Request for Bids

Mississippi **Valley** State University

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☐ This bid/proposal will be awarded on a line by line basis

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By: Billy D. Scott   Purchasing Agent

Email: bscott@mvsu.edu

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ITEM	QUANTITY	DESCRIPTIONS	UNIT PRICE	TOTAL NET PRICE
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Company Quoting	
Terms:	
Date:	
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Official Signature:

**REQUEST FOR PROPOSAL FOR
INTEGRATED AUTOMATED LIBRARY SYSTEM**

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REQUEST FOR PROPOSAL FOR
INTEGRATED AUTOMATED LIBRARY SYSTEM

I.   Introduction

A.   Notice to Vendor

The purpose of this RFP is to solicit proposals that will enable Mississippi Valley State University Library Director's Council, and those advising it, to select the best system to meet its needs. The purpose of the system specifications included in section III (System Specifications) and section IV (Functional Specifications) is to assist in the discovery of the capabilities of the system. The evaluation and selection process, however, shall not be restricted to the responses within the vendor's proposal.

The Director's Council reserves the right to accept or reject any or all proposals or part of a proposal; to waive any informalities or technicalities; clarify any ambiguities in proposals; modify any criteria in this Request; and unless otherwise specified, to accept any item in a proposal.

Due to lack of availability of a Systems Administrator and IT support, the Library is interested in receiving proposals from vendors who have an integrated automated library system with the ability to host the library data and vendor software. The system must be in full production with an installed customer base that requires no hardware by the client. Proposals for total systems in an Alpha or Beta phase (or any testing phase) of development will not be considered. The Library reserves the right to evaluate all proposals solely on the basis of currently existing features, functions, products, or services.

B.   Financing

In addition to an out-right purchase price, include as part of the proposal a finance plan for entire proposed system software package over a period of 3 years, beginning on October 1, 2017 and ending on September 30, 2020.

C.   Notice to Host Library Data

The library would prefer hosted services for its ILS, the vendor should provide pricing for that model. Hosted services relieve the library from the task of maintaining a local server while providing flexible and dependable service along with rigorous security measures.

D.   Instructions for Vendor's Response to Specifications

1)   Vendors must respond to every functional, technical, and performance specification itemized within the SYSTEM SPECIFICATIONS and FUNCTIONAL SPECIFICATIONS sections of the RFP using the following criteria:

Y   YES. Feature, function, product, or service is available as requested and is fully operational using the version proposed at one or more library sites.

D   IN DEVELOPMENT. Feature, function, product, or service is under active development and operating in a test (Alpha , Beta, or any other testing phase) environment.

P   PLANNED. Feature, function, product, or service is planned. No development has begun.

N   NO. Feature, function, product, or service is not available, in development or planned.

2)   Vendor's responses must be in the same order in which points appear in this RFP, and must use the same numbering scheme used in this RFP.

3)   For any specifications to which the vendor answers other than YES, vendor must describe the following:
   a) the feature, function, product, or service being planned or developed, indicating the date after which the function and feature will be available in general release and operation as a part of the system proposed to the Library.
   b) whether the Library will incur any added cost for the feature, function, product, or service once it becomes available, either as a direct cost of the feature, function, product, or service, or because the feature, function, product, or service will require replacement of or addition to hardware or software originally proposed for initial installation.
   c) if the feature, function, product, or service is not available, in development or planned, an explanation of how the specification might otherwise be met using alternative features, functions, products, or services available from the vendor, including availability dates for any such alternative and any added costs, either direct or indirect.
   d) any such exception taken to any specification **must** be stated immediately following the specification in question.

4)   For items containing "QUESTIONS" or requests for information, please provide the appropriate descriptive information on the proposed system software, hardware, services, etc.

E.   University Library Overview

The mission of the James H. White Library is to enhance access, collect, organize and maintain a print and non print collection that supports the university's mission of research, teaching and learning, and service through the development of collections, access services and effective delivery of services. Library Services at Mississippi Valley State University consists of three units: 1) James H. White Library 2) Learning Resources Center (LRC) and 3) Archives Department

1)   James H. White Library

The James H. White Library contains the principal collections of books, journals, microforms, government documents and other materials which support the research and instructional programs of the University at all levels. Book stacks and reading areas are intermingled throughout the building, and the open shelf method of access to materials is utilized. Access is provided to a variety of full-text databases, bibliographic databases, and Internet resources on a wide range of subjects. The collections are arranged according to the Library of Congress Classification System. The Library maintains approximately 202 active hardcopy journal subscriptions and approximately 3,675 active electronic full-text journals.

2)   Learning Resources Center

Located on the second floor of the James H. White Library, the Learning Resources Center (LRC) contains textbooks, other printed materials, audiovisuals and computer software which directly support MVSU's degree programs. The LRC also houses a music collection (scores, and CD's) as well as the audiovisual collection (primarily videotape) for all curriculum areas. Equipment is available for individual/group listening/viewing. Materials in the LRC are cataloged in the Library of Congress classification and have varied circulation codes according to format. .

3)   Archives Department

The Mississippi Valley State University Archives are housed on the second floor of the James H. White Library. The MVSU Archives contain historical manuscripts relating to the Mississippi Delta and non-current University records documenting the operations, policies, programs, and activities of Mississippi Valley State University. A collection of Mississippi reference resources also are available. Archival holdings do not circulate.

F.   History of the Automated System

James H. White Library implemented an automated library system, GEAC, in 1995. Circulation, Cataloging, Acquisitions and an OPAC module were installed. A subsequent migration in 2010 to SirsiDynix Symphony Software as Service (SaaS) provided additional functionality.

The current SirsiDynix Symphony SaaS is a hosted server design, which employs a multitier architecture to allow for scalability, modularity and maximum customization but requires no hardware by the James H. White Library. It is administrated by SirsiDynix. The Library's SirsiDynix Symphony ILS is available on UNIX server and is written in C/C++ and Java through a Web client for more basic functions. The Symphony ILS databases are Oracle 10/11, Microsoft SQL Server 2008 and c-ISAM, which are proprietary databases, are all supported. The Symphony system supports MARC and non-MARC formats in a single database, and works with the Oracle relational database management system (RDBMS) for industry standard storage and Unicode compliance. The current SirsiDynix Symphony ILS is standards-based, compliant with MARC-21, XML, Unicode, SIP2, NCIP and NISO Z39.5

If any features in your system, or questions posed by us in this document, cause operating difficulties, please be sure to include your proposed fixes for such problems. Discussion and clarification are encouraged.

The Library is currently importing MARC records from a variety of external sources:
a) OCLC record imports
b) Library of Congress record imports
c) MARC records from Midwest

The database currently consists of approximately:

	Current	**Expected Growth Per Year**
Bibliographic Records	106,336 titles	5,000
Items (copies, volumes)	135,000 volumes	10,000
Authority Records	10 records	5
User Records	6670 users	500 new users
Annual Circulation	7,000	

The database also contains some in-house cataloged MARC records.

II.   Vendor Information

A.   Company Profile

1)   Supply the following information about your company:
   a) name
   b) home office address
   c) nearest sales/customer service office address
   d) name, title, telephone, fax, and e-mail address of contact person

2)   Provide the short and long term missions of your organization. Include the company's product development goals, and vision of the future with regards to library automation.

3)   Supply the following information about your company:
   a) size of staff
   b) allocation of staff among the following areas:
      i.   research and development
      ii. customer service/support
      iii. sales
      iv. administration
   c) audited/certified annual financial statement

B.   References

1)   Specify the number of systems currently scheduled for installation.

2)   Specify the number of systems currently installed for customers that are libraries in academic institutions of comparable size to the University and the Library.

3)   Supply names and addresses of five academic client institutions of comparable size to the Library which use the software being bid and contacts with telephone numbers at each.

4)   Provide the names of any customers who have migrated from the system to another vendor's system.

5)   Provide the names of any customers who have migrated from Sirsidynix Symphony SaaS (the Library's current vendor) to the proposed system.

6)   List other library system vendors for which you have already developed a Z39.50 client interface.

7)   List database products for which you have already developed Z39.50 server interface.

8)   List book vendors for which you have developed an interface and describe how transactions are carried out. Describe the workflow that will occur from placing the order to making the order record available for staff and/or patrons.

9)   List serial vendors for which you have developed an EDI interface. Describe how transactions occur.

C.   User Group(s)

1)   Describe the system's users' group(s); vendor involvement/participation with users' groups, various "subgroups".

2)   Describe the level of activity/involvement in the annual enhancement process, etc.

III. System Specifications

<u>A.</u>   <u>General</u>

1)   The computing model at Mississippi Valley is based upon Windows Active Directory, running Windows 2012 Server for user authentication. The campus has a 1GB fiber circuit to the internet provided from AT&T. The administrative database for the University is Ellucian Banner running on Oracle database.

2)   Expansion must be a built-in capability of the system.

3)   If the system fails to function according to the Library's specifications, the vendor will make necessary modifications, retest and reinstall software in a time period to be specified in the contractual agreement.

4)   The vendor shall provide a detailed description of system administration and system operation requirements. A copy of the system administrator/user manual detailing any batch or routine maintenance programs must be supplied with this proposal. The Library would also like a customer list for use in requesting referrals concerning system administration and maintenance.

5)   The system must be able to successfully interface with the campus system administrative software graphical Banner and Campus Pipeline for data exchange (circulation, acquisitions, serials, e.g., placing blocks on records of delinquent patrons and transacting external accounting). Describe the system's capabilities in providing for/supporting these features. Provide a list of institutions that are currently successfully seamlessly interfacing with Banner.

6)   All system transactions must be performed in real time.

7)   The system must support use for 25 to 75 simultaneous public users and 28 staff users, performing a mix of functions at multiple locations, via multiple access points.

8)   At any access device the system must provide access to all system modules. The system must permit the system user or staff in any participating library, with appropriate privileges, to limit functions available to any particular user.

9)   The system shall protect the central files from erasure or contamination.

10) The system must be able to operate 24 hours a day, 7 days a week, 52 weeks a year. The system must be available for staff and patron use while backup procedures are being performed.

11)   The vendor must detail the hours of customer support as well as the different levels of customer support and related costs.

12)   The vendor must describe its software maintenance services and costs, detailing how software service, including all versions, releases, and/or patches, will be provided.

13)   Expansion, including additional features and modules, shall be possible without interruption to the programs already operational.

14)   The system must utilize library automation standards, including, but not limited to:
     a) MARC 21 Communications format
     b) Z39.2 (most current version) Record format
     c) (most current version) Information Retrieval Service Definitions and Protocol Specifications for Library Applications
     d) Z39.63 (most current version) Interlibrary Loan Data Elements
     e) ANSI BISAC
     f) EDI (OSI X.12) Serials Claiming
     g) SISAC Standard for scanning of machine-readable labels on serials issues
     h) TCP/IP (including SMTP, File Transfer Protocol)
     i) HTTP

15)   QUESTION: Do your Z39.50 products conform to the Bath Profile? If so, at which level and with which functional areas do they conform? If not, when will you upgrade your products to implement the Bath Profile?

16)   The system must be capable of processing CODABAR symbology with the start and stop characters stripped off the encoded numeric characters, utilizing Honeywell International MS 9520 barcode readers.

17)   QUESTION: Will our Epson TM TII receipt printers be compatible with your system?

18)   QUESTION: Does the system require periodic file reorganization or the running of batch jobs? List any processes that are performed in batch mode. List any files which will require periodic file reorganization, and how long each reorganization would take to run on a system this size, indicating whether or not the system can be operational while the reorganization is being performed. If periodic reorganization of indexes is required, indicate which indexes, the availability of that index while the reorganization is being performed and how long it would take to rebuild the index on a system this size.

B.   Reports

1)   Provide examples of management and statistical reports, if any, that can be automatically generated by the system without the use of a third party or vendor supplied report generator.

2)   In addition to the standard management/statistical report capability, the system must contain a report generator that can be accessed by any staff user with appropriate security level. This report generator must be accessible from all modules.

3)   The system must enable an authorized user to schedule production of reports on a regular periodic basis, such as daily, weekly, monthly, and at pre-specified times.

4)   The system must enable an authorized user to view completed reports on screen, save to a file, or print the report at the user's convenience.

5)   On any database reports involving materials, such as new titles lists, shelf lists, high/low circulation lists, and bibliographies, the user can select items for inclusion based on any combination of bibliographic information, and on any combination of control information, (for example: collection; current status; circulation count; number of holds; classification; and accession date).

6)   The system must enable an authorized user to specify the starting date-and-time and ending date-and-time for reports involving historical data.

7)   The system must enable report data to be transferred to a client for manipulation by PC-based applications such as MS Access. Describe the method(s) available for this function.

8)   The system should enable systems staff to optionally assign individual report-level access to designated users. Describe the scope of system security with reference to report access.

C.   Access Control

1)   The system must provide for individual user-access control limits.

2)   The system must provide for access control for each module of the system.
3)   The system must provide for access control for each function within a module.
4)   System access control must be independent of the UNIX operating system.

5)   System access control must be easily modified through parameters.

6)   The system must provide access control for user lockout based on Library defined parameters.

7)   System access control should be able to control number of simultaneous users to particular applications (e.g. Reference Databases, for licensing restrictions).

D.   System Security

1)   The system must provide security to prevent accidental or unauthorized modification of records.

2)   A method of preventing determination of user passwords must be provided.

3)   The system should not display the override code when the operator types in an override field.

4)   The system must permit establishment of access privileges unique to each user on the system and permit the restriction of specific functions to specific users.

5)   Access to all functions is restricted by user login which determines the types of activities an operator is authorized to perform, as well as by individual command level operator identification.

6)   Separate authorization must be possible for each of the following functions; i.e., each user may be authorized to use one function, any specified combination of functions, or all functions, according to the privileges assigned to his/her user ID:
        a) create a record
        b) edit a record
        c) delete a record
        d) display a record (by direct command)
        e) display a record (by searching the OPAC)
        f) duplicate a record; i.e., create a new record from an existing one
        g) create a bill
        h) enter payments on a user's bill
        i) charge an item
        j) discharge an item
        k) renew an item
        l) renew all items for a given user
        m) record in-library usage of an item
        n) receive an item or items
        o) process an order

7)   In addition, it must be possible to limit application of the functions above to selected types of records, according to the privileges assigned to each user ID;

i.e., to provide separate authorization to Create, Edit, Remove, Display, and Duplicate each of the following types of records:
a) bibliographic records and items
b) authority records
c) user (patron) records
d) holds
e) orders
f) vendors
g) funds
h) serial control records
i) serial checkin records
j) serial routing records

E. Backup and Recovery

1) The system proposed must keep a log of each transaction that alters the database. Logs must be date and time stamped so as to allow the system to reconstruct activity for any specified period.

2) A backup system for circulation must be available. All transactions on the backup system will directly feed into the main system and immediately update all files when it is available again.

3) The system proposed must incorporate error detection and correction techniques for the file system, database, and communication links.

4) Every time the computer is initialized, the integrity of the entire file system must be checked. Any errors found in the file system should be automatically corrected and a message generated for the system administrator.

5) If an error is encountered in the database while the system is in operation, the system must record the circumstances for later analysis and inform the operator that the operation could not be completed due to an internal error. The system must not "go down" and the operator must be able to continue with another command.

F. Implementation Plan

1) Vendor's proposal must include a standard implementation plan, describing:
a) how the project will be scheduled (include timeline)
b) proposed levels of project staffing by vendor and by Library
c) how the Library's policies regarding circulation, database access, privileges, etc., will be configured on the vendor's system

       d) how the initial load of bibliographic, item, and authority records will be performed

       e) vendor's requirements for site preparation

       f) vendor's proposed training plan for Library staff, including the name of the trainer(s), qualifications of the trainer(s) and references from other libraries

       g) vendor's proposed procedures for handling software and hardware support and upgrades

2)   Vendor should provide optional pricing for onsite assistance in profiling to be provided by the Project Manager assigned to the Library.

3)   Vendor must agree that the Library and the vendor will mutually determine details of the final implementation plan.

G.   Data Extraction

Unless otherwise negotiated, data extraction services from James H. White Library's SirsiDynix Symphony SaaS system are the responsibility of the vendor.

