitions record. Such documents ***should*** include the following:

3.4.25.1 Purchase orders
3.4.25.2 Cancellations
3.4.25.3 Claims
3.4.25.4 Notices
3.4.25.5 Commodity reports
3.4.25.6 Labels
3.4.25.7 Mailing labels
3.4.25.8 Routing labels

3.4.26 The following bibliographic information ***should*** display on the document

3.4.26.1 020 ISBN or 022 ISSN
3.4.26.2 1xx Personal, corporate or conference author
3.4.26.3 245 Title
3.4.26.4 250 Edition
3.4.26.5 260 Publication info
3.4.26.6 300 Physical description
3.4.26.7 Unique PO number
3.4.26.8 Number of copies
3.4.26.9 Vendor code
3.4.26.10 Complete return shipping address
3.4.26.11 Order date
3.4.26.12 Payment information
3.4.26.13 Free text field

3.4.27 The acquisitions system ***should***

3.4.27.1 Allow document design to be flexible

3.4.27.2 Allow document printing to be scheduled by staff

3.4.27.3 Allow for design of new documents as needed

3.4.28 The acquisitions system ***should*** support ANSI X12 and NISO Z39 standards for electronic data interchange (EDI) with vendors and should be able to do the following:

3.4.28.1 Send and receive electronic transactions

3.4.28.2 Send electronic orders and claims, and receive reports/ acknowledgements electronically

3.4.28.3 Allow automatic updating of records by electronic transactions or to have staff review such before posting

3.4.28.4 Generate error reports for failed or suspect electronic transmissions

3.4.28.5 Send lists of wanted items to selected sites, like vendors/ publishers

3.4.28.6 Allow launching for acquisitions record to external online resources, initiating browsers or other applications as needed

3.4.28.7 Import from and export to a commercial EDI translation package

3.4.28.8 Update the database with EDI messages while system is in use

3.4.28.9 View online or pint transaction log of all EDI transactions as an off-line job.

3.4.28.10 Archive all EDI data.

3.5 Financial Operations:

3.5.1 The system ***should*** have the ability to create, update, close and/or delete at least 500 funding codes with up to 8 fund segments.

3.5.2 The system ***should*** be flexible in terms of how many segments are used for each fund unit and/or allow for default values.

3.5.3 For each funding unit, the system ***should*** have the ability to create/update the following:

3.5.3.1 Text field for each segment in billing code.

3.5.3.5 Allocation

3.5.3.3 Over-encumbrance allowance

3.5.3.4 Over-expenditure allowance

3.5.3.5 Fund manager: name, email address, phone number

3.5.3.6 Note field

3.5.4 In real time, the system ***should*** update the encumbrance and expenditure totals and balances as a result of order creation/updates and payment activity.

3.5.5 The fund balance ***should*** check against free/cash balance when an order is placed.

3.5.6 The system ***should***

3.5.6.1 Provide an on-line error message for staff when account has insufficient funds

3.5.6.2 Take over-encumbrance into account when calculating free balance

3.5.6.3 Provide an email feature available for operator to send message to fund manager

3.5.7 The fund balance ***should*** check against cash balance when payment is processed.

3.5.14.7 For returning items:

3.5.14.7.1 Name

3.5.14.7.2 Address

3.5.14.7.3 Email

3.5.14.7.4 Fax & phone numbers

3.5.14.7.5 URL for homepage

3.5.15 The following library specific vendor elements ***should*** include:

3.5.15.1 Name of customer service representative

3.5.15.2 Discounts

3.5.15.3 Approval plan profiles

3.5.15.4 Local notes

3.5.15.5 Account numbers

3.5.15.6 Vendor specific information used by the system about the format of purchase order to prepare for vendor

3.5.16 The following invoice elements ***should*** be included in the invoice display:

3.5.16.1 Invoice control number

3.5.16.2 Vendor code

3.5.16.3 Invoice number

3.5.16.4 Invoice date

3.5.16.5 Invoice total

3.5.16.6 Invoice currency

3.5.16.7 Invoice discount

3.5.16.8 Vendor/Voucher type

3.5.16.9 Approving department

3.5.16.10 Reminder date for completion of invoice

3.5.16.11 Total payments

3.5.16.12 Net Payments

3.5.16.13 Line item payment date

3.5.16.14 Approval date

3.5.16.15 External note

3.5.16.16 Internal note

3.5.16.17 Accounts payable number

3.5.16.18 Vendor payment information

3.5.16.19 Line number

3.5.16.20 Payment text area

3.5.16.21 Payment type

3.5.16.22 Accounting data

3.5.16.23 Number of copies

3.5.16.24 Amount paid

3.5.16.25 Order number

3.5.16.26 Invoice creation date

3.5.16.27 Electronic funds transfer batch number

3.5.8 The system ***should*** provide the ability for staff to check account status online including allocation, expenditure, encumbrances, balances, and over-encumbrance/over-expenditure limits for either a single fund unit or multiple fund units.

3.5.9 The system ***should*** provide the ability to compare allocations, expenditures, encumbrances, balances and over-encumbrance/expenditures from the current fiscal year with the previous fiscal year.

3.5.10 The system ***should*** provide fiscal year end activities including all expenditures and balance fields.

3.5.11 The system ***should*** maintain a machine-readable audit trail from which staff reports can be easily generated.

3.5.12 A machine-readable audit trail ***should*** include the follow information:

- 3.5.12.1 Staff id
- 3.5.12.2 Function performed
- 3.5.12.3 Date/time
- 3.5.12.4 Copy of record before/after change

3.5.13 The following data elements ***should*** be included in the system:

- 3.5.13.1 Account code that can accommodate at least 8 code segments.
- 3.5.13.2 Descriptive fields for each segment in billing code
- 3.5.13.3 Allocation
- 3.5.13.4 Over-encumbrance allowance
- 3.5.13.5 Over-expenditure allowance
- 3.5.13.6 Year-to-date total expenditure
- 3.5.13.7 Calculated cash balance
- 3.5.13.8 Outstanding encumbrance
- 3.5.13.9 Calculated free balance
- 3.5.13.10 Fund manager: name, email address, phone number
- 3.5.13.11 Note field
- 3.5.13.12 Tracking data
- 3.5.13.13 Security data including the following:
  - 3.5.13.13.1 Indication of who is authorized to encumber
  - 3.5.13.13.5 Indication of who is authorized to pay using this code
  - 3.5.13.13.3 Indication of who is authorized to approve payments
  - 3.5.13.13.4 Indication of who is authorized to override encumbrance blocks
  - 3.5.13.13.5 Indication of who is authorized to override payment blocks
  - 3.5.13.13.6 Indication of who is authorized to create/maintain fund data

3.5.14 The following vendor specific information ***should*** be included in the system:

- 3.5.14.1 Ordering and claiming information:
- 3.5.14.2 Name
- 3.5.14.3 Address
- 3.5.14.4 Email
- 3.5.14.5 Fax & phone numbers
- 3.5.14.6 URL for homepage

3.5.16.28 Operator identification

3.5.16.29 West Virginia State Seal

3.5.17 The following are other invoice functions the system ***should*** have:

3.5.17.1 Provide system for paying invoices which allows automatic linking of payments to order records

3.5.17.2 Provide immediate dis-encumbrance of funds when payment is made

3.5.17.3 Provide automatic re-encumbrance of partially paid orders

3.5.17.4 Provide real time display of invoice information from order record

3.5.17.5 Allow changes at any time before invoice is authorized

3.5.17.6 Allow cancellation of invoice at any time before invoice is authorized

3.5.17.7 Allow an unlimited number of line items per invoice

3.5.17.8 Allow multiple invoices for one order

3.5.17.9 Allow application of postage, shipping, and service charges to:

3.5.17.9.1 Selected item lines

3.5.17.9.2 Entire invoice

3.5.17.10 Allow application of discount to:

3.5.17.10.1 Selected line items

3.5.17.10.2 Entire invoice

3.5.17.11 Alert operator when fund is over-expended

3.5.17.12 Display payment address from a vendor record

3.5.17.13 Prevent duplicate authorization of invoice

3.5.17.14 Provide mechanism for matching calculated invoice total to actual invoice total

3.5.17.15 Allow operator to enter deduction amount and use that amount in matching calculated invoice total to actual invoice total

3.5.17.16 Allow authorization of partially paid invoice

3.5.17.17 Allow access to invoice record from order record and vise versa

3.5.17.18 Provide reminder date for completion of invoice processing

3.5.17.19 All processing of credits, refunds, and adjustments

3.5.17.20 Accept vendor invoice data in electronic form

3.5.17.21 Allow automatic linking of electronic invoice date to specific orders

3.5.17.22 Allow unlinking of electronic data from one order and relinking to another order

3.5.17.23 Allow manual linking of electronic invoice data to specific orders

3.5.17.24 Ability to link scanned image of actual invoice to invoice record

3.5.17.25 Produce voucher data cumulated by fund

3.5.17.26 Allow online access to invoice data by:

3.5.17.26.1 Vendor invoice number

3.5.17.26.2 Invoice control number

3.5.17.26.3 Vendor code/name

3.5.17.26.4 Vendor account number

3.5.18 Payment history ***should***

3.5.18.1 Allow reporting on all data elements in fund account records, vendor records, and invoice records.

3.5.18.2 Provide online access to archived data.

3.5.18.3 Within the vendor file, the system ***should***:

3.5.18.3.1 Allow selection of records by all controlled fields in the record

3.5.18.3.2 Allow typical reports using vendor info

3.5.18.3.3 Allow selection of records by all controlled fields in the invoice record

3.5.19 Reports using invoice information ***should*** include:

3.5.19.1 Payments by invoice control number

3.5.19.2 Payments by vendor invoice number

3.5.19.3 Payments by library

3.5.19.4 Payments by order number

3.5.19.5 Payments by date

3.5.19.6 Payments by bibliographic attributes

3.5.19.7 Payments by library specific codes in order record

3.6 Serials:

3.6.1 The serials module ***should*** contain the following for use in serials control:

3.6.1.1 Serial type

3.6.1.2 Start date of subscription

3.6.1.3 Subscription period

3.6.1.4 Publication pattern

3.6.1.5 Publication pattern of indices and supplements

3.6.1.6 Local recording instructions

3.6.1.7 Multiple free text fields

3.6.1.8 Multiple local use coded fields that are searchable

3.6.1.9 Library defined captioning

3.6.1.10 Payment cycle

3.6.1.11 Routing information

3.6.1.12 Enumeration and chronology for the serial

3.6.1.13 Check-in date

3.6.1.14 Claim cycle

3.6.2 The serials module ***should*** be able to record receipt of all types of serials and frequencies including:

3.6.2.1 Annuals

3.6.2.2 Blanket orders

3.6.2.3 Bound supplements

3.6.2.4 Continuations

3.6.2.5 Electronic formats

3.6.2.6 Government documents

3.6.2.7 Indices

3.6.2.8 Law reports

3.6.2.9 Loose-leaf
3.6.2.10 Maps
3.6.2.11 Material received on exchange
3.6.2.12 Memberships
3.6.2.13 Memoirs
3.6.2.14 Monographic series
3.6.2.15 Newspapers
3.6.2.16 Periodicals
3.6.2.17 Pocket parts
3.6.2.18 Proceedings/Conferences
3.6.2.19 Recordings
3.6.2.20 Replacement volumes or fill-in volumes
3.6.2.21 Special issues
3.6.2.22 Superseding volumes
3.6.2.23 Supplements
3.6.2.24 Transactions
3.6.2.25 Transfer binders
3.6.2.26 Unbound supplements
3.6.2.27 Unnumbered series

3.6.3 The serials module ***should*** support a predictive check-in for all publication patterns with predictable regularity and manual check-in of irregular serials.

3.6.4 Prediction patterns ***should*** be possible for all predicable frequencies and enumerations including the following:

3.6.4.1 Annuals
3.6.4.2 Daily
3.6.4.3 Weekly
3.6.4.4 Bi-weekly
3.6.4.5 Monthly
3.6.4.6 Bi-monthly
3.6.4.7 Quarterly
3.6.4.8 Semiannual
3.6.4.9 Biennial
3.6.4.10 Triennial
3.6.4.11 Predictable number of issues per time period
3.6.4.12 Normalized irregulars
3.6.4.13 Enumeration is predictable but not date
3.6.4.14 Volume numbering continuous, issue numbering restarts at 1 with new volume

3.6.4.15 Volume numbering continuous, issue numbering continuous

3.6.4.16 Volume numbering restarts at 1 with new year, issue numbering continuous

3.6.4.17 Volume numbering and issue numbering both restart at 1 with new year

3.6.4.18 Separate check-in information for all copies of a serial title held.

3.6.5 The module ***should*** allow:

3.6.5.1 Check-in of multiple issues of the same title on separate holdings, received at the same time, either all at once or by staff discretion.

3.6.5.2 Support at least 6 levels of enumeration, automatic roll-over of enumeration, and dates based on publication pattern

3.6.5.3 Wide variety of values for each level of enumeration, predict issues with all supported values, and holdings statements with all supported values.

3.6.5.4 Overriding of a predicted issue's information

3.6.5.5 Check-in an issue that varies from the predicted enumeration and frequency with staff entry

3.6.5.7 The ability to display at least 10 receipt statements without scrolling

3.6.5.8 Removing an issue from a serial's holdings information

3.6.5.9 Creation of lists of missing issues as "wants" for replacement orders

3.6.5.10 Repeat check-in of an issue

3.6.5.11 Storing check-in data and information on each issue checked-in (date checked-in, by whom) for reports

3.6.5.12 Generation of reports on number of issues checked-in by a variety of criteria (vendor, fund, date checked-in)

3.6.5.13 An operator to easily access a specific volume of a serial

3.6.5.14 Identification of subscriptions due for renewal

3.6.6 The serials module ***should*** update serial holding information in the OPAC, either automatically or on command, when issues are checked-in including:

3.6.6.1 Update of holdings information in real time

3.6.6.2 Allow staff to manually correct and update holdings information

3.6.6.3 Ability to re-order receipt statements

3.6.7 In relation to binding and end processing, the module ***should***

3.6.7.1 Accommodate binding preparation mechanisms for both serials and monographs.

3.6.7.2 Automatically set the display in item records of serial captions (enumeration and chronology)

3.6.7.3 Support the override of default information by authorized staff

3.6.7.4 Allow barcodes associated with unbound issues of a serial to be automatically incorporated into an item record for the bound volume at the time of binding. Issue-level barcodes should remain operational.

3.6.7.5 Automatically alert staff to bind readiness for serial items

3.6.7.6 Support various ways of determining binding readiness, including:

3.6.7.6.1 Number of issues received

3.6.7.6.2 Regular library-specified intervals

3.6.7.6.3 Receipt of index or table of contents

3.6.7.7 Automatically update compressed holdings when items are bound and delete the detailed receipt data.

3.6.7.8 Create a binding ticket in printed and/or electronic form for each unit to be bound; the ticket should include the title that is to be bound

3.6.7.9 Produce spine labels that include specific data elements from item records and accommodate local options.

3.6.7.10 Store and print on spine label long and complex marking patterns.

3.6.7.11 Allow shipment-level tracking of pieces sent for binding.

3.7 Cataloging:

3.7.1 The module ***must*** accommodate records and fields of sufficient size.

3.7.2 Records and fields ***must*** not have limitations on individual field or record size or the numbers of fields in a bibliographic, authority, or holdings record, unless these restrictions are placed by USMARC format and applied to all record types.

3.7.3 All records ***must*** be easily accessible from all subsystems and stored in one location for access and display anywhere in the system.

3.7.4 For all material types, the module ***must*** support the ability to import, export, create, edit, delete, store, index, and retrieve records in USMARC. The module ***must*** accept and manage all USMARC format tags, indicators, etc. without loss of data.

3.7.5 The required MARC record types for the module ***must*** include:

3.7.5.1 Bibliographic

3.7.5.2 Authority

3.7.5.3 Holdings

3.7.6 Locally and externally created bibliographic and authority records ***must*** be supported by the system and accommodate any subsequent updates to USMARC format in a timely manner (i.e. within 1 year of update).

3.7.7 The module ***must*** support automatically maintained location/copy specific cataloging status information but have the ability for staff to override this function when appropriate.

3.7.8 The module ***should*** be able to suppress bibliographic records from the public display at staff discretion.

3.7.9 The module ***should***

3.7.9.1 Show the view of a single bibliographic record for each format within the database

3.7.9.2 Allow bibliographic records that are not associated with a barcode or call number

3.7.9.3 Display all relevant information for a bibliographic entity when any part of the bibliographic record is retrieved at staff discretion

3.7.9.4 Support and manage multiple locations on a given bibliographic record

3.7.9.5 Allow an item record to be linked to more than one bibliographic record

3.7.9.6 Show information about the item record with each bibliographic record (bound-with checked out, then all associated bibliographic records indicate the item is checked out)

3.7.9.7 Provide access by searching for any bibliographic record contained within the bound-with

3.7.10 The module ***should*** provide a number of ways to search for both bibliographic and authority records.

3.7.11 The module ***should*** be able to accept records from external system. Some systems and formats that ***should*** be supported include:

3.7.11.1 OCLC

3.7.11.2 Library of Congress

3.7.11.3 Z39.50 library catalogs

3.7.11.4 Locally mounted authority files

3.7.11.5 Vendor systems capable of creating MARC-compliant records

3.7.11.6 CD-ROM products

3.7.12 The module ***should*** support the ability to import records one record at a time or in batch. Batch transfer of bibliographic records would typically come from OCLC and other vendors, like Baker & Taylor, or real time transfer of individual records accessed from OCLC or another Z39.50 source.

3.7.13 The module ***should*** allow records containing diacritics set to be locally created, accepted from external sources, edited, stored, and displayed.

3.7.14 The module ***should*** be able to link separate records that are bibliographically related, for example Earlier/Later headings for serial title changes and/or supplements, etc.

3.7.15 The module ***should*** have the ability to

3.7.15.1 Define specific display/print constants based on USMARC indicators and sub-field codes

3.7.15.2 Retrieve related records without a new search based on info within the 7xx fields

3.7.15.3 Display brief information about related records in a logical and useful way.

3.7.15.4 Have links created regardless of whether the item is a serial or monograph

3.7.16 The module ***should*** support the ability to import records through different media methods.

3.7.17 The module ***should*** immediately update all appropriate indices and record displays as records are added, edited or deleted.

3.7.18 For incomplete or in-process records, the module ***should*** support the ability

3.7.18.1 For staff to retrieve the records

3.7.18.2 For staff to retrieve the records as a group by operator id

3.7.18.3 To distinguish records as to review states

3.7.18.4 For staff to suppress the record from public display

3.7.19 The module ***should*** support a user-friendly, task oriented, standard input screen for data.

3.7.20 The input screens ***should*** include

3.7.20.1 Graphical user interfaces for Windows available for all staff functions

3.7.20.2 Session windows that can be tiled horizontally, vertically, and cascade

3.7.20.3 Split screen windowing capabilities to allow more than one record to be viewed at a time

3.7.20.4 Keystroke/command equivalents for all editing/processing functions

3.7.20.5 The option of a full screen edit interface that displays the MARC record with all fixed fields, tags, indicators, sub-fields, text and diacritics

3.7.20.6 Input interface that allows automatic advancement from field to field

3.7.20.7 The option to display the record as it would appear to the public

3.7.20.8 Context specific help that can be edited on-site without system administrator intervention

3.7.20.9 Icons that contain pop-up help

3.7.20.10 Allow staff to control keyboard mapping

3.7.20.11 Allow staff to control screen size, colors, and other visual attributes

3.7.20.12 Have displays that are standardized when relating to different functions, with selected fields displaying according to function.

3.7.20.13 Allow staff control to customize what fields/parts of records display during an editing session

3.7.20.14 Allow staff control to save a custom profile of screen design to re-use in later sessions

3.7.20.15 Have an alternative input interface

3.7.20.16 Allow staff to modify help screens content and icons.

3.7.20.17 Allow long list help screens to be both scrollable and searchable

3.7.20.18 Indicate how much of the record has been viewed when displaying records longer than one screen

3.7.20.19 Have the ability to move easily between associated records

3.7.20.20 Have the capability to display and edit multiple records at the same time

3.7.20.21 Have the ability to cut, copy and paste between records, and within records

3.7.20.22 Have the ability to use a copy of an existing record as the basis for a new record with unique identification numbers

3.7.20.23 Have the ability to easily change the primary format of a bibliographic record with the module moving/modifying fixed field data appropriately

3.7.20.24 Have the ability to create and store templates that preserve information that is often repeated and can be used to create new records

3.7.20.25 Allow staff to have their own templates and shared templates

3.7.20.26 Allow staff to easily define, record, edits and delete an unlimited amount of macros.

3.7.21 The module ***should*** support easy add/edit/delete of data elements in existing records including the following features:

3.7.21.1 Word processing style editing functions including automatic line wrap

3.7.21.2 Supplied default values for indexed fields and indicators, and default initial sub-fields in new records

3.7.21.3 Ability to sequence lines and repeat fields in correct order, both automatic and manual renumber of sequencing

3.7.21.4 Ability to delete fields, erase to the end of the field, and erase to the end of a sub-field, each with a single keystroke

3.7.21.5 Ability to add fields by renumbering and editing existing fields

3.7.21.6 Ability to move backward and forward easily between fields and between screens for multiple screen records using mouse clicks or the keyboard arrows

3.7.21.7 Full record edit with scrolling

3.7.22 The module ***should*** support global updates to tags, indicators, and sub-field codes, data in variable fields and sub-fields, and codes in fixed fields across selected records and database files.

3.7.23 The module ***should*** support data entry by barcode scanning.

3.7.24 An operator id ***should*** be associated with a default location and a default screen qualification, which determine the default single record display.

3.7.25 The module ***should*** support flexible control over operator security.

3.7.26 Operator security ***should*** control a matrix of permission attributes including actions, record types, libraries, funds, and special functions that allows individuals to perform certain tasks but not others.

3.7.27 The module ***should*** provide automatic validation of data input and have the ability to define different options for each validation test; both directly keyed through online alerts and imported in batch though reports or review files. MARC validation should include checking for

3.7.27.1 Valid leader and fixed field values

3.7.27.2 Valid tags, indicators, and sub-field codes

3.7.27.3 Attempt to repeat a non-repeatable field or sub-field

3.7.27.4 Presence of required fields or fixed field data elements

3.7.28 The module ***should*** validate the format of all standard numbers.

3.7.29 If the data does not pass a validation test, the data ***should*** remain available for edit and correction.

3.7.30 When searching for duplicate records, the module ***should*** have the ability to identify duplicate bibliographic records using standard numbers in the detecting process including:

3.7.30.1 OCLC numbers

3.7.30.2 LCCN

3.7.30.3 ISBN

3.7.30.4 ISSN

3.7.30.5 SuDoc numbers

3.7.30.6 Publisher number

3.7.31 The module ***should*** have merge/overlay capabilities.

3.7.32 The module ***should*** be able to dynamically compose a record from elements of the records being merged.

3.7.33 When overlaying a record, staff ***should*** be able to choose either the incoming record or the existing record to be used as the base record, depending on the encoding level and source of each record.

3.7.34 Overlaying or merging of bibliographic data ***should*** preserve linked information such as ordering, circulation, holdings, and items.

3.7.35 The module ***should*** produce collection counts, lists, and other statistical reports including:

3.7.35.1 Titles/volumes/items in collection

3.7.35.2 Titles/volumes/items added to collection

3.7.35.3 Titles/volumes/items withdrawn from collection

3.7.35.4 Location

3.7.35.5 Format

3.7.35.6 Circulation status

3.7.35.7 Physical medium

3.7.35.8 Processing status

3.7.35.9 Subscription status

3.7.35.10 New cataloging records added to database

3.7.35.11 New authority records added to database

3.7.35.12 Cataloging/authority records modified

3.7.36 The module ***should*** generate a variety of labels, including spine and routing labels, to be printed in batch or singles.

3.7.37 The module ***should*** allow the order of variable fields in the MARC format to match national standards.

3.7.38 The module ***should*** maintain the following for bibliographic and authority records:

3.7.38.1 Date of each record's addition to the local database

3.7.38.2 Date of latest external update to each record

3.7.38.3 Date of latest local, online edit to each record

3.7.38.4 Date of the latest batch process to each record

3.7.38.5 Field that identifies the cataloger/editor for the record. Edit history should be maintained including operator and date.

3.7.39 Suppression abilities within the module ***should*** include:

3.7.39.1 Suppress the entire record from display

3.7.39.2 Suppress all linked records from display in a single step

3.7.39.3 Suppress linked records at the "branch" or item level

3.7.40 Suppressed items ***should*** not display in a public search result.

3.7.41 Searches within the module ***should*** include:

3.7.41.1 Author

3.7.41.2 OCLC number

3.7.41.3 ISBN

3.7.41.4 ISSN

3.7.41.5 LCCN

3.7.41.6 GPO number

3.7.41.7 SuDoc number

3.7.41.8 Title

3.7.41.9 Subject

3.7.41.10 Call number

3.7.42 The module ***should*** allow bibliographic, holdings, and item records to contain action dates, which can be set by authorized operators to trigger a review of the record when the date comes due.

3.7.43 Fields or characters from external sources ***should*** not be stripped, except as the Library Commission specifically seeks to do so.

3.7.44 When the Commission seeks to strip data fields and characters, the Commission ***should*** be able to specify manipulation and editing of records as part of the import process, so specific leader values can be mapped, data can be moved to another tag, or indicator values can be edited.

3.7.45 Records created and modified by the batch loader ***should*** pass validation checks for consistency.

3.7.46 Batch records that do not pass validation checks ***should*** be loaded into the database and have the system provide a printable file of records failing the validation including the reason for failure.

3.7.47 The failing validation file ***should*** be

3.7.47.1 Viewable by different staff members

3.7.47.2 Printed automatically on request

3.7.47.3 Able to select a subset of records to import.

3.7.48 Importing USMARC records ***should*** be available through the following methods:

3.7.48.1 FTP

3.7.48.2 DAT tape

3.7.48.3 CD-ROM

3.7.48.4 Floppy disc

3.7.48.5 Dynamically, one record at a time, under staff control.

3.7.49 The Library Commission ***should*** be able to create as many "load tables" for the module to import records from a variety of sources, as needed, during and after the implementation process of the ILS without required assistance from the ILS vendor.

3.7.50 For bibliographic records that are incomplete or in process, the module ***should*** support the ability to do the following:

3.7.50.1 Retrieve in-process records together with completed records in a routine search

3.7.50.2 Retrieve in-process records as a group by operator ID

3.7.50.3 Distinguish records as to review states

3.7.51 The global update features ***should***

3.7.51.1 Be available to staff with the appropriate authorization only

3.7.51.2 Support field-for-field, tag-for-tag, etc., replacement and replacement of a portion of a field, sub-field, etc., based on character string matching.

3.7.52 The module ***should*** support the following global update features:

3.7.52.1 Inserting a new field

3.7.52.2 Deleting an entire field or a portion of a field

3.7.52.3 Adjustment of other data in the record to accommodate the requested change

3.7.52.4 Operate on authority records when applicable and reflected in bibliographic records.

3.7.52.5 Operate on location information as well as bibliographic data with appropriate authorization

3.7.52.6 Have the capability to review changes record by record with a permanent change taking place only after confirmation by staff

3.7.52.7 Modification date(s) to be set.

3.7.53 Records ***should*** be selected for global updates based on the following

3.7.53.1 A list of system id numbers

3.7.53.2 Character string matching in a variable field or fields

3.7.53.3 Presence of a fixed field code, or set of fixed field codes

3.7.53.4 Presence of a MARC format tag(s) and indicator(s)

3.7.54 The module ***should*** include a check for the following when doing a global update:

3.7.54.1 Internal consistency of MARC coding

3.7.54.2 Comparison of data in various MARC fields to ensure consistent data entry.

3.7.54.3 Format of the numbers during the input process.

3.7.55 For all validation tests, the module ***should*** provide the option for contextual help to explain mistakes.

3.7.56 All records created and/or modified by "batch load" ***should*** be subjected to the same data validation as locally created records, but allow error messages to be sent to a report for review.

3.7.57 The module ***should*** provide automatic duplication detection online and warn the operator when a new record may duplicate an existing record in the database.

3.7.58 The module ***should*** support the both collection level and item level descriptions of digital images.

3.7.59 The module ***should*** include the following in relation to digital images:

3.7.59.1 Display copyright information with the image in the OPAC

3.7.59.2 Allow more than one image size to be associated with the bibliographic record, through the use of MARC 856

3.7.59.3 Allow users to purchase images through an electronic commerce feature in the OPAC

3.8 Holdings:

3.8.1 The system ***must*** provide full support for the latest edition of the USMARC Holdings Format for the creation, editing, deletion, and display of holdings data without loss of information.

3.8.2 The system ***must*** support the maximum record and field length as specified in the ANSI/NISO Z39 standards for holdings.

3.8.3 The system ***should*** provide the creation, copying and storage of holdings records for the following basic types of bibliographic units:

3.8.3.1 Single/multiple copies

3.8.3.2 Multi-volume works

3.8.3.3 Monographic series

3.8.3.4 Serials

3.8.3.8 Analytics

3.8.4 The system ***should*** accommodate holdings records for the following

3.8.4.1 Supplements

3.8.4.2 Indices

3.8.4.3 Accompanying materials

3.8.5 The system ***should*** provide full support for inputting and editing all defined fields, sub-fields, and fixed fields.

3.8.6 The system ***should*** support and display all four holdings levels as described in the USMARC Holdings Format.

3.8.7 The system ***should*** allow a wide variety of values for each level of enumeration.

3.8.8 Supported USMARC fields for holdings record ***should*** also include:

3.8.8.1 Public (sub-field z) and non-public (sub-field x) notes

3.8.8.2 URL 856

3.8.9 The system ***should*** support summary displays of all holdings and locations linked to a bibliographic record.

3.8.10 The system ***should*** provide for the ability to link holdings to a bibliographic record.

3.8.11 The system ***should*** allow multiple holding records for one location.

3.8.12 The system ***should*** use data in the USMARC holdings fields to drive

3.8.12.1 Predictive check-in

3.8.12.2 Claiming

3.8.12.3 Display of holdings data in compressed and/or expanded form in the OPAC and to staff

3.8.13 The system ***should*** update holding records automatically, in real time, during serial processing functions (i.e. serial check-in.)