H.   Data Conversion

1)   Please supply a file-by-file estimate of conversion problems.

2)   The system proposed must permit loading of the Library's user records from other UNIX (AIX) systems.

3)   Vendor must load and index all bibliographic records and items prior to the cut-off date established for the initial installation.

4)   QUESTION: What is a reasonable, or typical, time frame for the Library to plan for in order to examine the data that has been converted and identify problems before accepting it for the final load?

5)   Vendor must also load and index, without added cost, at least one additional "gap" file containing additional records in the same format created by the Library during the interval between creation of the initial data tape and completion of system installation and training.

6)   If the Library chooses to license Vendor's Authority Control module, Vendor must provide a similar utility for loading MARC authority records.

7)   QUESTION: Can the vendor provide for authority database cleanup? If yes, please include in the response the following details: costs, names and

descriptions of third-party vendors and a proposed schedule for the authority database cleanup within the context of the entire implementation schedule.

I.   Subcontractors

All data extraction, data conversion, data loading, data cleanup, or data performance issues for the new system are the responsibility of the vendor. If the vendor is unable to perform a service with their own personnel it is their responsibility to subcontact the services required. The vendor must assume all warranty obligations for these third party contracts.

J.   Software Maintenance

1)   The system must carry a minimum one-year warranty under which software maintenance will be provided without added cost.

2)   Maintenance of system software must be available from the vendor on an annually renewable contract basis.

3)   QUESTION: Does the vendor's customer support service log all problems and requests reported by the Library for tracking and escalation procedures?

4)   Vendor must be able to perform software maintenance via Internet (telnet) connection.

5)   Vendor must provide a software maintenance program to include all future software updates and system enhancements applicable to system modules licensed.

6)   Software maintenance must be available at no added cost during normal business hours (Monday – Friday, 8a.m.-5:00 p.m. CST)

7)   The vendor must outline levels of technical service (e.g., hours and any costs associated with each level of service.)

8)   QUESTION: How does the vendor offer emergency service; e.g., 24-hours, seven days a week, including holidays? What costs are associated with emergency service?

K.   Staff Training

1) Describe in detail the staff-training schedule. Itemize specific topics covered, training location, database used, related costs, etc.

2) The vendor should provide optional pricing for periodic follow-up to formal training (i.e., conference call or onsite consultation) at a minimum of every 90 days for the first year as follow-up for the training sessions.

3) QUESTION: Are there additional, extended training programs available to staff after implementation of the system? Please describe what continuing training programs/courses, are available and related costs and the location of the training.

L.   Documentation

1) The vendor must include a description of the complete documentation package available with the system and enclose samples.

2) The cost of one set of complete documentation on all hardware devices and all system and application software modules must be included in the vendor's proposal. Also include the cost of a second set of documentation for the application software modules only.

3) Documentation updates for all appropriate manuals must be provided on a regular and timely basis as additional capabilities, enhancements, or improvements are made to the system.

4) QUESTION: Are documentation updates and release notes made available for local printing or downloading via the World Wide Web?

IV.   Functional Specifications

A.   Acquisitions

A-1.   Introduction

The James H. White Library Acquisitions Department is responsible for ordering and receiving materials in all formats purchased by the library, and for receiving gifts. After issuing MVSU requisitions, we currently submit orders through purchase order mailed from MVSU purchasing office. Books are then delivered to campus and MARC records are upload from OCLC or Library of Congress.

1)   The Acquisitions module must enable staff to maintain accurate and real-time data for all acquisitions functions. The Acquisitions module must be fully integrated with the modules for cataloging, serials control, circulation, and the online public catalog.

2)   The Acquisitions module should include functions for the following:
   a) searching
   b) ordering
   c) receiving, claiming and cancellations
   d) vendor maintenance
   e) system reports
   f) invoicing
   g) fund management
   h) year end processing
   i) profile setup

A-2.   General Requirements

1)   The system must be able to validate Library-specified, required fields in all input screens (i.e., Library code in vendor input screen, material format code in order input screen, report code in invoice input screen)

2)   Security for the Acquisitions module should be multi-tiered to allow for different levels of access, including but not limited to, logons at the module, menu, and function-specific levels. (i.e., we would like for faculty liaisons to be able to view their departmental acquisitions fund balances but they should not be able to make any changes)

3)   The Acquisitions module should support a full cycle of EDI operations from ordering through claims, to invoicing.

4)   The screen name/icon should be displayed consistently throughout the acquisitions module so that an operator is able to identify the current application.

5)   The Acquisitions module should provide a view of title structures for serial items that are parent records, memberships or combinations, or parts of a monographic series.

6)   QUESTION: How does your acquisitions module handle donations and gifts?

A-3.   Searching

1)   The system must be able to search existing purchase orders, main catalog, and cataloging work files.

2)   The system must be able to autoprompt for searching all files.

3)   The system must be able to search all files without re-keying the search.

4)   The system must be able to search existing orders by author, title, PO number, vendor name, vendor code, ISBN/ISSN, LC card number, OCLC number, or local control number.

5)   The system must be able to recall the last search entered.

6)   The system must be able to scroll forward and backward through a list of orders or items in the OPAC.

7)   The system must be able to display bibliographic information in MARC format.

A-4.   Ordering

1)   The system must permit the order file to include but not be limited to the following data:
a)   purchase order number
b)   item number
c)   library
d)   location
e)   vendor
f)   order type
g)   order condition
h)   order date

        i)   received date
        j)   status
        k) priority
        l)   requestor
        m) bibliographic information
        n) vendor title number
        o) claim code
        p) fund
        q) list price
        r)   number of copies
        s)   notes to vendor
        t)   internal processing notes
        u) subscription start
        v) subscription end
        w) subscription review date

2)   The system must be able to accommodate an unlimited number of purchase orders with up to 9999 line items.

3)   The system must be able to define the purchase order numbering sequence and be able to change the sequence at the Library's discretion.

4)   The system must be able to define location codes for items being ordered, with default bill to and ship to addresses that default into the order record.

5)   The system must be able to accommodate order types including but not limited to the following:
        a) firm order
        b) prepayment
        c) proforma
        d) subscription
        e) standing order
        f)   continuations
        g) series
        h) membership
        i)   approval
        j)   blanket
        k) gift
        l)   exchange
        m) depository

6)   The system must be able to allow subscription orders to be completed and renewed without having to re-enter the order.

7)   The system must be able to check for sufficient funds at the time a purchase order is created.

8)   The system must be able to display history of an order's conditions.

9)   The system must be able to create pseudo orders.

10)   The system must be able to create new order records.

11)   The system must be able to use existing bibliographic record or an existing order record as a template for a new order.

12)   For each purchase order, when applicable, the system must be able to default the material and format codes into the order record from the bibliographic record.

13)   The system must be able to perform checks on titles with duplicate ISBN/ISSN numbers, warning if an order already exists.

14)   The system must be able to provide for Library- defined subject codes.

15)   The system must be able to provide for Library- defined sort codes.

16)   The system must be able to generate an order in real-time.

17)   The system must be able to provide a flag to control the transfer of bibliographic information from an order record to the OPAC.

18)   The system must be able to warn if a vendor that has a status of inactive is specified on an order.

19)   The system must be able to create a single open purchase order for multiple orders from a single vendor.

20)   The system must be able to provide note fields in the purchase order record for handling, processing, etc.

21)   The system must be able to permit the Library to create and assign, automatically or manually, action codes to control processing steps for each individual order record.

22)   The system must be able to generate multi-line purchase orders from separate requests to a single vendor.

23)   The system must be able to update an open order.

24)   The system must be able to change the fund allocation on an open order.

25) The system must be able to prohibit the assignment of duplicate purchase order numbers.

26) The system must be able to permit ISBN to be edited (i.e.: change from hardback to paperback).

27) The system must be able to permit for a default value to be set up for fund allocation by user, or by a general Library default defined in a setup profile.

28) The system must be able to load vendor supplied MARC bibliographic data.

29) The system must be able to create an order file in BISAC format for electronic transmission to vendors.

30) The system must be able to re-print an existing order.

31) The system must be able to set up a new vendor from an order entry.

32) The system must be able to enter free text notes about the order into a notes field.

33) The system must be able to enter processing notes for cataloging in a cataloging notes field.

34) The system must be able to provide a routing function.

35) The system must be able to sort purchase orders by vendor before printing.

36) The system must be able to print purchase orders on 8½ x 11" (80 column) paper.

37) The system should allow printing directly to the acquistions printer via a parallel port, rather than through the network.

38) The system must be able to print purchase orders with vendor address positioned to fit a window envelope.

39) QUESTION: How does your system interface with Banner software.? Is special programming required at individual sites to implement the interface?

A-5.   Fund Management

1)   Fund accounting should adhere to GAAP.

2)   The system must be able to permit the fund file to include but not be limited to the following data:
        a) amount budgeted
        b) amount encumbered
        c) amount expended (in dollars and percentages)
        d) uncommitted balance
        e) any adjustments

3)   The system must be able to use a hierarchical fund structure.

4)   The system must be able to accommodate an unlimited number of fund records.

5)   The system must be able to identify different types of funds (i.e., regular, deposit account, donation, etc.).

6)   The system must be able to specify MARC format code(s) to control the purchase of material type(s) for each fund.

7)   The system must be able to allocate funds by percentage, copy, or dollar amount.

8)   The system must be able to permit an authorized user to change the allowed encumbrance for any fund by percent and/or dollar amount.

9)   The system must be able to mark a fund as inactive to prohibit further ordering.

10)   The system must be able to permit an authorized user to map all open orders from one fund to another.

11)   The system must be able to permit an authorized user to change the fund on an open order.

12)   The system must be able to display balances from the end of the previous fiscal year.

13)   The system must be able to provide fund snapshots for time periods set by the Library.

14)   The system must be able to update funds in real-time to maintain the currency of all fund records and statistics.

15)   The system must be able to permit an authorized staff person to set the system to have outstanding orders roll over into the next fiscal year or not, at the Library's discretion.

16)   The system must be able to permit an authorized user to create a new fund at any time.

17)   The system must be able to permit an authorized user to add, remove, or transfer amounts at any time.

A-6.   Vendor file

1)   The system must be able to accommodate an unlimited number of vendors.

2)   The system must be able to create a code name for each vendor.

3)   The system must be able to prohibit the creation of duplicate vendor records.

4)   The system must be able to store, manage, and report on acquisitions activities for multiple libraries through the assignment of Library codes linked to a single vendor.

5)   The system must be able to define the following codes for each vendor:
       a) claim code
       b) payment code
       c) order method code
       d) currency code

6)   The system must be able to list different addresses for orders, returns, payments, and claiming purposes.

7)   The system must be able to list contact people, phone numbers, e-mail, fax numbers.

8)   The system must be able to list Library account numbers.

9)   The system must be able to specify whether or not renewal notices will be sent to each vendor.

10)   The system must be able to allow for the entry of general notes about each vendor.

11)   The system must be able to allow for the entry of terms of purchase notes for each vendor.

12) The system must be able to track the number of items ordered by vendor.

13) The system must be able to track the number of items cancelled by vendor.

14) The system must be able to total the number of items received by vendor.

15) The system must be able to track turnaround time on orders by vendor.

16) The system must be able to give average discount by vendor.

17) QUESTION: Is it possible for the system to give the average discount by format as well as by vendor?

18) The system must be able to total amounts encumbered and spent by vendor by year.

19) The system must be able to provide a setup profile screen for EDI vendors.

20) The system must be able to include a status field for each vendor to indicate active or inactive status.

21) The system must be able to warn user of a vendor name change or inactive status, and prompt user for next action.

22) The system must be able to permit searching by vendor name.

A-7. Receiving, Claiming and Cancellations

1) The system must be able to access the receiving screens by searching for purchase order number, item number, vendor name, vendor code, vendor title number, ISBN/ISSN, title, author, LC card number.

2) The system must be able to use the last record retrieved.

3) The system must be able to receive one or more copies against the original order and assign a barcode to them if desired.

4) The system must be able to receive one or more parts of a multi-part order.

5) The system must be able to automatically update on order information.

6) When updated information becomes available from the vendor, the system must allow an authorized staff person to make corrections in the order record, including but not limited to changes in:

       a) author
       b) title
       c) ISBN (e.g., changing from hard cover to paperback)
       d) price

7)   In order to change the status/condition of an order, the system must be able to permit the creation and assignment of report codes to include but not be limited to the following:
       a) order closed
       b) order cancelled
       c) on backorder

8)   The system must be able to create claims for items not received.

9)   The system must be able to print claim letters for items not received based on expected arrival date, or at any time specified by the Library.

10)   The system must be able to print the purchase order number and item number on claim letters.

11)   The system must be able to permit free text notes to be entered on a claim.

12)   The system must be able to process the return of one or more received copies.

13)   The system must be able to produce a return letter allowing for customized stating of reason and action required.

14)   The system must be able to produce reports on items returned.

15)   The system must be able to view summary and detail invoice information for the order.

16)   The system must be able to display processing notes from the notes field of the order.

17)   The system must be able to permit invoicing at time of receipt if desired.

18)   The system must be able to provide routing information.

19)   The system must be able to permit electronic submission of claims letters utilizing established national standards and/or print claims.

20)   The system must be able to print cancellation letters.

A-8.   Invoicing

1)   The system must be able to search the invoice file by invoice number, purchase order number/item number, vendor code, vendor name, or title.

2)   The system must be able to prorate items on an invoice header to the line items using different methods, either by line item net amount, or by percentage.

3)   The system must be able to utilize different types of payments on an invoice (i.e.: regular, credit note, partial payment, proforma, etc.).

4)   The system must be able to warn if an invoice vendor does not match the order vendor.

5)   The system must be able to warn if vendor has a status of inactive.

6)   The system must be able to permit invoicing of any line item from a purchase order.

7)   The system should allow the invoicing of line items from separate purchase orders.

8)   The system must be able to validate invoice totals.

9)   The system must have a separate function to authorize or approve the invoice for payment.

10)   The system must permit an authorized staff to delete items from an invoice or delete the invoice up until the invoice is paid.

11)   The system must be able to prohibit invoicing more copies than were ordered.

12)   The system must be able to distinguish between and separate amounts for regular charges, special charges and other charge types defined by the Library.

13)   The system must be able to enter a report code to update the order's status.

14)   The system must be able to access the fund information for the detail lines.

15)   The system must be able to check for receipts before allowing invoicing of an order and provide a warning alert if receipts are missing.

16)   The system must be able to give an error message if the line item price differs from the order unit costs by more than the Library-defined percentage.

17)   The system must be able to update vendor and invoice records automatically when invoices are paid.

18)   The system must be able to electronically load vendor invoice files utilizing national standards.

19)   For serials, the system must be able to view invoicing information for the parent of a child serial record.

A-9.   Acquisitions Reports

1)   The system must be able to print reports and/or display them on screen.

2)   The system must be able to provide a capture screen function, saving data to a file that can be exported to a staff client workstation to be processed by other applications.

3)   The system must be able to conform to standard interface format(s) to allow acquisitions report data to be exported to other applications.

4)   The system must be able to provide reports grouped into main categories such as acquisitions, fund reports, gift reports, transaction reports and vendor reports.

5)   The system must be able to permit fund account reports detailing items ordered and their individual costs within a user defined date range.

6)   The system must be able to calculate average annual costs for materials by type, fund, subject heading, or call number range.

7)   The system must be able to create summary and detail reports to show funds sorted optionally by fund, college, location, and/or unit.

8)   The system must be able to create reports sorted on material type by fund.

9)   The system must be able to generate new titles reports that can be sorted optionally by (but not limited to) format, date range, and fund code.

10)   The system must be able to generate reports of outstanding invoices.

11)   The system must be able to generate reports of outstanding orders by fund.

12)   The system must be able to generate subscription review reports sorted by fund.

13) The system must be able to generate renewed subscriptions report sorted by renewal date by vendor.

14) The system must be able to generate reports to show items cancelled by vendor.

15) The system must be able to display total number of copies of an item ordered, received, invoiced, and vouchered for a user-specified location.

16) The system must be able to generate reports to show the number of items and cost for materials received within a specified time range.

17) The system must be able to generate reports to show items cancelled by fund.

A-10. Profile Setup

1) The system must be able to provide the option of a warning alert if a user attempts to exit a screen before saving data.

2) The system must be able to provide a means to control fund checks, permit overencumberance allowances and amounts, and/or fund overspending and percentage/dollar amounts.

3) The system must be able to set up defaults at the profile level for the following:
   a) acceptable purchase order percentage variance
   b) option to allocate funds as percentages
   c) purchase order format code
   d) permit system to autogenerate claims
   e) define maximum order amount
   f) transfer bibliographic information to OPAC
   g) permit negative budget amounts in funds
   h) encumber against funds with insufficient monies
   i) permit multi-library unit (i.e., Library, LRC, AV, Archives) fiscal year end
   j) permit inconsistent vendors
   k) report code to use at time of receipt

A-11. Year End Processing

1) The system must be able to permit the Library to set the date that year-end processing will be done.

2) The system must be able to define whether or not outstanding balances will be carried over to the next fiscal year.

3)   The system must be able to create and post journal entries for funds with outstanding encumbrances for the new fiscal year if the balances are to be carried over.

4)   The system must be able to produce reports to show amounts carried over to the new year.

5)   The system must be able to track balances of carry over funds from the previous year.

6)   The system must be able to display prior year allocations, expenditures and balances.

7)   The system must be able to archive user specified records to an external storage device.

8)   The system must be able to permit purging of old, incomplete, and/or corrupt records.

9)   The system must be able to generate a review report to assist in determining which records are eligible for purging.

B.   Cataloging

B-1.   Introduction

The Cataloging module should maintain the bibliographic database and authority control files in full MARC format.   This module should support the creation, modification and deletion of bibliographic, item and authority control records and should accommodate indexing rules. It should utilize current MARC conventions for all material types, including the integrated MARC format.

B-2.   Basic Questions

1)   Does system accept records from multiple MARC-based sources, including but not limited to OCLC, Marcive, Midwest, Ingram, Yankee Book Peddler (YBP) (and other book vendors)?

2)   What methods (e.g., File Transfer Protocol, etc.) can be utilized by your system for bulk import of bibliographic records?   Describe the process or steps for the bulk import and loading of records.

3)   Does the system support the full MARC standard for record lengths and field lengths?

4)   Does the system place any limits on the total size of a MARC record or any given field, the total number of fields stored, or the number of occurrences of any given field? Provide a description of any limits.

5)   Does the system support multiple mapping tables for importing MARC records?

6)   QUESTION: What capabilities does the system have to add constant data or remap data to other locations in the bibliographic record during the importing of MARC records?

7)   Are the structures and interrelationships of bibliographic and associated records, such as authority records, item records, holdings and/or copy records logical and easy to maneuver?

8)   Is it possible for separate modules (Cataloging, Acquisitions, Serials and Circulation) to share the use of one MARC record for different or related purposes?

9)   Is it possible to split screen and view multiple sessions in the cataloging module of more than one MARC record OR an open session of both OCLC

and OPAC on one screen with the ability to move between the two environments and be totally functional in both, alternately?

10) Can the bibliographic records in the cataloging module be accessed by any and all of the search indexes, including by type of material, available in the Public Access Catalog, as well as those which might not be available in the Public Access Catalog, such as ISBN, OCLC number, MARC tag number, or local system control number? Is such access available from a single prompt?

11) Is it possible to browse the online catalog by an **author search** to view all title holdings in an **absolutely complete and total word for word alphabetical list** NOT a letter by letter alphabetical list and/or a list of titles organized alphabetically by LCN number from historically discrete database tapes?

12) Is it possible to display the 245 field by all or selected subfields without the subfield h [GMD] interfering with the alphabetical listing of titles? Example: Blue [videorecording] must display before the title, Blue Valley?

13) Is it possible to browse all of a Library's bibliographic and holdings records in call number order?

14) Is it possible to customize the browsing shelflist to display the call number, author, title, and publishing date?

15) Is the system able to search by any kind of call number in use by the Library, regardless of punctuation and/or spacing?

16) Is it possible to browse forward and backward both at the individual record level and at the index level?

17) Is it possible to browse forward and backward from holdings record to holdings record for different bibliographic records in the order of the index display without having to return either to the index display or to a bibliographic record display?

18) Is duplicate checking of MARC records available on all indexed fields? Are fields for duplicate checking specified locally?

19) Is the system capable of outputting all, or selectively defined, local bibliographic records in MARC 21 format?

20) When importing records via online or batch interface, does the system store and display only those MARC fields which contain data?

21) Can the display order and field tags for brief and full bibliographic display be defined locally?

22) Is it possible to replace brief records which are incomplete with full MARC records using an overlay procedure without losing copy specific information?

23) Is it possible to suppress the display of bibliographic records in the OPAC?

24) Does the system accommodate transfer of copy holdings (all item/volume records attached or selected item/volume records attached) to another bibliographic record?

B-3. Cataloging Documentation

1) The System should provide both written and online documentation to instruct the operator in use of ALL functions of the cataloging module

2) QUESTION: Is it possible to update, edit to conform to local usage, or disengage any online documentation provided?

3) QUESTION: Can the system accommodate input and access to locally defined documentation such as local cataloging policies, or stylesheets, such as a thesaurus of controlled terms authorized for use in call number prefixes and enumeration suffixes in item records?

4) The system should provide online assistance, information, and code and tag tables for MARC tags, indicators, subfield codes, and coded elements.

5) The system should provide online detection of errors in the application of MARC tags, indicators, subfield codes, and coded elements when a bibliographic, holdings, or authority record is being created or modified. Can the edit checks be disabled or changed by an authorized staff member?

6) The system should permit local online documentation of bibliographic and authority MARC formats to be updated to reflect LC changes in MARC 21 standards.

7) The system should accommodate and allow access by a variety of classification schemes, including LC, Dewey, Sudocs, free-text (field 099/in-house schemes), etc.

8) QUESTION: Will you please give examples of how your system displays all the diacritics and special characters that appear in OCLC and LC records?

9) QUESTION: Does the system support CJK?

10) QUESTION: Does the system enable barcode readers attached to stations to be used to input data, such as item barcodes, into bibliographic records?

11)   QUESTION: Does the system enable wands attached to stations to be used to input data, such as item barcodes, into bibliographic records?

B-4.   Cataloging Reports

1)   The system must be capable of creating a report of bibliographic records, based on operator-defined search criteria and sorted by location and/or call number in the item record.

2)   The system must collect cataloging statistics and must be capable of generating detailed reports both online and in hard copy on demand.

3)   The system must be able to generate on demand a variety of lists, including: LC authorities, non-LC authorities, bibliographic records and authority records added to the system during a specified time period.

4)   The system must generate statistics on records added with breakdowns such as, but not limited to, format, language, and date cataloged.

5)   The system must be capable of generating a report which details all bibliographic records that no longer have item records attached.

B-5.   Editing

1)   The system should provide a full screen editor for cataloging which allows movement across fields with cursor arrows, block and paste, block and delete, field delete, field undelete, and field restore which returns a field to its condition prior to any editing in that session.

2)   The proposed system should have the ability to copy and paste MARC fields from one bibliographic record to another.

3)   The system should permit individual cataloging records to be updated in real time.

4)   QUESTION: Does the full screen editor expand the 008 and the 007 fields so that its constituent parts can be edited individually and the field then reassembled automatically?

5)   QUESTION: Can the system index, retrieve, and display individual titles (subfield t) and individual authors (subfield r) from the enhanced 505 field for content notes? What about a non-enhanced 505 field?

6)   QUESTION: Does the system provide a minimum of 100 MARC-defined work screens which may be modified?

7)   QUESTION: Does the system allow for the creation of work files through the use of a report generator or a Boolean search capability?

8)   QUESTION: Can the resulting file:
        a) be brought into the cataloging module for easy record updating?
        b) be used with a rapid or batch update capability?
        c) be used with a global change capability?
        d) be used with a purge capability?

B-6.   Z39.50 Capabilities

1)   It must be possible to use Z39.50 client for Windows to capture any MARC bibliographic or authority records from loading utilities and interfaces to bibliographic utilities.

2)   The Z39.50 client must be fully integrated with cataloging and authority control.

3)   It must be possible to capture a MARC bibliographic record from any Z39.50 server.

4)   The system's authority control module must comply with the Z39.19 ANSI Standard.

B-7.   Bibliographic Control Requirements

1)   The system must place the captured bibliographic record in the catalog editor ready for staff manipulation and apply the same standards and specifications that are used against exported bibliographic records from national bibliographic utilities, such as:
        a) title matching against existing catalog records based on Library specified match keys
        b) cascading hierarchy of match keys
        c) alerting staff of any duplicates
        d) assigning the call number to the incoming record
        e) assigning the owning library to the incoming record
        f) allowing the library to replace a matching record with the incoming record
        g) allowing the library to replace an on-order record with a full catalog record, without first requiring the library to assign a common match key to each record
        h) indexing the full text of the bibliographic record for keyword searching

2)   The system should maintain for each record the following:
        a) date of addition to the local file
        b) date of the latest update to the record
        c) source of the original record
        d) identifier of last authorized modifying user

3)   The system must enable a bibliographic record to be retrieved and modified at any time, once it has been entered.

4)   It must enable fields to be added, modified, or removed during record modification.

5)   In addition to real-time bibliographic and authority record capture, the system must support a catalog review file within the workstation.

6)   An authorized user must be able to:
        a) save records to the review file one at a time, or in stated ranges
        b) view records stored in a review file
        c) remove records from the review file
        d) duplicate records in the review file
        e) print records in the review file
        f) "clone" existing bibliographic records in the review file

7)   It must be possible to use all cataloging functionality to edit bibliographic and authority records saved to the review file.

8)   The proposed system must link all copies of the same edition of a title to the master record for that title.

9)   The system must allow any authorized operator to design the templates.

10)   The system must enable defaults that can be specified for any fields in the catalog templates.

11)   The system must enable the original MARC entry template to be added back to the record during record modification, showing any empty fields.

12)   The system must enable a partial record to be input if complete information is not yet available.

13)   The system must enable both on-line and batch updating of partial records as more complete information becomes available.

14)   The system must enable authorized operators to:
        a) add new citations to the database by duplicating an existing record

b) add new citations to the database by direct keyboard input
c) remove citations from the database
d) modify citations in the database, by adding new bibliographic fields, removing fields or modifying existing fields.
e) add a new entry to the list of entries for a bibliographic entry
f) modify any entry in the bibliographic record, typing over existing characters, inserting new characters, or deleting existing characters
g) delete an entry from the list of bibliographic entries

15) Users should be able to print individual bibliographic, authority, and holdings records and sets of retrieved records to locally attached printers and to any printer defined on the network.

16) QUESTION: Does the system include the ability to print selected text (i.e., to print only a portion of the record)?

17) The system must include the ability to generate and produce spine and pocket labels.

18) It should be possible during the process of cataloging to output spine and book pocket labels to a file that can be modified and printed later.

19) QUESTION: Does the system provide a spell check feature to verify spelling before updating bibliographic records?

20) QUESTION: Is the system compatible with InfoWorks Speller, a commercial spell checker software?

21) QUESTION: Is the system compatible with software to validate Uniform Resource Locators in field 856? If so, please list the brands of software.

22) The system should provide immediate real-time indexing of bibliographic records added to the system.

B-8.   Item Record Requirements

1)   The system should support storage within the item record, at a minimum, the following:
a) item-specific label number (barcode)
b) holding facility
c) location
d) sub-locations
e) prefix
f) call number (LC, Dewey, in-house classification schemes)
g) copy number

h) enumeration suffixes
i) notes field
j) due date (if checked out)
k) lst discharge date
l) number of circulations by date or range of years
m) holds against the item
n) circulation status
o) cost
p) Sudocs number
q) publisher's number (Music)
r) OCLC number
s) CODEN
t) standard technical number
u) ISBN
v) ISSN
w) date item record was created
x) date item record was updated

2) Must provide for the display of information about the status or location of any item in the collection on any workstation by entering any of the following:
a) author
b) title
c) call number (tags 050, 090, 099)
d) barcode Number
e) OCLC number (tag 035)
f) local Control number
g) publisher's numbers (tag 028)
h) SuDocs number (tag 086)
i) CODEN (tag 030)
j) standard technical number (027)
k) in-house accession numbers for selected use (Reserves)

3) The system must distinguish and retrieve items by identification number (i.e. barcode number), call number detail (i.e. volume number/copy number), or both.

4) For each item linked to a bibliographic MARC record, the item's current location, including current status for uncataloged items should display.

5) A copy-specific holdings record for each non-serial title is required.

6) For series and monographic sets, the holdings record must include a summary format in addition to volume-specific and copy-specific date.

7) The Library should be able to specify the summary format as the default display.

8)   If volumes or copies on the same record are in different locations, each location must be cited in connection with its corresponding volume or copy.

9)   The location display must cite not only the Library Services unit but also the location and sub-location where appropriate.

10)   The system must display whether or not an item is eligible for recall when a hold is placed.

11)   The system must allow an operator to move from linked bibliographic record to linked bibliographic record without reinitiating a search.

12)   The system must allow operator to edit and replace a record and still return to the previous display and look at other records without researching.

13)   The Item record must contain a unique number corresponding to an optically scannable identifier such as a barcode.

14)   The system must be compatible with a variety of barcode labels.

B-9.   Creating Item Records

1)   The system should provide for the creation of an individual item record which uniquely identifies each copy or volume of a specific title in any format.

2)   The system must support creation of item records for monographic, serial, government document, media, or any other type of material formats.

3)   QUESTION: Is it possible to have different holdings for the same bibliographic record shelved under different call number schemes, including LC, Dewey, SuDOCS, NLM, and locally-defined schemes?

4)   QUESTION: Are item records of variable length, with a variable number of variable fields, which may be repeatable and allow for a separate call number in each item record?

5)   QUESTION: Are additional new variable-length fields and their display labels locally controlled?

6)   It should be possible to suppress the display of item records in the OPAC.

7)   The barcode number and the item call number must be indexed for direct retrieval of item records. All other fields must be available for reporting purposes.

8)   If no barcode number is supplied, the system should automatically generate a generic item record number, which is readily distinguishable from an actual barcode number.

9)   The system must provide for coded fields to expedite the entry of item information.   Codes entered must be verified against a list of existing codes to ensure database integrity.

10)   An operator must be able to create a temporary set of item record defaults to facilitate the entry of similar item records.

11)   An operator must be able to create a temporary set of item record defaults to apply in batch editing/rapid updating of existing records.

12)   The system should permit the creation of item records for materials on order without assigning a barcode to the item record.

13)   QUESTION: Is it possible for multiple item records to be created at the point an order is received?

14)   It should be possible for the Library to specify an unlimited number of individual locations.

15)   The system must support an alpha location code with 20 or more characters available to display OPAC.

16)   It must be possible to create item records in serials as individual issues are checked in.

B-10. Linking

1)   QUESTION: Is it possible to link a single item record to an unlimited number of different bibliographic records for any type of material?

2)   QUESTION: Does the system allow an unlimited number of items to be attached to a single bibliographic record?

3)   It should be possible to perform mass transfers of all items within a specified call number range in one location to another location with a single command or job rather than by modifying each individual record.

4)   It should be possible to delete multiple items efficiently by either keying line numbers or a range of line numbers, or by wanding in barcodes.

5)   The system should permit the operator to resequence item display.

6)   When issues with items are bound in serials, the system must automatically delete the individual item records and create a new item record for the bound volume at the operator's discretion.

B-11.　Access Restrictions

1)   The system should require appropriate operator authorization to perform maintenance on item, bibliographic and authority records.

2)   It should be possible to store bibliographic, authority, and holdings records that are created online by one operator in a workfile so that another user or the same user can review them before entering them into the database.

3)   The system should enable any authorized operator to view displayed items in either the public or staff catalog or in both catalogs at the same time as needed.

4)   The system must be able to block public catalog users from searching records or displaying holdings in the staff catalog.

5)   Authorized staff must be able to assign the following locations to items that are only available to the staff catalog:
        a) professional materials for staff use only
        b) equipment records
        c) service records
        d) interlibrary loan items loaned to the Library
        e) user purchase requests
        f) items on order
        g) items in process
        h) missing items
        i) withdrawn items
        j) gift items
        k) items being repaired

6)   The system should allow an authorized operator to move any record(s) from the staff catalog to the public catalog.