3.8.14 The system ***should*** prevent the deletion of a bibliographic record with holdings attached, but allow staff to override when appropriate.

3.8.15 The system ***should*** provide the ability to have holdings records suppressed from the public display.

3.8.16 The system ***should*** provide the ability to easily move holdings information from one location or for all locations from one bibliographic record to another, and from one location to another within the same bibliographic record

3.8.17 When holdings information is moved, the system ***should*** provide the ability to move/update any associated item records.

3.8.18 When item record(s) have been moved, the system ***should*** provide the ability to easily move/update any associated holdings.

3.8.19 The system ***should*** provide the ability for holdings records to "inherit" default information from the bibliographic record, and staff should be able to override default information as necessary.

3.9 Item Records:

3.9.1 The system ***must*** allow item records to be created for physical items associated with bibliographic records representing material in any format, including item records for containers associated with collection-level bibliographic records.
3.9.2 The system ***should*** provide for the creation, storage, retrieval, editing, updating and display of item-level information, including the following information:

- 3.9.2.1 Dates: creation, update, action, inventory, modification
- 3.9.2.2 Call number(s)
- 3.9.2.3 Unique item number
- 3.9.2.4 Barcode(s)
- 3.9.2.5 Copy number
- 3.9.2.6 Loan codes
- 3.9.2.7 Owning unit
- 3.9.2.8 Sub-locations
- 3.9.2.9 Price
- 3.9.2.10 Temporary location(s)
- 3.9.2.11 Item class
- 3.9.2.12 Last checked-in date
- 3.9.2.13 Status
- 3.9.2.14 Library defined
- 3.9.2.15 Free text notes area
- 3.9.2.16 Piece-level identification data
- 3.9.2.17 And include:
    - 3.9.2.17.1 Flags/alerts that are customizable
    - 3.9.2.17.2 Circulation information
    - 3.9.2.17.3 Renewal limits
    - 3.9.2.17.4 Format of physical item
    - 3.9.2.17.5 Preservation information
    - 3.9.2.17.6 Location history
    - 3.9.2.17.7 Donor information
    - 3.9.2.17.8 Trace information

3.9.3 The system ***should***

3.9.3.1 Not limit the number of items linked to a bibliographic record.

3.9.3.2 Automatically display in item records information from bibliographic, holdings, and other records, without re-keying.

3.9.3.3 Provide for the use of item records both as a means of conveying item-level information to users through messages in the OPAC and as a means of facilitating internal operations. Such use should be flexible and accommodate local options.

3.9.3.4 Maintain preservation information at the item level, including physical condition and date, proposed treatments and date, treatment priorities, and completion dates.

3.9.3.5 Create an item record on-the-fly.

3.9.4 The system ***should*** support global changes of individual fields in the item records.

3.9.5 The system ***should***

3.9.5.1 Distinguish and retrieve items by scanning or keying an ID number (barcode number), library/location, and/or by serial enumeration and chronology.

3.9.5.2 Recognize existing barcodes in use and should be able to accommodate different barcodes from those that currently exist.

3.9.5.3 Recognize unique barcodes in the system and prevent the assignment of duplicate barcodes.

3.9.6 Authorized staff ***should*** have the ability to delete item records but not if the item records have current circulation charges.

3.9.7 The system ***should*** allow a summary display of multiple item records associated with a bibliographic record and permit easy rearrangement of the order in their display.

3.9.8 The system ***should*** allow one item record to be linked to multiple bibliographic records (bound-withs and analyzed series.) When linked to multiple bibliographic records, the system ***should*** support the retrieval of any and/or all bibliographic records associated with the single item record.

3.9.9 The system ***should*** provide the means for distinguishing a physical item that accompanies another physical item (e.g., a CD that accompanies a book) when a single bibliographic record represents both. In the circulation module, the system ***should*** alert staff to the presence of such accompanying items upon charge and/or discharge of the item.

3.9.10 The system ***should*** support the use of both 10-digit and 14-digit barcode numbering schemes.

3.9.11 The system ***should***

3.9.11.1 Allow reporting from any item level field

3.9.11.2 Be able to select, count, and otherwise report on item record information by any and all item data elements.

3.9.12 At the circulation level, item records ***should*** maintain the following information:

3.9.12.1 Current charge information

3.9.12.2 User information

3.9.12.3 Date/time charged

3.9.12.4 Location of charge

3.9.12.5 Date/time due

3.9.12.6 Hold information

3.9.12.7 In-transit information

3.9.12.8 Delivery information

3.9.12.9 Circulation transaction activity

3.9.12.10 Last discharge date/time and location

3.9.12.11 Total number of times charged

3.9.12.12 Number of times charged year-to-date

3.9.12.13 Number of times used in-house

3.9.12.14 Number of holds

3.9.13 The system ***should*** provide a mechanism for keeping track of missing items, whether charged (long overdue) or not (claimed returned, not-on-shelf, etc.) This mechanism ***should*** facilitate reordering of individual physical items.

3.9.14 Item record statuses ***should*** include:

3.9.14.1 Lost

3.9.14.2 Missing

3.9.14.3 Bindery

3.9.14.4 In Processing

3.9.14.5 On order

3.9.15 The global changes to item records ***should*** include

3.9.15.1 Global change to all items linked to a specific bibliographic record

3.9.15.2 Global change to all items in a library/location

3.9.15.3 Global change to all items in the database

3.9.15.4 Global change to selected items based on specific item or bibliographic information

3.9.16 The system ***should*** allow summary item records linked to a bibliographic record to be easily re-linked, individually or collectively, to a different bibliographic record or location. The relinking ***should*** be permitted even if the item record(s) are charged. The charge ***should*** follow the item record.

3.10 Authority Control:

3.10.1 The authority control system ***must*** accept authority records from different sources including the Library of Congress, OCLC, and locally created records.

3.10.2 The system ***should***

3.10.2.1 Allow addition, modification, and deletion of authority records to be made by processing batches of incoming records from external sources

3.10.2.2 Match batches of incoming records against existing authority records to detect duplication

3.10.2.3 Overwrite existing authority records with new records when they match but retain existing links with bibliographic records

3.10.2.4 Allow modification of existing bibliographic records to be made by processing batches of incoming correct records from a vendor of authority control services. This process should include ability to match and overlay bibliographic data.

3.10.2.5 Support downloading of authority records from a bibliographic utility.

3.10.3 The system ***should*** support the import, export, creation, addition, deletion, storage and retrieval of full USMARC authority records for personal, corporate and conference names, series, uniform titles and subjects during the ordering, receiving, and cataloging process.

3.10.4 The system ***should*** support multiple subject thesauri and subject headings.

3.10.5 System ***should*** validate all new headings or changes to existing headings against authority records and generate an automatic report of any conflict with a cross-reference.

3.10.6 The headings that ***should*** be validated include:

3.10.6.1 Headings contained in imported authority records

3.10.6.2 Headings contained in imported bibliographic records

3.10.6.3 Newly created headings in authority records

3.10.6.4 Newly created headings in bibliographic records

3.10.6.5 Edited headings in authority records

3.10.6.6 Edited headings in bibliographic records

3.10.6.7 Both main headings and cross-references in authority records when new or changed

3.10.7 Validation routines ***should*** check both main headings and cross-references in existing authority records for a batch.

3.10.8 When a heading being validated matches a cross-reference, the system ***should*** offer option of substituting the valid heading.

3.10.9 System ***should*** support full hierarchical validation for names, series and subject headings.

3.10.10 System ***should*** not report heading/cross-reference conflicts when these conflicts occur due to being part of different thesauri/heading lists.

3.10.11 System ***should*** be able to report cross-reference conflicts.

3.10.12 When an authority record no longer has links to a bibliographic record, the system ***should*** generate a blind reference report.

3.10.13 The system ***should*** be able to suppress blind references from public display.

3.10.14 The system ***should*** be able to automatically identify and report to staff review all headings in bibliographic records that do not appear in authority file.

3.10.15 The system ***should*** be able to accurately match incoming records with existing authority records, including locally created records:

3.10.15.1 By Library of Congress control number and other thesaurus numbers

3.10.15.2 By OCLC number

3.10.15.3 By 1xx field text and thesaurus code when appropriate

3.10.16 The system ***should***

3.10.16.1 NOT require that the operator create an authority record for every heading used in the bibliographic record.

3.10.16.2 Support the lookup of authority data in national authority files accessed remotely.

3.10.17 The subject thesauri that ***should*** be supported include:

3.10.17.1 Library of Congress Subject Headings

3.10.17.2 Locally created terms

3.10.17.3 Form/genre terms from multiple thesauri

3.10.18 System ***should*** support the ability to indicate the thesaurus used for each heading and each cross reference in

3.10.18.1 Any authority records display

3.10.18.2 Any bibliographic records with headings

3.10.18.3 Ability to add new thesauri as needed.

3.10.19 The system ***should***

3.10.19.1 Support the ability to search all types of authority records in a single search with an integrated display result

3.10.19.2 Support the ability to limit the search to records from a single thesaurus

3.10.19.3 Support ability to browse authority file

3.10.19.4 Display appropriate cross-references for each authoritative form and see-also references to headings used in the bibliographic file

3.10.19.5 Support the ability to limit the search to names, series titles, uniform titles, or subjects at staff discretion

3.10.19.6 Allow easy lookup of authority records for headings in forms that may appear in the bibliographic file and authority records for headings that wouldn't necessarily appear in the bibliographic record.

3.10.19.7 Allow for display of broader and narrower terms at operator's request.

3.10.20 The system ***should*** support active links between authority records and associated bibliographic records and be linked in real time.

3.10.21 There ***should*** be automatic generation of changes to headings in all linked bibliographic records when changes are made to authoritative headings in the authority records.

3.10.22 Global conversion from one full heading to another ***should*** be supported.

3.10.23 Global conversion of data within a heading ***should*** be supported.

3.10.24 Global change capabilities ***should*** be done with a single command.

3.10.25 Global changes ***should*** have no limits to the number of records that can be changed.

3.10.26 Global deletions of obsolete tags ***should*** be supported.

3.10.27 System ***should*** support ability to retain authority records when no active bibliographic links exist.

3.10.28 System ***should*** support the automatic relinking of bibliographic headings to authority headings when authority records are merged or changed.

3.10.29 If a new heading is used in a bibliographic record under any defined field under authority control, and the heading does not match an existing authority record, the system ***should*** generate a brief, single line authority record for each new heading or automatically link to a national authority database and update authorized headings without operator intervention. Any new heading so created ***should*** be made available on a report.

3.10.30 The system ***should*** allow a selected bibliographic record to be copied to an authority control vendor for processing.

3.10.31 The system ***should*** be able to record and report the following data related to authority control activities:

3.10.31.1 Number and type of heading changes made by day, week, month, year

3.10.31.2 Number of bibliographic records affected by a heading change by day, week, month, year

3.10.31.3 Number of authority records maintained by the system by day, week, month, year

3.10.31.4 Number of unique headings by type of heading

3.10.31.5 Report of all authority records created

3.11 Electronic Resources:

3.11.1 The Library Commission subscribes to a number of electronic resources that are reflected within the OPAC. The system ***must*** support the use of URLs to link to such resources.

3.11.2 Support of electronic resources ***should*** include the following:

3.11.2.1 MARC 856 field and future fields as defined in the USMARC formats for electronic location and access to information

3.11.2.2 A URL checker, providing initial verification of URLs by staff and periodic verification and reporting of obsolete or invalid URLs

3.11.2.3 Open URL compliant

3.11.3 System ***should*** allow launching from a URL to an external online resource, initiating web browsers in separate windows or other applications as appropriate.

3.11.4 The system ***should***

3.11.4.1 Be able to generate an A to Z journal list that contains holdings information for a particular journal, regardless of format.

3.11.4.2 Support searching all database types including full-text databases, free databases, the Library Commission's local catalog, and other local library catalogs. Currently, the Library Commission and the State Archives and History Library subscribe to 80 authenticated databases.

3.11.4.3 Have a user authentication process to access electronic resources

3.11.4.4 Allow guest users to access electronic resources

3.11.5 Search results for electronic resources ***should*** be

3.11.5.1 Merged and de-duplicated "on-the-fly" when electronic resources are available from more than one aggregator.

3.11.5.2 Able to be sorted by date, title, author, and source.

3.11.5.3 Able to have a direct link to full-text articles, when available.

3.11.5.4 Able to allow users to refine searches

3.11.6 Users of our electronic resource ***should*** be able to do the following with an electronic search result list

3.11.6.1 Select individual records or all records in the list

3.11.6.2 Send selected records to a local printer

3.11.6.3 Send selected records to an email account

3.11.6.4 Save selected records to the patron account

3.11.7 The system ***should*** have an electronic resource management tool to help guide collection developers manage and build electronic resource collections. If the electronic resource management tool is a separate module, please indicate so and provide information about the module.

3.12 Web OPAC:

3.12.1 The system ***must*** allow multiple interfaces to access the catalog.

3.12.2 There ***must*** be the option to place a basic catalog search box on the agency's website.

3.12.3 The OPAC client ***must*** be offered through standard Web browsers such as NETSCAPE, INTERNET EXPLORER, and others such as AOL.

3.12.4 The system ***should*** permit the following types of user searching:

3.12.4.1 Author

3.12.4.2 Title

3.12.4.3 Subject

3.12.4.4 Keyword

3.12.4.5 Boolean

3.12.5 All fields in the record, regardless of type, ***should*** have the option to be part of the searching index.

3.12.6 The searches ***should*** be performed on real time catalog data.

3.12.7 The system ***should*** allow users to search for and identify records for all material types, including:

3.12.7.1 Monographs

3.12.7.2 Serials

3.12.7.3 Data files

3.12.7.4 Maps

3.12.7.5 Microforms

3.12.7.6 Vertical files

3.12.7.7 AV formats

3.12.7.8 Sound recordings

3.12.7.9 Manuscripts

3.12.7.10 Manuscript collections

3.12.7.11 Networked resources

3.12.7.12 Scores

3.12.7.13 Software

3.12.7.14 Analytics

3.12.7.15 Realia

3.12.7.16 Photographs

3.12.7.17 Slides

3.12.7.18 Prints

3.12.7.19 Documents

3.12.7.20 Annual reports

3.12.7.21 Technical reports

3.12.8 The system ***should*** have the ability to search on keywords in any field and have the system normalize punctuation, spacing, case, diacritics, and special characters.

3.12.9 The system ***should*** not place limits on the number of characters that are searchable for each field within a record.

3.12.10 The system ***should*** allow searches to be limited by any combination of:

3.12.10.1 Dates (including ranges)

3.12.10.2 Bibliographic format

3.12.10.3 Language

3.12.11 The system ***should*** support complete and truncated call number searching.
3.12.12 The system ***should*** allow the user to stop the search at any time.

3.12.13 The system ***should***

3.12.13.1 Display the search strategy and number of hits retrieved by each individual term in a multiple-term search.

3.12.13.2 Display search results in a visual manner to help facilitate material discovery.

3.12.13.3 Have the capability of saving, displaying, combining, and re-executing previous search commands, with or without editing, for the duration of a session.
3.12.14 The user ***should*** be able to search cross-references without re-keying.

3.12.15 The system ***should*** permit the user to generate a list of subject headings that match a search. The list could be

3.12.15.1 An alphabetical list of terms beginning with the searched term, such as a guide screen (a string search)

3.12.15.2 A list of headings containing the words searched (e.g. a keyword search for genetics that would retrieve Genetics, Developmental genetics, and Drosophila--Genetics)

3.12.15.3 An alphabetical list of terms beginning with the searched term,

3.12.15.4 A list of headings containing the words searched

3.12.16 Without re-keying, the system ***should*** allow selection of a traced heading, or any beginning part of a subdivided subject heading, in a bibliographic record.

3.12.17 The system ***should*** be capable of translating between different thesauri.

3.12.18 The system ***should***

3.12.18.1 Allow a user to enter a new search at any time, without backtracking through menus or displays.

3.12.18.2 Not require the use of special characters (e.g. "&" for Boolean "AND") in searching.

3.12.18.3 Allow selection of a traced heading or part of a traced heading in a bibliographic record without re-keying.

3.12.18.4 Allow "rotation" of corporate author subordinate bodies and uniform title parts in the string indices.

3.12.19 The system ***should*** be able to retrieve very large sets easily, both for keyword and string indices.

3.12.20 When large sets of records are retrieved for a search, the system ***should*** suggest or have readily apparent ways of limiting the search.

3.12.21 The system ***should*** display a readily understandable summary screen.

3.12.22 All indices ***should*** be updated in real time.

3.12.23 The system ***should*** support normalized index searching (i.e., well-ordered lists) for the following numbers:

3.12.23.1 LC control numbers

3.12.23.2 OCLC control numbers

3.12.23.3 Local system control numbers

3.12.23.4 ISBNs
3.12.23.5 ISSNs
3.12.23.6 Publisher's numbers
3.12.23.7 Government document numbers
3.12.23.8 Standard Technical Report Numbers
3.12.23.12 LC call numbers
3.12.23.10 Dewey call numbers
3.12.23.11 Local call numbers
3.12.23.12 Item call number
3.12.23.13 Series volume numbers
3.12.23.14 Numbers that are part of text fields
3.12.23.15 Item barcode
3.12.23.16 System record number

3.12.24 The system ***should*** normalize case, punctuation, spacing, diacritics and special characters in searches and indices, so these do not prevent matches. For example, retrieval of a word containing an umlaut would not require the keying of an umlaut. Also desirable is the ability to retrieve numbers whether they are entered as digits (45) or as words (forty-five or forty five).

3.12.25 When a search results in a list of class and call numbers or a list of bibliographic records is sorted by class and call number, the system ***should*** be capable of sorting numerical elements as integers or decimals, as appropriate.

3.12.26 Classification schemes that ***should*** be supported include:

3.12.26.1 Dewey Decimal System
3.12.26.2 SuDoc number
3.12.26.3 Technical report numbers
3.12.26.4 Local alphanumeric schemes.

3.12.27 The system ***should*** be able to index and display multiple languages and alphabets.

3.12.28 The system ***should*** allow the display and name of each index to be locally defined and modified.

3.12.29 The system ***should*** allow the library to define the type of user requests including:

3.12.29.1 Ability to request holds
3.12.29.2 Ability to view status of hold requests
3.12.29.3 Ability to view personal transaction
3.12.29.4 Ability to view existing fees
3.12.29.5 Ability to pay existing fees
3.12.29.6 Ability to renew materials
3.12.29.7 Ability to request interlibrary loans
3.12.29.8 Ability to ask reference questions
3.12.29.9 Ability to send comments to staff (suggestions)
3.12.29.10 Ability to request the purchase of a specific item (suggestions)

3.12.29.11 Ability to print the above information to an attached or networked printer

3.12.29.12 Ability to automatically insert the bibliographic information for the item being requested into the online request form.

3.12.30 The system ***should*** permit the following types of user searching:

3.12.30.1 OCLC number

3.12.30.2 LCCN number

3.12.30.3 ISBN number

3.12.30.4 ISSN number

3.12.30.5 Sound-like search

3.12.30.6 Proximity

3.12.30.7 Relevance

3.12.31 The system ***should*** have the capability to search for holdings by volume or issue.

3.12.32 The system ***should*** allow keyword searching of series volume numbering.

3.12.33 The system ***should*** allow searches to be qualified or limited by any combination of:

3.12.33.1 Publication type

3.12.33.2 Place of publication

3.12.33.3 Publisher

3.12.33.4 Country

3.12.33.5 Reproduction

3.12.33.6 Format

3.12.33.7 Location within library

3.12.33.8 Processing status

3.12.33.12 General material designator

3.12.33.10 Circulation status

3.12.34 The system ***should*** permit limits to be applied:

3.12.34.1 Pre-retrieval of a record set

3.12.34.2 Post-retrieval of a record set

3.12.35 The system ***should*** apply limits in the same way to any type of search. The system ***should*** allow multiple limits to be applied:

3.12.35.1 Simultaneously

3.12.35.2 In successive steps

3.12.36 The system ***should*** support the following keyword searches:

3.12.36.1 Right truncation

3.12.36.2 Internal truncation

3.12.37 The system ***should*** support the following in string searches:

3.12.37.1 Exact string

3.12.37.2 Head of string (implicit right truncation)

3.12.37.3 Embedded string (e.g., subject subdivision)

3.12.38 The system ***should*** support Boolean operations in the following ways:

3.12.38.1 Multiple words entered with a Boolean operator (dog OR canine)

3.12.38.2 Multiple words entered without a Boolean operator (i.e., Library-defined default operator prevails)

3.12.38.3 Nested Boolean combinations of search terms

3.12.39 The system ***should*** support search operations for terms in particular relation to each other by

3.12.39.1 Word adjacency

3.12.39.2 Word proximity

3.12.40 The system ***should*** allow the user to customize a session by specifying:

3.12.40.1 Search limits

3.12.40.2 Default index searched

3.12.41 The system ***should*** clearly display any user-profiling in effect, so another user coming up to the same terminal can't be misled about settings left by a previous user. Failing that, the system ***should*** allow a user to find out the system default settings currently in effect.

3.12.42 The system ***should*** allow the user to save a customized profile for a future search session.

3.12.43 The system ***should***

3.12.43.1 Provide a cue or message to indicate that the system is working when a search is executed.

3.12.43.2 Be capable of suspending potentially long searches at a predetermined point and providing the user with certain options: narrow the search key, terminate the search, examine a portion of the hits, and continue the search.

3.12.44 The system ***should***

3.12.44.1 Provide helpful feedback to users when there are no matching search results. For example, if there are no hits for a string search, the system could suggest a keyword search.

3.12.44.2 Display the index entries, which precede and follow the term searched when there are no direct matches to a search query.

3.12.45 When a title (string) search begins with an article and produces no hits, the system ***should*** offer to redo the search without the article.

3.12.46 The system ***should*** have the ability to automatically redo failed searches at the user's request using a different search type, e.g. singular/plural stemming, internal dictionaries of alternative spellings with option for library to add terms to the dictionaries.

3.12.47 If the system supports the use of stopwords, the system ***should*** use a Library Commission defined list for each keyword index.

3.12.48 The system ***should*** allow the list of stopwords in any single search or in any search session to be overridden.

3.12.49 If a stopword is used in a search, the system ***should*** respond with a message to help the user formulate a new search.

3.12.50 The system ***should*** be

3.12.50.1 Capable of saving searches on the user's local system or diskette, and repeating the searches at a later time or against another database.

3.12.50.2 Able to execute a saved search automatically on a regular schedule.

3.12.51 There ***should*** not be blind cross-references; cross-references displayed in the system should reflect only headings used in the bibliographic file.

3.12.52 Matched cross-references ***should*** display with the initial results of a headings search. The user ***should*** be able to specify that they not display.

3.12.53 The result of a search limited by location, format, etc., ***should*** not include cross-references that would be blind if subject to the same search limit(s).

3.12.54 In the system, the user ***should***

3.12.54.1 Be able to enter a subject search and retrieve a list of bibliographic records, without an intervening list of subject headings.

3.12.54.2 Display explanatory descriptions of subject headings.

3.12.55 If a subject search produces no hits, the system ***should*** suggest other approaches.

3.12.56 The system ***should***

3.12.56.1 Allow searching foreign language material in the original script.

3.12.56.2 Retrieve and display, at the library's option, variant forms of a word when the root of the word is entered.

3.12.56.3 Allow selection of an entry from a list without re-keying.

3.12.57 All fields and their sub-fields ***should*** be available to be keyword and string indexed with complete flexibility in defining indexes.

3.12.58 Authority records ***should*** be fully searchable in the OPAC.

3.12.59 System ***should*** allow retrieving bibliographic, authority, and item records based on, and not limited to, each of the fields listed below singly or in combination.

3.12.59.1 Name fields, including all sub-fields and names or name/title combinations as subjects.

3.12.59.2 Name/title combined index (MARC 1xx, 24x, 6xx, 7xx, 8xx)

3.12.59.3 Titles and subtitles, including series (serial titles, series added entries and series volume numbering)

3.12.59.4 Subjects, including local subject headings

3.12.59.5 Leader

3.12.59.6 Notes

3.12.59.7 Name combined indexes - for example, all names (combined MARC 100,110,700, 710,600,610 index) as well as separate author and subject searches, and separate personal name and corporate name searches.

3.12.59.8 Publisher

3.12.59.9 Place of publication

3.12.59.10 008

3.12.59.11 Library location

3.12.59.12 Local notes

3.12.59.13 Local headings

3.12.59.14 Physical description field

3.12.59.15 Geospatial data

3.12.59.16 Fields heavily used in archival description, such as MARC 655 (Genre/Form), 656 (Occupation) and 657 (Function) should be indexed. For archival records, subject keyword searches should include not only subject fields (MARC 6xx), but also MARC 520 (Scope and Content Note), and 545 (Biographical and Historical Note.)

3.12.60 With-in the system, it ***should*** be possible

3.12.60.1 For words from a particular field to appear in both a specific and the general keyword index (e.g. words from the 650 indexed in the keyword subject index and also the keyword general index).

3.12.60.2 To define keyword indexes based on sub-fields as well as fields (e.g., 700 sub-field $a should appear in the keyword author index, but 700 sub-field $t in the keyword title index).

3.12.61 It ***should*** be possible to specify different indices for different types of call numbers.

3.12.62 The system ***should*** support multiple thesauri and vocabularies.

3.12.63 The library ***should*** be able to define searching indices and configure all searching indices after initial implementation without ILS vendor intervention.

3.12.64 The system ***should*** have the ability to

3.12.64.1 Export records to a file

3.12.64.2 Save records to a disk

3.12.64.3 Mark records for batch printing on a local or system printer

3.12.64.4 Mark individual records for emailing

3.12.64.5 Interrupt/abort print jobs in progress or at any time during the print job

3.12.64.6 Include URLS in the bibliographic record to be a clickable link.

3.12.65 The system ***should*** have an electronic commerce feature for the user to pay fees, request duplication of materials, etc. It is preferable that the vendor sponsors the electronic commerce feature, if not, please specify the third party.

3.12.66 The system ***should*** display book jackets and container covers with-in record displays.

3.13 Federated Searching:

3.13.1 The system ***should***

3.13.1.1 Allow the federated search screen to be the default user interface

3.13.1.2 Be customizable based on library defined policies on e-collection use

3.13.1.3 Provide an interface screen similar to that of the OPAC

3.13.1.4 Be open-URL compliant

3.13.1.5 Provide a method of authentication and authorize users for use of subscription databases based on

3.13.1.5.1 User ID

3.13.1.5.2 IP Address

3.13.1.5.3 Both

3.13.2 Federated searching options ***should*** include

3.13.2.1 Author

3.13.2.2 Title

3.13.2.3 Subject

3.13.2.4 Keyword

3.13.2.5 Advance searching capabilities.

3.13.2.6 Users ***should*** be able to limit or expand searches on the following resources

3.13.2.6.1 The OPAC and other institutional library catalogs within the State via Z39.50 connections

3.13.2.6.2 Subscription databases

3.13.2.6.3 Electronic resources

3.13.2.7 The federated searching "module" ***should***

3.13.2.7.1 Work with the interlibrary loan module to allow users to request materials.

3.13.2.7.2 Provide a result list:

3.13.2.7.2.1 That is uniform and easy for the user to navigate through

3.13.2.7.2.2 That has the option for the user to view a brief or full citation with links to full text sources or OPAC records

3.13.3 The federated searching "module" ***should*** allow searches' results to be a de-duplicated.

3.13.4 The federated searching "module" ***should*** allow users

3.13.4.1 To customize their search to save to a user ID account or profile

3.13.4.2 Save search histories to a user ID account or profile

3.13.4.3 Schedule alerts when new material is available through a user ID account or profile.

3.13.5 The federated searching "module" ***should*** be able to

3.13.5.1 Run in conjunction with all firewalls.

3.13.5.2 Track the number of simultaneous users of the databases.

3.13.5.3 Track user statistics for a library specified date and time range and provide reporting based on the number of users, user type, resource(s) used, length of time resource is used, etc.

3.13.5.4 Have built-in, user friendly help screens

3.13.5.5 Be customizable

3.13.5.6 Be able to create menus and submenus with sufficient space for annotations describing resources available

3.14 Circulation:

3.14.1 When charging items, the module ***should***

3.14.1.1 Record the following transaction information for the charging function:

3.14.1.1.1 Date/time

3.14.1.1.2 Location

3.14.1.2 Charge items immediately and in real time.

3.14.1.3 Charge by keying or scanning a user ID and an item's unique ID

3.14.1.4 Support multiple loan periods, measured by date and/or time with fixed due dates/times and provide the ability to add new loan periods and change existing ones.

3.14.1.5 Support multiple circulation points, different library calendars, and variable opening/closing times and open/closed days that can be modified online.

3.14.1.6 Allow loan periods based on material type and location and provide online modification.

3.14.1.7 Allow authorized staff to override system-determined due dates/times.

3.14.1.8 Validate users prior to charging; user ID should be currently valid; authorized staff should be able to override.

3.14.1.9 Allow items to be charged out to a user ID number immediately after user record is created.

3.14.1.10 Allow staff to enter a user ID only once to charge multiple items to the same user.

3.14.1.11 Have the ability to close charging transactions with a user's ID

3.14.1.12 Prompt to retain existing charge or to continue with new charge if an item is already charged.

3.14.2.1 When charging items, the module ***should:***

3.14.2.1 Require entry of a user ID before allowing more books to be charged if a charging station (terminal) has no activity for a specified period of time.