7)   The system must allow a single copy to be marked for the staff catalog.

8)   The system must allow items to be assigned to the staff catalog at the copy level, title level, and call number level.

9)   The system must allow new locations, sub-locations/prefixes to be added to the staff catalog.

B-12. Authority Control Requirements

1)   QUESTION: Does the system load, maintain, and output a database of authority records in full MARC format?

2)   The system should accept authority records by: downloading MARC files from multiple sources, particularly from OCLC, direct keying into the system by an operator, or cloning of existing authority records.

3)   QUESTION: Does the system support import or export authority records to and from tape, diskette, or telecommunications device (e.g., for outsourcing authority work)?

4)   The system must accommodate the following kinds of authority records:
      a) personal, corporate, and conference names
      b) topical name headings in a name authority file
      c) title, uniform title, and series heading entries in a title authority file
      d) subject headings in a subject authority file
      e) subject subdivisions
      f) general headings

5)   The system should provide immediate real-time indexing of authority records added to the system.

6)   The system should automatically verify authority headings against existing bibliographic and authority entries in real time.

7)   The system should automatically verify authority headings against existing bibliographic and authority entries in real time.

8)   QUESTION: Is it possible to define which bibliographic fields and subfields are subject to authority control?

9)   QUESTION: Does the system allow bibliographic records to be exempted, either individually or by category, from authority control such as preliminary or provisional bibliographic records?

10)   QUESTION: Does the system automatically link each authorized heading to each occurrence of the heading in the bibliographic database?

11)   The system should allow the display of bibliographic records that are linked to an authority record once that authority record is retrieved.

12)   The system must not require an "authority record" for every name and subject entry in the system.

13)   Authority record display must include at least the following:
   a) date created
   b) date modified
   c) authorization level
   d) format
   e) source
   f) fixed fields
   g) extended information
   h) index

14)   The system must store authority records in conformance with the MARC formats for authority records.

15)   QUESTION: Can the system incorporate changes in the MARC authority format or new national standards formats as they are developed?

16)   The system must be able to match LC or any other national standard authority records such as MeSH or ERIC subject headings, against the local file.

17)   The system should index author/title MARC tags under both author (subfield a) and title (subfield t).

18)   The system must enable any authorized operator to control whether entry of bibliographic data that does not match an authority record will result in rejection of the input in the staff catalog only.

19)   The system must NOT automatically flag the unauthorized entry in the public catalog for later review.

20)   The system must enable an authorized operator to retrieve and display records flagged as unauthorized on-line at the workstation and/or print these records.

21)   The system must enable an authorized operator to modify authority control policies to include additional thesauri following system or module installation.

22)   The system must not allow the date of creation in an authority record, which has been imported to be edited or altered.

23)   QUESTION: Does the system automatically create a brief authority record in the local database for entries with no authority record linked to it?

24)   QUESTION: Is the system configurable to accommodate a single authority index or the addition of multiple indexes?

25)   QUESTION: Can the system be configured to have separate indexes for LC name and subject headings, NLM subjects, or other locally-defined indexes?

26)   QUESTION: Does the system allow the Library to choose the selections of bibliographic entries under authority control?

27)   QUESTION: Does the system enable an authorized operator to change default system value for thesauri at a later date?

28)   QUESTION: Do authority records have the same security features as bibliographic records?

B-13.   Editing of Authority Records

1)   QUESTION: Does the system support the same search, record creation, edit/update or modification and deletion capabilities for authority records as for bibliographic records?

2)   The system must enable online, manual maintenance of all fields in individual authority records.

3)   The system must place the captured record in the authority records editor ready for staff manipulation to perform duplicate authority checking, and alert staff as needed.

4)   The system must provide a full-record editor that will enable Library staff to make local modifications to imported authority records, and to create local authority records.

5)   The system must enable an authorized staff member to replace incorrect headings in bibliographic records with authorized headings.

6)   QUESTION: Does the system enable an authorized user to cut and paste or transfer a keyword, phrase, or exact heading from an authority record to a bibliographic record?

7)   QUESTION: Does the system allow for the "cloning" of existing authority records in order to easily create new records?

8)   The authorized operators should be able to delete authority records.

9)   The authority records must be retained unless specifically deleted by the operator.

10)   The system should have an "undo" command to reverse editing or global change.

11)   The system should provide an option to normalize data for capitalization and punctuation in headings.

12)   It should be possible to have a call number change at one level that affects all levels beneath it.

13)   The system must check an operator's input against the appropriate authority entries for fields under authority control.

14)   QUESTION: Does the system permit an authorized user to select a heading from an authority or existing bibliographic record list?

15)   The system must enable an authorized operator to maintain authority lists by adding new terms, removing terms or modifying existing terms.

16)   The system must allow for creation of a file of records for a specific subject heading or subject division.

17)   On demand, the system should display a list of valid headings from the authority file when the heading keyed does not match an existing heading already in the authority file.

18)   The system must enable an authorized user to browse through a list of terms maintained within each index for authority control.

19)   The system should allow authority headings and all of their subdivisions to be edited individually or globally.

20)   The system must enable an authorized staff person to capture, edit, and load MARC bibliographic and authority records from a Z39.50 server directly to the catalog. This process must be straightforward and require no programmer intervention.

B-14.   See References

1)   QUESTION: Does the system automatically create "see" and "see-also" references from the authority record, and automatically link these references to matching headings in the public access catalog?

2)   QUESTION: Do new authority records **automatically** create all "see" and "see also" references for bibliographic records containing that authority heading?

3)   QUESTION: Can the system be configured to display cross-references and allow verification or non-verification of headings?

4)   QUESTION: Does the system allow the designation of selected 4XX and 5XX cross references as "non-displaying", meaning that they appear to staff on authority records but do not appear in the online catalog?

5)   QUESTION: Does the system automatically generate "see" and "see also" authority references as authority records are edited?

6)   The system must impose no limit on the number of "see from" and "see also from" headings that may be added to an authority record.

7)   The proposed system should not require links between authority records and bibliographic records to be specified by an operator, i.e. the mere addition of an authority record with a "See Reference" should be adequate to direct all searches for the invalid heading to the correct version of the heading.

B-15. Cataloging Reports

1)   The system must be able to generate a report of all name and subject entries from bibliographic and authority records which are new to the database.

2)   The system must provide reports that list:
a)   headings used for the first time
b)   invalid headings that should not have been used
c)   cross references that are blind either because no record exists or because a record has been deleted
d)   duplicate barcodes
e)   duplicate authority records

3)   If a bibliographic heading matches no authority heading, it should cause the generation of a new authority record that is somehow identified as unverified or unauthorized and reported to staff as a completely new heading.

4)   The system must generate a report of all new entries that the system determines to be invalid and allowing beginning and ending dates for the report to be determined by the staff.

5)   The invalid report must include:
a)   the heading which is considered invalid
b)   an indication of what the system identified as the correct heading
c)   an indication of the bibliographic record which contains this heading (either the title or system number for that record)
d)   an indication as to who created that entry (terminal identification or cataloger's initials)

6)   The system must not automatically change ("correct") any new entry that matches a "see" reference and should be considered by the system to be invalid.

7)   The system should display, upon request:
a) total number of bibliographic records linked to a specific authority heading
b) all individual bibliographic records linked to a specified authority heading

8)   Index entries from both bibliographic and authority records should be inter-filed in the same index thereby providing automatic links between authorities and bibliographic records.

9)   The system must process all authority verification in the background for report purposes.

10)   The system must never require that staff interrupt the cataloging/indexing process in order to do an authority verification.

11)   The system must allow for real time authority verification, on operator demand, in either the cataloging module create or edit mode.

12)   The system must allow for duplicate authority records.

13)   It should be possible to link only part of a bibliographic field to an authority record, e.g., an author heading that is linked to an authority record except subfield $e (related information that applies to the specific bibliographic record).

B-16. Global Change

1)   QUESTION: Does the system provide a global editing utility that can scan the catalog, examining each bibliographic record for a specified string within specified fields or subfields, and perform any of the following operator-specified functions when the string is found:
a) delete the field or subfield entirely
b) change a string of characters within the field or subfield to another string of characters
c) insert a new field or subfield at the appropriate place in the record.

2)   The global editing utility must allow selection of records for editing based on at least the following criteria:
a) classification
b) statistical categories

     c) accessions date

     d) bibliographic information

3) The proposed system must allow for the selection of name or subject records for global change.

4) The system must allow for selection of records, for global change, based on searching only subject subdivisions.

5) QUESTION: Does the system provide for global field changes to MARC records including specific subdivisions of authorized headings regardless of their position?

6) The system should permit bibliographic headings and all of their subdivisions to be globally updated.

7) QUESTION: Is it possible to make global changes to all tag indicators or subfield delimiters in bibliographic records to reflect changes in LC rules and MARC tagging?

8) QUESTION: Does the system allow for global changes to be made only to subdivisions, for example, only to an author's dates, or only to a subject subdivision?

9) QUESTION: Does the system allow global additions, rather than changes, to an existing field and its indicators subfields?

10) QUESTION: Does the global change capability allow for record by record heading change as well as batch change?

11) QUESTION: Does the system allow for batch updating of a file of bibliographic or authority records?

12) The system must enable an authorized staff member to perform global edits and updates to authority records that will automatically change every occurrence of the modified heading in the bibliographic database.

13) The system must enable global edits to be performed in a "test only" mode for review purposes before the changes actually occur in the bibliographic database.

B-16. Global Change Reports

1) The system should be able to generate reports of:

     a) count of records affected by a global change

     b) display records affected by a global change

B-18. Conversion Process

1)   It should be possible to convert the following cataloging records.
        a) bibliographic records and their item records from the current Geac
           ADVANCE database
        b) authority records from the current Geac ADVANCE database
        c) bibliographic records from the current Geac ADVANCE workfile

C.   Circulation

C-1.   General

1)   The system should provide immediate updating of circulation information displayed in the OPAC.

2)   It should provide inventory and circulation functions for all forms of Library materials regardless of whether or not bibliographic records exist.

3)   Information on displays should be layered; i.e., essential information appearing on an initial display with more complete information available on additional screens or displays.

4)   It should be possible to move back and forth easily between circulation displays and other displays (OPAC, acquisitions, serials control, etc.) without losing the work in progress.

5)   It should be possible to record processing information for individual items (e.g., routing to cataloging or repair) such that:
        a) it is viewable by staff online whenever the item record data is displayed
        b) staff are alerted to it whenever an item is checked in, checked out, or transferred.

6)   It should be possible to create and use "on the fly" brief records when no bibliographic records exist for an item to be circulated.

7)   "On the fly" records should have the following characteristics:
        a) the ability to specify whether or not they appear in the OPAC
        b) the ability to specify whether or not the record will be retained, cease to exist upon return, or expired at some determined interval after return
        c) the ability to record processing information and to alert staff to its presence when the item is returned.

8)   The system should provide an easy means of enabling staff to change the status of a large group of items all at once by setting the new parameters once and then simply scanning or entering the item IDs of all affected items, to include at least the following:
        a) transfer to a temporary location
        b) transfer from one temporary location to another
        c) transfer from a temporary location back to the permanent location
        d) transfer to hold status
        e) transfer from hold status
        f) transfer from search status

g) change in location type

h) change in status

9) It should be possible to produce and print on demand a receipt (i.e., printed eye-legible, piece-specific transaction evidence) showing piece identification information and transaction date and time to accompany the following:

a) checkout

b) checkin (i.e., return of an item)

c) payment of any portion of a fine

10) QUESTION: What are the standard and possible data elements in the item record? Include field size, repeatability, and any online table or authority verification.

11) QUESTION: How do the item record elements relate to data in the bibliographic and holdings records? Are there redundancies or cases where the item record includes substitutes for or additional versions of data elements in other records, e.g., titles?

12) QUESTION: How many different levels or layers of location are possible for an item?

C-2. Security

It should be possible for a representative of each unit to maintain circulation security profiles for that unit.

C-3. Profiling

1) Circulation functions should operate on and be controlled by a library-specific set of parameter tables or policy files that can be maintained by an authorized user without the assistance of the vendor or system management personnel.

2) It should be possible for each Library Service unit to create a different set of parameters governing system calendar, item types, loan periods, borrower types, and fines.

3) The system should support a wide variety of loan periods, ranging from hourly through fixed date (e.g., the end of a semester) with the flexibility to add new loan periods or change existing ones as needed.

4) It should be possible to customize loan periods for different combinations of patron class, patron status, item class and status, and location.

5)   It should be possible to customize fines for different combinations of patron class, patron affiliation, patron status, item class and status, location, and loan type.

6)   The system should accommodate multiple circulation points with different and variable opening and closing times, different open and closed days, and different circulation policies.

7)   It should be possible to specify general loan parameters that are in effect unless overridden by individual circulation units.

8)   The system calendar should be multi-year so that dates and times can be set up at least a year ahead of time.

9)   Each unit should be able to create and maintain its own system calendar.

10)   It should have the ability to set an unlimited number of closed dates in the calendar.

11)   It should not allow due dates and due times to fall on closed dates.

12)   It should be possible to relate fines and grace periods to the system calendar such that changes in the calendar are reflected immediately in fines and grace periods.

13)   It should be possible to establish library-specific and unit-specific limits that vary by borrower category on the following:
      a) maximum number of times an item can be renewed
      b) maximum number of items checked out

14)   It should have the ability to delete borrower records in batch mode to purge the database of inactive users according to library-defined criteria.

C-4. Searching

1)   It should be possible to search for circulation information by all OPAC searches as well as by the following data elements:
      a) patron ID
      b) patron ID, limited or qualified by loan status (e.g., overdue, recall, etc.)
      c) item ID (barcode)
      d) record ID

2)   In addition, for items on reserve, it should be possible to search by at least the following (including portions of each, e.g., words from the course title or part of an instructor's name):
      a) instructor name

       b) course name
       c) course number

3)   It should be possible to limit a search by at least the following:
       a) item class
       b) active reserve status
       c) inactive status
       d) location

C-5. Checkout and Checkin

1)   Note: While many systems use the terms "charge" and "discharge," MVSU staff use the Terms "checkout" and "checkin." We use the terms here for elimi-nation of confusion using the terms of "fines" and other overdue "charges."

2)   The system should provide a workstation-based, stand-alone backup circulation capability that can be used to checkout and checkin items when the online system is unavailable. This backup should include the following:
       a) the ability to scan borrower and item barcodes
       b) the ability to scan encoded magnetic strips
       c) the ability to upload stored transactions automatically to the online system when it again is available.

3)   It should be possible to suspend and block individual patron circulation privileges based upon specifications in each library profile.

4)   It should be possible to designate items as "non-circulating."

5)   The system should block staff from checking out non-circulating items.

6)   It should be possible for authorized staff to override any automatic system decision such as the selection of due date and to override blocking conditions based on item status (e.g., non-circulating) or on patron status (e.g., maximum fines exceeded). This includes the capability to assign an *ad hoc* due date for an item.

7)   The system should allow checkouts only with valid user IDs. The system should prevent checkouts for users without IDs, for users who have ID's that have expired, or users that have system blocks.

8)   It should be possible to view online a complete loan history for an item, i.e., to see all actions occurring in connection with a particular loan. This does not include borrower identification except for the most recent transaction.

9)   It should be possible for authorized staff to view the patron ID, location returned, date and time returned, and other data related to the previous loan after an item has been checked in, up until the time the item is again checked out.

10)   The system should require a patron's ID number to be scanned or keyed only once when checking out items regardless of the number of items being checked out.

11)   The system should alert staff during the course of a transaction involving input of a patron ID if conditions exist that might restrict the patron's circulation privileges; e.g., maximum number of items checked out, etc.

12)   The system should alert staff whenever an item with the status of "lost" or missing," or an equivalent status, appears in any online transaction.

13)   The system should provide a safeguard to prevent staff from checking out items to a patron on the previous patron's ID.

14)   QUESTION: How is this safeguard provided in your system? How does the system notify the staff member of the situation?

15)   It should be possible to produce on demand an online display and a printed list of all items checked out to any patron, complete with sufficient bibliographic and item information to identify the item, the date and time checked out, and the due date and time (if applicable) for each item.

16)   It should be possible to limit the display or printing of all items checked out to a patron to only those items overdue.

17)   On the display of all items checked out to a patron, it should be possible to renew items individually or globally.

18)   To prevent perpetual renewals and to verify the existence of items, it should be possible to prompt and require acknowledgment of the physical showing of an item based upon the number of times renewed (e.g., after each second renewal).

19)   It should be possible to set the system checkin date to a date other than the current date and to have fines based on the revised date rather than the actual current date.

20)   It should be possible to block non-home-location checkins and renewals for materials located in a particular location or collection.

21)   The system should provide a prompt that alerts the staff that the item cannot

be checked in or renewed at this location.

22)   It should be possible, when checking in an item that has not been checked out
      to do the following:
      a) record the date and time of the transaction
      b) count the transaction as an "in-building" use for statistical purposes

C-6.   Recalls, Holds, and Searches

1)   It should be possible for staff to initiate holds, searches, and recalls on an item
      record display.

2)   It should be possible to restrict the initiation of searches to staff only.

3)   It should be possible for holds, searches, and recalls to be patron initiated via the
      OPAC.

4)   The system should alert staff, in an obvious way online, at the point of check in
      when an item is on hold, and display any special instructions related to the hold.

5)   It should be possible for staff to record free-text non-public notes for all
      searches, holds, and recalls.

6)   It should be possible to add and remove items from hold status both individually
      by scanning the item ID and as a group by scanning multiple Ids into a transfer
      display.

7)   It should be possible for staff to recall a checked out item any time during the
      circulation period and to select a new due date for which the system will
      generate a recall notice to be sent (paper or e-mail) to that patron.

C-7.   Reserve Room

1)   NOTE: In the following, a reserve "list" indicates all items on reserve for a
      particular course with a particular instructor or instructors.

2)   It should be possible to have multiple Reserve Room locations (e.g., LRC and
      James H. White Library).

3)   It should be possible to use the reserve system for items that are not owned by
      the Library.

4)   It should be possible to use the reserve system for items that are represented in

the catalog database by bibliographic and holdings records.

5)   It should provide a display of all items on reserve for a course.

6)   QUESTION: If an item held by the Library is placed on reserve, does the system indicate the Reserve Room location of that item if the course, name, course number or course instructor are not known?

7)   It should be possible for an item to be on more than one reserve list at a time (assuming all at the same location).

8)   It should be possible for reserve items to have a status of "inactive" that allowed them to remain in the appropriate files but not show up on any display as being "on reserve."

9)   It should be easy to move individual items from "active" to "inactive" status and back again.

10)   It should be possible to maintain individual lists of all items normally on reserve for a particular course and course/instructor combination, regardless of their "active" or "inactive" status, that can be used in the following ways:
        a) to reactivate and put onto reserve all items on an entire list without needing to modify each individual record
        b) to recall automatically any items on the list that are currently checked-out

11)   It should be possible to remove all items on a list from reserve status with a simple command.

12)   When an item is being removed from reserve for one course, the system should provide a safeguard to notify staff that it is still on reserve for another course.

13)   It should be possible to store a schedule or semester profile for a particular list such that it is activated automatically at the proper time.

14)   In addition to "active" and "inactive" statuses for existing records, it should be possible to store "dead" records somewhere in such a way that they can be found and brought back to life individually at some point in the future.

15)   It should be possible to define and use a wide range of different loan periods for a reserve item, different from those used for its normal circulation.

16)   It should be possible to assign a unique local shelving number to uncataloged items that are placed on reserve.

17) The act of placing an item on reserve automatically should cause the indication on all displays that the item is at a reserve location. No editing of holdings records should be needed.

18) Items placed on reserve must revert to their original locations when taken off reserve.

19) It should be possible to make global changes with a single transaction to data in selected fields for all items on a list.

20) It should be possible to record information in item records that relates only to reserve use and which is viewable only by staff.

21) It should be possible to create and manage an electronic reserve collection.

22) It should be possible for authorized Circulation/Reserve Room personnel to perform all reserve system operations (including non-MARC record editing), without the need for intervention by catalogers or other Library personnel.

C-8. Fines and Accounting

1) It should be possible to establish grace periods (in minutes, hours, days, weeks, and months) for any identifiable combination of offense, loan type, location, patron type, and material type.

2) The system should automatically prepare overdue notices for regular checkouts, recalls, and reserve checkouts based on the date and time due, material class, loaning unit, and patron class.

3) It should be possible either to generate a file or a report containing information related to fines collected the prior day and payment of lost books over a given time period.

4) It should calculate overdue fines immediately at checkin, including holidays and grace periods.

5) Bill for replacement costs should automatically be cleared when the overdue item is checked in.

6) It should be possible to produce online and printed displays of all fines associated with a patron.

7) It should be possible to accept partial payments and adjustments.

C-9.   Patron (or borrower) Files

1)   For registering a new patron, the system should provide a template containing required and recommended user information fields.

2)   A patron record should include at least the following fields:
   a) name
   b) social security number or patron ID number
   c) system ID
   d) borrower class
   e) addresses (current and permanent)
   f) phone numbers (current and permanent)
   g) email address
   h) notes (repeatable)
   i) dates:
      i.   added to system
      ii. last update
      iii. last transaction
      iv. expiration date
   j) preferred document delivery address
   k) preferred means of document delivery

3)   QUESTION: What limits are there on the number of characters permitted in the name and address fields?

4)   It should be possible to search patron records based on at least the following elements:
   a) name
   b) social security number or patron ID number

5)   After retrieving an individual patron record, a user should be able to request and see all related information (i.e., items checked out, on hold, fines, etc.) without re-searching.

6)   It should be possible for any authorized staff member, regardless of location, to issue borrower cards and to update the online patron files.

7)   It should be possible to electronically link to, load, and update student, staff, and faculty information from the University's Banner system.

8)   QUESTION: What are the interface requirements for this to occur? Please describe this process. Must these functions be carried out by the Systems Librarian or is it possible to be accomplished at the staff level?

9) It should be possible to set expiration dates, both individually and for classes of patrons, based upon fixed dates or lengths of time.

10) It should be possible to include Library departments as "pseudo-patrons" within the patron file and to establish unique patron types of pseudo-patrons.

11) QUESTION: In purging patron records, how does your system allow for retaining patron files who do not have items checked out and attached to the patron record?

C-10. Notices

1) It should be possible both to print notices and to send them via electronic mail.

2) It should be possible to generate notices with different explanatory text and different data elements depending upon the type of patron, the location of loaning unit, and the type of loan or class of material.

3) It should be possible to consolidate multiple notices, e.g., if a patron has three overdues at the same time, all three should be listed on one notice.

4) It should be possible to generate repeated overdue notices on a schedule based upon time elapsed from the due date.

5) It should be possible to generate overdue warning notices at a fixed time before the overdue date, e.g., for graduating seniors.

6) The system should generate automatically a notice to the current borrower when an item is recalled and the borrower has had the item for a policy-defined period of time.

7) The system should generate automatically a notice to the requestor of a "recall" when the item requested becomes available, indicating where it is being held and for how long it will be held.

8) The system should generate automatically a notice to the requestor of a "hold" when the item requested becomes available, indicating where it is being held and for how long it will be held.

9) The system should generate automatically a notice to a patron who has requested a search at the point the Library has found the item being searched.

10) The system should generate automatically a "lost" notice to a patron who has requested a search at the point the Library has unsuccessfully completed the search process.

11) It should be possible for staff to request the printing of the following notices:
   a) regret letter informing that the current borrower has not returned the recalled item and it is not available except through interlibrary loan
   b) letter informing recaller that the recalled item will be placed on reserve rather than be available for normal checkout by the recaller.

C-11. Conversion Process.

1) It should be possible to convert information from the SirsiDynix Symphony database of patron/borrowers for records without transaction links.

2) It should be possible to convert the following circulation transactions or item status information:

   a.) current charges
   b.) overdues
   c.) holds/recalls
   d.) fines pending
   e.) missing status
   f.) lost status
   g.) temporary statuses, i.e. Being repaired, At Bindery
   h.) Reserves transactions

D.   Digital Media Archiving

We request optional pricing for a digital media archive module (including appropriate hardware specifications and pricing), which would be used to store, organize, and access digital media that may be selected from the university's collections of non-book holdings or originate from elsewhere.

1)   The digital media archiving system should be able to accommodate all types of media including, but not limited to, the following:
        a) image files (e.g. JPG, GIF, TIFF,PNG)
        b) PDF documents
        c) word processing files
        d) ASCII text
        e) HTML
        f) SGML
        g) XML
        h) audio files (e.g., WAV, MIDI, RA RAM, MPEG)
        i) video files (e.g., AVI, MPEG, MOV, QT)

2)   The system should have optical character recognition capability.

3)   The System should provide for an integrated structure of hyperlinks between descriptive records in the online public access catalog and the digital files themselves.

4)   The system should support access via full MARC records as well as any level of MARC cataloging.

5)   The system should support the use of the MARC/AMC format for describing archives and manuscripts.

6)   QUESTION: Does the system support Dublin Core Metadata?

7)   QUESTION: Does the system include a document description template?

8)   QUESTION: Can the documentation description template be defined individually for each collection of digital files?

9)   QUESTION: Does the document description template include a MARC template as one of its options?

10)   QUESTION: If there is a MARC documentation description template available, does it automatically create 856 field links?

E.   Interlibrary Loan

E-1.   Overview

James H. White Library is a member of the OCLC Interlibrary Loan System. Presently we check out materials in SirsiDynix Symphony to other institutions using a library-created patron, "Interlibrary Loan." We track both incoming and outgoing requests through OCLC's Iliad and OCLC's Worldshare ILL. From an automated system vendor we seek information about (1) the present status and future developments of your ILL management module and (2) how we would handle interlibrary loan transactions in your system using our current Illiad and Worldshare ILL.

1)   QUESTION: What is your general approach to interlibrary loan functions within an integrated system? Have you developed, or do you plan to develop, functions within your system to manage requests, loans, payment fees, and copyright compliance?

E-2.   General Capabilities

1)   When a patron submits an interlibrary loan request online while viewing a citation from a database mounted and searched through the local integrated system, the bibliographic information for the citation should be transferred automatically from the database display to an interlibrary loan workform and the form transmitted electronically to staff.

2)   When a patron submits an interlibrary loan or document delivery request online, the system should be able to determine his or her eligibility to make the request, and block it if the patron is not eligible.

3)   The system should allow for document delivery requests of lost or missing items within the Library.

4)   If the item is owned by the Library Services unit where the patron is making the request, then the request should be blocked.

5)   The system should permit an ILL request for an item in the Library that is checked out, depending on patron group, class, or location of items (all to be specified by the Library).

6)   The system should allow users to view the status of their own ILL requests, and email ILL with questions regarding their ILL requests.

7)   It should be possible for staff to check local holdings while also viewing an online request from a patron.

8)   It should be possible within the system to send, receive, and process interlibrary loan and document delivery requests via email.

9)   Once an item requested on ILL is received from another site, ILL must be able to perform circulation functions relative to that item.

E-3.   Interfaces with Related Systems

1)   The system should support the ISO-10161 ILL protocol and OCLC extensions to it as detailed in Part 2: Technical specifications from the OCLC ILL Direct Request Planning Guide.

2)   It should be possible to transfer automatically any requests received or input on the local system, including those input by users via the OPAC, into the Library's OCLC PRISM ILL review file.

3)   It should be possible to customize the format of the electronic transfer of a request submitted by a patron online such that it can be downloaded directly into local Illiad or Worldshare ILL files.

4)   QUESTION: Have you developed any customized interfaces with 3rd party management software, in particular with Illiad? If so, please describe it. If not, what possibilities are there for custom development? Please include any custom programming costs in your response.

5)   QUESTION: What specific vendors are supported by the system?

6)   It should be possible to support, on one workstation, simultaneous sessions on the OCLC ILL system, the local system, any Unix or Novell Netware-based system (e.g., Illiad) operating on the same network, and at least one outgoing telnet session.

7)   It should be possible to have the system analyze document delivery and interlibrary loan requests based on library-supplied parameters.

8)   The system should allow the Library to store and maintain information on document suppliers, and to suggest a preferred means of access.

9)   The system should provide a fee collection and management system, both for local borrowers and for other libraries and outside agencies.

E-4.   Integrated Management

1)   The system should provide an interface with the OCLC ILL system such that requests can be downloaded from OCLC Illiad into the local system, and that subsequent updates to those records on the local system can be posted automatically to the OCLC system.

2)   It should be possible for staff to transfer relevant data from any local system bibliographic or article-level citation record into an ILL workform that can then be completed, modified, and produced.

3)   It should be possible when searching any Z39.50 compliant database to automatically download relevant bibliographic information into an ILL workform.

4)   It should be possible to create custom templates for other libraries' online catalogs such that a user can download relevant bibliographic information into an ILL workform.

5)   The system should use the same patron file as circulation and reserve for requestor identification, classification, address, and billing information, and this file should include data elements to show preferred delivery method and address.

6)   The system should support the recording and maintaining of data for each borrowing and lending transaction to enable staff to do the following:
    a)   identify the item loaned or borrowed
    b)   identify supplier/lender, including addresses, phone numbers, etc.
    c)   identify borrower (local patrons and other institutions), including addresses, phone numbers, etc.
    d)   determine how, to whom, and when an item was sent, received, etc.
    e)   determine costs
    f)   determine copyright compliance
    g)   determine the current status of the transaction
    h)   uniquely identify a transaction throughout the system, e.g., with a unique system-supplied number
    i)   calculate borrowing turnaround time from initial request to receipt of item
    j)   calculate borrowing turnaround time from receipt of a shipped indication from supplier/lender to the receipt of item
    k)   calculate lending turnaround time from date of request of item to shipment of item
    l)   determine whether or not a request was filled
    m)   calculate number of potential suppliers queried before item is supplied
    n)   provide a general notes field

7)   It should be possible to search for and retrieve a transaction by the following:
    a)   requestor name

     b) institution name
     c) invoice number
     d) journal or book title
     e) article title
     f) deposit account number
     g) initiation date
     h) invoice date
     i) purchase order number

8)   The system should alert staff automatically to outstanding unfilled requests after a Library specified period of time.

9)   It should be possible to maintain a file of suppliers from which the Library borrows and receives materials (i.e., an ILL Supplier File).

10)   The ILL Supplier File should be searchable by the following:
     a) institution name
     b) OCLC symbol
     c) NUC symbol
     d) local symbol or code

11)   It should be possible to maintain a file of institutions to whom the Library loans materials (i.e., an ILL Institutional Borrower File).

12)   The ILL Borrower File should be searchable by the following:
     a) institution name
     b) OCLC symbol
     c) local symbol or code
     d) contact person
     e) account number

13)   For transactions not occurring via OCLC, it should be possible for the system to automatically generate printed and/or electronic notices to the other library in the transaction whenever an item's status is changed to indicate that it is in transit.

14)   The system should be capable of generating printed address labels.

15)   It should be possible to generate customized ILL overdue notices to local borrowers, different from those for normal loans.

16)   It should be possible to generate customized ILL overdue notices to outside institutional borrowers, different from those for normal loans.

17)   It should be possible to e-mail overdue notices to outside institutions.

E-5.   Copyright Compliance

1)   The system should maintain copyright compliance information for borrowing and lending. This information should be created and updated automatically as transactions occur, and should include the following specific data:
   a) journal title
   b) article title
   c) year of publication
   d) complete journal citation (vol., no., etc.)
   e) requestor name
   f) requestor affiliation
   g) receipt date
   h) supplier
   i) local transaction number
   j) OCLC transaction number
   k) reason for request
   l) method of compliance
   m) cost of compliance

2)   It should be possible to search for and retrieve copyright compliance data by the following:
   a) journal title
   b) article title
   c) requestor name
   d) requestor affiliation
   e) transaction number

3)   The system should alert staff when copyright limits have been reached for individual patrons, titles, and institutions.

4)   The system should retain copyright compliance information for a library-specified period of time (at least 3 years, 5 years maximum).