3.14.2.2 Maintain or break off completely any link between users and materials they check out.

3.14.2.3 Provide the capability to circulate and control materials exhibiting the following conditions:

3.14.2.3.1 Items not represented by full permanent bibliographic records

3.14.2.3.2 Items without detailed holdings

3.14.3.3.3 Items temporarily added to the system

3.14.2.3.4 Items temporarily added to the system for interlibrary loan

3.14.2.4 Have the ability to completely turn off and hide all functions not used, for instance course reserves.

3.14.2.5 Provide customizable audible and/or visual indication of successful or unsuccessful charge transaction.

3.14.2.6 Provide circulation backup capability when the system is down.

3.14.2.7 Generate for each unit a daily report of charge transaction activity

3.14.2.8 Provide easy to read statistics for in-house use.

3.14.3 When discharging, the system ***should***:

3.14.3.1 Break the link between user and item

3.14.3.2 Record the following transaction information for the discharging function:

3.14.3.2.1 Date/time

3.14.3.2.2 Location

3.14.3.3 Discharge items immediately and in real time

3.14.3.4 Discharge an item that is not charged

3.14.3.5 Allow items to be discharged by keying or scanning the item's unique ID.

3.14.3.6 Discharge an item presented for charge, if it was not previously discharged.

3.14.3.7 Calculate overdue periods at the time of discharge.

3.14.3.8 Allow discharged items to be available to another borrower immediately.

3.14.3.9 Accept fees calculated by us and be able to turn off all fines.

3.14.3.10 Calculate and post fees to the user accounting sub-system immediately and be able to record payments at the time of discharge.

3.14.3.11 Permit authorized staff to backdate the discharge

3.14.3.12 Generate customizable audible and/or visual signals to alert the operator to these conditions:

3.14.3.12.1 Item was successfully discharged

3.14.3.12.2 No item record for the ID number entered

3.14.3.12.3 Status of item is other than charged, in transit, or missing

3.14.3.12.4 Item on hold, recall, claims returned, or trace.

3.14.3.13 Generate a readable daily report of discharge transaction activity (distinguishing browses or in-house circulation.)

3.14.4 When discharging, the system ***should*** produce a receipt stating date/time and location of discharge.

3.14.5 When renewing an item, the system ***should***

3.14.5.1 Renew items by keying or scanning a user ID and the item ID, or by marking a list of items charged to a user ID.

3.14.5.2 Allow authorized staff to renew any and all items charged to a user ID through a single transaction or by selection.

3.14.5.3 Support a variety of renewal periods, including by material type, with flexibility to add new renewal periods or change existing ones.

3.14.5.4 Determine whether an item is renewable.

3.14.5.5 Generate customizable audible and/or visual signals to indicate:

3.14.5.5.1 Item is overdue

3.14.5.5.2 Item has a hold placed on it

3.14.5.5.3 User is blocked or loan period exceeds expiration date of privileges

3.14.5.5.4 Item is on trace, missing, or lost

3.14.5.5.5 Item has been renewed the maximum number of times, specifying the maximum number.

3.14.5.6 Allow authorized staff to override renewal restrictions under specific conditions, such as

3.14.5.6.1 Renewal by user lacking renewal privileges

3.14.5.6.2 Renewal of an item that is a material type not normally renewable

3.14.5.6.3 Renewal of an item for other than pre-set renewal period.

3.14.5.7 Record method of renewal, e.g., e-mail, by user through OPAC, etc.

3.14.5.8 Generate for each unit a readable daily renewal transaction activity report at the unit.

3.14.6 The system ***should*** allow all recall functions to be turned off.

3.14.7 For holds, the system ***should***

3.14.7.1 Permit an unlimited number of hold requests for an item.

3.14.7.2 Support the placement of holds on

3.14.7.2.1 All copies of a title

3.14.7.2.2 First available copy of a title

3.14.7.2.3 A specific copy of a title

3.14.7.2.4 Items in transit, on order, or in process

3.14.7.3 Permit authorized staff to place a hold on an item by scanning or keying a user's ID and linking it as a hold request to an item record.

3.14.7.4 Record and display all holds immediately.

3.14.7.5 Support placement of holds through the online catalog by users:

3.14.7.5.1 Allowing a borrower to place holds and cancellations with easily understandable prompts and online contextual help

3.14.7.5.2 Preventing a borrower from placing a hold on an item already charged out to that same borrower, or if that borrower is already in the hold queue for that item.

3.14.7.6 Establish a hold queue for a specific item, based on the order in which holds are placed.

3.14.7.7 Allow authorized staff the ability to

3.14.7.7.1 Modify the order of a hold in a queue

3.14.7.7.2 Cancel a hold in a queue

3.14.7.7.3 Specify an expiration date for a hold

3.14.7.7.4 Cancel a hold based on the number of days it remains in a hold queue

3.14.7.7.5 Cancel a hold in a specified number of days after the notice is sent.

3.14.7.7.6 Automatically cancel a hold based on

3.14.7.7.6.1 Number of days in hold queue

3.14.7.7.6.2 Number of days after a notice is sent

3.14.7.7.6.3 Expiration of a hold request period.

3.14.7.8 Support a variety of limits on the length and time for which an item will be held for a borrower and allow authorized operator overrides of such limits.

3.14.7.9 Allow for automatic (borrower or staff) or manual (staff) due date changes, including shortened due dates.

3.14.7.10 Automatically cancels outstanding holds after the expiration of a specified period of time as defined locally by the library.

3.14.7.11 Be capable of preparing a cancellation notice for each hold canceled.

3.14.7.12 Automatically prepare a notice of availability for the next user in the hold queue when

3.14.7.12.1 A hold is cancelled automatically or manually

3.14.7.12.2 The item is available (discharged)

3.14.7.12.3 A hold has lapsed (locally specified number of days has expired.)

3.14.7.13 Automatically detects when an item with a hold on it becomes available for charges and provide customizable audible and visual signals to the operator.

3.14.7.14 Provide staff notification of the next user in the hold queue when there is a lapsed or canceled hold.

3.14.7.15 Prompt an operator placing a hold as to

3.14.7.15.1 The number of holds already queued for an item

3.14.7.15.2 When a hold cannot be placed and provide an explanation

3.14.7.15.3 A library-defined limit has been reached for active holds at that unit.

3.14.7.16 Support a hold period defined in months, days, or years.

3.14.7.17 Automatically removes a hold from the queue when an item is charged out to a user who has a hold on it.

3.14.7.18 Allow authorized staff to cancel any hold or all holds on a single item with a single command.

3.14.7.19 Block charge out of held items to all but the requester and the requesters' proxies. Staff ***should*** have the ability to override this function.

3.14.7.20 Be capable of generating daily readable reports of hold transaction activity for the system.

3.14.8. For discharging an item with a hold, the system ***should*** be able to

3.14.8.1 Charge it to a hold shelf

3.14.8.2 Give a customizable audible and visual sign to a staff member

3.14.8.3 Display information about the hold/recall screen

3.14.8.4 Print a routing slip if requested by the operator.

3.14.8.5 Be capable of producing a report of items with multiple hold requests.

3.14.8.6 Recognize different categories of borrowers and loans and be able to disallow holds for/from certain ones.

3.14.9 For holds, the system ***should*** allow variations in the loan period to be specified when charging out an item for which a hold queue exists.

3.14.10 The module ***should***

3.14.10.1 Allow authorized staff to request items in transit, on order, or in process, even though these items are not currently charged and may not have item records.

3.14.10.2 Support requests for these materials by users through the OPAC.

3.14.10.3 Provide customizable audible and visual signals to the operator when such an item is discharged.

3.14.10.4 Automatically prepare a notice of availability when such an item is available.

3.14.10.5 Allow authorized staff to cancel a request for such an item with a single command.

3.14.11 The system ***should*** provide a mechanism for tracking materials through various processing states such as pre-circulation processing, binding and end-processing, and missing/lost stages.

3.14.12 For tracking and inventory control, the system ***should*** be able to

3.14.12.1 Support an inventory of an individual library's collections or call number delineated portions of a library's collection.

3.14.12.2 Generate an inventory report in call number order/author order/title order/etc. The item listed on the report ***should*** be described at least by

3.14.12.2.1 Barcode

3.14.12.2.2 Item call number

3.14.12.2.3 Copy number

3.14.12.2.4 Author and title

3.14.12.2.5 Status

3.14.12.2.6 Last date circulated/used in library.

3.14.12.3 Have the capability to enter the date of the inventory task into the record for each item inventoried.

3.14.12.4 Perform the inventory and circulation functions concurrently while the system is publicly available.

3.14.13 In relation to billing/fees and user accounting, the system ***should***

3.14.13.1 Provide automatic computation of fees and replacement assessments

3.14.13.2 Keep operations simple, efficient and error-proof as possible

3.14.13.3 Allow for exceptions to pre-established policies when circumstances warrant.

3.14.13.4 Permit libraries to bill readers for special services rendered or products delivered in a manner compatible with billing for fees, etc.

3.14.13.5 Provide adequate accounting for fees and assessments and for the settlement of these obligations whether settled within the library or by another agency.

3.14.14 The user accounting subsystem ***should*** interact with other circulation functions.

3.14.15 All billing information for an individual ***should*** be accessible from their record in the user file.

3.14.16 The module ***should***

3.14.16.1 Allow setting a maximum fee amount at which circulation functions are prohibited unless overridden by authorized staff.

3.14.16.2 Be capable of automatically calculating fees and charges as a library defined fixed amount charge.

3.14.16.3 Accommodate variations in fee policies for format categories, etc.

3.14.16.4 Allow users to view their own bill/fee records in an easily understandable format.

3.14.16.5 Provide a default replacement charge according to the library's policy and have the capacity to modify the default value.

3.14.16.6 Have the capability to either automatically or manually set an overdue item's status to "lost" at library specified intervals.

3.14.16.7 Allow recording of charges in a number of categories including:

3.14.16.7.1 Replacement charges

3.14.16.7.2 Processing fees

3.14.16.7.3 Interlibrary loan charges

3.14.16.7.4 Document delivery

3.14.16.7.5 Damages

3.14.16.7.6 Other

3.14.16.8 Calculate the fee, display the fee or charge and permit authorized staff to record payment, waive the charge or enter with no payment.

3.14.16.9 Allow authorized operators to override overdues or fee conditions to permit a loan of material.

3.14.16.10 Calculate fees for "processing fees"

3.14.16.11 Accept payment in a variety of forms

3.14.16.12 Have the ability to accept full or partial payment of feeds and charges

3.14.16.13 Record the time, place, operator ID, amount and type of payment, and be able to supply a receipt for each transaction.

3.14.16.14 Maintain an audit trail of fees and charges providing a history at the item and borrower level.

3.14.16.15 Provide levels of operator authority for accessing user bill/fine records, accepting payment or waiving fines.

3.14.16.16 Generate overdue notices which include:

3.14.16.16.1 User information

3.14.16.16.2 Call number for item

3.14.16.17 Bibliographic and circulation information in a variety of formats.

3.14.16.18 Sort and print fee and overdue notices in any order

3.14.16.19 Allow notices to be generated at intervals defined by the library.

3.14.16.20 Allow the library to define the content of its notices.

3.14.16.21 Display a summary of a user's open and closed bill/fine record as well as individual bill/fee records.

3.14.16.22 Allow bill/fee functions to be browsable. This feature should allow staff to easily move between records and displays.

3.14.16.23 Have the ability for authorized operators to manually create a bill/fee record

3.14.16.24 Delete the replacement charge or generate a report to issue a refund if a replacement charge has been assigned to a borrower record, and the item is later discharged.

3.14.16.25 Have the ability to update bill/fee records online

3.14.16.26 Have the ability to allow authorized operators to correct errors, waive or cancel fees, issue credits, etc.

3.14.17 For inclusion on bills and bill displays, the module ***should*** record

3.14.17.1 User's name/or proxy user name, ID, address

3.14.17.2 Item's barcode number, call number, author, title

3.14.17.3 Amount of charge for each item

3.14.17.4 Total amount of all charges

3.14.17.5 Billing date, payment date

3.14.17.6 Location of charge, date of a charge, and due date of transaction.

3.14.17.7 Include bill/fee accounting in operation reports.

3.14.17.8 Update user records automatically as the status of the user account changes.

3.14.17.9 Have a "claims returned" designation and track the number of times unresolved, "claims returned" is assigned to a borrower's record.

3.14.17.10 Have the ability to block a user's borrowing privileges for unpaid obligations.

3.14.18 The system ***should*** have a back-up circulation system.

3.14.19 This back-up system ***should***

3.14.19.1 Have the ability to download a specific number of blocked user records to block circulation of library materials to them when the system is off-line

3.14.19.2 Allow the back-up workstation to connect to the central system and upload circulation transactions stored in the back-up workstation.

3.14.19.3 Allow the back-up workstation to connect to the central system and download circulation transactions from the central system to be stored in the back-up workstation.

3.14.19.4 Have the ability of the central system to set the due date for items checked out on the backup system at the time they are uploaded to the central system.

3.14.19.5 Have the ability of the central system to set the check out and/or check in dates for items checked out on the backup system.

3.15 User Data:

3.15.1 The user record ***should*** include the following data:

3.15.1.1 Name, in a form that permits customary forename-surname addressing of printed communication

3.15.1.2 User barcode number. The system ***should*** be able to accommodate both 10- and 14-digit user barcode numbers.

3.15.1.3 Work address and phone number

3.15.1.4 Home or permanent address and phone number

3.15.1.5 E-mail address

3.15.1.6 Statuses

3.15.1.7 Total amount of outstanding fees

3.15.1.8 Local notes at the user record level

3.15.1.9 Date record added to file

3.15.2 The user record ***should***

3.15.2.1 Have an address preference indicator

3.15.2.2 Record the date and source of latest update of data excluding fine total.

3.15.2.3 Provide a means for authorized staff and/or users (using secure access to their own user data through the online catalog) to enter and edit profiling data in the user record, such as keyword research interests and catalog search/display limits.

3.15.3 The system ***should*** allow provisions for institutional users (places, locations, ILL binding, companies,) as well as for individual persons.

3.15.4 The user file ***should*** be able to accommodate at least 50,000 active individual and institutional library borrowers.

3.15.5 The user record ***should***

3.15.5.1 Allow for variable length fields

3.15.5.2 Allow for addition of new fields

3.15.5.3 Allow for modifications of existing fields

3.15.5.4 Allow authorized staff to add, maintain, view, update, and delete user information online.

3.15.5.5 Be able to validate required data and prompt for data if it is missing, and should generate a customizable audible and/or visible signal in case of error.

3.15.5.6 Preserve the uniqueness of user IDs.

3.15.5.7 Able to batch remove or archive expired user records that have no loans or account records associated with them.

3.15.5.8 Be flexible in specifying criteria for purging records

3.15.5.9 Block the deletion of a user record when outstanding fees and/or current transactions are present.

3.15.5.10 Allow for changes in ID number while maintaining links to loan and user account records.

3.15.5.11 Fully link a user's loan and account records with user data

3.15.5.12 Reflect changes to user information in subsequent circulation activities.

3.15.5.13 Have the ability to link the borrowing activity of multiple related users while maintaining the information pertaining to each user (examples of user groups to be linked include: a law firm with various representatives, an individual who has had several different IDs over a period of time, elected officials with various proxy representatives, or a corporate user whose individual borrowers are issued individual IDs)

3.15.5.14 Allow any blocks (e.g. possibly, an unpaid bill) on an individual record could result in a block on all linked records (authorized staff should have option to make such a decision)

3.15.5.15 When primary borrower's privileges expire, all associated borrowers' privileges will also expire, but associated date (e.g., books charged out) will be retained.

3.15.5.16 Library can select one of the following options for sending reports (e.g., overdue notices) to linked records:

3.15.5.16.1 Send to master record only

3.15.5.16.2 Send to linked record only.

3.15.5.16.3 Send to both

3.15.5.17 If the borrowing privileges of the master record are limited (e.g., max. of 7 items checked out at one time) such limits will apply to all linked cards in the aggregate, so that the combined totals for all linked cards remain within the limits.

3.15.5.18 Notify staff when a user uses an ID card on or after its expiration date. This notification should be a customizable audible and/or visual signal.

3.15.5.19 Be able to automatically block borrowing privileges when exceptional conditions exist, such as

3.15.5.19.1 User record has expired

3.15.5.19.2 User has unpaid fees beyond a library-specified limit

3.15.5.19.3 User has items overdue beyond length of time specified by library

3.15.5.19.4 User's "claims returned" status or "reported lost" status exceeds a library-specified limit

3.15.5.20 Allow authorized staff to place or override blocks online.

3.15.5.21 Be able to allow authorized staff to modify library-specified limits for blocks without programmer intervention.

3.15.5.22 Prevent unauthorized viewing of user data.

3.15.5.23 Allow authorized staff to view all of a user's current circulation transactions including charged items, holds, and fees, including the reason for them.

3.15.5.24 Allow authorized staff to view subsets of a user's current circulation transactions, such as all charged items, items overdue, and holds.

3.15.5.25 Permit the production of reports of statistics based on the contents of any one field or combination of fields in the user record. These reports should be available in a variety of formats, at regular specified intervals and on demand.

3.15.5.26 Allow retrieval of borrower records by searching for, but not limited to:

3.15.5.26.1 ID number

3.15.5.26.2 Name

3.15.5.26.3 Phone number

3.15.5.26.4 City

3.16 Interlibrary Loan:

3.16.1 The system ***must*** support both library staff and user initiated ILL transactions for all formats of materials including returnable materials and non-returnable materials such as photocopies and digital formats.

3.16.2 The system ***must*** provide for ILL for items found in other catalogs, but not in the library's database, by providing an interface to any external ILL or document delivery system, i.e. OCLC, DOCLINE, etc.

3.16.3 The system ***must*** support the latest versions of current standards, including but not limited to:

3.16.3.1 Z39.63 NISO Standard for Interlibrary Loan Data Elements

3.16.3.2 ISO 10160/10161 Interlibrary Loan Application Service Definition and Protocol Specification

3.16.4 The system ***should*** have the capability to accept loan requests from both public and remote access workstations including via Internet.

3.16.5 The system ***should*** work with the circulation system to block requests from users who have exceeded certain limits, such as number of items charged out, amount of money owed including ILL fees, the number of items overdue, the number of ILL requests permitted at one time, or have other restrictions on their records.

3.16.6 The system ***should*** have the capability to accept multiple staff-initiated ILL requests on behalf of a user.

3.16.7 The system ***should*** assign a transaction number, date, and time to each ILL request when entered.

3.16.8 The system ***should*** permit users to view their ILL activity requests at public and/or remote-access workstations, under user security restraints, at the option of the library.

3.16.9 The system ***should*** provide query access by authorized staff to ILL and document delivery requests. Such requests are expected to be searchable to any or all of the following:

3.16.9.1 Bibliographic field

3.16.9.2 User ID

3.16.9.3 User name

3.16.9.4 Originating library

3.16.9.5 Transaction status

3.16.9.6 System assigned transaction number

3.16.10 The system ***should*** maintain an online archive of completed ILL requests.

3.16.11 For the archived ILL requests, the system ***should*** provide the following searches:

3.16.11.1 User name and/or type

3.16.11.2 Periodical/item title

3.16.11.3 Item author

3.16.11.4 Lending library

3.16.11.5 Borrowing library

3.16.12 The system ***should*** have the capability to integrate ILL fees with other fees into the user's fine account.

3.16.13 The system ***should*** interface the ILL module with the other modules.

3.16.14 The system ***should*** allow online or printed reports by category of ILL:

3.16.14.1 Completed

3.16.14.2 Received

3.16.14.3 Returned

3.16.14.4 Will supply

3.16.14.5 Shipped

3.16.14.6 Unfilled

3.16.15 The system ***should*** provide library specific notes and provide a variety of local options for handling cases where the requests exceed copyright limits; block the request; refer the requestor to a specific library dept; accept the request and refer the request to a staff person for handling; etc.

3.16.16 The system ***should*** provide a default copyright compliance notice with a local option to create a library specific notice. It is of the utmost importance that the user request interfaces display the appropriate copyright compliance notice before allowing the request for a copy to be made.

3.16.17 The system ***should*** inform the user when he or she has requested an item, which is not available due to copyright restrictions.

3.16.18 The system ***should*** supply a copyright compliance report listing the journal title and article citation of all non-returnable items requested from non-commercial suppliers.

3.16.19 At the initiation of ILL staff, the system ***should*** block requests to and from libraries that are not currently able to fill requests.

3.16.20 The system ***should*** have the ability to profile the routing of messages, requests, and other batch products in such a way that each product may have a different profile, if needed.

3.16.21 If the request is cancelled, the system ***should*** notify the local user or requesting system about the cancellation and the reason for cancellation.

3.16.22 The unmediated feature ***should*** provide the library with the option of creating profiles of potential lending libraries, or groups of lending libraries, in priority order, to which request records are routed automatically.

3.16.23 When groups of lending libraries are defined as equivalent in priority, the system ***should*** rotate requests among the group in order to simulate load leveling or accommodate existing policies regarding filing requests.

3.16.24 The system ***should*** support requests for physical items, document photocopies, and materials in electronic format.

3.16.25 Additional information such as volume, number, page, article, author, title, etc., as well as user/staff notes ***should*** be allowed in the request.

3.16.26 The system ***should*** be able to collect the bibliographic information for the request from a variety of sources including:

- 3.16.26.1 Results of a search of a local catalog
- 3.16.26.2 Results of a search of one or more external catalogs or databases

3.16.27 The request interface ***should*** provide the option for blank request templates that can be used to request items/information resources that have not been located in one of the local, remote catalogs, or databases.

3.16.28 Document requesting ***should*** seamlessly interface with the online catalog searching system and support the ability to search multiple remote catalogs and databases simultaneously.

3.16.29 If the item specified by a multiple institution search is requested, all of the institutions that satisfy the request ***should*** be recorded in the request transaction.

3.16.30 Locally held items ***should*** be dynamically identified for the user, user or staff, by the system.

3.16.31 Willingness to pay a fee, if charged by lending library and/or document supplier, ***should*** be verified by user or staff before actually placing a request. Payment options ***should*** be chosen at this time.

3.16.32 The system ***should*** capture and/or impact the following data from a remote catalog or database, using NISO standards, from user or staff input:

3.16.32.1 Bibliographic/citation information

3.16.32.2 Location, call number, shelf status

3.16.32.3 Date item is no longer needed

3.16.32.4 Availability of the item to fill ILL request

3.16.33 They system ***should*** allow staff to add verification information to a request record.

3.16.34 The document request system ***should*** inter-operate with OCLC.

3.16.35 The ILL staff ***should*** be able to place ILL request via OCLC and other ILL request systems.

3.16.36 The ILL staff ***should*** to be able to receive requests from OCLC and other ILL request systems.

3.16.37 The system ***should*** have the ability to

3.16.37.1 Send ALA compatible electronic ILL requests to suppliers

3.16.37.2 Print ALA compatible forms for mailing to suppliers.

3.16.38 The user request interface ***should*** collect user information and authenticate the user.

3.16:39 Once authenticated, the system ***should*** verify the user's authorization to place a request; criteria for authorization ***should*** be flexible based on Commission specified policies.

3.16.40 User interface ***should*** provide an option for the library to specify how many requests can be placed.

3.16.41 The user ***should*** have the option to cancel a request prior to sending it.

3.16.42 The system ***should*** allow the user, upon authentication, to cancel a pending request at any time before a lending library receives the request.

3.16.43 The system ***should*** allow the unique transaction number assigned to the request to be used to check out the item if the user requests to pick the ILL item up at the library. This circulation transaction ***should*** appear on the user's activity record until the item is checked back in.

3.16.44 The library ***should*** have the option to specify what delivery options are to be supported and offered to the user.

3.16.45 The request interface ***should*** allow the library to charge users for all or any of the charges related to 3.16.44.

3.16.46 The interface ***should*** provide an online verification that the request has been successfully placed. This verification ***should*** contain the requests system-assigned unique transaction number, the item's bibliographic information, date/time the request was placed, the target institution/supplier, the estimated cost, and the selected delivery site.

3.16.47 The system ***should*** provide the capability for a user to search for his/her own outstanding request; it is the utmost importance that the request to search be validated by authenticating the user.

3.16.48 The system ***should*** include a messaging feature to allow borrowing and lending library staff to communicate via messages on the ILL request record. This feature is expected to follow standards for an ongoing dialogue with notification of pending messages via the status-tracking file.

3.16.49 The system ***should*** provide for multiple potential lenders on a request record and is expected to automatically forward the request from one lender to the next.

3.16.50 The automatic forwarding ***should*** occur after a library specified number of days.

3.16.51 The system ***should*** capture the correct call number from each successive potential lender and correlate this information to the appropriate lender in successive requests.

3.16.52 The system ***should*** assign a unique and searchable number to identify transactions. This transaction number is expected to stay with the transaction from start to finish.

3.16.53 The system ***should*** dynamically detect and reject duplicate requests from the same user providing that user with a message giving the reason for the rejection.

3.16.54 The system ***should*** send requests directly to the holding library system or document supplier if they can be identified, and will accept non-mediated requests.

3.16.55 The system ***should*** allow staff to identify a holding library at which point the request is forwarded to the destination or the request is rejected per library policy.

3.16.56 The system ***should*** flag multiple requests for the same item intended for the same borrowing library even if the requests are new or in process at the lending library.

3.16.57 The system ***should*** provide the ILL staff with the ability to download batch pending requests and to sort the requests and print pull slips or lists that include bibliographic information, local call number, all lending library locations, unique system identification numbers, ship to address, and other locally specified information.

3.16.58 The system ***should*** set status values automatically during item processing, of individual items during staff review, or in a batch updated based on institution specific criteria, such as status, date in queue, institution, etc.

3.16.59 When the user's item arrives, the system ***should*** generate a status change in the system and also generate an electronic/print notice that is sent to the user noting that the item has been received.

3.16.60 The staff management interface ***should*** allow purging of completed transactions by a variety of criteria, including date and item type.

3.16.61 The system ***should*** record the date/time associated with each status change during the ILL.

3.16.62 The ILL system ***should*** maintain statistics on the time taken for ILL work forms to move from any specified status to another, based on library selection, e.g., from pending to shipped, and from pending to received. These statistics ***should*** be available for a library-specified period of time.
3.16.63 The system ***should*** provide a method for tracking ILL fill rate and turnaround time.

3.16.64 The ILL module ***should*** maintain statistics on the following:

3.16.64.1 Loans requested and loans filled

3.16.64.2 Number of ILL requests

3.16.64.3 Filled requests by user type

3.16.65 The system ***should*** produce reports concerning the following:

3.16.65.1 Returnable loans sorted by user type and affiliation

3.16.65.2 Returnable loans sorted by classification number, subject, and year of publication

3.16.65.3 Concerning requests not filled

3.16.66 The ILL system ***should*** interface the maintained statistics to the ILL system report generator.

3.16.67 The system ***must*** compile statistics in any arbitrary date range.

3.16.68 The system ***should*** allow the ILL staff to override blocks for copyright limit violations.

3.16.69 Once the request has been filled and in the case of returnable items, returned, borrower information ***should*** only be indicated by status and library handling the request.

3.16.70 After a library specified period, the information regarding completed ILL requests ***should*** be archived offline but remain accessible for query and reporting.
3.16.71 Billings issued to the user ***should*** include ILL fees, which contribute to calculation of a fine block on a user.

3.16.72 The system ***should*** provide the ability to send ILL requests directly to acquisitions for local purchase consideration.

3.16.73 The system ***should*** provide an unmediated environment for handling user-initiated requests.

3.16.74 The system ***should*** provide the library with the option to have the system automatically reject requests under conditions specified by local libraries, such as when a request is for an item that is held locally, request for an item in a non-circulating portion of the collection; the number of ILL or document delivery requests exceed a certain threshold; no possible lending libraries are located; library policy relating to formats/items not available through ILL.

3.16.75 The system ***should*** be able to create a hierarchical list of suppliers for automatic request routing according to other criteria selected by the borrowing library such as past performance.

3.16.76 The system ***should*** recognize locations or collections that are non-circulating.
3.16.77 The system ***should*** support the ability to re-initiate requests that were not supplied.

3.16.78 If a transaction from a remote ILL system is forwarded to the system for fulfillment, the system ***should*** carry the remote ILL server transaction number as well as the locally assigned number, in order to link the two transactions.

3.16.79 Within the system, the status values that manage and track the request ***should*** be supported as part of the request transaction showing when the item was requested, from whom, if/when filled, when returned to owning site, etc.

3.16.80 The system ***should*** have the ability to include item barcodes on ILL requests.

3.16.81 The system ***should*** have the ability to use the item's barcodes for subsequent updating of request status.

3.16.82 The system ***should*** support paper, telephone, and email request notification options.

3.17 Management, Reporting and Statistics:

3.17.1 It is necessary that the potential integrated library system provide on demand-customized reports for every module and to interface date and statistics between modules. These reports ***should*** be compiled easily, be accessed online, provide multiple means of output (i.e., graphs, charts, etc.), printable, and be able to download. Reporting should be generated at multiple locations, with information exploits easily with word processing and spreadsheet programs. Reports ***should*** include query workloads, and analysis of types of queries, actual terms used and queries with no match.

3.17.2 Any report that does not print properly ***should*** be able to be reproduced.

3.17.3 The system ***should*** allow an authorized operator to schedule production of report output on a regular periodic basis, such as daily, weekly, monthly, and at specified times.

3.17.4 The system ***should*** enable an authorized operator to specify the starting date-and time and ending date-and-time that the report is to cover on reports.

3.17.5 The system ***should*** support simple command language designed for users with no programming experience.

3.17.6 The following maintenance reports ***should*** be available

3.17.6.1 Listing of titles with no items attached, based on the date the MARC record was added to the system.

3.17.6.2 Listing of subject headings, authors, series titles, etc., without a correlating authority record within the system.

3.17.7 For the circulation module, the system ***should***:

3.17.7.1 Allow notices to be sent via email

3.17.7.2 Be able to print at least two overdue notices based on a user specified date parameter

3.17.7.3 Allow the library to specify the text of overdue, bill, and fine notice and to modify them at anytime without programmer intervention

3.17.7.4 Allow staff to modify the size and formats available for notices for the library

3.17.7.5 Allow forms to be preprinted for overdue notices

3.17.7.6 Be able to print an overdue bill based on a user specified date parameter

3.17.7.7 Indicate the maximum number of overdue items that can be listed per bill to a particular user.

3.17.7.8 Be able to preprint a bill for a specific user

3.17.7.9 Be able to prepare a purchase alert or heavy demand report when the ratio of holds to the number of available copies and/or the number on order exceeds a Library-set threshold.

3.17.7.10 Be able to produce reports on items based on status with library specified date and sort criteria

3.17.7.11 Have the ability to produce a report based on status for one location only, multiple selected locations, and all locations.

3.17.7.12 Have the ability to run a report to breakdown checkouts by type of material.

3.17.7.13 Have the ability to run a report for the number of checkouts by hour and by day for each location.

3.17.7.14 Have the ability to run a report for the number of checkouts by user type.

3.17.7.15 Have the ability to run a recurring annual comparative report(s) on standard processes to compare activity from year to year.

3.17.7.16 Have the ability to generate fiscal year end reports.

3.17.8 In relation to collection management, the system ***should***

3.17.8.1 Be able to print, by location and in shelf list order, reports of all items circulated less than a specified number of times since a specified date to facilitate collection weeding.

3.17.8.2 Have the ability to define sort criteria for all reports.

3.17.8.3 When generating reports, cause no degradation in overall system response time.

3.17.8.4 Have the ability to generate reports from backup files.

3.17.8.5 Have the ability to create bibliographies on demand.

3.17.8.6 Have database usage reports

3.17.8.7 Have the ability to report, by workstation, on the number of links from our library's database to the Internet, the sites reached, and the connect time per site.

3.17.8.8 Allow all MARC tabs to be sortable and reportable.

3.17.8.9 Have the ability to generate a report of monies spent on specific subject areas

3.17.8.10 Have the ability to generate a report of order fulfillment, rate of specific vendors.

3.17.8.11 Have the ability to generate a commodities report from acquisitions data. This report should contain the following information: title, date material was received, publisher name, publisher address, and quantity.

3.17.9 Reporting ***should*** include

3.17.9.1 A variety of report templates that are easily customized to provide almost unlimited reporting capabilities.

3.17.9.2 Circulation statistics by category, call number range or specific call number

3.17.9.3 Circulation statistics separated by location.

3.17.9.4 Capability to export statistics directly to a spreadsheet.

3.17.9.5 Option to include any of the following information on overdue notices:

3.17.9.5.1 Name of user

3.17.9.5.2 User ID

3.17.9.5.3 Address

3.17.9.5.4 Phone number

3.17.9.5.5 Item number

3.17.9.5.6 Item call number

3.17.9.5.7 Complete title

3.17.9.5.8 Author

3.17.9.6 All items currently overdue listed on one notice with a cumulative list of overdues.

3.17.9.7 Capability to generate a list of overdue items for a certain time period

3.17.9.8 Generation of a bill that includes the process of the overdue items

3.17.9.9 Simple wizards to enable easy system set-up and local customization.

3.17.9.10 Flexible parameter tables.

3.17.9.11 Ability to generate user mailing lists and letters sorted by a variety of parameters.

3.18 Data Conversion

The Library Commission will provide its data for the successful bidder.

3.18.1 The vendor ***should*** be able to convert the following types of records:

3.18.1.1 Bibliographic (approximately 250,000 records)

3.18.1.2 Holdings, including local copy holdings and MARC holdings data (approximately 2,500 records)

3.18.1.3 Item (approximately 500,000 records)

3.18.1.4 User (approximately 3,000 records)

3.18.1.5 User accounting

3.18.1.6 Serials check-in (approximately 690 check-in records)

3.18.2 The vendor ***should*** be able to maintain the following types of links between and among records:

3.18.2.1 User to charged item

3.18.2.2 User to user accounting

3.18.2.3 User to charged item to user accounting

3.18.2.4 Holdings to bibliographic record

3.18.2.5 Item to holdings record

3.18.2.6 Item to bibliographic record

3.18.2.7 Serials check-in to bibliographic record

3.18.2.8 Item status to circulation or bibliographic record

3.18.3 The Library Commission requests the data to go through the following data clean-up. The vendor ***should*** indicate the third party used for data clean-up, if the vendor does not do the data clean-up in-house.

3.18.4 The vendor ***should***

3.18.4.1 Deduplicate based OCLC number, 010, 020, 022 fields. When deduping, all holdings/call number data from the non-retained record(s) ***should*** be merged into the retained record.

3.18.4.2 Cleanup USMARC fields and subfields

3.18.4.3 In relation to authority control

3.18.4.3.1 Provide limited manual processing on LC name, title, and subject control.

3.18.4.3.2 Convert all LC Children's Subject Headings to LCSH.

3.18.4.3.3 Provide limited manual processing on genre authority control (655: LCSH and GSAFD)

3.18.4.3.4 Remove all MeSH and Sears headings

3.18.5 The vendor ***should*** supply the Commission with a listing of system created authority records.

3.18.6 In order to estimate the process to convert data currently in the system to the new system the vendor ***should***:

3.18.6.1 Supply copies of forms used to record information needed for conversion in the vendor's response to the RFP.

3.18.6.2 Outline typical steps in the conversion process, focusing particularly on procedures for library review of test files in the vendor's response to the RFP.

3.18.6.3 Specify the costs associated with the data conversion listed above if all data is supplied in the local system format, in the vendor's response to the RFP

3.18.6.4 Specify how long it will take to convert initial database file in the vendor's response to the RFP

3.18.6.5 Specify how long it will take to update the initial database file with a subsequent load of all transactions occurring after the initial data extract and before cut over to the new system in the vendor's response to the RFP

3.18.7 Supply a list of libraries whose data have been converted for use in the system and the names of the local systems from which they migrated in the vendor's response to the RFP.

3.19 Implementation

3.19.1 Implementation of the ILS ***must*** be completed 189 days after contract acceptance by the West Virginia Library Commission.

3.19.2 The proposal from the vendor ***must*** include a standard implementation plan describing:

3.19.2.1 Detailed conversion plan outlining all steps involved given within a 189 day time frame.

3.19.2.2 How the libraries' policies regarding circulation, database access, privileges, etc., will be configured on the vendor's system.

3.19.2.3 How the libraries' cataloging procedure will be configured on the vendor's system.

3.19.2.4 How the initial load of records will be performed.

3.19.2.5 Vendor should agree that the library and vendor will mutually determine the details of the final implementation plan.

3.20 Warranties

3.20.1 Vendor ***must*** indicate the warranty length and extent for the

3.20.1.1 Purchased server and any other purchased hardware

3.20.1.2 ILS software

3.20.1.3 Services provided.

3.21 Training

3.21.1 Training for the proposed system ***must*** 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 the library; and system administration support staff will operate and maintain the system software.

3.21.2 Training ***must*** include the following at a minimum:

3.21.2.1 Implementation and system administrator training

3.21.2.2 Acquisitions module training: Creating purchase orders, receiving orders, searching for bibliographic records, placing orders, claiming, set-up of funds, fund maintenance (i.e. updating funds, etc.)

3.21.2.3 Cataloging module training: searching, editing bibliographic records, creating/editing/relinking/deleting item records, relinking item records, using contextual help and manual.

3.21.2.4 Advanced cataloging module training: importing bibliographic and authority records, creating original bibliographic and authority records, creating templates and macros, global updating of bibliographic, authority, and item records.

3.21.2.5 Serials module training: searching, check-in, creating/editing/deleting holdings records and prediction patterns, creating original serial records, closing out serial check-in records, claiming serials

3.21.2.6 Circulation module training: searching, check-in and check-out of library materials, inputting new user records, editing/deleting user records, reporting, using the off-line circulation module

3.21.2.7 ILL module training: how users place ILL requests, how ILL requests are handled within the system, sending requests to other libraries, receiving ILL requests from other libraries, returning ILL

3.21.2.8 OPAC training: Searching the OPAC, placing hold and ILL requests, checking user accounts.

3.21.2.9 Reporting module training

3.21.3 Then vendor ***should*** describe any functional and/or systems administration support training the vendor requires of library staff.

3.21.4 The vendor ***should*** describe the courses of training provided to enable staff to become familiar with system functions and operations, including:

3.21.4.1 A list of all deliverable training modules with a brief description

3.21.4.2 Whether the training is provided by the Vendors or a third party

3.21.4.3 Whether instructors are available to train on-site

3.21.4.4 Qualifications of persons conducting the training

3.21.4.5 Maximum number of trainees per class and the total number of days of training for each module

3.21.4.6 Whether it is possible to have additional training days

3.21.4.7 Expected training outcomes, including what trainees are expected to know at the end of the training

3.21.4.8 Description of facility required to conduct training at library site

3.21.4.9 Methods the library should use to facilitate continued training as personnel change over time.

3.21.4.10 Availability of other training aids such as videos, software tutorials, or web-based instruction

3.21.4.11 Availability of computer-based training

3.21.4.12 Availability of documentation and the method of accessing such documentation. If printed copies are available, please describe the method of obtaining the necessary documentation

3.21.5 The vendor ***should*** indicate if training sessions for systems administration covers the following topics:

3.21.5.1 Appropriate administrative functions including supervisory override

3.21.5.2 Procedures such as data backup

3.21.5.3 Common causes of system failure and the remedy for each

3.21.5.4 How to obtain telephone support for the correction of system problems

3.21.5.5 How to identify and perform all elements of preventive maintenance of the system.

3.21.5.6 Installation and support of client software applications.

3.21.5.7 How vendor tracks problems and assigns severity priorities.

3.22 Maintenance

3.22.1 The vendor ***must*** describe the support services for the ILS including:

3.22.1.1 Software upgrades and frequency of new releases. List a history of past release dates.

3.22.1.2 Telephone support options in EST and hours per day and days per week of service availability. Include support schedule.

3.22.1.3 Direct vendor support of installation and troubleshooting of the system software. Estimate installation support days provided.

3.22.1.4 Direct vendor support of installation and troubleshooting of required third party software. Indicate potential conflicts with release levels between what is used by the system and what the third party vendor currently markets.

3.22.1.5 How priorities are assigned to customer support requests.

3.22.2 The vendor ***should*** describe the following software considerations:

3.22.2.1 Timeliness of software upgrades with regard to staff clients. Explain how software is kept up to date with operating system changes.

3.22.2.2 Any limits and restrictions on the options for customizing web OPAC pages.

3.22.2.3 Options for customizing certain workstations and groups of workstations.

3.22.2.4 How new system releases are installed. Indicate what is installed by library systems personnel and by vendor personnel.

3.22.2.5 How new releases are scheduled. Give current schedule of planned new releases.

3.22.2.6 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.

3.22.2.7 Describe any limits on numbers of client instance licenses and associated costs.

3.23 Backup and Recovery

3.23.1 The system ***must*** allow for transactions logging of constantly changing data in real time and full system backup of all files on a regular basis.

3.23.2 The system ***should***

3.23.2.1 Keep a log of each transaction that alters the database. Logs ***should*** be date and time stamped as to allow the system to automatically reconstruct activity for any period.

3.23.2.2 Allow backup of all data files onto industry standard magnetic storage media in industry standard formats (DAT tape preferred).

3.23.2.3 Provide features that protect against inadvertent damage to files or data in files, and how backup and restoration of files are accomplished.

3.23.2.4 Allow for unattended backup.

3.23.3 Vendor ***should*** provide a stand-alone, PC based alternative that will allow circulation to continue in the event the system cannot be used due to system failure, communication failure, downtime required for maintenance, etc. The system ***should*** allow synchronization between PC client and the Server upon restoring the system.

3.23.4 The vendor ***should*** specify recommendations for complete system back-up.

3.24 Special Terms and Conditions:

3.24.1 Performance Bonds:

The Agency requires a Performance Bond from the successful vendor prior to bid or award equal to the full amount of the contract.

4 Section 4 Vendor's Response Proposal Format:

4.1 Vendor's Proposal Format:

The proposal must be formatted in the same order, providing the information listed below:

- **Title page**

Should state the RFP subject and number, the name of the Vendor, be dated and signed, Vendor's business address, telephone number, and name of authorized contact person to speak on behalf of the Vendor.

- **Table of Contents**

Should clearly identify material by section and page number.

- **Section I – Background**

Should provide a brief background history of the vendor. Please include in this section, how long the vendor has been in operation, how many sites are currently using the software (in particular how many governmental institutions), vendor's mission, etc.

- **Section II - Response to Specifications**

Should indicate your organization's software flexibility by using the response to Appendix B in the Request for Proposal package. Appendix B is a copy of the specifications outlined in Section 3 of the Request for Proposal.

- **Section III - Additional Software**

Should indicate if there is additional software packages needed to fulfill the required specifications in Section III of the Request for Proposal.

- **Section IV – System Requirements**

Should indicate, in detail, what system requirements must meet in order to operate with the vendor's software on staff PCs.

- **Section V – Additional Hardware**

Should state what additional equipment is preferred to run with the vendor's system, (i.e. barcode scanners, label printers, receipt printers, etc.)

- **Section VI – Implementation Plan**

Should give a detailed implementation plan as requested in Section 3.19 in the Request for Proposal.

4.2 Evaluation Process

4.2.1 Method of Evaluation:

The proposals will be evaluated by a committee of three (3) or more individuals in accordance with the criteria. The Vendor who meets all the mandatory specifications and attains the final highest point score of all vendors (possible one-hundred, 100, points maximum) shall be awarded the contract. The selection of the successful vendor will be made by a consensus of the evaluation committee.

4.3 Evaluation Criteria:

The following are the evaluation factors and maximum points possible for technical *point* scores:

A. Meets the specifications in Section 3.2-3.17, Section 3.20, and Section 3.22-3.23.	50 points
B. Meets the specifications in Section 3.18 Data Conversion	5 points
C. Meets the specifications in Section 3.19 Implementation	5 points
D. Meets the specifications in Section 3.21 Training	5 points

E. Vendor's experience	5 points
F. Proposal cost	30 points
Total Possible Points	***100 Points***

Each cost proposal will be evaluated by use of the following formula for all venders who attained the Minimum acceptable score only:

Lowest price of all proposals
-- x 30 = Price Score
Price of Proposal Being evaluated

4.4 Minimum Acceptance Score:
Vendors must score a minimum of 70% of the total technical points possible. The minimum qualifying score would be 70% of 70 points or a technical score of 49 points or greater to be eligible for further consideration and to continue in the evaluation process. All vendors not attaining the minimum acceptable score (MAS) shall be disqualified and removed from further consideration.

The State will select the successful vendor's proposal based on best value purchasing which is not necessarily the low bidder. Cost is considered but is not the sole determining factor for award. The State reserves the right to accept or reject any or all of the proposals, in whole or in part, without prejudice if to do so is felt to be in the best interests of the State.

Vendor's failure to provide complete and accurate information may be considered grounds for disqualification. The State reserves the right, if necessary, to ask vendors for additional information to clarify their proposals. Nothing may be added to alter the written solution or method contained in the original proposal after the bid opening.

4.5. **Cost Proposal Format/Bid Sheets**
(Cost proposal forms/bid sheets are to be on a separate page so that they may be filled out and submitted independently from the technical proposal. Below are examples.)

Total all-inclusive fee (project) $______________

Grand total breakdown by task:
(Or whatever you need for evaluation/use with contract)

1) (Example) $______________

2) (And so on) $______________

West Virginia Library Commission Integrated Library System
Request for Proposal #LIB06391
Appendix A: Circulation and Cataloging Policies

Circulation Policies
BORROWERS

1. Anyone may use the facilities of the Reference Library and any state resident age 15 or older may borrow circulating material.
2. All first time borrowers must register at the circulation desk giving name, home address, home phone, work place, work address, work phone, and signature. Email address is optional but necessary for alerts for holds and circulation periods. Additional addresses are required for out-of-state students and persons with guest status. Applicants must have an ID and supporting proof of address. Circulation staff will assign patron type that will equal borrowing privileges.
3. Registered borrowers will be issued a card with name and barcode. This registration will be valid for one year. Patron's status will be updated on their visit to the library. Patrons not using the library for a period of 3 years will be withdrawn from the patron database.
4. Patrons should notify the Library if any registration information changes. If a patron loses a card they must reapply in person.
5. All registration information is confidential and will be used only to circulate library materials. The library will remove any connection between patrons and borrowed materials as soon as material is returned. Patrons have an option of keeping an online list that is password protected of materials they have borrowed.

PATRON TYPES
Patrons will be assigned one of the following types with associated borrowing privileges:

1. State resident – any state resident 15 years or older
2. Staff – all West Virginia Library Commission employees currently employed
3. State employee – any person permanently employed by the State of West Virginia
4. Legislator – elected senators and delegates currently serving in the West Virginia Legislature
5. Guest – Out-of-state residents who are temporarily residing in state with need for the Library's scholarly resources. Students and researchers are two examples. Guest borrowers must have an instate address and personal reference. Expiration of borrowing privileges will be negotiated.
6. Corporate – state agencies, legislators, legislative committees, law firms, libraries, municipalities, and the like, who will give verbal permission to borrow against their registration to proxy representatives. These representatives will be listed in notes fields that are viewable in patrons' online accounts.
7. Libraries – any public or private, in- or out-of-state, academic, public or special library.

GENERAL

1. The amount of material borrowed is limited by type of material and patron type. First-time borrowers are limited to 2 items of any type of material until returned. Then, limits are determined by patron type and type of material (listed below.) For most patron types there will be a total limit of 10 items.
2. Responsibility for library materials belongs to the borrowing patron until the material is returned to the library.
3. The circulation history of all library material is confidential and is not available to any person or agency.
4. West Virginia Library Commission staff is expected to conform to all circulation policies of the Reference Library.

TYPE OF MATERIAL (WITH CIRCULATION PERIODS)

1. Books – circulating books may be checked out for 28 days with one renewal. Limit of 10 checkouts to one registered borrower.
2. Test Study Guides – paper study guides checked out for 14 days with one renewal. Limit of 3 checkouts to a registered borrower.
3. Audiobooks (CD or cassette) – checked out for 28 days with one renewal. Limit of 7 checkouts to one registered borrower.
4. Electronic Downloadable Audiobooks and Books – available over the Internet, the checkout time and renewal limits will be determined by the service that the Library subscribes to.
5. DVDs and Videos – checked out for 7 days with one renewal. Limit of 4 to a registered borrower.
6. Films, 16 mm – circulate only to libraries through interlibrary loan. Circulation will be determined by need.
7. Government documents – federal depository documents checked out for 14 days with one renewal. Limit of 10 to a registered borrower.
8. Periodicals – non-current issues of magazines, journals and newspapers may be checked out for 14 days with one renewal. Limit of 10 items to each registered borrower.
9. Microfilm and microfiche – circulate only to libraries through interlibrary loan. Circulation period will be determined by need and will be in-house (in-library) use only.
10. Reference books – circulate only to libraries through interlibrary loan. Circulation period will be determined by need and will be in-house (in-library) use only.
11. MP3 devices – a kit containing the device, earphones, software CD, and instructions checked out for 21 days with one renewal. Limit of one to a patron who is a state resident, staff, state employee or legislator patron type. No checkout through interlibrary loan or by shipment to another library.
12. FM Transmitters – devices for use with MP3 devices to transmit audiobook files to radios. Checked out for 21 days with one renewal. Limit of one to a patron who is a state resident, staff, state employee, or legislator patron type. No checkout through interlibrary loan or by shipment to another library.

The Circulation Manger or the Library Director may override these circulation periods and limits.

CHECKOUTS BY PATRON TYPES

1. State residents – total of 10 items with limits by materials types
2. Staff – unlimited checkouts of books and periodicals; total of 10 items of remaining materials types. Staff must check out all materials.
3. State employees – total of 10 items with limits by materials types
4. Legislators – total of 10 items with limits by materials types. This limit may be overridden by a Reference staff member.
5. Guest – total of 3 items with limits by materials types.
6. Corporate – total of 10 items with limits by materials types.
7. Library – unlimited checkouts of all materials available for checkout to libraries.

OVERDUE MATERIALS

1. The Reference Library charges no fines for overdue materials.
2. Library patrons who register email addresses with us can be notified 3 days in advance of the date that materials should be returned. Material may be renewed once online through a patron's account provided there are no hold requests for the item.
3. Patrons with overdue materials are sent three notices. The first notice will be sent one week after the material is due. The second notice will be sent two weeks after this notice and is increasingly firm in tone. The third notice is sent one week after this and is/includes a bill for cost of replacement of items.
4. Library patrons are blocked from borrowing any materials if they have overdue items. Once overdue materials are returned or paid for the block on a patron's record will be removed. Staff notes (notes that cannot be viewed by the patron or the public) will record blocks, repayments, etc.

The Circulation Manager or Library Director may override blocks or waive repayment if necessary.

LOST OR DAMAGED MATERIALS

Patrons should notify the library if material is lost, destroyed, damaged or stolen. The Library Director will assess the items' value and value to collection and work out repayment, waivers, etc.

REVOKING/ BLOCKING BORROWING PRIVILEGES

1. The Reference Library blocks or revokes borrowing privileges when any item is overdue.
2. A patron may reinstate borrowing privileges by returning the overdue material or by paying the replacement fee.

West Virginia Library Commission and West Virginia State Archives and History Library Joint Cataloging Policy

Next Revision Date: January 2007

This policy focuses on how the West Virginia Library Commission and the West Virginia State Archives and History Library will maintain their joint integrated library system (ILS). Maintaining the ILS takes on many roles from adding new material, updating headings, and correcting incorrect headings to withdrawing material. To aid in maintaining the ILS there are many international and national standards of cataloging that the two agencies use. The policy below outlines such local variations.

General Policy

The general cataloging policy is to catalog everything acquired by the Selectors for the addition to the Libraries' collection.

Non-Cataloged Material

The Libraries will not catalog parts of single items: chapters of books, articles from journals (either, photocopies or offprints), serial issues that do not have distinctive titles, or articles clipped from newspapers. This policy may be waived in the case of material for special archival collections if that material was acquired due to the content of the single item.

It is the Libraries' policy to acquire only legitimate authorized copies of materials. Photocopies and duplication of material covered by copyright must be accompanied by an indication that permission to make the copy has been obtained.

These policies apply to material received as gifts, as well as to material ordered.

Bibliographic Policies

Description:

Only one bibliographic record will be obtained for a given bibliographic item when an item is held by both Agencies.

Original cataloging created by the Agencies will follow the Anglo-American Cataloging Rules, 2nd edition, 2002 revision, as implemented by the Library of Congress.

Records in the catalog cataloged before migration to the new ILS. These records will be corrected to reflect the cataloging rules, as the Cataloging Departments find them.

Most records in the catalog come from cataloging sources outside the Agencies. The Library Commission currently retrieves records from the Library of Congress Online Catalog or from OCLC CatExpress. Records are reviewed to ensure that they reflect current AACR2 standards, and the current local cataloging practice.

Name headings

The Agencies' follow the AACR2 as implemented by the Library of Congress in determining the form of the name headings entered into the ILS. This form depends greatly upon the Library of Congress Authority File. Many of the headings when entered into the ILS are already established by the Authority File. The Library will not use name headings that differ from those found in the Authority File.

The Library of Congress Authority File is an entity that changes. Since the Agencies' verify and update all headings added to the ILS, obsolete and/or conflicting headings will be updated as found or when brought to our attention. Obsolete or conflicting headings can be reported by sending an email.

Subject Heading Scheme

The Agencies use the Library of Congress Subject Headings list and follow LC practice with few variations. In house modifications are applied to non-print formats. For non-print formats the following are applied as the last subdivision in the subject heading string:

- \v Videocassette.
- \v Cassette tapes.
- \v Compact discs.

As with name headings, subject headings also change over time and will be updated in the ILS.

For works of fiction, regardless of format, the Commission will also add genre headings from the Guidelines on Subject Access to Individual Works of Fiction, Drama, etc. 2nd. ed.

Call Number Schemes

Both Agencies use the latest edition of Dewey Decimal Classification System as their primary call number scheme. Local exceptions are as follows

Library Commission:

For works of fiction, call numbers are formed using the following:

- J \b Author's last name for juvenile fiction.
- F \b Authors last name for fiction.
- VC F \b First word of main entry for videocassette feature films.
- DVD F \b First work of main entry for DVD feature films.
- CT F \b Authors last name for fiction on cassette tape.
- CD F \b Authors last name for fiction on compact disc.

For biographical works, call numbers are formed using the following:

- B \b Last name of person biography is about.
- J B \b Last name of person biography is about for juvenile works.
- CT J B \b Last name of person biography is about for juvenile works.
- CD J B \b Last name of person biography is about for juvenile works.

Archives and History Library:

The Archives and History Library uses the Cutter Sanborn 3 Figure Author Table, Swanson-Swift revision, 1969, to form all cutter numbers.

These types of materials have the following prefix and/or postfix added to the Dewey Decimal Classification number:

- Pamphlets: Are indicated with the postfix PAM. 929.3 V817 PAM
- Compact discs: Are indicated with the prefix CD. CD 929.3 K16b
- Rare Books: Are indicated with the prefix RB. RB 875.4 N157
- Rare Pamphlets: Are indicated with both the prefix RB and the postfix PAM. RB 975.4 N145 PAM

These types of materials follow an in-house classification scheme. If the work of is also one of the types of materials listed above, add the appropriate prefix and/or postfix to the classification number.

- Fiction: F \b Author's last name formed from the Table. F \b A158
- Biography: B \b Surname of the subject of the work. B \b A158
- Maps: Ma \b Map case drawer number and folder number Ma12-9
- Genealogy Charts: See Maps
- Special Collections: SC \b Year of Accession and the item/box/folder number Sc 94-12
- Yearbook Collections: Name of School / Town, County / Title of vol. / Date Winfield High School / Winfield, Putnam Co. / The General / 1970.
- Manuscript Collection: Ms + year of accession and item number received for the year. Ma 92-100 Ma 2002-10 Box 1-3
- Archival Collections: Ar +accession four digit number Ar4721
- Newspapers: Shelved alphabetically by title and in order within title by year.
- Periodicals: Same as newspapers
- State Government Documents: system based on Organizing Wisconsin Public Documents: Cataloging and Classification of Documents at the State Historical Society Library, by Alice Alderman, 1974.
- Audiovisual Collections: (Housed within the general Library Collection) AV + number assigned by Archivist for Audiovisual material. AV06-033.
- Photograph Collections: Ph + year of accession and item number Ph94-101
- Microfilm Collections: Mi + cabinet drawer number and box number Mi12-9

Holdings Records

The Commission will create a holdings record for every serial and multivolume set. The holdings record will reflect the following information:

- Physical location of the serial/multivolume set,
- Call number of a serial or multivolume set,
- Serial or multivolume set items owned by the Commission,
- Any relevant notes about ordering, retention, etc.

Policies Concerning Specific Material Types

Government Documents:

A bibliographic record will be imported or created originally in the ILS for every Federal and/or State government document collected by the Commission. Associated holdings and item records will be created based on the type of material, single monograph, serial, or multivolume set.

Federal government documents will be classed by their SuDoc number and arranged accordingly on the 3rd floor stack area for Government Documents.

State government documents will be classed using the Dewey Decimal System and placed in the collection based on their subject matter.

Internet Resources

Items accessed remotely through the Internet are cataloged if the Commission is paying for access and cataloging the resource will make the item more accessible to the Library's users. Reference Services or Library Development can request that Internet resources be added to the Catalog.

Loose-leaf Publication

Loose-leaf publications will be cataloged as an open entry monograph unless cataloging on a serial record is warranted.

Cartographic material (Maps)

Cartographic material will be cataloged based on current AACR2 rules for the format.

Serials/Periodicals/Newspapers

Serials, periodicals, and newspapers owned by the Agencies, regardless of format, are cataloged based on the AACR2 2002 Revision and CONSER standards. Hence, for each title change for a serial title, a new bibliographic record will be imported into the ILS to reflect the change in title. The previous title bibliographic record will be updated to reflect that the title has ceased in publication. A 785 field will be added to direct users to the new bibliographic record for the title. A separate serial record will be imported into the system for all formats of a serial title owned by the Agencies.

Microforms

Microforms will be cataloged either as a monograph or serial. This will be determined by the format of the original item.

For microform serials, see serials/periodicals/newspaper section of the policy for additional cataloging information.

Maintenance Policies

Withdrawals

Cataloging Departments are the only departments that will be given permission to withdrawal or delete material from the ILS. Items identified for withdrawal must be brought to the Departments and processed there by one of the staff members.

Items Created On-The-Fly

Library Commission:

Circulation may create on-the-fly item record information. This material must be marked to be routed to the Technical Services department for further cataloging once the item has been returned by the patron and checked-in.

Items Requiring Corrections

All items that need corrections, whether in call number, bibliographic information, etc., must be brought to Technical Services with indication of what corrections are warranted. If for some reason the item cannot be brought to Technical Services, send an email with the following information:

- Title and author of item
- What needs corrected
- Whether the item is checked out, missing, or lost.

Removal of Missing and/or Lost Material

Technical Services will run a missing and lost material report every three months. At this time, missing items will be suppressed from the system for one calendar year. If the items are missing, they will be considered lost. Items on the lost report will be reviewed by the Selectors to see if the material will be replaced. Materials that are not being replaced will be removed from the system.

West Virginia Library Commission Integrated Library System
Request for Proposal #LIB06391
Appendix B: Response to Specifications in Section 3

A – Available, in general release

N – Not available, not planned

P [Date] – Planned, in testing, include date of expected release

D [Date] – In development, include date of expected release

TH – Other, vendor does not have a specific desirable but has other options to fulfill the request

If the above responses to specifications are not appropriate for the type of question or the vendor needs to elaborate on a response, please label the response with the correct numbering.