5)   It should be possible to archive copyright compliance data onto tape or some other suitable medium and to purge it from the active file on an annual basis or when needed.

E-6.   Borrower Billing Capabilities

1)   Each Library should be able to create, choose from, and use multiple letter and invoice forms and templates.

2)   The system should provide an invoice, billing, and fee management system that interacts with individual transactions and makes possible the following:
   a) the use of deposit accounts (both local and external)
   b) the ability to bill for and record payment for individual transactions

c) the ability to bill periodically (especially monthly)
d) the ability to combine more than one transaction on one invoice and automatically calculate the entire invoice amount
e) the ability to see an audit trail for a particular requestor
f) the ability to set and use variant billing rates based on institutional affiliation, patron category, patron affiliation, material format, transaction type, shipping method, etc.
g) the ability to electronically exchange data with the OCLC Illiad Fee Management System

F.   Media Scheduling

We request optional pricing for the Media Scheduling Module.

1)   The Media Scheduling module should be an integrated component of the proposed system.

2)   The system should prevent the checkout of scheduled items on pending reservations when the loan period would overlap reservation(s) time period.

3)   The system should prevent the scheduling of items on loan or assigned to a location when the reservation period overlaps the loan period.

4)   The system should permit local definition of status categories and functions.

5)   The system should prevent the scheduling of items predefined by status as non-schedulable.

6)   The system should allow for the printing of lists by selected status of items within the Media Scheduling module.

7)   The system should provide rent/loan option based on patron/item matrix with a different booking form depending on selection, with manual override capability.

8)   The system should calculate lead/lag times based on deliver/shipping table.

9)   The system should calculate rental charges. (NOTE: While MVSU does not currently charge "rental" fees, we would like to have the option to be able to charge for services we provide.)

10)   The system should permit scheduling of non-bookable items with staff override.

11)   The system should permit access to patron records without closing the Media Scheduling module. It is desirable to be able to add new patron records and to modify existing patron records from within the Media Scheduling Module.

12)   The system should allow for "on the fly" as well as full cataloging of equipment records.

13)   The system should permit equipment records to be placed in the shadow catalog.

14)   The following data fields are desirable for equipment records:
        a) equipment title
        b) date item was added

c) collection
d) item type
e) storage location
f) serial number
g) university ID number
h) purchase price
i) manufacturer
j) model
k) last service
l) next service
m) condition
n) notes
o) rental rate
p) rental period

15) QUESTION: How does the proposed system allow the staff to group items and pieces of equipment into sets for ease of scheduling?

16) QUESTION: How does the proposed system allow the staff to replace items in sets?

17) The system should be capable of producing the following reports:
a) equipment service schedule
b) frequency of use by piece

18) QUESTION: What "canned" reports are currently available for this module?

19) The following data fields are desirable in Room Records:
a) room identification
b) size
c) capacity
d) Internet connection
e) intranet connection
f) commercial cable
g) telephone jack
h) window darkening
i) handicap access
j) elevator access
k) media equipment assigned to the room
l) loaded software
m) notes

20) The system should allow for efficient reservation entry and maintenance.

21) Scheduling of reservations with beginning and ending times outside of normal operating hours should be possible with override by authorized staff.

22)   Reservation fields should include:
   a) identifying number
   b) reservation status: pending, checked-out, canceled, complete
   c) patron information, including name, barcode, phone number and ID number
   d) beginning and ending use dates and times
   e) lead time included in the scheduled time
   f) lag time included in the scheduled time and sets due in time for overdue calculation
   g) use location; delivery location
   h) date reservation was made
   i) default to current date with operator override during initial input
   j) date reservation was last modified
   k) name or identifying code of staff member entering the data
   l) chargable account information
   m) notes
   n) service codes: activity identifiers for delivery, pick-up, billing, shipping

23)   QUESTION: Can the Library staff assign activity identifiers or are they pre-assigned? If so, provide a list of these service codes.

24)   Items scheduled as sets must show set designation and individual items within each set.

25)   QUESTION: We desire for the system to print the confirmation of an order and an evaluation form to be composed by the staff that will be sent to the requesting patron. Is automatic e-mail notification possible?

26)   The system should provide hourly, daily, monthly and yearly calendar displays of scheduled reservations.

27)   The system should enable the staff to produce a compiled list of all reservations which have scheduled activity on any specified date for any location.

28)   The system should allow for the printing of work slips for ease of delivery and pick up of equipment.

29)   The system should permit searching for reservations by date out, item, patron, equipment, room or set.

30)   The system should allow a borrower at a remote location to submit an online request to reserve an item

31)   The system should allow for updating, duplicating, and deleting reservations by authorized personnel and viewing only by patron code (e.g., faculty should

be able to view their reservations but not update without the intervention of authorized staff.)

32) The system should allow for removal and substitution of times from pending and checked-out reservations.

33) The system should allow removal of items from pending and checked-out reservations.

34) The system should allow for the easy renewal of reservations and checked-out items, yet include a fail-safe function to prevent the renewal of items or reservations that would overlap with prior scheduling.

35) The system should allow for an item to be transferred from one borrower to another borrower and location without the item being returned to the Learning Resources Center.

G.   Online Public Access Catalog (OPAC)

G-1.   Introduction

The online catalog provides access to the Library's principal bibliographic database as well as to other library catalogs, other kinds of bibliographic databases on the local system and through the Internet to remote systems, and to local and remote full text, image, and audio databases.

G-2.   Content

1)   The system should provide current real-time access to and display of all data in the Library's bibliographic, authority, holdings, and item records.

2)   The system must permit a welcome screen that may easily be modified by the Library.

3)   It should be possible to load, store, and search all commercially-available citation/abstracting databases of the Library's choosing, provided that the database can be provided in machine-readable form via cassette tape, CD-ROM, File Transfer Protocol, and/or through the World Wide Web, and that the data is in identifiable fields.

4)   QUESTION: What processes and costs are involved in loading and indexing a citation/abstract/full text file into your system?

5)   QUESTION: For what databases or database platforms (e.g., SilverPlatter, UMI, ISI, EBSCOHost, IAC) does your company already provide custom loading? Please include any databases loadable from CD-ROM.

6)   It should be possible to load, store, search, display, print, and email standard ASCII full text records such as journal articles, technical reports, etc.

7)   It should be possible to load, store, search, and render online and in print in a locally customized fashion full text records such as journal articles, technical reports, etc., that are coded in SGML, HTML and XML.

8)   It should be possible to download and email SGML, HTML and XML coded articles in an unencoded ASCII format.

9)   It should be possible to load, store, search, display, and print image databases, including digitized page images.

10)   It should be possible to load, store, search, and display audio and video files.

11) It should be possible to create, store, search and display an electronic reserve collection of documents in at least the following document formats: ASCII text, scanned page images, HTML-coded, SGML-coded, and XML-coded.

12) QUESTION: What graphical file format(s) does your system support (e.g., JPEG, GIF, TIFF)?

13) QUESTION: What additional software, either within the system or from another vendor or both, is needed to do any of the functions described for images and audio files?

14) It should be possible to load, store, search, and display composite documents that include both ASCII, HTML, SGML, XML text, audio, and images of such items as tables, figures, and illustrations.

15) It should be possible for all of the above citation, full text, audio, and image databases to be located either locally on the integrated system hardware, on hardware elsewhere on campus connected to the campus Ethernet network, or at remote locations connected via the Internet.

16) It should be possible within the OPAC client or interface, to provide access to online catalog systems at other institutions, both through simple scripted telnet connections and through Z39.50 connections, presuming the other systems are available via the Internet.

17) It should be possible to easily initiate a link to any remote or local host that has a valid URL based upon that URL existing in a standard MARC 21 856 field.

18) It should be possible to support special indexes of materials on reserve based on the following data elements: course name, course number, instructor, reserve collection.

19) The system must automatically log all searches done by users and must prepare reports analyzing these searches by type, time, terms used, and must produce a list of all searches that do not retrieve specific records matching what the user keyed. These reports must be available on demand in text and graph formats and must be printed or displayed to a terminal.

20) It must not be necessary to run an additional maintenance program in order for a record to be indexed in the online catalog.

21) The system must allow, at a minimum, the following index schemes:
    a) author
    b) title
    c) subject

d) keyword
e) Dewey Decimal call number
f) SuDocs number
g) standard numbers
h) OCLC Numbers
i) ISBN Numbers
j) ISSN Numbers
k) Library of Congress call numbers
l) locally customized classification schemes
m) system supplied record numbers

22) The system must support a bulletin board of Library news, hours of operation, telephone numbers, personnel, and other important information, such a bulletin board to be available locally and through the Internet.

23) The system must support the use of display maps or graphical shelving plans created by the Library and stored as graphic images.

G-3.   Browse Searching

1) An index browse search should place the searcher at a matching point in an index rather than retrieve a finite set of records. Browse searches should assume traditional left to right alphabetic searches of headings, titles, call numbers, etc.

2) The Library should be able to specify the individual fields and groups of related fields to be indexed and searchable with a browse search, including locally defined fields and alphanumeric fields such as call numbers of different types, ISSN, ISBN, and control numbers.

3) Users should be able to browse all indexes associated with browse searches from beginning to end in either direction and should be able to browse forward and backward at the individual record level for heading based searches.

4) Users should be able to jump forward and backward more than one full record or more than one index screen at a time and should be able to easily alternate between the index level and the full record level without rekeying a search.

5) Browse searching should allow right hand truncation, and when the truncated search matches no record, the system should display a screen showing where the user's search argument would appear alphabetically in the relevant index.

6) The system should index ampersands (&) and other non-punctuation symbols for browse searching.

7)   The system should normalize case and punctuation (including hyphens) in browse searches and indexes so that these do not prevent matches.

G-4.   Retrieval Set Searching

1)   It should be possible either to perform a search from any screen or to easily move to a screen where a search may be performed with a single command or step.

2)   There should be no limit on the number of records retrieved or displayed in a search, but the system should retrieve a bibliographic record only once no matter how many times it satisfies a search.

3)   A user should be able to abort a search in process that appears to be taking too long or retrieving too many records.

4)   QUESTION: Is it possible, when the search results produce over a certain number, to display a message to the user providing the user a choice of whether to display the results or to modify the search by adding more limiters?

5)   It should be possible to specify the organization of search results in the following ways based upon the location of the items retrieved:
        a) Permit a user to set a default location for a searching session that automatically limits all searches to items in that location
        b) Permit a user to narrow the retrieval set of a previous search to only those items held in one location
        c) Establish default locations for individual terminals and user logins so that for all searches, users retrieve only holdings of default locations unless they specifically request a union catalog search
        d) Establish default locations for individual terminals and user logins so that for all searches, search results are displayed with holdings of default locations listed first, followed by holdings from other locations

6)   It should be possible to define any primary location code (e.g., in our existing system sublocation/building) or primary/secondary location code combination (e.g., in our existing system sublocation/building and collection) to be a "location" for the purpose of limiting searches.

7)   Users should be able to limit a search by the following criteria in addition to location:
        a) Publication date or dates, including a single date or date range
        b) Language or languages, including a "non-English" designation
        c) Format (e.g., monograph, serial, sound recording, videorecording, microform, computer file)
        d) Circulation status (e.g., circulating, available, non-circulating)

8)   QUESTION: Can the database be searched by prefixes?

9)   System must allow users to limit a single search by more than one of the above criteria and to move backward to a previous level of a search in order to further limit a query.

10)   QUESTION: Does your system support other limiters? If so, please list them.

11)   QUESTION: For the purposes of limiting a search, what must be done for something to qualify as a "collection" or "location"? Can the system limit by sublocation, such as "Government Documents -- Reference"?

12)   Users should be able to sort retrieval sets by date (in ascending and descending order), by principal title, by first-listed author, and by different types of call numbers.

13)   The system should normalize case and punctuation in retrieval set searches and indexes so that these do not prevent matches.

14)   The system should index ampersands (&) and other non-punctuation symbols for retrieval set searching.

15)   Staff should be able to limit the search to items in the shadow catalog.

G-5.   Phrase Searching

1)   The Library should be able to specify the individual fields and groups of related fields (e.g., all author or title fields) to be indexed and searched with a phrase search, including locally-defined fields and alphanumeric fields such as call number, ISSN, ISBN, and OCLC number and notes.

2)   The possible definable search groups must include the following:
        a) names (author or subject, personal or corporate)
        b) personal names (author or subject)
        c) corporate names (author or subject)
        d) authors (personal or corporate)
        e) subjects
        f) titles
        g) series

3)   Series searches should show the entire series entry, including number, on any intermediate search display.

4)   Phrase searches should allow right hand truncation.

5)   QUESTION: Does your system allow for the staff to define the truncation characters, e.g., "*" for any form of the suffix? What are the default truncation characters used in the proposed system?

6)   Users should be able to combine searches of several fields or groups of fields in a single search, e.g., search for an author's name and a title or subject heading.

7)   Users should never be simply told that a phrase search retrieved no records or too many records. The system should alert the user to possible causes for the lack of success, suggest solutions, and offer the user the option of converting the search into a browse search or a keyword search.

8)   When the unsuccessful search is a personal name search that includes more than one word, the system should attempt to determine if the name was input in the wrong order, and if so, to suggest that it be searched differently.

9)   QUESTION: Does the system automatically attempt the reverse the order if the name if inputted incorrectly.

10)   Users should be able to search for individual volumes in a series, using the series volume number in the search, without having to enter the entire series heading.

G-6.   Keyword Searching

1)   Keyword searching should permit searches of individual fields, groups of related fields predefined by the Library (e.g., all author or title fields), and all fields in a record. For individual field searches, the user should be able to specify which of the indexed fields to search.

2)   It should be possible to index words of any length, including single-letter words such as abbreviations, and to specify "stop words" that are not indexed and that are ignored during a search.

3)   Users should be able to search for data in holdings records and item records, e.g., location or collection, call number, and volume numbering.

4)   Users should be able to search for series numbers.

5)   Users should be able to use the Boolean operators AND, OR, and NOT in any keyword search, as well as proximity operators.

6)   QUESTION: What proximity operators are offered by your system?

7)   It should be possible to choose a default Boolean operator for multiple words entered without an operator.

8)   Users should be able to specify which of the indexed fields to search and should be able to combine searches of more than one field in a single search, e.g., search for a word in the title and another in the subject.

9)   Users should be able to use multiple Boolean operators in a single search and use parentheses to group search arguments.

10)   Users should never be told simply that a search retrieved no records, but rather the system should alert the user to possible reasons for the lack of success and suggest solutions.

11)   In a keyword search, users should be able to perform right hand and left hand truncation and should be able to use multiple wildcard characters at the beginning, end, or within a word.

12)   The system should allow the option of searching plurals, alternative spellings, and other "fuzzy" matches.

13)   QUESTION: In what ways does your system attempt to provide matches other than exact matches between a search argument and an index term?

14)   QUESTION: Does the proposed system offer ranked retrieval?

G-7.   Cross References

1)   QUESTION: Where are cross references displayed? Only in the browse display or anytime the record is shown?

2)   In keyword searches, it should be possible for the Library to specify groups of synonyms or variant spellings that always are indexed and retrieved together in a keyword search, e.g., American and British spellings of the same word, digits and spelled-out numbers.

3)   Cross-references displayed in the OPAC, with the one exception specified in the following item, should reflect only headings used in the bibliographic file, and that exception is, references that do not lead to existing headings should not appear and should not be indexed.

4)   If an individual heading: (1) exists in the authority file and has "see" and/or "see also" cross references; (2) is not used itself in the bibliographic file, but; (3) has subordinate headings that are used in the bibliographic file, then the cross references to the unused heading should be incorporated into the

searching process in some manner to enable users to retrieve items based upon them.

5)   Standard "see" cross-references, based on authority record 4xx, should be indexed and displayed to the user.

6)   When a "see" cross reference points to more than one heading, the user should be offered the choice of transferring to any target as well as the option to return to the browse display.

7)   Explanatory text in complex "see" cross-references, based on authority fields 260 and 664 should be displayed to the user when it exists for a cross reference selected by a user.

8)   Whenever "see also" cross references exist, based on authority fields 360, 5xx and 663, the system should indicate to the user on the browse display that they exist.

9)   If a user requests the display of "see also" references and only complex ones (i.e., those based on a 360 or 663 field) exist, the user should be shown the text of the references and then allowed either to return to the browse display or to enter a new search.

10)   In a browse search, if the user requests the display of "see also" references, and standard "see also" references (i.e., those based on 5xx fields) exist, the user should be shown all broader, narrower, and related headings, and be offered the choice either to transfer to the index position of any one of them, or to return to the browse display.

11)   In a phrase search, if the user requests the display of "see also" references, and standard "see also" references (i.e., those based on 5xx fields) exist, the user should be shown all broader, narrower, and related headings, and be offered the choice to add any, or all of them to the original search with a Boolean operator.

12)   The Library should be able to specify note fields from the authority record (e.g., 665, 666, and 680) to display to the user when a "see" cross-reference is selected and when a user requests to display "see also" references.

13)   QUESTION: Does the browse search "explode" so that the system displays all cross references (e.g., as in SilverPlatter databases)?

G-8.   Gateways

1)   Accessibility to other databases, networks, and the Internet must be available through the use of customizable gateway menus, viewable by anyone with World Wide Web access, either inside or outside the Library.

2)   The Library must be able to create multiple versions of the gateway for use by different categories of users or by different locations of terminals.

3)   The system must limit users to only those databases or destinations defined for their gateway by the Library.

4)   The system must allow the Library to define the number of users who may simultaneously access any database or destination and deny access to otherwise qualified users when the connection would exceed the defined limit.

5)   QUESTION: Does the system allow for "averaging" the number of logins rather an exact number?

6)   The gateway must use the same user interface and/or search strategies that are specified for the public access workstations.

7)   The system must provide a menu of accessible databases, such menu to be customizable by the Library.

8)   The system must provide access to remote databases in a manner transparent to the user (e.g. baud rate and handshaking compatibility must be automatic).

9)   Must accommodate standard communications protocols and networks. In particular, Ethernet TCP/IP compatibility is required.

10)   System must provide an option for patrons or staff to make a seamless connection between a bibliographic record in the OPAC and the Internet with a single keystroke.

11)   The proposed system must provide for Z39.50 Client/Server interfaces. As new versions of the Z39.50 standard are adopted, they are to be included in the list supported by the vendor.

12)   QUESTION: How many databases can the system simultaneously search with a Z39.50 broadcast? Can the responding server view the results?

13)   QUESTION: To what extent does your system have the capability to serve as a Z39.50 gateway to full-text databases with links to our local holdings?

14)   The system must allow authorized staff to generate reports including number of accesses per database by user ID, number of accesses per database by user

category, amount of time spent by each user connected to each specific database or destination, total number of searches, total number of retrievals, and the time of day of access.

15) The gateway must automatically determine whether the client to be invoked when a destination is selected is resident on the server or on the desktop.

16) If the client software resides on the desktop workstation, it must be invoked automatically and must communicate with the external database or service without any host server involvement.

17) For fee-based services, the system must provide the option to prompt for account ID and password before connecting.

G-9. Display

1) The Library should be able to easily modify all record display screens to suit its needs and preferences, including the selection, order, and captions of displayed fields. For example, on the screen showing the results of a call number search, the Library should be able to define what data elements accompany the call number.

2) OPAC displays must be clear and easy to read.

3) System should support large character display at terminals for the visually impaired.

4) System times out and returns to the welcome screen following a Library-specified period of inactivity.

5) System must allow Library to define menus, summary screens, and bibliographic and item record displays.

6) System must allow the user, through simple menus and/or search queries, to determine:
   a) if items are owned
   b) where they are located
   c) whether or not they are available, with item's status shown in real time

7) QUESTION: Are there any limits on the size of field labels and display constants or on the number of uniquely definable labels and display constants? If yes, what are they?

8) QUESTION: What hardware/software if any, can your system interface with for physically impaired users?

9)   QUESTION: Does the system support software to help those with disabilities, e.g., VisAbility, ZoomText, Jaws for Windows, OpenBook, the Reading Advantage? What other disability related software does the system support?

10)   QUESTION: Are there any other "built-in" features that the system provides for physically impaired users?

11)   Any intermediate search screen, e.g., one displaying names or subject headings retrieved should indicate the number of records associated with each.

12)   Users should be able to select from a variety of individual records and summary display formats.

13)   It should be possible to restrict certain workstations to OPAC functions only.

14)   Detailed holding information, including serials holdings and serials check-in information, should be available on OPAC displays.

15)   Detailed item-level circulation status should be available on OPAC displays.

16)   Circulation status information should be available all hours that the OPAC is available.

17)   The system should be able to display item status messages of the Library's choosing, e.g., On Reserve at <location>, Available, At Bindery, On Order, Lost, etc.

18)   The system should provide help screens that can be changed easily by the Library without intervention of the vendor or systems management staff.

19)   Sorted displays of titles, series titles, and other elements that include numbers should be arranged and appear in true numeric fashion (1,2,11,22) rather than in simple machine fashion (1,11,2,22).

20)   Sorted displays or series titles not only should be in true numeric order, but also should omit volume captions from the sort key.

21)   Sorted displays of call numbers should follow the accepted filing order for each type of call number; not a simple machine sort or a common sort applied to all types of call numbers (e.g., LC call numbers should sort according to LC filing rules and SuDocs call numbers should sort according to SuDocs filing rules).

22)   The display of a numbered series entry on all displays, including browse and retrieval set selection displays, should include the complete volume caption and number (i.e., the contents of subfield $v) regardless of the length of the entry.

23) The Library must have the ability to suppress the display in the online catalog of any title or copy while retaining the record in the database for staff display.

24) A direct hit of any type will result in the display of a full bibliographic record including specific copy/holdings information, and will not result in the display of a browse list.

25) A name search in the author index that is a direct match to a single name should display a list of that author's titles and not a browse list of authors.

26) A title search that is a direct match to a single bibliographic record will display that record in full including specific copy/holdings information on the first screen.

27) There must be an option to display brief bibliographic records, full bibliographic records, and MARC records.

28) The Library must have the ability to set the maximum number of results on the web screen.

29) QUESTION: Can the user change the display for an individual session, e.g., how many records are to displayed, whether brief or full, and which fields of the record are to be displayed.

G-10. Navigation

1) The Web and Windows version of the online catalog must be hypertext driven and easy to use by novices and experienced searchers with a minimum of instruction. To this end, the OPAC must not rely on specially labeled keys, derived search keys, or function keys. Menu logic and selection options must be consistent on all screens.

2) It should be possible either to enter a search on any display or to go to a display upon which a search may be entered with a single command or click.

3) System must display options for the next stage of the search process as each preceding stage is completed.

4) System must allow the patron to move from one bibliographic description to the next without having to return to a browse list to select the next title.

5) From the full record display, the system must have the ability to easily display books shelved next to the selected record in true shelf list order with an option to browse backwards and forwards through the index.

6)   Users should be able to highlight, mark, or otherwise select elements from retrieved records and automatically initiate a new browse or scan based upon these elements without having to rekey the information. These elements should include:
a) subject heading
b) author heading
c) call number
d) series entry

7)   It should be possible, when viewing a serial record that is linked to other serial records by way of 780/785 fields, to easily retrieve and move among the related records.

8)   The system should retain and maintain a search history of searches and enable users to easily combine, refine, and resubmit them.

9)   Users should be able to switch easily from database to database, including to and from the Library's primary bibliographic database.

10)   Users should be able to reapply the same search argument in other databases without having to rekey it (i.e., the search arguments in the search history should not disappear when the user switches from one database to another, and users should be able to easily reapply them to the new database).

G-11. Printing, Downloading, and Emailing

1)   Users should be able to save and/or mark individual records during a search session. Those records (either individual records and/or marked sets) can be printed and/or downloaded and/or e-mailed.

2)   QUESTION: Can users should be warned of the approximate size of a set of retrieved records before beginning to print, download or email.

3)   QUESTION: Can users specify which fields they want to print/download or email?

G-12. Printing

1)   The system must accommodate print control software.

2)   Users can print individual records and sets of retrieved /saved records in at least the following ways:
a) on a printer attached directly to a workstation
b) on a Library or University department printer located elsewhere and defined on a network .

3)   Users have the option of printing full/brief records or simple citations.

4)   Users can abort printing while in progress.

G-13. Downloading

1)   Public access users can download individual records and sets of retrieved/saved records to any designated drive on the workstation, usually A drive.

2)   QUESTION: Can users be warned of the approximate size of a set of retrieved records before beginning to download and given the option to abort.

3)   Users have the option of downloading full/brief records or simple citations.

4)   Users can abort a download in progress.

5)   Users can download individual records and sets of retrieved records in at least the following formats:
      a) simple ASCII imitations of the data portions of screen displays (i.e., without headers and footers)
      b) comma-delimited ASCII records for input into local bibliographic databases or word processing software, such as ProCite?

G-14. Email

1)   QUESTION: Do users have the ability to e-mail individual records and sets of retrieved/saved records to a specified email address?

2)   QUESTION: Do users have the option of emailing full/brief records or simple citations?

G-15. Comments/Questions/Requests

1)   QUESTION: Do users have the ability to submit a comment, ask a reference question, or request the purchase of an item via the system?

2)   QUESTION: Do users, both staff and public, should be able to submit brief error messages while viewing record displays?

3)   QUESTION: Is the system capable of routing such comments, questions, and requests to selected email addresses?

4)   QUESTION: If possible, such comments, questions, and requests should be accessible only to authorized staff.

5)   QUESTION: Is it possible for a specially registered group of users (e.g., handicapped individuals) to request paging of items, photocopy and delivery of materials, or other special services?

G-16. Security/General

1)   It should be possible for each Library Services unit to control each user-initiated function via a policy or parameter file, or by some other means not requiring the intervention of the vendor in the following ways:
      a) enable or disable the function for use librarywide
      b) enable or disable the function for a particular class of patrons
      c) enable or disable the function for a particular patron affiliation
      d) enable or disable the function for a particular unit or branch.
      e) enable or disable the function for a particular workstation (e.g., by IP address)
      f) enable or disable the function for a particular user sign on

2)   QUESTION: Is there any provision internal to your product for an "anonymous" or "guest" login.

3)   QUESTION: For fee based services, is it possible to record the existence of an agreement or deposit account with an individual patron and to use verification of that agreement or deposit as part of online patron verification..

4)   System must allow patrons and staff to access the system via the World Wide Web and be able to execute all of the public access functions available to in-house online catalog users.

5)   System must automatically log off and disconnect from the remote user after a period of inactivity specified by the Library.

6)   System must have the ability to default to a single terminal emulation, with other terminal emulation options available, including:
      a) VT100
      b) VT220

H.   Serials Control

<u>H-1.</u>   <u>General</u>

1)   The Serials Control Module must be fully integrated with all other modules.

2)   The system must be able to accommodate all types of serials, including but
        not limited to:
        a) annuals
        b) continuations
        c) government documents
        d) indexes
        e) law reports
        f) loose-leaf materials
        g) monographic series
        h) newspapers
        i) periodicals
        j) supplements
        k) memoirs
        l) proceedings
        m) transactions

3)   The system must be able to accommodate, and so identify, all formats of
        serials.

4)   The system must be able to record receipt and holdings of supplements,
        accompanying material, replacements, pocket parts and other pieces related to
        a serial, in any format, whether issued on a predictable or an *ad hoc* basis.

5)   For serials and continuations, the system must store in a single record, data
        pertaining to:
        a) beginning date of subscription
        b) copies to receive for each subscription
        c) issues to receive for each subscription
        d) expiration date
        e) vendor
        f) frequency
        g) subscription price
        h) fund
        i) order record
        j) fiscal cycle
        k) date of payment
        l) shelving location
        m) preservation information (binding, micro)
        n) holdings
        o) routing information

      p) note field
      q) active or inactive status

6)   The system must include the following serials control capabilities:
      a) ordering
      b) check-in
      c) claiming
      d) routing
      e) vouchering
      f) fund accounting
      g) union listing
      h) bindery preparation
      i) report generation
      j) serials holds display

7)   It must be possible for users of the serials control functions to be able to request and view all relevant information related to a serial title and return to the serials control function without having to search again. This relevant information includes the full bibliographic record, linked authority records, order and invoice records, fund accounting records, the OPAC display, and individual item records.

8)   It must be possible to input and update serial bibliographic records and serial holdings records within a single functional module, without having to move back and forth between multiple modules.

9)   It must be possible for a single series to be represented in the system both by a series authority record and by a serial bibliographic record. When this occurs, it must be possible to link the two records such that the user can either view both records simultaneously or easily switch from one to the other.

10)   The system must detect and alert the Library staff about duplicates between firm orders and subscription orders for monographs in series.

11)   It must be possible for the Library to predict serials expenditures in the next fiscal year based on the current year's orders, cancellation and renewal instructions, and inflation factors.

12)   The system must detect duplicate orders for all formats and alert the operator.

13)   All information must display on the screen without the operator having to scroll left or right.

14)   The system must provide access to specific issues of a particular title without requiring scrolling through all of the holdings record.

15)   The system must provide a means of making "global" edits in the serial records.

16)   The system must allow for correction of mistakes in serial records, particularly mistakes with check-in.

17)   The system must provide for user-defined codes within the Serials Control Module.

18)   The system must provide for abbreviated records to note unwanted titles, withdrawn titles, canceled titles, etc. These must be non- public records.

19)   The system must provide an area within each record for special instructions, such as retention, special routing or handling, special check in procedures, etc. These must be non-public notes.

20)   The system must be able to suppress records specified by the Library, from being viewed in the OPAC.

21)   The system must support either the use of a keyboard or a mouse based on user preference.

22)   The vendor must be able to transfer information stored in note fields of the copy set, prediction pattern, and check-in area in the Serials Control Module of the current system into the Serials Control Module of the proposed system.

H-2.   MARC 21 Holdings Records

1)   The system must support the MARC 21 Holdings Format.

2)   The system must maintain MARC 21 Holdings Records as separate records, not simply embedded within the descriptive catalog record.

3)   From a user's perspective, the system must fully integrate the MARC 21 Holdings Record with the MARC descriptive catalog record.

4)   The system must present users with a consolidated display of holdings based on the ANSI Z39.44 Serial Holdings Display format.

5)   The system must display the full MARC 21 Holdings Record for staff displays.

6)   The system must provide a full-record editor for manipulating any data, including fixed field information, within the MARC 21 Holdings Record.

7)   The system must be able to cut, copy and paste information from one MARC holding record to another MARC holding record.

8)   The system must provide workform templates for manual creation of MARC 21 Holdings Records.

9)   The system must allow a MARC 21 Holdings Record to be associated with any descriptive catalog record stored in the system, including but not limited to:
     a) MARC (monographs)
     b) serials
     c) monographic series
     d) multipart works

10) The system must allow multiple MARC 21 Holdings Records to be associated, and seamlessly linked, to a single MARC descriptive catalog record.

11) It must be possible to associate separate libraries and accompanying US MARC Holdings Records with a single MARC descriptive catalog record.

12) It must be possible to associate separate locations within libraries and accompanying MARC 21 Holdings Records with a single MARC descriptive catalog record.

13) The system must allow searches within the public access catalog to be limited to the holdings of a single library.

14) The system must be able to import MARC 21 Holdings Records from external sources in full MARC 21 format.

15) The system must allow the operator to select records for export.

16) The system must be able to export MARC 21 Holdings Records into the system in full MARC 21 format.

17) Import and export of all MARC 21 data maintained by the system must be possible without Vendor intervention, or additional cost.

18) The system must include the most current Z39.50 compliant catalog available without additional charge.

19) The system must display holdings data from the following MARC fields including all necessary subfields:
     a) 852-856
     b) 863-868

20)   For each copy, the system must accommodate at least the following data elements, based upon field 852:
   a) type of call number or shelving scheme
   b) call number or shelving title, including prefixes and suffixes
   c) shelving order (i.e., primary enumeration, secondary enumeration, not by enumeration
   d) location
   e) sublocation or collection
   f) shelving location within sublocation or collection
   g) location of latest or recent issues, if different from main shelving, and the number of issues shelved there
   h) copy number
   i) public note (to appear in OPAC)
   j) check-in specific note (to appear on check-in displays only)
   k) non-public note (to appear only on staff displays)

21)   It must be possible to have multiple successive definitions as described above for one copy, subscription, or "run" of a serial.