Vendor's Response	Specifications
	3.1 Payment Schedule: The vendor ***must*** adhere to the following payment schedule:
	Due at Profile Acceptance* 20% of System Total Due at Initial Training 20% of System Total
	Due at Full Data Load 40% of System Total Due at Live Circulation 10% of System Total
	Due upon acceptance** of system performance 10% of System Total * Based on test database of 93,000 records that are loaded into the System, which the Library Commission will use to evaluate whether the agreed-upon profile specifications are met.
	** Acceptance is defined as when the West Virginia Library Commission has full access to all modules and all functions of the software are fully operational and successfully utilized.
	3.2 Simultaneous Users
	3.2.1 The system ***must*** allow for 3.2.1.1 Thirty (30) simultaneous staff users.
	3.2.1.2 Unlimited simultaneous OPAC users. **3.3 Servers and System Security**
	As approved by the State's Chief Technology Officer, the West Virginia Library Commission's catalog hardware environment is based exclusively on a UNIX operating platform. With this bid, we are requesting that the potential vendor supply a complete system, where the Commission purchases the servers, operating software, associated licenses, and appropriate ILS software. The Commission uses its servers for more than just an ILS; therefore being locked out of the server is not a permissible option. 3.3.1 The vendor's software ***should*** operate on one of the following types of servers:
	3.3.1.2 HP UX 11i Operating system, on-line JFS, disk mirroring system, and DataProtector 5.0. The operating software and hardware support should be 24-hours, 7-days a week. 3.3.1.2 HP rp3410 server with the following:
	3.3.1.2.1 800 MHz PA-8900 CPUs (2 each),

	3.3.1.2.2 GB RAM (2 each),
	3.3.1.2.3 10/100/1000 LAN (2 each), 3.3.1.2.4 73 GB internal hard drives (2 each)
	3.3.1.2.5 73 GB external hard drives (each with/w with dual channel SCSI controller cards) (2 each) 3.3.1.2.6 DVD-ROM R/W (1 each)
	3.3.1.2.7 DDS-4 tape drive (1 each) 3.3.1.2.8 SCSI library tape drive with no less than 8 tape capacity (1 each), ***or***
	3.3.1.4 Red Hat EL3 Operating System (Factory loaded and configured) with recovery media. Software and hardware support should be 24 hour, 7 day a week, ***or*** 3.3.1.5 Hp rx4640 server with the following:
	3.3.1.5.1 VXA 1.5 GHz CPUs (2 each) 3.3.1.5.2 4GB RAM (2 each)
	3.3.1.5.3 10/100/1000 LAN (2 each) 3.3.1.5.4 73 GB internal hard drive with hardware RAID on dual channel SCSI controllers (2 each)
	3.3.1.5.5 73 GB external hard drive with hardware RAID on dual channel SCSI controllers (2 each) 3.3.1.5.6 DVD-ROM R/W (1 each)
	3.3.1.5.7 High capacity tape drive (1 each) or similar product 3.3.2 The system ***must*** be able to protect each user's privacy, as well as provide for the security and integrity of the hardware, software, databases, and network. Any function can be made a secured function.
	3.3.3 The vendor ***must*** include information about any sever licenses. ORACLE licenses for example. 3.3.4 The system ***must*** permit:
	3.3.4.1 Any workstation to access all system modules. 3.3.4.2 The system operator or staff in any participating library, with appropriate privileges, to limit functions available to any particular user by module.
	3.3.4.3 The ability to provide for access control for each function within a module. 3.3.4.4 System access control that is modified through parameters.
	3.3.5 The system ***must*** 3.3.5.1 Provide security to prevent accidental or unauthorized modification of records.
	3.3.5.2 Not display the override code when the operator types in a password or override field. 3.3.5.3 Track and record attempts of illegal access to the system.
	3.3.5.4 Track all activity on the whole system. 3.3.5.5 Have a unique password for each user.
	3.3.5.6 Allow access only during set hours.

	3.3.5.7 Provide for automatic expiration of passwords (amount of time to be specified by library personnel.)
	3.3.6 The server's operating system ***should*** be able to recognize and immobilize a computer virus. 3.3.7 The application ***should*** not
	3.3.7.1 Impinge upon the native security mechanisms of the operating system. 3.3.7.2 Interfere with any operating system utilities.
	3.3.7.3 The function of all set UID to root executables ***should*** be documented. **3.4 Acquisitions:**
	3.4.1 The system ***must*** allow pre-order searching on all defined indices in the bibliographic file. 3.4.2 All acquisitions records ***must*** be searchable by staff and users as soon as they are created.
	3.4.3 Each monographic or serials acquisitions record ***must*** contain bibliographic information, binding, holdings, item and copy specific information related to the order and be linked to associated holding record(s). 3.4.4 The acquisitions system ***should*** be able to:
	3.4.4.1 Create a provisional MARC bibliographic record when a fully-cataloged record is not available 3.4.4.2 Use a fully-cataloged record as the bibliographic portion of the acquisitions record
	3.4.4.3 Overlay or merge an acquisitions record's bibliographic information with a full cataloging record without losing any links to fund accounting, binding, claiming, holding, items, or copy specific information. 3.4.4.4 Use full editing capabilities described in the cataloging section regarding bibliographic record creation, edition, deleting, and import/export, as well as for all parts of the acquisitions record.
	3.4.4.5 Import bibliographic information electronically from local and other bibliographic resource files such as OCLC, Library of Congress, vendors, Books in Print, or other local library files. 3.4.4.6 Create an order template for order input when no electronic record is available for input.
	3.4.5 The acquisitions system ***should*** be able to handle the multiple methods of acquisitions listed below, as well as incorporate vendor and fund data into an order. 3.4.5.1One-time order
	3.4.5.2 Approval order 3.4.5.3 Continuation
	3.4.5.4 Standing order 3.4.5.5 Depository item
	3.4.5.6 Exchange 3.4.5.7 Gift

	3.4.5.8 Purchase against a deposit account 3.4.5.9 Received on basis of membership
	3.4.5.10 Subscription 3.4.5.11 Series standing order
	3.4.5.12 Sample issues 3.4.5.13 Series cataloged as separates
	3.4.5.14 Telephone, fax, or email order with batching capability for later transmission 3.4.5.15 Book-in-hand
	3.4.5.16 Works in parts 3.4.5.17 Blanket order
	3.4.5.18 Added copy 3.4.5.19 Replacement copy
	3.4.5.20 Back issues 3.4.5.21 Another edition
	3.4.5.22 Rejects 3.4.6 The acquisitions system ***should*** retain information on:
	3.4.6.1 Active orders kept 3.4.6.2 Completed orders
	3.4.6.3 Payment and claiming histories for serial records 3.4.6.4 Retain all information listed above online indefinitely or,
	3.4.6.5 Retain all information listed above online for a West Virginia Library Commission specified time interval after completion of the order 3.4.7 The following order statuses ***should*** be provided by the acquisitions system
	3.4.7.1 Authorized order 3.4.7.2 Backordered
	3.4.7.3 Claimed 3.4.7.4 Delayed
	3.4.7.5 Invoice overdue 3.4.7.6 Invoice received
	3.4.7.7 Not yet published 3.4.7.8 On order
	3.4.7.9 Out of print 3.4.7.10 Out of stock
	3.4.7.11 Canceled (either by library, order failed, or publication has ceased) 3.4.7.12 Payment authorized
	3.4.7.13 Payment authorization on hold 3.4.7.14 Partially entered
	3.4.7.15 Produce purchase order 3.4.7.16 Proof of payment requested (By publisher)
	3.4.7.17 Provisional order 3.4.7.18 Received complete
	3.4.7.19 Received partial

	3.4.7.20 Received without invoice
	3.4.7.21 Reorder 3.4.7.22 Returned complete
	3.4.7.23 Returned partial 3.4.7.24 Returned damage
	3.4.7.25 Rejected 3.4.8 Staff ***should*** be able to track and automatically update an item's status in the ordering/receiving process and have that status display the appropriate message in the OPAC.
	3.4.9 During receipt and payment, the acquisitions system ***should*** be able to: 3.4.9.1 Receive an item without an invoice
	3.4.9.2 Receive an item before the invoice is received 3.4.9.3 Process the invoice before the item is received
	3.4.9.4 Receive partial shipment of an order 3.4.9.5 Authorize partial payment of an invoice
	3.4.9.6 Process credits and refund checks 3.4.9.7 Create an acquisitions record for invoice payment when generating an order
	3.4.9.8 Record information about an invoice such as total cost, total discounts, total service charges, and verify that all invoice lines have been processed correctly 3.4.9.9 Receive an item and choose whether to add an item barcode on receipt, at a later date, or not at all.
	3.4.10 The acquisitions system ***should*** 3.4.10.1 Be able to generate claims for unfilled orders for all types of material and acquisition methods
	3.4.10.2 Allow unlimited number of claims for each order record 3.4.10.3 Detect material that has not been received and that a claim is needed without staff intervention
	3.4.10.4 Allow variable claiming intervals 3.4.10.5 Allow staff to modify system-supplied future claim dates
	3.4.10.6 Allow manual override of any claim interval or date 3.4.10.7 Allow suppression of claim products
	3.4.10.8 Track claim history in order record 3.4.10.9 Allow staff to generate claims for volumes/numbers of serials published out of sequence or multiple copies not received
	3.4.10.10 Recognize overdue serial issues based on publication pattern, place of publication, frequency, regularity of receipt and generate a claim 3.4.10.11 Recognize when a serial issue has been skipped, based on publication pattern, and generate a claim
	3.4.10.12 Claim multiple serial issues on a single claim 3.4.10.13 Generate a claim on demand
	3.4.10.14 Adjust the frequency of claiming for titles

	3.4.10.15 Allow variable claiming intervals to be set based on defined parameters
	3.4.10.16 Add a customized note/message that is printed on the claim and retained online 3.4.10.17 Send claims electronically
	3.4.10.18 Automatically stop sending claims when material is received 3.4.10.19 Batch claims for fax or email transmission
	3.4.10.20 Receive claim responses electronically 3.4.11 The acquisitions system ***should*** do the following:
	3.4.11.1 Cancel individual orders 3.4.11.2 Cancel multiple orders identified by data elements
	3.4.11.3 Reinstate a canceled order with the same PO number to the same/different vendor without reentering the order 3.4.11.4 Record receipt of item after the order has been canceled
	3.4.11.5 Display a warning to staff when receipt is recorded on a canceled order 3.4.11.6 Automatically disencumber funds upon cancellation
	3.4.11.7 Remove encumbrances as needed 3.4.12 The acquisitions system ***should*** generate locally printed documents such as claims.
	3.4.13 Acquisition module reports ***should*** segment by the following elements: 3.4.13.1 Format
	3.4.13.2 Vendor 3.4.13.3 Fund
	3.4.13.4 Selector 3.4.13.5 Method of acquisition
	3.4.13.6 Publisher 3.4.13.7 Location within library
	3.4.13.8 Date of publication 3.4.13.9 Order date
	3.4.14 The acquisitions system ***should*** provide counts/lists and other statistical data as standard reports, including the following: 3.4.14.1 Orders placed
	3.4.14.2 Orders claimed 3.4.14.3 Orders canceled
	3.4.14.4 Duplicate orders generated 3.4.14.5 Items returned
	3.4.14.6 Ordered titles/volumes received 3.4.14.7 Items or parts received or checked-in
	3.4.14.8 Last/particular date payment recorded 3.4.14.9 Last/particular date receipt recorded
	3.4.14.10 Items bound 3.4.14.11 Items encumbered
	3.4.14.12 List of recent acquisitions

	3.4.15 The acquisitions module ***should*** provide the following preorder searches:
	3.4.15.1 Added entries 3.4.15.2 Author
	3.4.15.3 OCLC number 3.4.15.4 ISBN
	3.4.15.5 ISSN 3.4.15.6 LCCN
	3.4.15.7 GPO number 3.4.15.8 Publisher
	3.4.15.9 UPC number 3.4.15.10 SuDoc number
	3.4.15.11 Title 3.4.15.12 Keyword
	3.4.15.13 Subject 3.4.15.14 Uniform title
	3.4.16 Onscreen linked bibliographic information ***should*** contain and display the following information: 3.4.16.1 Format
	3.4.16.2 Encoding level 3.4.16.3 S-type for serials
	3.4.16.4 Frequency for serials 3.4.16.5 010-LCCN
	3.4.16.6 020 ISBN or 022 ISSN 3.4.16.7 1xx field Personal, corporate, conference, uniform title
	3.4.16.8 245 Title 3.4.16.9 250 Edition statement
	3.4.16.10 260 Publication information 3.4.16.11 300 Physical description
	3.4.16.12 Unique purchase order (PO) number 3.4.16.13 Original PO number
	3.4.16.14 Number of copies ordered 3.4.16.15 Order date
	3.4.16.16 Vendor name, address and code 3.4.16.17 Vendor account number
	3.4.16.18 Vendor title number 3.4.16.19 Bibliographic source
	3.4.16.20 Method of acquisition 3.4.16.21 List/estimated price
	3.4.16.22 Actual price 3.4.16.23 Encumbrance
	3.4.16.24 Cost 3.4.16.25 Fund
	3.4.16.26 Date of receipt 3.4.16.27 Invoice number

	3.4.16.28 Invoice date 3.4.16.29 Date invoice is authorized for payment
	3.4.16.30 Send rush 3.4.16.31 Process rush
	3.4.16.32 Claim date 3.4.16.33 Number of times a claim has been sent
	3.4.16.34 Dealer reports 3.4.16.35 Any West Virginia Library Commission defined fields
	3.4.17 The acquisitions module ***should*** allow selectors/bibliographers to select materials from within the acquisitions module and create lists of material to purchase. 3.4.18 The acquisitions module ***should*** able to check the lists created by the selectors/bibliographers automatically against the current OPAC database to find duplicate holdings.
	3.4.19 The acquisitions module ***should*** be able to compare all selector/bibliographer lists to remove duplicate orders within the multiple lists. 3.4.20 Acquisitions staff ***should*** be able to compare vendor prices for materials from the acquisitions module without going to multiple vendor sites.
	3.4.21 The acquisitions system ***should*** be able to create acquisition records for processing and payment only or for "future" or "would like" purchases that can be used at a later time to generate an order. 3.4.22 The system ***should*** have the ability to:
	3.4.22.1 Suppress selected acquisitions information from the public, ***or*** 3.4.22.2 Suppress the entire record, or only selected order information (such as an internal library copy.)
	3.4.23 Library users ***should*** be able to be 3.4.23.1 Notified when an item on order/in process is received and on the shelf ready for use
	3.4.23.2 To flag the item with hold/notify information to be held 3.4.24 The acquisitions module ***should*** generate appropriate staff/user notifications automatically.
	3.4.25 The acquisitions module ***should*** be able to generate electronic documents based on West Virginia Library Commission specified information in an acquisitions record. Such documents ***should*** include the following: 3.4.25.1 Purchase orders
	3.4.25.2 Cancellations 3.4.25.3 Claims
	3.4.25.4 Notices 3.4.25.5 Commodity reports
	3.4.25.6 Labels 3.4.25.7 Mailing labels
	3.4.25.8 Routing labels 3.4.26 The following bibliographic information ***should*** display on the document
	3.4.26.1 020 ISBN or 022 ISSN

	3.4.26.2 1xx Personal, corporate or conference author
	3.4.26.3 245 Title 3.4.26.4 250 Edition
	3.4.26.5 260 Publication info 3.4.26.6 300 Physical description
	3.4.26.7 Unique PO number 3.4.26.8 Number of copies
	3.4.26.9 Vendor code 3.4.26.10 Complete return shipping address
	3.4.26.11 Order date 3.4.26.12 Payment information
	3.4.26.13 Free text field 3.4.27 The acquisitions system ***should***
	3.4.27.1 Allow document design to be flexible 3.4.27.2 Allow document printing to be scheduled by staff
	3.4.27.3 Allow for design of new documents as needed 3.4.28 The acquisitions system ***should*** support ANSI X12 and NISO Z39 standards for electronic data interchange (EDI) with vendors and should be able to do the following:
	3.4.28.1 Send and receive electronic transactions 3.4.28.2 Send electronic orders and claims, and receive reports/ acknowledgements/reports electronically
	3.4.28.3 Allow automatic updating of records by electronic transactions or to have staff review such before posting 3.4.28.4 Generate error reports for failed or suspect electronic transmissions
	3.4.28.5 Send lists of wanted items to selected sites, like vendors/ publishers 3.4.28.6 Allow launching for acquisitions record to external online resources, initiating browsers or other applications as needed
	3.4.28.7 Import from and export to a commercial EDI translation package 3.4.28.8 Update the database with EDI messages while system is in use
	3.4.28.9 View online or pint transaction log of all EDI transactions as an off-line job. 3.4.28.10 Archive all EDI data.
	3.5 Financial Operations: 3.5.1 The system ***should*** have the ability to create, update, close and/or delete at least 500 funding codes with up to 8 fund segments.
	3.5.2 The system ***should*** be flexible in terms of how many segments are used for each fund unit and/or allow for default values. 3.5.3 For each funding unit, the system ***should*** have the ability to create/update the following:
	3.5.3.1 Text field for each segment in billing code. 3.5.3.5 Allocation

	3.5.3.3 Over-encumbrance allowance 3.5.3.4 Over-expenditure allowance
	3.5.3.5 Fund manager: name, email address, phone number 3.5.3.6 Note field
	3.5.4 In real time, the system ***should*** update the encumbrance and expenditure totals and balances as a result of order creation/updates and payment activity. 3.5.5 The fund balance ***should*** check against free/cash balance when an order is placed.
	3.5.6 The system ***should*** 3.5.6.1 Provide an on-line error message for staff when account has insufficient funds
	3.5.6.2 Take over-encumbrance into account when calculating free balance 3.5.6.3 Provide an email feature available for operator to send message to fund manager
	3.5.7 The fund balance ***should*** check against cash balance when payment is processed. 3.5.8 The system ***should*** provide the ability for staff to check account status online including allocation, expenditure, encumbrances, balances, and over-encumbrance/over-expenditure limits for either a single fund unit or multiple fund units.
	3.5.9 The system ***should*** provide the ability to compare allocations, expenditures, encumbrances, balances and over-encumbrance/expenditures from the current fiscal year with the previous fiscal year. 3.5.10 The system ***should*** provide fiscal year end activities including all expenditures and balance fields.
	3.5.11 The system ***should*** maintain a machine-readable audit trail from which staff reports can be easily generated. 3.5.12 A machine-readable audit trail ***should*** include the follow information:
	3.5.12.1 Staff id 3.5.12.2 Function performed
	3.5.12.3 Date/time 3.5.12.4 Copy of record before/after change
	3.5.13 The following data elements ***should*** be included in the system: 3.5.13.1 Account code that can accommodate at least 8 code segments.
	3.5.13.2 Descriptive fields for each segment in billing code 3.5.13.3 Allocation
	3.5.13.4 Over-encumbrance allowance 3.5.13.5 Over-expenditure allowance
	3.5.13.6 Year-to-date total expenditure 3.5.13.7 Calculated cash balance
	3.5.13.8 Outstanding encumbrance 3.5.13.9 Calculated free balance
	3.5.13.10 Fund manager: name, email address, phone number 3.5.13.11 Note field

	3.5.13.12 Tracking data 3.5.13.13 Security data including the following:
	3.5.13.13.1 Indication of who is authorized to encumber 3.5.13.13.5 Indication of who is authorized to pay using this code
	3.5.13.13.3 Indication of who is authorized to approve payments 3.5.13.13.4 Indication of who is authorized to override encumbrance blocks
	3.5.13.13.5 Indication of who is authorized to override payment blocks 3.5.13.13.6 Indication of who is authorized to create/maintain fund data
	3.5.14 The following vendor specific information ***should*** be included in the system: 3.5.14.1 Ordering and claiming information:
	3.5.14.2 Name 3.5.14.3 Address
	3.5.14.4 Email 3.5.14.5 Fax & phone numbers
	3.5.14.6 URL for homepage 3.5.14.7 For returning items:
	3.5.14.7.1 Name 3.5.14.7.2 Address
	3.5.14.7.3 Email 3.5.14.7.4 Fax & phone numbers
	3.5.14.7.5 URL for homepage 3.5.15 The following library specific vendor elements ***should*** include:
	3.5.15.1 Name of customer service representative 3.5.15.2 Discounts
	3.5.15.3 Approval plan profiles 3.5.15.4 Local notes
	3.5.15.5 Account numbers 3.5.15.6 Vendor specific information used by the system about the format of purchase order to prepare for vendor
	3.5.16 The following invoice elements ***should*** be included in the invoice display: 3.5.16.1 Invoice control number
	3.5.16.2 Vendor code 3.5.16.3 Invoice number
	3.5.16.4 Invoice date 3.5.16.5 Invoice total
	3.5.16.6 Invoice currency 3.5.16.7 Invoice discount
	3.5.16.8 Vendor/Voucher type 3.5.16.9 Approving department

	3.5.16.10 Reminder date for completion of invoice 3.5.16.11 Total payments
	3.5.16.12 Net Payments 3.5.16.13 Line item payment date
	3.5.16.14 Approval date 3.5.16.15 External note
	3.5.16.16 Internal note 3.5.16.17 Accounts payable number
	3.5.16.18 Vendor payment information 3.5.16.19 Line number
	3.5.16.20 Payment text area 3.5.16.21 Payment type
	3.5.16.22 Accounting data 3.5.16.23 Number of copies
	3.5.16.24 Amount paid 3.5.16.25 Order number
	3.5.16.26 Invoice creation date 3.5.16.27 Electronic funds transfer batch number
	3.5.16.28 Operator identification 3.5.16.29 West Virginia State Seal
	3.5.17 The following are other invoice functions the system ***should*** have: 3.5.17.1 Provide system for paying invoices which allows automatic linking of payments to order records
	3.5.17.2 Provide immediate dis-encumbrance of funds when payment is made 3.5.17.3 Provide automatic re-encumbrance of partially paid orders
	3.5.17.4 Provide real time display of invoice information from order record 3.5.17.5 Allow changes at any time before invoice is authorized
	3.5.17.6 Allow cancellation of invoice at any time before invoice is authorized 3.5.17.7 Allow an unlimited number of line items per invoice
	3.5.17.8 Allow multiple invoices for one order 3.5.17.9 Allow application of postage, shipping, and service charges to:
	3.5.17.9.1 Selected item lines 3.5.17.9.2 Entire invoice
	3.5.17.10 Allow application of discount to: 3.5.17.10.1 Selected line items
	3.5.17.10.2 Entire invoice 3.5.17.11 Alert operator when fund is over-expended
	3.5.17.12 Display payment address from a vendor record 3.5.17.13 Prevent duplicate authorization of invoice
	3.5.17.14 Provide mechanism for matching calculated invoice total to actual invoice total

	3.5.17.15 Allow operator to enter deduction amount and use that amount in matching calculated invoice total to actual invoice total
	3.5.17.16 Allow authorization of partially paid invoice 3.5.17.17 Allow access to invoice record from order record and vise versa
	3.5.17.18 Provide reminder date for completion of invoice processing 3.5.17.19 All processing of credits, refunds, and adjustments
	3.5.17.20 Accept vendor invoice data in electronic form 3.5.17.21 Allow automatic linking of electronic invoice date to specific orders
	3.5.17.22 Allow unlinking of electronic data from one order and relinking to another order 3.5.17.23 Allow manual linking of electronic invoice data to specific orders
	3.5.17.24 Ability to link scanned image of actual invoice to invoice record 3.5.17.25 Produce voucher data cumulated by fund
	3.5.17.26 Allow online access to invoice data by: 3.5.17.26.1 Vendor invoice number
	3.5.17.26.2 Invoice control number 3.5.17.26.3 Vendor code/name
	3.5.17.26.4 Vendor account number 3.5.18 Payment history ***should***
	3.5.18.1 Allow reporting on all data elements in fund account records, vendor records, and invoice records. 3.5.18.2 Provide online access to archived data.
	3.5.18.3 Within the vendor file, the system ***should***: 3.5.18.3.1 Allow selection of records by all controlled fields in the record
	3.5.18.3.2 Allow typical reports using vendor info 3.5.18.3.3 Allow selection of records by all controlled fields in the invoice record
	3.5.19 Reports using invoice information ***should*** include: 3.5.19.1 Payments by invoice control number
	3.5.19.2 Payments by vendor invoice number 3.5.19.3 Payments by library
	3.5.19.4 Payments by order number 3.5.19.5 Payments by date
	3.5.19.6 Payments by bibliographic attributes 3.5.19.7 Payments by library specific codes in order record
	3.6 Serials: 3.6.1 The serials module ***should*** contain the following for use in serials control:
	3.6.1.1 Serial type 3.6.1.2 Start date of subscription
	3.6.1.3 Subscription period 3.6.1.4 Publication pattern
	3.6.1.5 Publication pattern of indices and supplements 3.6.1.6 Local recording instructions

	3.6.1.7 Multiple free text fields 3.6.1.8 Multiple local use coded fields that are searchable
	3.6.1.9 Library defined captioning 3.6.1.10 Payment cycle
	3.6.1.11 Routing information 3.6.1.12 Enumeration and chronology for the serial
	3.6.1.13 Check-in date 3.6.1.14 Claim cycle
	3.6.2 The serials module ***should*** be able to record receipt of all types of serials and frequencies including: 3.6.2.1 Annuals
	3.6.2.2 Blanket orders 3.6.2.3 Bound supplements
	3.6.2.4 Continuations 3.6.2.5 Electronic formats
	3.6.2.6 Government documents 3.6.2.7 Indices
	3.6.2.8 Law reports 3.6.2.9 Loose-leaf
	3.6.2.10 Maps 3.6.2.11 Material received on exchange
	3.6.2.12 Memberships 3.6.2.13 Memoirs
	3.6.2.14 Monographic series 3.6.2.15 Newspapers
	3.6.2.16 Periodicals 3.6.2.17 Pocket parts
	3.6.2.18 Proceedings/Conferences 3.6.2.19 Recordings
	3.6.2.20 Replacement volumes or fill-in volumes 3.6.2.21 Special issues
	3.6.2.22 Superseding volumes 3.6.2.23 Supplements
	3.6.2.24 Transactions 3.6.2.25 Transfer binders
	3.6.2.26 Unbound supplements 3.6.2.27 Unnumbered series
	3.6.3 The serials module ***should*** support a predictive check-in for all publication patterns with predictable regularity and manual check-in of irregular serials. 3.6.4 Prediction patterns ***should*** be possible for all predicable frequencies and enumerations including the following:
	3.6.4.1 Annuals 3.6.4.2 Daily
	3.6.4.3 Weekly

	3.6.4.4 Bi-weekly
	3.6.4.5 Monthly 3.6.4.6 Bi-monthly
	3.6.4.7 Quarterly 3.6.4.8 Semiannual
	3.6.4.9 Biennial 3.6.4.10 Triennial
	3.6.4.11 Predictable number of issues per time period 3.6.4.12 Normalized irregulars
	3.6.4.13 Enumeration is predictable but not date 3.6.4.14 Volume numbering continuous, issue numbering restarts at 1 with new volume
	3.6.4.15 Volume numbering continuous, issue numbering continuous 3.6.4.16 Volume numbering restarts at 1 with new year, issue numbering continuous
	3.6.4.17 Volume numbering and issue numbering both restart at 1 with new year 3.6.4.18 Separate check-in information for all copies of a serial title held.
	3.6.5 The module ***should*** allow: 3.6.5.1 Check-in of multiple issues of the same title on separate holdings, received at the same time, either all at once or by staff discretion.
	3.6.5.2 Support at least 6 levels of enumeration, automatic roll-over of enumeration, and dates based on publication pattern 3.6.5.3 Wide variety of values for each level of enumeration, predict issues with all supported values, and holdings statements with all supported values.
	3.6.5.4 Overriding of a predicted issue's information 3.6.5.5 Check-in an issue that varies from the predicted enumeration and frequency with staff entry
	3.6.5.7 The ability to display at least 10 receipt statements without scrolling 3.6.5.8 Removing an issue from a serial's holdings information
	3.6.5.9 Creation of lists of missing issues as "wants" for replacement orders 3.6.5.10 Repeat check-in of an issue
	3.6.5.11 Storing check-in data and information on each issue checked-in (date checked-in, by whom) for reports 3.6.5.12 Generation of reports on number of issues checked-in by a variety of criteria (vendor, fund, date checked-in)
	3.6.5.13 An operator to easily access a specific volume of a serial 3.6.5.14 Identification of subscriptions due for renewal
	3.6.6 The serials module ***should*** update serial holding information in the OPAC, either automatically or on command, when issues are checked-in including: 3.6.6.1 Update of holdings information in real time
	3.6.6.2 Allow staff to manually correct and update holdings information 3.6.6.3 Ability to re-order receipt statements

	3.6.7 In relation to binding and end processing, the module ***should*** 3.6.7.1 Accommodate binding preparation mechanisms for both serials and monographs.
	3.6.7.2 Automatically set the display in item records of serial captions (enumeration and chronology) 3.6.7.3 Support the override of default information by authorized staff
	3.6.7.4 Allow barcodes associated with unbound issues of a serial to be automatically incorporated into an item record for the bound volume at the time of binding. Issue-level barcodes should remain operational. 3.6.7.5 Automatically alert staff to bind readiness for serial items
	3.6.7.6 Support various ways of determining binding readiness, including: 3.6.7.6.1 Number of issues received
	3.6.7.6.2 Regular library-specified intervals 3.6.7.6.3 Receipt of index or table of contents
	3.6.7.7 Automatically update compressed holdings when items are bound and delete the detailed receipt data. 3.6.7.8 Create a binding ticket in printed and/or electronic form for each unit to be bound; the ticket should include the title that is to be bound
	3.6.7.9 Produce spine labels that include specific data elements from item records and accommodate local options. 3.6.7.10 Store and print on spine label long and complex marking patterns.
	3.6.7.11 Allow shipment-level tracking of pieces sent for binding. **3.7 Cataloging:**
	3.7.1 The module ***must*** accommodate records and fields of sufficient size. 3.7.2 Records and fields ***must*** not have limitations on individual field or record size or the numbers of fields in a bibliographic, authority, or holdings record, unless these restrictions are placed by USMARC format and applied to all record types.
	3.7.3 All records ***must*** be easily accessible from all subsystems and stored in one location for access and display anywhere in the system. 3.7.4 For all material types, the module ***must*** support the ability to import, export, create, edit, delete, store, index, and retrieve records in USMARC. The module ***must*** accept and manage all USMARC format tags, indicators, etc. without loss of data.
	3.7.5 The required MARC record types for the module ***must*** include: 3.7.5.1 Bibliographic
	3.7.5.2 Authority 3.7.5.3 Holdings
	3.7.6 Locally and externally created bibliographic and authority records ***must*** be supported by the system and accommodate any subsequent updates to USMARC format in a timely manner (i.e. within 1 year of update). 3.7.7 The module ***must*** support automatically maintained location/copy specific cataloging status information but have the ability for staff to override this function when appropriate.