22)   These multiple successive definitions and their associated holdings must be contained either in the same holdings record or linked in a manner such that they can be presented to a user, both staff and public, as one copy with continuous enumeration and chronology, notwithstanding variant locations, call numbers, etc.

23)   The system must support the use of MARC 21 bibliographic field 583, including export to other systems, and provide for the storage of all data elements defined for its subfields.

24)   In particular, the system must be able to display, as part of the OPAC full record display, information stored in field 583, subfield z (public note).

25)   The system must accommodate the use of standard terminology for field 583 and its subfields as developed by the Preservation of Library Material Section of the American Library Association.

26)   The system must support 856 URL links for electronic serials.

27)   The system must display in the 245 field the complete title including subfields b, n and p.

H-3.   Security

1)   The system must provide for access control for the Serials Control Module and for each function within the module.

2) The system must permit establishment of access privileges unique to each user of the Serials Control Module and permit the restriction of specific functions to specific users.

3) The system must be able to track and report the user ID and the date and time of any transaction performed in the Serials Control Module.

H-4. Searching

1) The system must provide the ability to search for serials records by at least:
   a) title
   b) author
   c) corporate author/title
   d) conference title
   e) linked title
   f) uniform title
   g) variant title
   h) subject
   i) key word
   j) publisher
   k) vendor
   l) location
   m) call number
   n) ISSN
   o) SuDOC number / GPO stock number
   p) fund number
   q) purchase order number
   r) system assigned number
   s) any bibliographic text contained in the bibliographic record.
   t) bibliographic utility assigned number

2) It must be possible to search for bibliographic records with all searches used in the OPAC plus additional selected numeric searches including ISSN, OCLC number, local control number.

3) It must be possible to search by the SISAC issue code, both by scanning the bar code and by manually entering the code.

4) The system must allow for individual issues to be flagged with codes available in the Serials Control Module and support searching for flagged issues based on those codes.

5) The system must be able to recall the last search entered without rekeying the search, whether the search was entered in the current Serials Control function or a different function.

H-5.   Prediction

1)   The system must predict issue chronology and enumeration based on a pattern entered in the control record by the operator.

2)   The system must allow the operator to define a check-in card which accommodates all types of frequencies, (e.g. daily, monthly, quarterly, for both regularly and irregularly published serials). The frequency of a check-in card shall be easily changed.

3)   The system must be able to accommodate serials that publish in regular "irregular" patterns (e.g. 5 days a week, 10 times a year, etc.). For example, the system must allow the operator to input a publishing pattern for the irregular issues and have the system calculate cover dates for subsequent issues that conform to the initial pattern.

4)   The system must predict automatically, based upon a recorded pattern, the enumeration, chronology, and expected date of all future issues.

5)   The system must accommodate both repeating and continuous enumeration at all levels.

6)   The system must be able to predict, based upon a recorded pattern, all the levels of enumeration and chronology described in the next line.

7)   It must be possible to specify, predict, and record holdings for all types of published enumerations and chronologies, and combinations thereof, in a content designated format, including at least the following:
       a) enumeration with no chronology
       b) chronology with no enumeration
       c) enumeration types:
           i.   cardinal numbers
           ii. ordinal numbers
           iii. alphabetic characters
           iv. alphanumeric characters (e.g., 3A, AAA, AA3)
           v.   roman numbers
           vi. span of any of the above (e.g., ½, 1/3, 3A/3B
       d) chronology types:
           i.   day (e.g., Sunday)
           ii.   year
           iii. month
           iv.   season
           v.   week (e.g., 34th week)
           vi.   month and year
           vii. season and year
           viii. quarter and year (cardinal and ordinal)
           ix.   week and year (cardinal and ordinal)

            x..   day and month
            xi.   day, month, and year
            xii.   spans of any of the above (e.g., 1984-88, March/April 2000, Spring/Summer 1999 Fall 1999/2000, March 25/April 1, 1999)
            xiii.   free form

8)   The system must be able to record and predict expected issues based upon all regular frequencies, as follows:

       a)   daily
       b)   semi-weekly
       c)   x times per week
       d)   weekly
       e)   biweekly
       f)   semi-monthly
       g)   x times per month
       h)   monthly
       i)   bimonthly
       j)   quarterly
       k)   semiannual
       l)   x times per year
       m)   annual
       n)   biennial
       o)   triennial
       p)   quinquennial
       q)   decennial

9)   In situations where the system cannot predict expected issues, the operator must be able to specify manually a next-expected issue and have that issue interact normally with the rest of the system.

H-6.   Check-in

1)   The system must accommodate separate control records for each Library and collection.

2)   Each control record must be associated with a title in the catalog.

3)   The title record can be retrieved through access to the control record.

4)   The control record can be retrieved through access to the title record.

5)   When full cataloging is not available for the title, a brief record can be used. The system must allow the brief record to be replaced by a full record at a later time without disturbing any existing information related to the title.

6)   The system must be able to display the check-in record with a maximum of two keystrokes.

7)   For titles with a predictable pattern of enumeration and chronology:
   a) check-in of the next expected issue must be possible by using two keystrokes, the latter being a "control check"
   b) check-in of issues earlier or later than the next expected issue must be possible by using two keystrokes, the latter being a "control check"
   c) the operator must not be required to key any data onto the check-in screen, except to indicate the number of copies received when this is more or less than the number of copies expected by the system
   d) the system must be able to accept change of pattern of enumeration or chronology by an authorized operator
   e) adjustments made to the next expected issue information must change information for all subsequent issues
   f) the system must be able to archive old check-in information and automatically create a new check-in screen

8)   With each check-in, the system must automatically:
   a) record the date received
   b) record the issue chronology
   c) update any pending claim on the issue
   d) update online holdings information within the serials control system
   e) update online holdings information in the OPAC
   f) record statistical information that can be used to analyze vendor or publisher performance

9)   The system must be capable of accepting check-in data by scanning the SISAC barcode issue identification printed on serials, as well as by operator keying.

10)   The system must support the check-in of multiple copies of an issue on a single check-in screen.

11)   It must be easy to check-in multiple issues of a title at a time, even if the current issue is not among them.

12)   The system must allow modification of the expected receipt date information and the pattern at any time including at the point of check-in without having to alter the prediction specifications.

13)   If the received issue does not conform to the prediction pattern (a special supplement, for example), the operator can enter the issue designation overriding the prediction mechanisms entirely. The next issue prediction must not be disturbed.

14)   For titles that do not have a predictable pattern of enumeration or chronology, the system must require a minimal keying of data by the operator.

15)   The system must have the ability to detect an attempt to check in an issue that is in excess of the library's requirements.

16)   The system must provide the operator with directions of appropriate action for handling the excess issue.

17)   The system must be able to support a list of duplicate issues retained, including information on their location.

18)   Each control record contains a designation whether or not to enter copy specific information into the catalog at check-in time.

19)   The control record can establish the number of latest issues to display in the catalog.

20)   The system must record and maintain both the expected date and the received date for all issues checked in.

21)   In addition to automatic recording of statistical information, it must be possible for a staff member to manually increment issue check-in statistics for a particular title or copy with a simple command when an issue is manually added to holdings.

22)   When generating an item record for an issue, it must be possible to scan and manually enter a bar code into the item record at the point of check-in.

23)   It must be possible to scan and manually input a bar code for an issue and have it added to the item record of an issue, or if no item record exists, to create an item record.

24)   The publication status (e.g., "alive" or "dead") must not affect the ability to use the check-in and holdings update systems for a particular title.

25)   The receipt status (e.g., "active", "inactive" or "on order") must not affect the ability to use the check-in and holdings update systems for a particular title.

26)   It must be possible to store multiple publication patterns for each copy or title and to have them relate only to the sequence of issues that follow that pattern. The system must support the model demonstrated by repeatable 853, 854, and 855 fields in the MARC 21 Format for Holdings, each with a series of connected holdings fields. The Library must not be limited to one publication/prediction pattern for each copy or title.

27)   In addition to standard information contained in an item record, the system must store and maintain the following data for each individual issue of a copy as long as that issue record exists:
    a)   enumeration and chronology
    b)   expected date
    c)   received date
    d)   date and reason for each claim
    e)   notes related to claiming
    f)   other manually-input notes

28)   The system must allow for notes attached to an issue regardless of the status.

29)   Any notes must not display automatically on every screen, but when requested by the operator from an available prompt.

30)   The system must be able to generate an online display for staff within the serials module that exactly mimics the display of holdings in the OPAC.

31)   The system must be able to generate a call number label (using standard LC call number format) at the time of check-in from the check-in screen using preferably one but no more than two keystrokes.

H-7.   Claims

1)   The system must be able to identify automatically issues of a serial that are overdue; i.e., that have not been checked in.

2)   The system must calculate a "claim date" for each title by counting a library-specified number of days from the expected date of an issue.

3)   This "claim date" must be capable of being overridden for specific issues by the operator.

4)   The system must have the ability to present pending claims online and in hard copy for review prior to the issuance of a first claim.

5)   The system must display the receipt history with the claimed issues for any title.

6)   The system must be able to recognize the non-receipt of any issues against a new order within a library-specified period after the expected date of receipt recorded when the order was placed.

7)   The system must be able to identify items that do not have predictable patterns of frequency or enumeration for which there has been no check-in activity within a library-specified time.

8)   The system must be able to generate claim notices in printed form or machine-readable form.

9)   The system must be able to produce claim notices in conformity with the EDI X.12 serials claiming standard.

10)   The system must be able to identify issues requiring second and third claims according to library-specified periods that may be defined for various types of items.

11)   The system must be able to identify items for which three claims have been issued without a response being recorded and make them available for staff review to determine further action.

12)   The system must accommodate the recording of specific details of responses to claims.

13)   In addition to automatic claiming, the system must enable the operator to add a claim to the claim list for a title by completing a screen workform.

14)   The system must enable the operator to specify the text of each claim.

15)   The system must enable the operator to change the claim interval for each title at any time.

16)   The system must allow for deletion of claims from the claim cycle.

17)   The publication status (e.g., "alive" or "dead") must not affect the ability to use the claiming system for a particular title.

18)   The receipt status (e.g., "active", "inactive" or "on order") must not affect the ability to use the claiming system for a particular title.

H-8.   Binding

1)   The system must be able to create, store, modify, and view bindery information for a title.

2)   The system must be able to store at least the following common binding elements for a title:
        a) bindery title number
        b) binding/spine title with line up codes and line and word breaks
        c) font type
        d) binding call number
        e) binding type

  f) binding frequency
  g) binding priority
  h) buckram color name
  i) buckram color number
  j) stamping or print foil color
  k) treatment of covers
  l) availability and treatment of indexes
  m) availability and treatment of table of contents
  n) treatment of advertisements
  o) treatment of supplements
  p) rush status
  q) previous binding status
  r) special instructions
  s) date sent to the bindery
  t) expected return date

3) The system must identify all journals eligible for binding and print a list of those issues ready to be removed from the shelves.

4) The system must support at least the following ways of determining binding readiness:
  a) receipt of a specified number of issues
  b) completeness of a specific bibliographic unit, e.g., volume or year
  c) at regular intervals, specified by the user
  d) receipt of a specified issue
  e) receipt of binder furnished by the publisher
  f) receipt of index and/or title page

5) It must be possible to select and view subsets of items ready to be bound based on the following criteria:
  a) name of bindery
  b) fund against which the purchase of the serial is charged
  c) fund against which binding of serial is charged
  d) location or collection
  e) range or dates during which items were marked as ready for binding
  f) priority

6) The system must update the check-in boxes to a status of "IN BINDERY" as the issues to be bound are removed from the shelf and sent to the bindery.

7) The system must produce a bindery slip to accompany the issues to be bound, which contains library-specified data elements such as bind title, color of binding, and binding note and can be printed upon bindery-supplied form stock.

8) The system must offer options to the operator upon checking in the bound issues, such as automatically updating the summary holding statement, and

deleting the range of bound boxes, replacing them with new boxes at the end of the card.

9) The system must enable the operator to list all titles whose date to bind in the serials control record falls within a certain relative or fixed time period.

10) The system must enable the operator to enter a note in the check-in record for a specific issue indicating that the volume is to be bound upon receipt of that issue.

11) The system must update holdings statements automatically by receipt of issue or bound volume.

12) The system must distinguish between bound and unbound volumes.

13) The system must record and maintain discard information, provide automatic discard alerts, and produce instructional slips for disposal of issues.

14) The system must allow for a range of check-in boxes to be deleted "in bulk" when issues are being discarded.

15) The system must be able to store both an active set of binding elements for the current bindery and at least one inactive set for another bindery.

16) It must be possible, assuming the alternative set of binding elements exists, to switch from one bindery to another with a global command rather than having to modify each title's binding elements.

17) The system must be able to produce a list of missing issues required before item can be bound.

18) The system must be able to produce a list of titles in the current bindery shipment including title, enumeration and call number.

19) The system must be able to organize any type of bindery list alphabetically or by call number.

20) It must be possible to view a bindery pick-up list online and modify it before printing.

21) It must be possible to override a binding order and delay it in the following ways:
   a) order canceled
   b) order delayed for later consideration
   c) rush order

22)   It must be possible to automatically identify items that are overdue for return from the bindery and to support claiming for them.

23)   The publication status (e.g., "alive" or "dead") must not affect the ability to use the binding system for a particular title.

24)   The receipt status (e.g., "active" or "inactive") must not affect the ability to use the binding system for a particular title.

H-9.   Serials Reports

1)   The system must be capable of creating a list of all serial titles with local holdings information, sorting the list by any data element, and outputting the list, with library-specified fields, to a printer.

2)   The system must be capable of taking a previously defined list of serial records and using it to create a variety of statistical reports.

3)   The system must be able to combine reports for separate library holdings into a single system-wide listing.

4)   The system must be able to list the holdings of individual facilities and locations separately, with a symbol for the location.

5)   The system must be able to produce lists and counts of issues:
       a) checked in
       b) routed
       c) claimed
       d) to be claimed
       e) at the bindery

6)   The system must be able to produce lists and counts based on fields in the serials control record (active and inactive formats, frequency, preservation information, etc.).

7)   The system must be able to produce reports of all routing lists, with the operator able to select either all lists or selected lists by various criteria such as user office symbol.

8)   The system must be able to produce lists of subscriptions due for renewal within a variable, library-specified time frame.

9)   The system must be able to produce a variety of statistical reports, including but not restricted to:
       a) number of titles
       b) number of volumes, reels, sheets, etc.

c) number of copies
d) number of issues checked in by period
e) number of issues checked in by operator or workstation ID
f) number of claims issued by type, supplier, etc.
g) number of titles purchased
h) number of titles received on deposit
i) number of titles received by gift or exchange
j) number of replacements received
k) number of back issues and added copies received
l) number of titles without current subscriptions
m) total number of titles on subscription
n) any of the above reports limited by time period

H-10. Holdings

1) The system must have the ability to show gaps in holdings.

2) The system must have the ability to print listings of gaps in holdings.

3) The system must be capable of automatically summarizing individual issue holdings into a consolidated statement of holdings.

4) The automatic summarization must be available at both copy and title levels.

5) The system must allow each serial title to include one or more summary holding statement.

6) The system must be able to display both summary holdings and detailed holdings at check-in.

H-11. Routing

1) The system must be able to maintain standard, copy-specific routing information for a title.

2) The system must be able to print an established routing slip at any point, not just at check-in.

3) The system must be able to generate call number and routing labels or lists at the point of check-in.

4) The system must be able to cancel and/or modify routing lists at the point of check-in prior to printing.

5) The system must be able to determine and list all titles being routed to a particular individual.

6)   The system must be able to change a recipient's name, title, location, and priority for all titles with a change to only one entry.

7)   The system must be able to automatically remove an individual from all routing lists.

8)   The system must be able to prioritize selectively the order of recipients on routing lists based on the priority of the individual, and secondarily, on the recipient's location.

9)   The system must allow the operator to delay the printing of routing labels or slips until the end of a check-in session if desired.