	3.7.8 The module ***must*** be able to suppress bibliographic records from the public display at staff discretion. 3.7.9 The module ***should***
	3.7.9.1 Show the view of a single bibliographic record for each format within the database
	3.7.9.2 Allow bibliographic records that are not associated with a barcode or call number
	3.7.9.3 Display all relevant information for a bibliographic entity when any part of the bibliographic record is retrieved at staff discretion 3.7.9.4 Support and manage multiple locations on a given bibliographic record
	3.7.9.5 Allow an item record to be linked to more than one bibliographic record 3.7.9.6 Show information about the item record with each bibliographic record (bound-with checked out, then all associated bibliographic records indicate the item is checked out)
	3.7.9.7 Provide access by searching for any bibliographic record contained within the bound-with 3.7.10 The module ***should*** provide a number of ways to search for both bibliographic and authority records.
	3.7.11 The module ***should*** be able to accept records from external system. Some systems and formats that ***should*** be supported include: 3.7.11.1 OCLC
	3.7.11.2 Library of Congress 3.7.11.3 Z39.50 library catalogs
	3.7.11.4 Locally mounted authority files 3.7.11.5 Vendor systems capable of creating MARC-compliant records
	3.7.11.6 CD-ROM products 3.7.12 The module ***should*** support the ability to import records one record at a time or in batch. Batch transfer of bibliographic records would typically come from OCLC and other vendors, like Baker & Taylor, or real time transfer of individual records accessed from OCLC or another Z39.50 source.
	3.7.13 The module ***should*** allow records containing diacritics set to be locally created, accepted from external sources, edited, stored, and displayed. 3.7.14 The module ***should*** be able to link separate records that are bibliographically related, for example Earlier/Later headings for serial title changes and/or supplements, etc.
	3.7.15 The module ***should*** have the ability to 3.7.15.1 Define specific display/print constants based on USMARC indicators and sub-field codes
	3.7.15.2 Retrieve related records without a new search based on info within the 7xx fields 3.7.15.3 Display brief information about related records in a logical and useful way.

	3.7.15.4 Have links created regardless of whether the item is a serial or monograph
	3.7.16 The module ***should*** support the ability to import records through different media methods.
	3.7.17 The module ***should*** immediately update all appropriate indices and record displays as records are added, edited or deleted. 3.7.18 For incomplete or in-process records, the module ***should*** support the ability
	3.7.18.1 For staff to retrieve the records 3.7.18.2 For staff to retrieve the records as a group by operator id
	3.7.18.3 To distinguish records as to review states 3.7.18.4 For staff to suppress the record from public display
	3.7.19 The module ***should*** support a user-friendly, task oriented, standard input screen for data. 3.7.20 The input screens ***should*** include
	3.7.20.1 Graphical user interfaces for Windows available for all staff functions 3.7.20.2 Session windows that can be tiled horizontally, vertically, and cascade
	3.7.20.3 Split screen windowing capabilities to allow more than one record to be viewed at a time 3.7.20.4 Keystroke/command equivalents for all editing/processing functions
	3.7.20.5 The option of a full screen edit interface that displays the MARC record with all fixed fields, tags, indicators, sub-fields, text and diacritics 3.7.20.6 Input interface that allows automatic advancement from field to field
	3.7.20.7 The option to display the record as it would appear to the public 3.7.20.8 Context specific help that can be edited on-site without system administrator intervention
	3.7.20.9 Icons that contain pop-up help 3.7.20.10 Allow staff to control keyboard mapping
	3.7.20.11 Allow staff to control screen size, colors, and other visual attributes 3.7.20.12 Have displays that are standardized when relating to different functions, with selected fields displaying according to function.
	3.7.20.13 Allow staff control to customize what fields/parts of records display during an editing session 3.7.20.14 Allow staff control to save a custom profile of screen design to re-use in later sessions
	3.7.20.15 Have an alternative input interface 3.7.20.16 Allow staff to modify help screens content and icons.
	3.7.20.17 Allow long list help screens to be both scrollable and searchable

	3.7.20.18 Indicate how much of the record has been viewed when displaying records longer than one screen
	3.7.20.19 Have the ability to move easily between associated records 3.7.20.20 Have the capability to display and edit multiple records at the same time
	3.7.20.21 Have the ability to cut, copy and paste between records, and within records 3.7.20.22 Have the ability to use a copy of an existing record as the basis for a new record with unique identification numbers
	3.7.20.23 Have the ability to easily change the primary format of a bibliographic record with the module moving/modifying fixed field data appropriately 3.7.20.24 Have the ability to create and store templates that preserve information that is often repeated and can be used to create new records
	3.7.20.25 Allow staff to have their own templates and shared templates 3.7.20.26 Allow staff to easily define, record, edits and delete an unlimited amount of macros.
	3.7.21 The module ***should*** support easy add/edit/delete of data elements in existing records including the following features: 3.7.21.1 Word processing style editing functions including automatic line wrap
	3.7.21.2 Supplied default values for indexed fields and indicators, and default initial sub-fields in new records 3.7.21.3 Ability to sequence lines and repeat fields in correct order, both automatic and manual renumber of sequencing
	3.7.21.4 Ability to delete fields, erase to the end of the field, and erase to the end of a sub-field, each with a single keystroke 3.7.21.5 Ability to add fields by renumbering and editing existing fields
	3.7.21.6 Ability to move backward and forward easily between fields and between screens for multiple screen records using mouse clicks or the keyboard arrows 3.7.21.7 Full record edit with scrolling
	3.7.22 The module ***should*** support global updates to tags, indicators, and sub-field codes, data in variable fields and sub-fields, and codes in fixed fields across selected records and database files. 3.7.23 The module ***should*** support data entry by barcode scanning.
	3.7.24 An operator id ***should*** be associated with a default location and a default screen qualification, which determine the default single record display. 3.7.25 The module ***should*** support flexible control over operator security.
	3.7.26 Operator security ***should*** control a matrix of permission attributes including actions, record types, libraries, funds, and special functions that allows individuals to perform certain tasks but not others.

	3.7.27 The module ***should*** provide automatic validation of data input and have the ability to define different options for each validation test; both directly keyed through online alerts and imported in batch though reports or review files. MARC validation should include checking for
	3.7.27.1 Valid leader and fixed field values 3.7.27.2 Valid tags, indicators, and sub-field codes
	3.7.27.3 Attempt to repeat a non-repeatable field or sub-field 3.7.27.4 Presence of required fields or fixed field data elements
	3.7.28 The module ***should*** validate the format of all standard numbers. 3.7.29 If the data does not pass a validation test, the data ***should*** remain available for edit and correction.
	3.7.30 When searching for duplicate records, the module ***should*** have the ability to identify duplicate bibliographic records using standard numbers in the detecting process including: 3.7.30.1 OCLC numbers
	3.7.30.2 LCCN 3.7.30.3 ISBN
	3.7.30.4 ISSN 3.7.30.5 SuDoc numbers
	3.7.30.6 Publisher number 3.7.31 The module ***should*** have merge/overlay capabilities.
	3.7.32 The module ***should*** be able to dynamically compose a record from elements of the records being merged. 3.7.33 When overlaying a record, staff ***should*** be able to choose either the incoming record or the existing record to be used as the base record, depending on the encoding level and source of each record.
	3.7.34 Overlaying or merging of bibliographic data ***should*** preserve linked information such as ordering, circulation, holdings, and items. 3.7.35 The module ***should*** produce collection counts, lists, and other statistical reports including:
	3.7.35.1 Titles/volumes/items in collection 3.7.35.2 Titles/volumes/items added to collection
	3.7.35.3 Titles/volumes/items withdrawn from collection 3.7.35.4 Location
	3.7.35.5 Format 3.7.35.6 Circulation status
	3.7.35.7 Physical medium 3.7.35.8 Processing status
	3.7.35.9 Subscription status 3.7.35.10 New cataloging records added to database
	3.7.35.11 New authority records added to database 3.7.35.12 Cataloging/authority records modified
	3.7.36 The module ***should*** generate a variety of labels, including spine and routing labels, to be printed in batch or singles.

	3.7.37 The module ***should*** allow the order of variable fields in the MARC format to match national standards.
	3.7.38 The module ***should*** maintain the following for bibliographic and authority records:
	3.7.38.1 Date of each record's addition to the local database
	3.7.38.2 Date of latest external update to each record 3.7.38.3 Date of latest local, online edit to each record
	3.7.38.4 Date of the latest batch process to each record 3.7.38.5 Field that identifies the cataloger/editor for the record. Edit history should be maintained including operator and date.
	3.7.39 Suppression abilities within the module ***should*** include: 3.7.39.1 Suppress the entire record from display
	3.7.39.2 Suppress all linked records from display in a single step 3.7.39.3 Suppress linked records at the "branch" or item level
	3.7.40 Suppressed items ***should*** not display in a public search result. 3.7.41 Searches within the module ***should*** include:
	3.7.41.1 Author 3.7.41.2 OCLC number
	3.7.41.3 ISBN 3.7.41.4 ISSN
	3.7.41.5 LCCN 3.7.41.6 GPO number
	3.7.41.7 SuDoc number 3.7.41.8 Title
	3.7.41.9 Subject 3.7.41.10 Call number
	3.7.42 The module ***should*** allow bibliographic, holdings, and item records to contain action dates, which can be set by authorized operators to trigger a review of the record when the date comes due. 3.7.43 Fields or characters from external sources ***should*** not be stripped, except as the Library Commission specifically seeks to do so.
	3.7.44 When the Commission seeks to strip data fields and characters, the Commission ***should*** be able to specify manipulation and editing of records as part of the import process, so specific leader values can be mapped, data can be moved to another tag, or indicator values can be edited. 3.7.45 Records created and modified by the batch loader ***should*** pass validation checks for consistency.
	3.7.46 Batch records that do not pass validation checks ***should*** be loaded into the database and have the system provide a printable file of records failing the validation including the reason for failure. 3.7.47 The failing validation file ***should*** be
	3.7.47.1 Viewable by different staff members 3.7.47.2 Printed automatically on request
	3.7.47.3 Able to select a subset of records to import.

	3.7.48 Importing USMARC records ***should*** be available through the following methods:
	3.7.48.1 FTP 3.7.48.2 DAT tape
	3.7.48.3 CD-ROM 3.7.48.4 Floppy disc
	3.7.48.5 Dynamically, one record at a time, under staff control. 3.7.49 The Library Commission ***should*** be able to create as many "load tables" for the module to import records from a variety of sources, as needed, during and after the implementation process of the ILS without required assistance from the ILS vendor.
	3.7.50 For bibliographic records that are incomplete or in process, the module ***should*** support the ability to do the following: 3.7.50.1 Retrieve in-process records together with completed records in a routine search
	3.7.50.2 Retrieve in-process records as a group by operator ID 3.7.50.3 Distinguish records as to review states
	3.7.51 The global update features ***should*** 3.7.51.1 Be available to staff with the appropriate authorization only.
	3.7.51.2 Support field-for-field, tag-for-tag, etc., replacement and replacement of a portion of a field, sub-field, etc., based on character string matching. 3.7.52 The module ***should*** support the following global update features:
	3.7.52.1 Inserting a new field 3.7.52.2 Deleting an entire field or a portion of a field
	3.7.52.3 Adjustment of other data in the record to accommodate the requested change 3.7.52.4 Operate on authority records when applicable and reflected in bibliographic records.
	3.7.52.5 Operate on location information as well as bibliographic data with appropriate authorization 3.7.52.6 Have the capability to review changes record by record with a permanent change taking place only after confirmation by staff
	3.7.52.7 Modification date(s) to be set. 3.7.53 Records ***should*** be selected for global updates based on the following
	3.7.53.1 A list of system id numbers 3.7.53.2 Character string matching in a variable field or fields
	3.7.53.3 Presence of a fixed field code, or set of fixed field codes 3.7.53.4 Presence of a MARC format tag(s) and indicator(s)
	3.7.54 The module ***should*** include a check for the following when doing a global update: 3.7.54.1 Internal consistency of MARC coding
	3.7.54.2 Comparison of data in various MARC fields to ensure consistent data entry.

	3.7.54.3 Format of the numbers during the input process.
	3.7.55 For all validation tests, the module ***should*** provide the option for contextual help to explain mistakes. 3.7.56 All records created and/or modified by "batch load" ***should*** be subjected to the same data validation as locally created records, but allow error messages to be sent to a report for review.
	3.7.57 The module ***should*** provide automatic duplication detection online and warn the operator when a new record may duplicate an existing record in the database. 3.7.58 The module ***should*** support the both collection level and item level descriptions of digital images.
	3.7.59 The module ***should*** include the following in relation to digital images: 3.7.59.1 Display copyright information with the image in the OPAC
	3.7.59.2 Allow more than one image size to be associated with the bibliographic record, through the use of MARC 856 3.7.59.3 Allow users to purchase images through an electronic commerce feature in the OPAC
	3.8 Holdings: 3.8.1 The system ***must*** provide full support for the latest edition of the USMARC Holdings Format for the creation, editing, deletion, and display of holdings data without loss of information.
	3.8.2 The system ***must*** support the maximum record and field length as specified in the ANSI/NISO Z39 standards for holdings. 3.8.3 The system ***should*** provide the creation, copying and storage of holdings records for the following basic types of bibliographic units:
	3.8.3.1 Single/multiple copies 3.8.3.2 Multi-volume works
	3.8.3.3 Monographic series 3.8.3.4 Serials
	3.8.3.8 Analytics 3.8.4 The system ***should*** accommodate holdings records for the following
	3.8.4.1 Supplements 3.8.4.2 Indices
	3.8.4.3 Accompanying materials 3.8.5 The system ***should*** provide full support for inputting and editing all defined fields, sub-fields, and fixed fields.
	3.8.6 The system ***should*** support and display all four holdings levels as described in the USMARC Holdings Format. 3.8.7 The system ***should*** allow a wide variety of values for each level of enumeration.
	3.8.8 Supported USMARC fields for holdings record ***should*** also include: 3.8.8.1 Public (sub-field z) and non-public (sub-field x) notes
	3.8.8.2 URL 856

	3.8.9 The system ***should*** support summary displays of all holdings and locations linked to a bibliographic record.
	3.8.10 The system ***should*** provide for the ability to link holdings to a bibliographic record. 3.8.11 The system ***should*** allow multiple holding records for one location.
	3.8.12 The system ***should*** use data in the USMARC holdings fields to drive 3.8.12.1 Predictive check-in
	3.8.12.2 Claiming 3.8.12.3 Display of holdings data in compressed and/or expanded form in the OPAC and to staff
	3.8.13 The system ***should*** update holding records automatically, in real time, during serial processing functions (i.e. serial check-in.) 3.8.14 The system ***should*** prevent the deletion of a bibliographic record with holdings attached, but allow staff to override when appropriate.
	3.8.15 The system ***should*** provide the ability to have holdings records suppressed from the public display. 3.8.16 The system ***should*** provide the ability to easily move holdings information from one location or for all locations from one bibliographic record to another, and from one location to another within the same bibliographic record
	3.8.17 When holdings information is moved, the system ***should*** provide the ability to move/update any associated item records. 3.8.18 When item record(s) have been moved, the system ***should*** provide the ability to easily move/update any associated holdings.
	3.8.19 The system ***should*** provide the ability for holdings records to "inherit" default information from the bibliographic record, and staff should be able to override default information as necessary. **3.9 Item Records:**
	3.9.1 The system ***must*** allow item records to be created for physical items associated with bibliographic records representing material in any format, including item records for containers associated with collection-level bibliographic records. 3.9.2 The system ***should*** provide for the creation, storage, retrieval, editing, updating and display of item-level information, including the following information:
	3.9.2.1 Dates: creation, update, action, inventory, modification 3.9.2.2 Call number(s)
	3.9.2.3 Unique item number 3.9.2.4 Barcode(s)
	3.9.2.5 Copy number 3.9.2.6 Loan codes
	3.9.2.7 Owning unit 3.9.2.8 Sub-locations
	3.9.2.9 Price 3.9.2.10 Temporary location(s)
	3.9.2.11 Item class

	3.9.2.12 Last checked-in date
	3.9.2.13 Status 3.9.2.14 Library defined
	3.9.2.15 Free text notes area 3.9.2.16 Piece-level identification data
	3.9.2.17 And include: 3.9.2.17.1 Flags/alerts that are customizable
	3.9.2.17.2 Circulation information 3.9.2.17.3 Renewal limits
	3.9.2.17.4 Format of physical item 3.9.2.17.5 Preservation information
	3.9.2.17.6 Location history 3.9.2.17.7 Donor information
	3.9.2.17.8 Trace information 3.9.3 The system ***should***
	3.9.3.1 Not limit the number of items linked to a bibliographic record. 3.9.3.2 Automatically display in item records information from bibliographic, holdings, and other records, without re-keying.
	3.9.3.3 Provide for the use of item records both as a means of conveying item-level information to users through messages in the OPAC and as a means of facilitating internal operations. Such use should be flexible and accommodate local options. 3.9.3.4 Maintain preservation information at the item level, including physical condition and date, proposed treatments and date, treatment priorities, and completion dates.
	3.9.3.5 Create an item record on-the-fly. 3.9.4 The system ***should*** support global changes of individual fields in the item records.
	3.9.5 The system ***should*** 3.9.5.1 Distinguish and retrieve items by scanning or keying an ID number (barcode number), library/location, and/or by serial enumeration and chronology.
	3.9.5.2 Recognize existing barcodes in use and should be able to accommodate different barcodes from those that currently exist. 3.9.5.3 Recognize unique barcodes in the system and prevent the assignment of duplicate barcodes.
	3.9.6 Authorized staff ***should*** have the ability to delete item records but not if the item records have current circulation charges. 3.9.7 The system ***should*** allow a summary display of multiple item records associated with a bibliographic record and permit easy rearrangement of the order in their display.
	3.9.8 The system ***should*** allow one item record to be linked to multiple bibliographic records (bound-withs and analyzed series.) When linked to multiple bibliographic records, the system ***should*** support the retrieval of any and/or all bibliographic records associated with the single item record.

	3.9.9 The system ***should*** provide the means for distinguishing a physical item that accompanies another physical item (e.g., a CD that accompanies a book) when a single bibliographic record represents both. In the circulation module, the system ***should*** alert staff to the presence of such accompanying items upon charge and/or discharge of the item.
	3.9.10 The system ***should*** support the use of both 10-digit and 14-digit barcode numbering schemes. 3.9.11 The system ***should***
	3.9.11.1 Allow reporting from any item level field 3.9.11.2 Be able to select, count, and otherwise report on item record information by any and all item data elements.
	3.9.12 At the circulation level, item records ***should*** maintain the following information: 3.9.12.1 Current charge information
	3.9.12.2 User information 3.9.12.3 Date/time charged
	3.9.12.4 Location of charge 3.9.12.5 Date/time due
	3.9.12.6 Hold information 3.9.12.7 In-transit information
	3.9.12.8 Delivery information 3.9.12.9 Circulation transaction activity
	3.9.12.10 Last discharge date/time and location 3.9.12.11 Total number of times charged
	3.9.12.12 Number of times charged year-to-date 3.9.12.13 Number of times used in-house
	3.9.12.14 Number of holds 3.9.13 The system ***should*** provide a mechanism for keeping track of missing items, whether charged (long overdue) or not (claimed returned, not-on-shelf, etc.) This mechanism ***should*** facilitate reordering of individual physical items.
	3.9.14 Item record statuses ***should*** include: 3.9.14.1 Lost
	3.9.14.2 Missing 3.9.14.3 Bindery
	3.9.14.4 In Processing 3.9.14.5 On order
	3.9.15 The global changes to item records ***should*** include 3.9.15.1 Global change to all items linked to a specific bibliographic record
	3.9.15.2 Global change to all items in a library/location 3.9.15.3 Global change to all items in the database
	3.9.15.4 Global change to selected items based on specific item or bibliographic information

	3.9.16 The system ***should*** allow summary item records linked to a bibliographic record to be easily re-linked, individually or collectively, to a different bibliographic record or location. The relinking ***should*** be permitted even if the item record(s) are charged. The charge ***should*** follow the item record.
	3.10 Authority Control: 3.10.1 The authority control system ***must*** accept authority records from different sources including the Library of Congress, OCLC, and locally created records.
	3.10.2 The system ***should*** 3.10.2.1 Allow addition, modification, and deletion of authority records to be made by processing batches of incoming records from external sources
	3.10.2.2 Match batches of incoming records against existing authority records to detect duplication 3.10.2.3 Overwrite existing authority records with new records when they match but retain existing links with bibliographic records
	3.10.2.4 Allow modification of existing bibliographic records to be made by processing batches of incoming correct records from a vendor of authority control services. This process should include ability to match and overlay bibliographic data. 3.10.2.5 Support downloading of authority records from a bibliographic utility.
	3.10.3 The system ***should*** support the import, export, creation, addition, deletion, storage and retrieval of full USMARC authority records for personal, corporate and conference names, series, uniform titles and subjects during the ordering, receiving, and cataloging process. 3.10.4 The system ***should*** support multiple subject thesauri and subject headings.
	3.10.5 System ***should*** validate all new headings or changes to existing headings against authority records and generate an automatic report of any conflict with a cross-reference. 3.10.6 The headings that ***should*** be validated include:
	3.10.6.1 Headings contained in imported authority records 3.10.6.2 Headings contained in imported bibliographic records
	3.10.6.3 Newly created headings in authority records 3.10.6.4 Newly created headings in bibliographic records
	3.10.6.5 Edited headings in authority records 3.10.6.6 Edited headings in bibliographic records
	3.10.6.7 Both main headings and cross-references in authority records when new or changed 3.10.7 Validation routines ***should*** check both main headings and cross-references in existing authority records for a batch.
	3.10.8 When a heading being validated matches a cross-reference, the system ***should*** offer option of substituting the valid heading. 3.10.9 System ***should*** support full hierarchical validation for names, series and subject headings.

	3.10.10 System ***should*** not report heading/cross-reference conflicts when these conflicts occur due to being part of different thesauri/heading lists. 3.10.11 System ***should*** be able to report cross-reference conflicts.
	3.10.12 When an authority record no longer has links to a bibliographic record, the system ***should*** generate a blind reference report. 3.10.13 The system ***should*** be able to suppress blind references from public display.
	3.10.14 The system ***should*** be able to automatically identify and report to staff review all headings in bibliographic records that do not appear in authority file. 3.10.15 The system ***should*** be able to accurately match incoming records with existing authority records, including locally created records:
	3.10.15.1 By Library of Congress control number and other thesaurus numbers 3.10.15.2 By OCLC number
	3.10.15.3 By 1xx field text and thesaurus code when appropriate 3.10.16 The system ***should***
	3.10.16.1 NOT require that the operator create an authority record for every heading used in the bibliographic record. 3.10.16.2 Support the lookup of authority data in national authority files accessed remotely.
	3.10.17 The subject thesauri that ***should*** be supported include: 3.10.17.1 Library of Congress Subject Headings
	3.10.17.2 Locally created terms 3.10.17.3 Form/genre terms from multiple thesauri
	3.10.18 System ***should*** support the ability to indicate the thesaurus used for each heading and each cross reference in 3.10.18.1 Any authority records display
	3.10.18.2 Any bibliographic records with headings 3.10.18.3 Ability to add new thesauri as needed.
	3.10.19 The system ***should*** 3.10.19.1 Support the ability to search all types of authority records in a single search with an integrated display result
	3.10.19.2 Support the ability to limit the search to records from a single thesaurus 3.10.19.3 Support ability to browse authority file
	3.10.19.4 Display appropriate cross-references for each authoritative form and see-also references to headings used in the bibliographic file 3.10.19.5 Support the ability to limit the search to names, series titles, uniform titles, or subjects at staff discretion
	3.10.19.6 Allow easy lookup of authority records for headings in forms that may appear in the bibliographic file and authority records for headings that wouldn't necessarily appear in the bibliographic record.
	3.10.19.7 Allow for display of broader and narrower terms at operator's request.

	3.10.20 The system ***should*** support active links between authority records and associated bibliographic records and be linked in real time.
	3.10.21 There ***should*** be automatic generation of changes to headings in all linked bibliographic records when changes are made to authoritative headings in the authority records.
	3.10.22 Global conversion from one full heading to another ***should*** be supported.
	3.10.23 Global conversion of data within a heading ***should*** be supported.
	3.10.24 Global change capabilities ***should*** be done with a single command.
	3.10.25 Global changes ***should*** have no limits to the number of records that can be changed.
	3.10.26 Global deletions of obsolete tags ***should*** be supported.
	3.10.27 System ***should*** support ability to retain authority records when no active bibliographic links exist.
	3.10.28 System ***should*** support the automatic relinking of bibliographic headings to authority headings when authority records are merged or changed.
	3.10.29 If a new heading is used in a bibliographic record under any defined field under authority control, and the heading does not match an existing authority record, the system ***should*** generate a brief, single line authority record for each new heading or automatically link to a national authority database and update authorized headings without operator intervention. Any new heading so created ***should*** be made available on a report.
	3.10.30 The system ***should*** allow a selected bibliographic record to be copied to an authority control vendor for processing.
	3.10.31 The system ***should*** be able to record and report the following data related to authority control activities:
	3.10.31.1 Number and type of heading changes made by day, week, month, year
	3.10.31.2 Number of bibliographic records affected by a heading change by day, week, month, year
	3.10.31.3 Number of authority records maintained by the system by day, week, month, year
	3.10.31.4 Number of unique headings by type of heading
	3.10.31.5 Report of all authority records created
	3.11 Electronic Resources:
	3.11.1 The Library Commission subscribes to a number of electronic resources that are reflected within the OPAC. The system ***must*** support the use of URLs to link to such resources.
	3.11.2 Support of electronic resources ***should*** include the following:
	3.11.2.1 MARC 856 field and future fields as defined in the USMARC formats for electronic location and access to information
	3.11.2.2 A URL checker, providing initial verification of URLs by staff and periodic verification and reporting of obsolete or invalid URLs
	3.11.2.3 Open URL compliant

	3.11.3 System ***should*** allow launching from a URL to an external online resource, initiating web browsers in separate windows or other applications as appropriate.
	3.11.4 The system ***should*** 3.11.4.1 Be able to generate an A to Z journal list that contains holdings information for a particular journal, regardless of format.
	3.11.4.2 Support searching all database types including full-text databases, free databases, the Library Commission's local catalog, and other local library catalogs. Currently, the Library Commission and the State Archives and History Library subscribe to 80 authenticated databases. 3.11.4.3 Have a user authentication process to access electronic resources
	3.11.4.4 Allow guest users to access electronic resources 3.11.5 Search results for electronic resources ***should*** be
	3.11.5.1 Merged and de-duplicated "on-the-fly" when electronic resources are available from more than one aggregator. 3.11.5.2 Able to be sorted by date, title, author, and source.
	3.11.5.3 Able to have a direct link to full-text articles, when available. 3.11.5.4 Able to allow users to refine searches
	3.11.6 Users of our electronic resource ***should*** be able to do the following with an electronic search result list 3.11.6.1 Select individual records or all records in the list
	3.11.6.2 Send selected records to a local printer 3.11.6.3 Send selected records to an email account
	3.11.6.4 Save selected records to the patron account 3.11.7 The system ***should*** have an electronic resource management tool to help guide collection developers manage and build electronic resource collections. If the electronic resource management tool is a separate module, please indicate so and provide information about the module.
	3.12 Web OPAC: 3.12.1 The system ***must*** allow multiple interfaces to access the catalog.
	3.12.2 There ***must*** be the option to place a basic catalog search box on the agency's website. 3.12.3 The OPAC client ***must*** be offered through standard Web browsers such as NETSCAPE, INTERNET EXPLORER, and others such as AOL.
	3.12.4 The system ***should*** permit the following types of user searching: 3.12.4.1 Author
	3.12.4.2 Title 3.12.4.3 Subject
	3.12.4.4 Keyword 3.12.4.5 Boolean
	3.12.5 All fields in the record, regardless of type, ***should*** have the option to be part of the searching index. 3.12.6 The searches ***should*** be performed on real time catalog data.

	3.12.7 The system ***should*** allow users to search for and identify records for all material types, including: 3.12.7.1 Monographs
	3.12.7.2 Serials 3.12.7.3 Data files
	3.12.7.4 Maps 3.12.7.5 Microforms
	3.12.7.6 Vertical files 3.12.7.7 AV formats
	3.12.7.8 Sound recordings 3.12.7.9 Manuscripts
	3.12.7.10 Manuscript collections 3.12.7.11 Networked resources
	3.12.7.12 Scores 3.12.7.13 Software
	3.12.7.14 Analytics 3.12.7.15 Realia
	3.12.7.16 Photographs 3.12.7.17 Slides
	3.12.7.18 Prints 3.12.7.19 Documents
	3.12.7.20 Annual reports 3.12.7.21 Technical reports
	3.12.8 The system ***should*** have the ability to search on keywords in any field and have the system normalize punctuation, spacing, case, diacritics, and special characters. 3.12.9 The system ***should*** not place limits on the number of characters that are searchable for each field within a record.
	3.12.10 The system ***should*** allow searches to be limited by any combination of: 3.12.10.1 Dates (including ranges)
	3.12.10.2 Bibliographic format 3.12.10.3 Language
	3.12.11 The system ***should*** support complete and truncated call number searching. 3.12.12 The system ***should*** allow the user to stop the search at any time.
	3.12.13 The system ***should*** 3.12.13.1 Display the search strategy and number of hits retrieved by each individual term in a multiple-term search.
	3.12.13.2 Display search results in a visual manner to help facilitate material discovery. 3.12.13.3 Have the capability of saving, displaying, combining, and re-executing previous search commands, with or without editing, for the duration of a session.
	3.12.14 The user ***should*** be able to search cross-references without re-keying.

	3.12.15 The system ***should*** permit the user to generate a list of subject headings that match a search. The list could be
	3.12.15.1 An alphabetical list of terms beginning with the searched term, such as a guide screen (a string search) 3.12.15.2 A list of headings containing the words searched (e.g. a keyword search for genetics that would retrieve Genetics, Developmental genetics, and Drosophila--Genetics)
	3.12.15.3 An alphabetical list of terms beginning with the searched term, 3.12.15.4 A list of headings containing the words searched
	3.12.16 Without re-keying, the system ***should*** allow selection of a traced heading, or any beginning part of a subdivided subject heading, in a bibliographic record. 3.12.17 The system ***should*** be capable of translating between different thesauri.
	3.12.18 The system ***should*** 3.12.18.1 Allow a user to enter a new search at any time, without backtracking through menus or displays.
	3.12.18.2 Not require the use of special characters (e.g. "&" for Boolean "AND") in searching. 3.12.18.3 Allow selection of a traced heading or part of a traced heading in a bibliographic record without re-keying.
	3.12.18.4 Allow "rotation" of corporate author subordinate bodies and uniform title parts in the string indices. 3.12.19 The system ***should*** be able to retrieve very large sets easily, both for keyword and string indices.
	3.12.20 When large sets of records are retrieved for a search, the system ***should*** suggest or have readily apparent ways of limiting the search. 3.12.21 The system ***should*** display a readily understandable summary screen.
	3.12.22 All indices ***should*** be updated in real time. 3.12.23 The system ***should*** support normalized index searching (i.e., well-ordered lists) for the following numbers:
	3.12.23.1 LC control numbers 3.12.23.2 OCLC control numbers
	3.12.23.3 Local system control numbers 3.12.23.4 ISBNs
	3.12.23.5 ISSNs 3.12.23.6 Publisher's numbers
	3.12.23.7 Government document numbers 3.12.23.8 Standard Technical Report Numbers
	3.12.23.12 LC call numbers 3.12.23.10 Dewey call numbers
	3.12.23.11 Local call numbers 3.12.23.12 Item call number
	3.12.23.13 Series volume numbers 3.12.23.14 Numbers that are part of text fields

	3.12.23.15 Item barcode 3.12.23.16 System record number
	3.12.24 The system ***should*** normalize case, punctuation, spacing, diacritics and special characters in searches and indices, so these do not prevent matches. For example, retrieval of a word containing an umlaut would not require the keying of an umlaut. Also desirable is the ability to retrieve numbers whether they are entered as digits (45) or as words (forty-five or forty five). 3.12.25 When a search results in a list of class and call numbers or a list of bibliographic records is sorted by class and call number, the system ***should*** be capable of sorting numerical elements as integers or decimals, as appropriate.
	3.12.26 Classification schemes that ***should*** be supported include: 3.12.26.1 Dewey Decimal System
	3.12.26.2 SuDoc number 3.12.26.3 Technical report numbers
	3.12.26.4 Local alphanumeric schemes. 3.12.27 The system ***should*** be able to index and display multiple languages and alphabets.
	3.12.28 The system ***should*** allow the display and name of each index to be locally defined and modified. 3.12.29 The system ***should*** allow the library to define the type of user requests including:
	3.12.29.1 Ability to request holds 3.12.29.2 Ability to view status of hold requests
	3.12.29.3 Ability to view personal transaction 3.12.29.4 Ability to view existing fees
	3.12.29.5 Ability to pay existing fees 3.12.29.6 Ability to renew materials
	3.12.29.7 Ability to request interlibrary loans 3.12.29.8 Ability to ask reference questions
	3.12.29.9 Ability to send comments to staff (suggestions) 3.12.29.10 Ability to request the purchase of a specific item (suggestions)
	3.12.29.11 Ability to print the above information to an attached or networked printer 3.12.29.12 Ability to automatically insert the bibliographic information for the item being requested into the online request form.
	3.12.30 The system ***should*** permit the following types of user searching: 3.12.30.1 OCLC number
	3.12.30.2 LCCN number 3.12.30.3 ISBN number
	3.12.30.4 ISSN number 3.12.30.5 Sound-like search
	3.12.30.6 Proximity 3.12.30.7 Relevance

	3.12.31 The system ***should*** have the capability to search for holdings by volume or issue. 3.12.32 The system ***should*** allow keyword searching of series volume numbering.
	3.12.33 The system ***should*** allow searches to be qualified or limited by any combination of: 3.12.33.1 Publication type
	3.12.33.2 Place of publication 3.12.33.3 Publisher
	3.12.33.4 Country 3.12.33.5 Reproduction
	3.12.33.6 Format 3.12.33.7 Location within library
	3.12.33.8 Processing status 3.12.33.12 General material designator
	3.12.33.10 Circulation status 3.12.34 The system ***should*** permit limits to be applied:
	3.12.34.1 Pre-retrieval of a record set 3.12.34.2 Post-retrieval of a record set
	3.12.35 The system ***should*** apply limits in the same way to any type of search. The system ***should*** allow multiple limits to be applied: 3.12.35.1 Simultaneously
	3.12.35.2 In successive steps 3.12.36 The system ***should*** support the following keyword searches:
	3.12.36.1 Right truncation 3.12.36.2 Internal truncation
	3.12.37 The system ***should*** support the following in string searches: 3.12.37.1 Exact string
	3.12.37.2 Head of string (implicit right truncation) 3.12.37.3 Embedded string (e.g., subject subdivision)
	3.12.38 The system ***should*** support Boolean operations in the following ways: 3.12.38.1 Multiple words entered with a Boolean operator (dog OR canine)
	3.12.38.2 Multiple words entered without a Boolean operator (i.e., Library-defined default operator prevails) 3.12.38.3 Nested Boolean combinations of search terms
	3.12.39 The system ***should*** support search operations for terms in particular relation to each other by 3.12.39.1 Word adjacency
	3.12.39.2 Word proximity 3.12.40 The system ***should*** allow the user to customize a session by specifying:
	3.12.40.1 Search limits 3.12.40.2 Default index searched

3.12.41 The system ***should*** clearly display any user-profiling in effect, so another user coming up to the same terminal can't be misled about settings left by a previous user. Failing that, the system ***should*** allow a user to find out the system default settings currently in effect.

3.12.42 The system ***should*** allow the user to save a customized profile for a future search session.

3.12.43 The system ***should***

3.12.43.1 Provide a cue or message to indicate that the system is working when a search is executed.

3.12.43.2 Be capable of suspending potentially long searches at a predetermined point and providing the user with certain options: narrow the search key, terminate the search, examine a portion of the hits, and continue the search.

3.12.44 The system ***should***

3.12.44.1 Provide helpful feedback to users when there are no matching search results. For example, if there are no hits for a string search, the system could suggest a keyword search.

3.12.44.2 Display the index entries, which precede and follow the term searched when there are no direct matches to a search query.

3.12.45 When a title (string) search begins with an article and produces no hits, the system ***should*** offer to redo the search without the article.

3.12.46 The system ***should*** have the ability to automatically redo failed searches at the user's request using a different search type, e.g. singular/plural stemming, internal dictionaries of alternative spellings with option for library to add terms to the dictionaries.

3.12.47 If the system supports the use of stopwords, the system ***should*** use a Library Commission defined list for each keyword index.

3.12.48 The system ***should*** allow the list of stopwords in any single search or in any search session to be overridden.

3.12.49 If a stopword is used in a search, the system ***should*** respond with a message to help the user formulate a new search.

3.12.50 The system ***should*** be

3.12.50.1 Capable of saving searches on the user's local system or diskette, and repeating the searches at a later time or against another database.

3.12.50.2 Able to execute a saved search automatically on a regular schedule.

3.12.51 There ***should*** not be blind cross-references; cross-references displayed in the system should reflect only headings used in the bibliographic file.

3.12.52 Matched cross-references ***should*** display with the initial results of a headings search. The user ***should*** be able to specify that they not display.

3.12.53 The result of a search limited by location, format, etc., ***should*** not include cross-references that would be blind if subject to the same search limit(s).

3.12.54 In the system, the user ***should***

3.12.54.1 Be able to enter a subject search and retrieve a list of bibliographic records, without an intervening list of subject headings.

3.12.54.2 Display explanatory descriptions of subject headings.

3.12.55 If a subject search produces no hits, the system ***should*** suggest other approaches.

3.12.56 The system ***should***

3.12.56.1 Allow searching foreign language material in the original script.

3.12.56.2 Retrieve and display, at the library's option, variant forms of a word when the root of the word is entered.

3.12.56.3 Allow selection of an entry from a list without re-keying.

3.12.57 All fields and their sub-fields ***should*** be available to be keyword and string indexed with complete flexibility in defining indexes.

3.12.58 Authority records ***should*** be fully searchable in the OPAC.

3.12.59 System ***should*** allow retrieving bibliographic, authority, and item records based on, and not limited to, each of the fields listed below singly or in combination.

3.12.59.1 Name fields, including all sub-fields and names or name/title combinations as subjects.

3.12.59.2 Name/title combined index (MARC 1xx, 24x, 6xx, 7xx, 8xx)

3.12.59.3 Titles and subtitles, including series (serial titles, series added entries and series volume numbering)

3.12.59.4 Subjects, including local subject headings

3.12.59.5 Leader

3.12.59.6 Notes

3.12.59.7 Name combined indexes - for example, all names (combined MARC 100,110,700, 710,600,610 index) as well as separate author and subject searches, and separate personal name and corporate name searches.

3.12.59.8 Publisher

3.12.59.9 Place of publication

3.12.59.10 008

3.12.59.11 Library location

3.12.59.12 Local notes

3.12.59.13 Local headings

3.12.59.14 Physical description field

3.12.59.15 Geospatial data

3.12.59.16 Fields heavily used in archival description, such as MARC 655 (Genre/Form), 656 (Occupation) and 657 (Function) should be indexed. For archival records, subject keyword searches should include not only subject fields (MARC 6xx), but also MARC 520 (Scope and Content Note), and 545 (Biographical and Historical Note.)

3.12.60 With-in the system, it ***should*** be possible

	3.12.60.1 For words from a particular field to appear in both a specific and the general keyword index (e.g. words from the 650 indexed in the keyword subject index and also the keyword general index).
	3.12.60.2 To define keyword indexes based on sub-fields as well as fields (e.g., 700 sub-field $a should appear in the keyword author index, but 700 sub-field $t in the keyword title index). 3.12.61 It ***should*** be possible to specify different indices for different types of call numbers.
	3.12.62 The system ***should*** support multiple thesauri and vocabularies. 3.12.63 The library ***should*** be able to define searching indices and configure all searching indices after initial implementation without ILS vendor intervention.
	3.12.64 The system ***should*** have the ability to 3.12.64.1 Export records to a file
	3.12.64.2 Save records to a disk 3.12.64.3 Mark records for batch printing on a local or system printer
	3.12.64.4 Mark individual records for emailing 3.12.64.5 Interrupt/abort print jobs in progress or at any time during the print job
	3.12.64.6 Include URLS in the bibliographic record to be a clickable link. 3.12.65 The system ***should*** have an electronic commerce feature for the user to pay fees, request duplication of materials, etc. It is preferable that the vendor sponsors the electronic commerce feature, if not, please specify the third party.
	3.12.66 The system ***should*** display book jackets and container covers with-in record displays. **3.13 Federated Searching:**
	3.13.1 The system ***should*** 3.13.1.1 Allow the federated search screen to be the default user interface
	3.13.1.2 Be customizable based on library defined policies on e-collection use 3.13.1.3 Provide an interface screen similar to that of the OPAC
	3.13.1.4 Be open-URL compliant 3.13.1.5 Provide a method of authentication and authorize users for use of subscription databases based on
	3.13.1.5.1 User ID 3.13.1.5.2 IP Address
	3.13.1.5.3 Both 3.13.2 Federated searching options ***should*** include
	3.13.2.1 Author 3.13.2.2 Title
	3.13.2.3 Subject 3.13.2.4 Keyword
	3.13.2.5 Advance searching capabilities. 3.13.2.6 Users ***should*** be able to limit or expand searches on the following resources

	3.13.2.6.1 The OPAC and other institutional library catalogs within the State via Z39.50 connections 3.13.2.6.2 Subscription databases
	3.13.2.6.3 Electronic resources 3.13.2.7 The federated searching "module" ***should***
	3.13.2.7.1 Work with the interlibrary loan module to allow users to request materials. 3.13.2.7.2 Provide a result list:
	3.13.2.7.2.1 That is uniform and easy for the user to navigate through 3.13.2.7.2.2 That has the option for the user to view a brief or full citation with links to full text sources or OPAC records
	3.13.3 The federated searching "module" ***should*** allow searches' results to be a de-duplicated. 3.13.4 The federated searching "module" ***should*** allow users
	3.13.4.1 To customize their search to save to a user ID account or profile 3.13.4.2 Save search histories to a user ID account or profile
	3.13.4.3 Schedule alerts when new material is available through a user ID account or profile. 3.13.5 The federated searching "module" ***should*** be able to
	3.13.5.1 Run in conjunction with all firewalls. 3.13.5.2 Track the number of simultaneous users of the databases.
	3.13.5.3 Track user statistics for a library specified date and time range and provide reporting based on the number of users, user type, resource(s) used, length of time resource is used, etc. 3.13.5.4 Have built-in, user friendly help screens
	3.13.5.5 Be customizable 3.13.5.6 Be able to create menus and submenus with sufficient space for annotations describing resources available
	3.14 Circulation: 3.14.1 When charging items, the module ***should***
	3.14.1.1 Record the following transaction information for the charging function: 3.14.1.1.1 Date/time
	3.14.1.1.2 Location 3.14.1.2 Charge items immediately and in real time.
	3.14.1.3 Charge by keying or scanning a user ID and an item's unique ID 3.14.1.4 Support multiple loan periods, measured by date and/or time with fixed due dates/times and provide the ability to add new loan periods and change existing ones.
	3.14.1.5 Support multiple circulation points, different library calendars, and variable opening/closing times and open/closed days that can be modified online. 3.14.1.6 Allow loan periods based on material type and location and provide online modification.

3.14.1.7 Allow authorized staff to override system-determined due dates/times.

3.14.1.8 Validate users prior to charging; user ID should be currently valid; authorized staff should be able to override.

3.14.1.9 Allow items to be charged out to a user ID number immediately after user record is created.

3.14.1.10 Allow staff to enter a user ID only once to charge multiple items to the same user.

3.14.1.11 Have the ability to close charging transactions with a user's ID

3.14.1.12 Prompt to retain existing charge or to continue with new charge if an item is already charged.

3.14.2 When charging items, the module ***should:***

3.14.2.1 Require entry of a user ID before allowing more books to be charged if a charging station (terminal) has no activity for a specified period of time.

3.14.2.2 Maintain or break off completely any link between users and materials they check out.

3.14.2.3 Provide the capability to circulate and control materials exhibiting the following conditions:

3.14.2.3.1 Items not represented by full permanent bibliographic records

3.14.2.3.2 Items without detailed holdings

3.14.3.3.3 Items temporarily added to the system

3.14.2.3.4 Items temporarily added to the system for interlibrary loan

3.14.2.4 Have the ability to completely turn off and hide all functions not used, for instance course reserves.

3.14.2.5 Provide customizable audible and/or visual indication of successful or unsuccessful charge transaction.

3.14.2.6 Provide circulation backup capability when the system is down.

3.14.2.7 Generate for each unit a daily report of charge transaction activity

3.14.2.8 Provide easy to read statistics for in-house use.

3.14.3 When discharging, the system ***should***:

3.14.3.1 Break the link between user and item

3.14.3.2 Record the following transaction information for the discharging function:

3.14.3.2.1 Date/time

3.14.3.2.2 Location

3.14.3.3 Discharge items immediately and in real time

3.14.3.4 Discharge an item that is not charged

3.14.3.5 Allow items to be discharged by keying or scanning the item's unique ID.

3.14.3.6 Discharge an item presented for charge, if it was not previously discharged.

3.14.3.7 Calculate overdue periods at the time of discharge.

	3.14.3.8 Allow discharged items to be available to another borrower immediately. 3.14.3.9 Accept fees calculated by us and be able to turn off all fines.
	3.14.3.10 Calculate and post fees to the user accounting sub-system immediately and be able to record payments at the time of discharge. 3.14.3.11 Permit authorized staff to backdate the discharge
	3.14.3.12 Generate customizable audible and/or visual signals to alert the operator to these conditions: 3.14.3.12.1 Item was successfully discharged
	3.14.3.12.2 No item record for the ID number entered 3.14.3.12.3 Status of item is other than charged, in transit, or missing
	3.14.3.12.4 Item on hold, recall, claims returned, or trace. 3.14.3.13 Generate a readable daily report of discharge transaction activity (distinguishing browses or in-house circulation.)
	3.14.4 When discharging, the system ***should*** produce a receipt stating date/time and location of discharge. 3.14.5 When renewing an item, the system ***should***
	3.14.5.1 Renew items by keying or scanning a user ID and the item ID, or by marking a list of items charged to a user ID. 3.14.5.2 Allow authorized staff to renew any and all items charged to a user ID through a single transaction or by selection.
	3.14.5.3 Support a variety of renewal periods, including by material type, with flexibility to add new renewal periods or change existing ones. 3.14.5.4 Determine whether an item is renewable.
	3.14.5.5 Generate customizable audible and/or visual signals to indicate: 3.14.5.5.1 Item is overdue
	3.14.5.5.2 Item has a hold placed on it 3.14.5.5.3 User is blocked or loan period exceeds expiration date of privileges
	3.14.5.5.4 Item is on trace, missing, or lost 3.14.5.5.5 Item has been renewed the maximum number of times, specifying the maximum number.
	3.14.5.6 Allow authorized staff to override renewal restrictions under specific conditions, such as 3.14.5.6.1 Renewal by user lacking renewal privileges
	3.14.5.6.2 Renewal of an item that is a material type not normally renewable 3.14.5.6.3 Renewal of an item for other than pre-set renewal period.
	3.14.5.7 Record method of renewal, e.g., e-mail, by user through OPAC, etc. 3.14.5.8 Generate for each unit a readable daily renewal transaction activity report at the unit.
	3.14.6 The system ***should*** allow all recall functions to be turned off. 3.14.7 For holds, the system ***should***

	3.14.7.1 Permit an unlimited number of hold requests for an item. 3.14.7.2 Support the placement of holds on
	3.14.7.2.1 All copies of a title 3.14.7.2.2 First available copy of a title
	3.14.7.2.3 A specific copy of a title 3.14.7.2.4 Items in transit, on order, or in process
	3.14.7.3 Permit authorized staff to place a hold on an item by scanning or keying a user's ID and linking it as a hold request to an item record. 3.14.7.4 Record and display all holds immediately.
	3.14.7.5 Support placement of holds through the online catalog by users: 3.14.7.5.1 Allowing a borrower to place holds and cancellations with easily understandable prompts and online contextual help
	3.14.7.5.2 Preventing a borrower from placing a hold on an item already charged out to that same borrower, or if that borrower is already in the hold queue for that item. 3.14.7.6 Establish a hold queue for a specific item, based on the order in which holds are placed.
	3.14.7.7 Allow authorized staff the ability to 3.14.7.7.1 Modify the order of a hold in a queue
	3.14.7.7.2 Cancel a hold in a queue 3.14.7.7.3 Specify an expiration date for a hold
	3.14.7.7.4 Cancel a hold based on the number of days it remains in a hold queue 3.14.7.7.5 Cancel a hold in a specified number of days after the notice is sent.
	3.14.7.7.6 Automatically cancel a hold based on 3.14.7.7.6.1 Number of days in hold queue
	3.14.7.7.6.2 Number of days after a notice is sent 3.14.7.7.6.3 Expiration of a hold request period.
	3.14.7.8 Support a variety of limits on the length and time for which an item will be held for a borrower and allow authorized operator overrides of such limits. 3.14.7.9 Allow for automatic (borrower or staff) or manual (staff) due date changes, including shortened due dates.
	3.14.7.10 Automatically cancels outstanding holds after the expiration of a specified period of time as defined locally by the library. 3.14.7.11 Be capable of preparing a cancellation notice for each hold canceled.
	3.14.7.12 Automatically prepare a notice of availability for the next user in the hold queue when 3.14.7.12.1 A hold is cancelled automatically or manually
	3.14.7.12.2 The item is available (discharged) 3.14.7.12.3 A hold has lapsed (locally specified number of days has expired.)

	3.14.7.13 Automatically detects when an item with a hold on it becomes available for charges and provide customizable audible and visual signals to the operator.
	3.14.7.14 Provide staff notification of the next user in the hold queue when there is a lapsed or canceled hold.
	3.14.7.15 Prompt an operator placing a hold as to 3.14.7.15.1 The number of holds already queued for an item
	3.14.7.15.2 When a hold cannot be placed and provide an explanation 3.14.7.15.3 A library-defined limit has been reached for active holds at that unit.
	3.14.7.16 Support a hold period defined in months, days, or years. 3.14.7.17 Automatically removes a hold from the queue when an item is charged out to a user who has a hold on it.
	3.14.7.18 Allow authorized staff to cancel any hold or all holds on a single item with a single command. 3.14.7.19 Block charge out of held items to all but the requester and the requesters' proxies. Staff ***should*** have the ability to override this function.
	3.14.7.20 Be capable of generating daily readable reports of hold transaction activity for the system. 3.14.8. For discharging an item with a hold, the system ***should*** be able to
	3.14.8.1 Charge it to a hold shelf 3.14.8.2 Give a customizable audible and visual sign to a staff member
	3.14.8.3 Display information about the hold/recall screen 3.14.8.4 Print a routing slip if requested by the operator.
	3.14.8.5 Be capable of producing a report of items with multiple hold requests. 3.14.8.6 Recognize different categories of borrowers and loans and be able to disallow holds for/from certain ones.
	3.14.9 For holds, the system ***should*** allow variations in the loan period to be specified when charging out an item for which a hold queue exists. 3.14.10 The module ***should***
	3.14.10.1 Allow authorized staff to request items in transit, on order, or in process, even though these items are not currently charged and may not have item records. 3.14.10.2 Support requests for these materials by users through the OPAC.
	3.14.10.3 Provide customizable audible and visual signals to the operator when such an item is discharged. 3.14.10.4 Automatically prepare a notice of availability when such an item is available.
	3.14.10.5 Allow authorized staff to cancel a request for such an item with a single command.

	3.14.11 The system ***should*** provide a mechanism for tracking materials through various processing states such as pre-circulation processing, binding and end-processing, and missing/lost stages.
	3.14.12 For tracking and inventory control, the system ***should*** be able to 3.14.12.1 Support an inventory of an individual library's collections or call number delineated portions of a library's collection.
	3.14.12.2 Generate an inventory report in call number order/author order/title order/etc. The item listed on the report ***should*** be described at least by 3.14.12.2.1 Barcode
	3.14.12.2.2 Item call number 3.14.12.2.3 Copy number
	3.14.8.12.4 Author and title 3.14.8.12.5 Status
	3.14.8.12.6 Last date circulated/used in library. 3.14.12.3 Have the capability to enter the date of the inventory task into the record for each item inventoried.
	3.14.12.4 Perform the inventory and circulation functions concurrently while the system is publicly available. 3.14.13 In relation to billing/fees and user accounting, the system ***should***
	3.14.13.1 Provide automatic computation of fees and replacement assessments 3.14.13.2 Keep operations simple, efficient and error-proof as possible
	3.14.13.3 Allow for exceptions to pre-established policies when circumstances warrant. 3.14.13.4 Permit libraries to bill readers for special services rendered or products delivered in a manner compatible with billing for fees, etc.
	3.14.13.5 Provide adequate accounting for fees and assessments and for the settlement of these obligations whether settled within the library or by another agency. 3.14.14 The user accounting subsystem ***should*** interact with other circulation functions.
	3.14.15 All billing information for an individual ***should*** be accessible from their record in the user file. 3.14.16 The module ***should***
	3.14.16.1 Allow setting a maximum fee amount at which circulation functions are prohibited unless overridden by authorized staff. 3.14.16.2 Be capable of automatically calculating fees and charges as a library defined fixed amount charge.
	3.14.16.3 Accommodate variations in fee policies for format categories, etc. 3.14.16.4 Allow users to view their own bill/fee records in an easily understandable format.
	3.14.16.5 Provide a default replacement charge according to the library's policy and have the capacity to modify the default value.

	3.14.16.6 Have the capability to either automatically or manually set an overdue item's status to "lost" at library specified intervals.
	3.14.16.7 Allow recording of charges in a number of categories including: 3.14.16.7.1 Replacement charges
	3.14.16.7.2 Processing fees 3.14.16.7.3 Interlibrary loan charges
	3.14.16.7.4 Document delivery 3.14.16.7.5 Damages
	3.14.16.7.6 Other 3.14.16.8 Calculate the fee, display the fee or charge and permit authorized staff to record payment, waive the charge or enter with no payment.
	3.14.16.9 Allow authorized operators to override overdues or fee conditions to permit a loan of material. 3.14.16.10 Calculate fees for "processing fees"
	3.14.16.11 Accept payment in a variety of forms 3.14.16.12 Have the ability to accept full or partial payment of feeds and charges
	3.14.16.13 Record the time, place, operator ID, amount and type of payment, and be able to supply a receipt for each transaction. 3.14.16.14 Maintain an audit trail of fees and charges providing a history at the item and borrower level.
	3.14.16.15 Provide levels of operator authority for accessing user bill/fine records, accepting payment or waiving fines. 3.14.16.16 Generate overdue notices which include:
	3.14.16.16.1 User information 3.14.16.16.2 Call number for item
	3.14.16.17 Bibliographic and circulation information in a variety of formats. 3.14.16.18 Sort and print fee and overdue notices in any order
	3.14.16.19 Allow notices to be generated at intervals defined by the library. 3.14.16.20 Allow the library to define the content of its notices.
	3.14.16.21 Display a summary of a user's open and closed bill/fine record as well as individual bill/fee records. 3.14.16.22 Allow bill/fee functions to be browsable. This feature should allow staff to easily move between records and displays.
	3.14.16.23 Have the ability for authorized operators to manually create a bill/fee record 3.14.16.24 Delete the replacement charge or generate a report to issue a refund if a replacement charge has been assigned to a borrower record, and the item is later discharged.
	3.14.16.25 Have the ability to update bill/fee records online 3.14.16.26 Have the ability to allow authorized operators to correct errors, waive or cancel fees, issue credits, etc.
	3.14.17 For inclusion on bills and bill displays, the module ***should*** record 3.14.17.1 User's name/or proxy user name, ID, address

	3.14.17.2 Item's barcode number, call number, author, title 3.14.17.3 Amount of charge for each item
	3.14.17.4 Total amount of all charges 3.14.17.5 Billing date, payment date
	3.14.17.6 Location of charge, date of a charge, and due date of transaction. 3.14.17.7 Include bill/fee accounting in operation reports.
	3.14.17.8 Update user records automatically as the status of the user account changes. 3.14.17.9 Have a "claims returned" designation and track the number of times unresolved, "claims returned" is assigned to a borrower's record.
	3.14.17.10 Have the ability to block a user's borrowing privileges for unpaid obligations. 3.14.18 The system ***should*** have a back-up circulation system.
	3.14.19 This back-up system ***should*** 3.14.19.1 Have the ability to download a specific number of blocked user records to block circulation of library materials to them when the system is off-line
	3.14.19.2 Allow the back-up workstation to connect to the central system and upload circulation transactions stored in the back-up workstation. 3.14.19.3 Allow the back-up workstation to connect to the central system and download circulation transactions from the central system to be stored in the back-up workstation.
	3.14.19.4 Have the ability of the central system to set the due date for items checked out on the backup system at the time they are uploaded to the central system. 3.14.19.5 Have the ability of the central system to set the check out and/or check in dates for items checked out on the backup system.
	3.15 User Data:
	3.15.1 The user record ***should*** include the following data:
	3.15.1.1 Name, in a form that permits customary forename-surname addressing of printed communication 3.15.1.2 User barcode number. The system ***should*** be able to accommodate both 10- and 14-digit user barcode numbers.
	3.15.1.3 Work address and phone number 3.15.1.4 Home or permanent address and phone number
	3.15.1.5 E-mail address 3.15.1.6 Statuses
	3.15.1.7 Total amount of outstanding fees 3.15.1.8 Local notes at the user record level
	3.15.1.9 Date record added to file 3.15.2 The user record ***should***
	3.15.2.1 Have an address preference indicator 3.15.2.2 Record the date and source of latest update of data excluding fine total.

	3.15.2.3 Provide a means for authorized staff and/or users (using secure access to their own user data through the online catalog) to enter and edit profiling data in the user record, such as keyword research interests and catalog search/display limits. 3.15.3 The system ***should*** allow provisions for institutional users (places, locations, ILL binding, companies,) as well as for individual persons.
	3.15.4 The user file ***should*** be able to accommodate at least 50,000 active individual and institutional library borrowers. 3.15.5 The user record ***should***
	3.15.5.1 Allow for variable length fields 3.15.5.2 Allow for addition of new fields
	3.15.5.3 Allow for modifications of existing fields 3.15.5.4 Allow authorized staff to add, maintain, view, update, and delete user information online.
	3.15.5.5 Be able to validate required data and prompt for data if it is missing, and should generate a customizable audible and/or visible signal in case of error. 3.15.5.6 Preserve the uniqueness of user IDs.
	3.15.5.7 Able to batch remove or archive expired user records that have no loans or account records associated with them. 3.15.5.8 Be flexible in specifying criteria for purging records
	3.15.5.9 Block the deletion of a user record when outstanding fees and/or current transactions are present. 3.15.5.10 Allow for changes in ID number while maintaining links to loan and user account records.
	3.15.5.11 Fully link a user's loan and account records with user data 3.15.5.12 Reflect changes to user information in subsequent circulation activities.
	3.15.5.13 Have the ability to link the borrowing activity of multiple related users while maintaining the information pertaining to each user (examples of user groups to be linked include: a law firm with various representatives, an individual who has had several different IDs over a period of time, elected officials with various proxy representatives, or a corporate user whose individual borrowers are issued individual IDs) 3.15.5.14 Allow any blocks (e.g. possibly, an unpaid bill) on an individual record could result in a block on all linked records (authorized staff should have option to make such a decision)
	3.15.5.15 When primary borrower's privileges expire, all associated borrowers' privileges will also expire, but associated date (e.g., books charged out) will be retained. 3.15.5.16 Library can select one of the following options for sending reports (e.g., overdue notices) to linked records:
	3.15.5.16.1 Send to master record only 3.15.5.16.2 Send to linked record only.

	3.15.5.16.3 Send to both 3.15.5.17 If the borrowing privileges of the master record are limited (e.g., max. of 7 items checked out at one time) such limits will apply to all linked cards in the aggregate, so that the combined totals for all linked cards remain within the limits.
	3.15.5.18 Notify staff when a user uses an ID card on or after its expiration date. This notification should be a customizable audible and/or visual signal. 3.15.5.19 Be able to automatically block borrowing privileges when exceptional conditions exist, such as
	3.15.5.19.1 User record has expired 3.15.5.19.2 User has unpaid fees beyond a library-specified limit
	3.15.5.19.3 User has items overdue beyond length of time specified by library 3.15.5.19.4 User's "claims returned" status or "reported lost" status exceeds a library-specified limit
	3.15.5.20 Allow authorized staff to place or override blocks online. 3.15.5.21 Be able to allow authorized staff to modify library-specified limits for blocks without programmer intervention.
	3.15.5.22 Prevent unauthorized viewing of user data. 3.15.5.23 Allow authorized staff to view all of a user's current circulation transactions including charged items, holds, and fees, including the reason for them.
	3.15.5.24 Allow authorized staff to view subsets of a user's current circulation transactions, such as all charged items, items overdue, and holds. 3.15.5.25 Permit the production of reports of statistics based on the contents of any one field or combination of fields in the user record. These reports should be available in a variety of formats, at regular specified intervals and on demand.
	3.15.5.26 Allow retrieval of borrower records by searching for, but not limited to: 3.15.5.26.1 ID number
	3.15.5.26.2 Name 3.15.5.26.3 Phone number
	3.15.5.26.4 City **3.16 Interlibrary Loan:**
	3.16.1 The system ***must*** support both library staff and user initiated ILL transactions for all formats of materials including returnable materials and non-returnable materials such as photocopies and digital formats. 3.16.2 The system ***must*** provide for ILL for items found in other catalogs, but not in the library's database, by providing an interface to any external ILL or document delivery system, i.e. OCLC, DOCLINE, etc.

	3.16.3 The system ***must*** support the latest versions of current standards, including but not limited to: 3.16.3.1 Z39.63 NISO Standard for Interlibrary Loan Data Elements
	3.16.3.2 ISO 10160/10161 Interlibrary Loan Application Service Definition and Protocol Specification 3.16.4 The system ***should*** have the capability to accept loan requests from both public and remote access workstations including via Internet.
	3.16.5 The system ***should*** work with the circulation system to block requests from users who have exceeded certain limits, such as number of items charged out, amount of money owed including ILL fees, the number of items overdue, the number of ILL requests permitted at one time, or have other restrictions on their records.
	3.16.6 The system ***should*** have the capability to accept multiple staff-initiated ILL requests on behalf of a user.
	3.16.7 The system ***should*** assign a transaction number, date, and time to each ILL request when entered. 3.16.8 The system ***should*** permit users to view their ILL activity requests at public and/or remote-access workstations, under user security restraints, at the option of the library.
	3.16.9 The system ***should*** provide query access by authorized staff to ILL and document delivery requests. Such requests are expected to be searchable to any or all of the following: 3.16.9.1 Bibliographic field
	3.16.9.2 User ID 3.16.9.3 User name
	3.16.9.4 Originating library 3.16.9.5 Transaction status
	3.16.9.6 System assigned transaction number 3.16.10 The system ***should*** maintain an online archive of completed ILL requests.
	3.16.11 For the archived ILL requests, the system ***should*** provide the following searches: 3.16.11.1 User name and/or type
	3.16.11.2 Periodical/item title 3.16.11.3 Item author
	3.16.11.4 Lending library 3.16.11.5 Borrowing library
	3.16.12 The system ***should*** have the capability to integrate ILL fees with other fees into the user's fine account. 3.16.13 The system ***should*** interface the ILL module with the other modules.
	3.16.14 The system ***should*** allow online or printed reports by category of ILL: 3.16.14.1 Completed
	3.16.14.2 Received 3.16.14.3 Returned

	3.16.14.4 Will supply 3.16.14.5 Shipped
	3.16.14.6 Unfilled 3.16.15 The system ***should*** provide library specific notes and provide a variety of local options for handling cases where the requests exceed copyright limits; block the request; refer the requestor to a specific library dept; accept the request and refer the request to a staff person for handling; etc.
	3.16.16 The system ***should*** provide a default copyright compliance notice with a local option to create a library specific notice. It is of the utmost importance that the user request interfaces display the appropriate copyright compliance notice before allowing the request for a copy to be made. 3.16.17 The system ***should*** inform the user when he or she has requested an item, which is not available due to copyright restrictions.
	3.16.18 The system ***should*** supply a copyright compliance report listing the journal title and article citation of all non-returnable items requested from non-commercial suppliers. 3.16.19 At the initiation of ILL staff, the system ***should*** block requests to and from libraries that are not currently able to fill requests.
	3.16.20 The system ***should*** have the ability to profile the routing of messages, requests, and other batch products in such a way that each product may have a different profile, if needed. 3.16.21 If the request is cancelled, the system ***should*** notify the local user or requesting system about the cancellation and the reason for cancellation.
	3.16.22 The unmediated feature ***should*** provide the library with the option of creating profiles of potential lending libraries, or groups of lending libraries, in priority order, to which request records are routed automatically. 3.16.23 When groups of lending libraries are defined as equivalent in priority, the system ***should*** rotate requests among the group in order to simulate load leveling or accommodate existing policies regarding filing requests.
	3.16.24 The system ***should*** support requests for physical items, document photocopies, and materials in electronic format. 3.16.25 Additional information such as volume, number, page, article, author, title etc., as well as user/staff notes ***should*** be allowed in the request.
	3.16.26 The system ***should*** be able to collect the bibliographic information for the request from a variety of sources including: 3.16.26.1 Results of a search of a local catalog
	3.16.26.2 Results of a search of one or more external catalogs or databases 3.16.27 The request interface ***should*** provide the option for blank request templates that can be used to request items/information resources that have not been located in one of the local, remote catalogs, or databases.
	3.16.28 Document requesting ***should*** seamlessly interface with the online catalog searching system and support the ability to search multiple remote catalogs and databases simultaneously.

3.16.29 If the item specified by a multiple institution search is requested, all of the institutions that satisfy the request ***should*** be recorded in the request transaction.

3.16.30 Locally held items ***should*** be dynamically identified for the user, user or staff, by the system.

3.16.31 Willingness to pay a fee, if charged by lending library and/or document supplier, ***should*** be verified by user or staff before actually placing a request. Payment options ***should*** be chosen at this time.

3.16.32 The system ***should*** capture and/or impact the following data from a remote catalog or database, using NISO standards, from user or staff input:

- 3.16.32.1 Bibliographic/citation information
- 3.16.32.2 Location, call number, shelf status
- 3.16.32.3 Date item is no longer needed
- 3.16.32.4 Availability of the item to fill ILL request

3.16.33 They system ***should*** allow staff to add verification information to a request record.

3.16.34 The document request system ***should*** inter-operate with OCLC.

3.16.35 The ILL staff ***should*** be able to place ILL request via OCLC and other ILL request systems.

3.16.36 The ILL staff ***should*** to be able to receive requests from OCLC and other ILL request systems.

3.16.37 The system ***should*** have the ability to

- 3.16.37.1 Send ALA compatible electronic ILL requests to suppliers
- 3.16.37.2 Print ALA compatible forms for mailing to suppliers.

3.16.38 The user request interface ***should*** collect user information and authenticate the user.

3.16.39 Once authenticated, the system ***should*** verify the user's authorization to place a request; criteria for authorization ***should*** be flexible based on Commission specified policies.

3.16.40 User interface ***should*** provide an option for the library to specify how many requests can be placed.

3.16.41 The user ***should*** have the option to cancel a request prior to sending it.

3.16.42 The system ***should*** allow the user, upon authentication, to cancel a pending request at any time before a lending library receives the request.

3.16.43 The system ***should*** allow the unique transaction number assigned to the request to be used to check out the item if the user requests to pick the ILL item up at the library. This circulation transaction ***should*** appear on the user's activity record until the item is checked back in.

3.16.44 The library ***should*** have the option to specify what delivery options are to be supported and offered to the user.

3.16.45 The request interface ***should*** allow the library to charge users for all or any of the charges related to 3.16.44.

	3.16.46 The interface ***should*** provide an online verification that the request has been successfully placed. This verification ***should*** contain the requests system-assigned unique transaction number, the item's bibliographic information, date/time the request was placed, the target institution/supplier, the estimated cost, and the selected delivery site.
	3.16.47 The system ***should*** provide the capability for a user to search for his/her own outstanding request; it is the utmost importance that the request to search be validated by authenticating the user.
	3.16.48 The system ***should*** include a messaging feature to allow borrowing and lending library staff to communicate via messages on the ILL request record. This feature is expected to follow standards for an ongoing dialogue with notification of pending messages via the status-tracking file.
	3.16.49 The system ***should*** provide for multiple potential lenders on a request record and is expected to automatically forward the request from one lender to the next.
	3.16.50 The automatic forwarding ***should*** occur after a library specified number of days.
	3.16.51 The system ***should*** capture the correct call number from each successive potential lender and correlate this information to the appropriate lender in successive requests.
	3.16.52 The system ***should*** assign a unique and searchable number to identify transactions. This transaction number is expected to stay with the transaction from start to finish.
	3.16.53 The system ***should*** dynamically detect and reject duplicate requests from the same user providing that user with a message giving the reason for the rejection.
	3.16.54 The system ***should*** send requests directly to the holding library system or document supplier if they can be identified, and will accept non-mediated requests.
	3.16.55 The system ***should*** allow staff to identify a holding library at which point the request is forwarded to the destination or the request is rejected per library policy.
	3.16.56 The system ***should*** flag multiple requests for the same item intended for the same borrowing library even if the requests are new or in process at the lending library.
	3.16.57 The system ***should*** provide the ILL staff with the ability to download batch pending requests and to sort the requests and print pull slips or lists that include bibliographic information, local call number, all lending library locations, unique system identification numbers, ship to address, and other locally specified information.
	3.16.58 The system ***should*** set status values automatically during item processing, of individual items during staff review, or in a batch updated based on institution specific criteria, such as status, date in queue, institution, etc.

	3.16.59 When the user's item arrives, the system ***should*** generate a status change in the system and also generate an electronic/print notice that is sent to the user noting that the item has been received.
	3.16.60 The staff management interface ***should*** allow purging of completed transactions by a variety of criteria, including date and item type. 3.16.61 The system ***should*** record the date/time associated with each status change during the ILL.
	3.16.62 The ILL system ***should*** maintain statistics on the time taken for ILL work forms to move from any specified status to another, based on library selection, e.g., from pending to shipped, and from pending to received. These statistics ***should*** be available for a library-specified period of time. 3.16.63 The system ***should*** provide a method for tracking ILL fill rate and turnaround time.
	3.16.64 The ILL module ***should*** maintain statistics on the following: 3.16.64.1 Loans requested and loans filled
	3.16.64.2 Number of ILL requests 3.16.64.3 Filled requests by user type
	3.16.65 The system ***should*** produce reports concerning the following: 3.16.65.1 Returnable loans sorted by user type and affiliation
	3.16.65.2 Returnable loans sorted by classification number, subject, and year of publication 3.16.65.3 Concerning requests not filled
	3.16.66 The ILL system ***should*** interface the maintained statistics to the ILL system report generator. 3.16.67 The system ***should*** compile statistics in any arbitrary date range.
	3.16.68 The system ***should*** allow the ILL staff to override blocks for copyright limit violations. 3.16.69 Once the request has been filled and in the case of returnable items, returned, borrower information ***should*** only be indicated by status and library handling the request.
	3.16.70 After a library specified period, the information regarding completed ILL requests ***should*** be archived offline but remain accessible for query and reporting. 3.16.71 Billings issued to the user ***should*** include ILL fees, which contribute to calculation of a fine block on a user.
	3.16.72 The system ***should*** provide the ability to send ILL requests directly to acquisitions for local purchase consideration. 3.16.73 The system ***should*** provide an unmediated environment for handling user-initiated requests.

3.16.74 The system ***should*** provide the library with the option to have the system automatically reject requests under conditions specified by local libraries, such as when a request is for an item that is held locally, request for an item in a non-circulating portion of the collection; the number of ILL or document delivery requests exceed a certain threshold; no possible lending libraries are located; library policy relating to formats/items not available through ILL.

3.16.75 The system ***should*** be able to create a hierarchical list of suppliers for automatic request routing according to other criteria selected by the borrowing library such as past performance.

3.16.76 The system ***should*** recognize locations or collections that are non-circulating.

3.16.77 The system ***should*** support the ability to re-initiate requests that were not supplied.

3.16.78 If a transaction from a remote ILL system is forwarded to the system for fulfillment, the system ***should*** carry the remote ILL server transaction number as well as the locally assigned number, in order to link the two transactions.

3.16.79 Within the system, the status values that manage and track the request ***should*** be supported as part of the request transaction showing when the item was requested, from whom, if/when filled, when returned to owning site, etc.

3.16.80 The system ***should*** have the ability to include item barcodes on ILL requests.

3.16.81 The system ***should*** have the ability to use the item's barcodes for subsequent updating of request status.

3.16.82 The system ***should*** support paper, telephone, and email request notification options.

3.17 Management, Reporting and Statistics:

3.17.1 It is necessary that the potential integrated library system provide on demand-customized reports for every module and to interface date and statistics between modules. These reports ***should*** be compiled easily, be accessed online, provide multiple means of output (i.e., graphs, charts, etc.), printable, and be able to download. Reporting should be generated at multiple locations, with information exploits easily with word processing and spreadsheet programs. Reports ***should*** include query workloads, and analysis of types of queries, actual terms used and queries with no match.

3.17.2 Any report that does not print properly ***should*** be able to be reproduced.

3.17.3 The system ***should*** allow an authorized operator to schedule production of report output on a regular periodic basis, such as daily, weekly, monthly, and at specified times.

3.17.4 The system ***should*** enable an authorized operator to specify the starting date-and time and ending date-and-time that the report is to cover on reports.

3.17.5 The system ***should*** support simple command language designed for users with no programming experience.

3.17.6 The following maintenance reports ***should*** be available

3.17.6.1 Listing of titles with no items attached, based on the date the MARC record was added to the system.

	3.17.6.2 Listing of subject headings, authors, series titles, etc., without a correlating authority record within the system.
	3.17.7 For the circulation module, the system ***should***: 3.17.7.1 Allow notices to be sent via email
	3.17.7.2 Be able to print at least two overdue notices based on a user specified date parameter 3.17.7.3 Allow the library to specify the text of overdue, bill, and fine notice and to modify them at anytime without programmer intervention
	3.17.7.4 Allow staff to modify the size and formats available for notices for the library 3.17.7.5 Allow forms to be preprinted for overdue notices
	3.17.7.6 Be able to print an overdue bill based on a user specified date parameter 3.17.7.7 Indicate the maximum number of overdue items that can be listed per bill to a particular user.
	3.17.7.8 Be able to preprint a bill for a specific user 3.17.7.9 Be able to prepare a purchase alert or heavy demand report when the ratio of holds to the number of available copies and/or the number on order exceeds a Library-set threshold.
	3.17.7.10 Be able to produce reports on items based on status with library specified date and sort criteria 3.17.7.11 Have the ability to produce a report based on status for one location only, multiple selected locations, and all locations.
	3.17.7.12 Have the ability to run a report to breakdown checkouts by type of material. 3.17.7.13 Have the ability to run a report for the number of checkouts by hour and by day for each location.
	3.17.7.14 Have the ability to run a report for the number of checkouts by user type. 3.17.7.15 Have the ability to run a recurring annual comparative report(s) on standard processes to compare activity from year to year.
	3.17.7.16 Have the ability to generate fiscal year end reports. 3.17.8 In relation to collection management, the system ***should***
	3.17.8.1 Be able to print, by location and in shelf list order, reports of all items circulated less than a specified number of times since a specified date to facilitate collection weeding. 3.17.8.2 Have the ability to define sort criteria for all reports.
	3.17.8.3 When generating reports, cause no degradation in overall system response time. 3.17.8.4 Have the ability to generate reports from backup files.
	3.17.8.5 Have the ability to create bibliographies on demand. 3.17.8.6 Have database usage reports

	3.17.8.7 Have the ability to report, by workstation, on the number of links from our library's database to the Internet, the sites reached, and the connect time per site. 3.17.8.8 Allow all MARC tabs to be sortable and reportable.
	3.17.8.9 Have the ability to generate a report of monies spent on specific subject areas 3.17.8.10 Have the ability to generate a report of order fulfillment, rate of specific vendors.
	3.17.8.11 Have the ability to generate a commodities report from acquisitions data. This report should contain the following information: title, date material was received, publisher name, publisher address, and quantity. 3.17.9 Reporting ***should*** include
	3.17.9.1 A variety of report templates that are easily customized to provide almost unlimited reporting capabilities. 3.17.9.2 Circulation statistics by category, call number range or specific call number
	3.17.9.3 Circulation statistics separated by location. 3.17.9.4 Capability to export statistics directly to a spreadsheet.
	3.17.9.5 Option to include any of the following information on overdue notices: 3.17.9.5.1 Name of user
	3.17.9.5.2 User ID 3.17.9.5.3 Address
	3.17.9.5.4 Phone number 3.17.9.5.5 Item number
	3.17.9.5.6 Item call number 3.17.9.5.7 Complete title
	3.17.9.5.8 Author 3.17.9.6 All items currently overdue listed on one notice with a cumulative list of overdues.
	3.17.9.7 Capability to generate a list of overdue items for a certain time period 3.17.9.8 Generation of a bill that includes the process of the overdue items
	3.17.9.9 Simple wizards to enable easy system set-up and local customization. 3.17.9.10 Flexible parameter tables.
	3.17.9.11 Ability to generate user mailing lists and letters sorted by a variety of parameters. **3.18 Data Conversion**
	The Library Commission will provide its data for the successful bidder. 3.18.1 The vendor ***should*** be able to convert the following types of records:
	3.18.1.1 Bibliographic (approximately 250,000 records) 3.18.1.2 Holdings, including local copy holdings and MARC holdings data (approximately 2,500 records)

	3.18.1.3 Item (approximately 500,000 records) 3.18.1.4 User (approximately 3,000 records)
	3.18.1.5 User accounting 3.18.1.6 Serials check-in (approximately 690 check-in records)
	3.18.2 The vendor ***should*** be able to maintain the following types of links between and among records: 3.18.2.1 User to charged item
	3.18.2.2 User to user accounting 3.18.2.3 User to charged item to user accounting
	3.18.2.4 Holdings to bibliographic record 3.18.2.5 Item to holdings record
	3.18.2.6 Item to bibliographic record 3.18.2.7 Serials check-in to bibliographic record
	3.18.2.8 Item status to circulation or bibliographic record 3.18.3 The Library Commission requests the data to go through the following data clean-up. The vendor ***should*** indicate the third party used for data clean-up, if the vendor does not do the data clean-up in-house.
	3.18.4 The vendor ***should*** 3.18.4.1 Deduplicate based OCLC number, 010, 020, 022 fields. When deduping, all holdings/call number data from the non-retained record(s) ***should*** be merged into the retained record.
	3.18.4.2 Cleanup USMARC fields and subfields 3.18.4.3 In relation to authority control
	3.18.4.3.1 Provide limited manual processing on LC name, title, and subject control. 3.18.4.3.2 Convert all LC Children's Subject Headings to LCSH.
	3.18.4.3.3 Provide limited manual processing on genre authority control (655: LCSH and GSAFD) 3.18.4.3.4 Remove all MeSH and Sears headings
	3.18.5 The vendor ***should*** supply the Commission with a listing of system created authority records. 3.18.6 In order to estimate the process to convert data currently in the system to the new system the vendor ***should:***
	3.18.6.1 Supply copies of forms used to record information needed for conversion in the vendor's response to the RFP. 3.18.6.2 Outline typical steps in the conversion process, focusing particularly on procedures for library review of test files in the vendor's response to the RFP.
	3.18.6.3 Specify the costs associated with the data conversion listed above if all data is supplied in the local system format, in the vendor's response to the RFP 3.18.6.4 Specify how long it will take to convert initial database file in the vendor's response to the RFP
	3.18.6.5 Specify how long it will take to update the initial database file with a subsequent load of all transactions occurring after the initial data extract and before cut over to the new system in the vendor's response to the RFP

	3.18.7 Supply a list of libraries whose data have been converted for use in the system and the names of the local systems from which they migrated in the vendor's response to the RFP.
	3.19 Implementation 3.19.1 Implementation of the ILS ***must*** be completed 189 days after contract acceptance by the West Virginia Library Commission.
	3.19.2 The proposal from the vendor ***must*** include a standard implementation plan describing: 3.19.2.1 Detailed conversion plan outlining all steps involved given within a 189 day time frame.
	3.19.2.2 How the libraries' policies regarding circulation, database access, privileges, etc., will be configured on the vendor's system. 3.19.2.3 How the libraries' cataloging procedure will be configured on the vendor's system.
	3.19.2.4 How the initial load of records will be performed. 3.19.2.5 Vendor should agree that the library and vendor will mutually determine the details of the final implementation plan.
	3.20 Warranties 3.20.1 Vendor ***must*** indicate the warranty length and extent for the
	3.20.1.1 Purchased server and any other purchased hardware 3.20.1.2 ILS software
	3.20.1.3 Services provided. **3.21 Training**
	3.21.1 Training for the proposed system ***must*** 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 the library; and system administration support staff will operate and maintain the system software. 3.21.2 Training ***must*** include the following at a minimum:
	3.21.2.1 Implementation and system administrator training 3.21.2.2 Acquisitions module training: Creating purchase orders, receiving orders, searching for bibliographic records, placing orders, claiming, set-up of funds, fund maintenance (i.e. updating funds, etc.)
	3.21.2.3 Cataloging module training: searching, editing bibliographic records, creating/editing/relinking/deleting item records, relinking item records, using contextual help and manual. 3.21.2.4 Advanced cataloging module training: importing bibliographic and authority records, creating original bibliographic and authority records, creating templates and macros, global updating of bibliographic, authority, and item records.
	3.21.2.5 Serials module training: searching, check-in, creating/ editing/ deleting holdings records and prediction patterns, creating original serial records, closing out serial check-in records, claiming serials

	3.21.2.6 Circulation module training: searching, check-in and check-out of library materials, inputting new user records, editing/deleting user records, reporting, using the off-line circulation module
	3.21.2.7 ILL module training: how users place ILL requests, how ILL requests are handled within the system, sending requests to other libraries, receiving ILL requests from other libraries, returning ILL 3.21.2.8 OPAC training should include: Searching the OPAC, placing hold and ILL requests, checking user accounts.
	3.21.2.9 Reporting module training 3.21.3 Then vendor ***should*** describe any functional and/or systems administration support training the vendor requires of library staff.
	3.21.4 The vendor ***should*** describe the courses of training provided to enable staff to become familiar with system functions and operations, including: 3.21.4.1 A list of all deliverable training modules with a brief description
	3.21.4.2 Whether the training is provided by the Vendors or a third party 3.21.4.3 Whether instructors are available to train on-site
	3.21.4.4 Qualifications of persons conducting the training 3.21.4.5 Maximum number of trainees per class and the total number of days of training for each module
	3.21.4.6 Whether it is possible to have additional training days 3.21.4.7 Expected training outcomes, including what trainees are expected to know at the end of the training
	3.21.4.8 Description of facility required to conduct training at library site 3.21.4.9 Methods the library should use to facilitate continued training as personnel change over time.
	3.21.4.10 Availability of other training aids such as videos, software tutorials, or web-based instruction 3.21.4.11 Availability of computer-based training
	3.21.4.12 Availability of documentation and the method of accessing such documentation. If printed copies are available, please describe the method of obtaining the necessary documentation 3.21.5 The vendor ***should*** indicate if training sessions for systems administration covers the following topics:
	3.21.5.1 Appropriate administrative functions including supervisory override 3.21.5.2 Procedures such as data backup
	3.21.5.3 Common causes of system failure and the remedy for each 3.21.5.4 How to obtain telephone support for the correction of system problems
	3.21.5.5 How to identify and perform all elements of preventive maintenance of the system. 3.21.5.6 Installation and support of client software applications.
	3.21.5.7 How vendor tracks problems and assigns severity priorities. **3.22 Maintenance**
	3.22.1 The vendor ***must*** describe the support services for the ILS including:

3.22.1.1 Software upgrades and frequency of new releases. List a history of past release dates.

3.22.1.2 Telephone support options in EST and hours per day and days per week of service availability. Include support schedule.

3.22.1.3 Direct vendor support of installation and troubleshooting of the system software. Estimate installation support days provided.

3.22.1.4 Direct vendor support of installation and troubleshooting of required third party software. Indicate potential conflicts with release levels between what is used by the system and what the third party vendor currently markets.

3.22.1.5 How priorities are assigned to customer support requests.

3.22.2 The vendor ***should*** describe the following software considerations:

3.22.2.1 Timeliness of software upgrades with regard to staff clients. Explain how software is kept up to date with operating system changes.

3.22.2.2 Any limits and restrictions on the options for customizing web OPAC pages.

3.22.2.3 Options for customizing certain workstations and groups of workstations.

3.22.2.4 How new system releases are installed. Indicate what is installed by library systems personnel and by vendor personnel.

3.22.2.5 How new releases are scheduled. Give current schedule of planned new releases.

3.22.2.6 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.

3.22.2.7 Describe any limits on numbers of client instance licenses and associated costs.

3.23 Backup and Recovery

3.23.1 The system ***must*** allow for transactions logging of constantly changing data in real time and full system backup of all files on a regular basis.

3.23.2 The system ***should***

3.23.2.1 Keep a log of each transaction that alters the database. Logs ***should*** be date and time stamped as to allow the system to automatically reconstruct activity for any period.

3.23.2.2 Allow backup of all data files onto industry standard magnetic storage media in industry standard formats (DAT tape preferred).

3.23.2.3 Provide features that protect against inadvertent damage to files or data in files, and how backup and restoration of files are accomplished.

3.23.2.4 Allow for unattended backup.

	3.23.3 Vendor ***should*** provide a stand-alone, PC based alternative that will allow circulation to continue in the event the system cannot be used due to system failure, communication failure, downtime required for maintenance, etc. The system ***should*** allow synchronization between PC client and the Server upon restoring the system.
	3.23.4 The vendor ***should*** specify recommendations for complete system back-up.

West Virginia Library Commission Integrated Library System
Request for Proposal #LIB06391
Appendix C: Cost Evaluation

Cost Evaluation

Description	*System Cost*	*1st Year Maintenance Cost*	*2nd Year Maintenance Cost*	*3rd Year Maintenance Cost*
Software				
ILS Software *including acquisitions, cataloging, circulation, backup circulation, interlibrary loan, serials modules as well as installation and loading of all bibliographic, item, holding, serial, authority, patron, circulation records*				
ILS OPAC				
Z39.50 client and server				
Remote Patron Authentication				
System Administration				
System Reporting				
Client software for 30 concurrent staff users				
OPAC licenses for unlimited concurrent users				
Additional products/modules needed based on Section 3 specifications. *List each additional product/module as well as the price for the product/module and maintenance for up to 3 years for each*				
Hardware				
HP rp3410 Server *with HP UX11i Operating system, online JFS, disk mirroring system, and Data Protector 5.0*				
HP rx4640 Server *with Red Hat El3 Operating system fully loaded and configured with recovery media.*				

Media Backup Tapes				
Server licenses				
Price for additional warranties. *Please list any additional warranties for the hardware, if any*				
Services				
Data migration (estimated)				
Bibliographic Record Migration				
Holding Record Migration				
Item Record Migration				
Patron Record Migration				
Patron Accounting Information				
Circulation Transaction Migration				
Serials Check-In				
De-duplication of existing bibliographic records				
Clean-Up of USMARC fields and subfields				
Authority Control Processing on all bibliographic access points				
Training				
Price for additional training days				
Post Implementation Costs				
Price per additional concurrent staff user licenses				
Price per additional concurrent OPAC user licenses				
Price per additional Web OPAC Interface				
Price for the creation of new import tables				
Price for the modification of existing import tables				
Price for the deletion of existing import tables				
Price for the creation of new Web OPAC search indexes				

Price for the modification of existing Web OPAC search indexes				
Price for the deletion of existing Web OPAC search indexes				
Price for additional funding codes				
Price for additional EDI service setup				
Price for additional module training				
Price for additional System Administration Training				
Price for training on the creation of load tables,				
Price for training on the creation of search indexes				
Price for additional authority control processing				
Price per additional server(s)				
Price web design for the OPAC welcome screen				
Price per system software upgrade				
Additional services/products offered by the Vendor. *List each additional service/product as well as the price for the service/product.*				

RFQ No. LIB07017

AFFIDAVIT

West Virginia Code §5A-3-10a states:
No contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and the debt owned is an amount greater than one thousand dollars in the aggregate.

DEFINITIONS:
"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Debtor" means any individual, corporation, partnership, association, limited liability company or any other form or business association owing a debt to the state or any of its political subdivisions.

"Political subdivision" means any county commission; municipality; county board of education; any instrumentality established by a county or municipality; any separate corporation or instrumentality established by one or more counties or municipalities, as permitted by law; or any public body charged by law with the performance of a government function or whose jurisdiction is coextensive with one or more counties or municipalities.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

EXCEPTION:
The prohibition of this section does not apply where a vendor has contested any tax administered pursuant to chapter eleven of this code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

LICENSING:
The vendor must be licensed in accordance with any and all state requirements to do business with the state of West Virginia.

CONFIDENTIALITY:
The vendor agrees that he or she will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the agency's policies, procedures and rules. Vendors should visit **www.state.wv.us/admin/purchase/privacy** for the Notice of Agency Confidentiality Policies.

Under penalty of law for false swearing (West Virginia Code, §61-5-3), it is hereby certified that the vendor acknowledges the information in this said affidavit and are in compliance with the requirements as stated.

Vendor's Name: ______________________________

Authorized Signature: ______________________ Date: ______________