

## REQUEST FOR PROPOSAL

### A Resource Sharing System for Libraries in Southeastern Michigan

#### 1 OVERVIEW

##### 1.1 Purpose

This Request for Proposal (RFP) is issued by The Library Network, (TLN), on behalf of a consortium which includes the Detroit Area Library Network (DALNET), OWLS Region of Cooperation and Suburban Library Cooperative (SLC) to specify the system requirements for a resource sharing system for our member libraries.

The broad vision of the project is to develop "holistic" library services – to serve the information needs of the whole person with delivery mechanisms that break down our tradition of categorizing information. Through this project the participating agencies will create the linkages necessary to allow for patron initiated interlibrary loan that will seamlessly integrate with local library systems. With the linkages already in place this would allow for a virtual catalog of libraries in six counties creating a one-stop approach to locating and requesting library resources in southeastern Michigan.

The following are basic assumptions and desired features for the system:

- (1) The system shall employ a web interface and utilize web access
- (2) A virtual circulation system and online catalog shall be created through the use of Z39.50 capabilities.
- (3) The system will be a distributed system and have no central, physical union catalog
- (4) Each patron using the system for resource sharing must be authenticated. It is anticipated that each user will be directly associated with their "home" library.
- (5) While primarily concerned with physical document delivery (e.g., "ILL"), the system shall also support the delivery of electronic texts and the requesting of photocopies and other "non-returnables".
- (6) The system shall allow some degree of mediation either at the borrowing library and/or the lending library. However, the system is intended to be as non-mediated as possible.
- (7) The requesting portion of the system is viewed as an extension of the circulation model rather than an augmentation of the ILL model.
- (8) The system shall be scalable to include all current members of all three consortia.

- (9) The system shall be in compliance with major standards (esp. ISO 10160/10161 and SIP/NCIP).
- (12) The system shall provide a single interface that allows a user to gain access to a wide variety of catalogs, databases, applications, and systems.
- (13) The system shall be easy to use without instruction by anyone familiar with the Internet.
- (14) The system shall interface with existing library automation systems in use by our members.
- (15) The system shall track all resource sharing activity and be capable of generating statistics for both the regional systems and local, individual libraries.
- (16) It is assumed that libraries will minimally have access to the Internet and web and that the libraries will have an Internet accessible online catalog and circulation system.
- (17) It is assumed that libraries will participate in the document delivery system in order to use the resource sharing system.
- (18) The system shall be capable of serving all registered library patrons.

## 1.2 RFP Objectives

The objectives of the RFP are:

- 1.2.1 To define the specifications for a System to meet the functional and content requirements outlined in this RFP
- 1.2.2 To solicit price quotations and bids from Vendors to provide the System

## 1.3 RFP Timetable

Release the RFP	March 1, 2001
Vendor Inquiry Begins	March 1, 2001
Vendor Inquiry Ends	April 6, 2001
Vendor Proposals Due	April 9, 2001
Evaluation of Proposals	April 10, 2001 – April 20, 2001
Vendor Presentations	May 1, 2001 – May 2, 2001
Selection of System/Vendor	May 12, 2001
Contract Negotiations	Immediately after selection
Board Review	June & July 2001
Contract Signing	July 16, 2001
Test System is Available	October 31, 2001
Implementation	December 3, 2001

We recognize that this timetable may require modification. However, the intent is to make the selected System available no later than January 1, 2002. Any vendor that cannot meet this schedule for System availability should not respond to this RFP.

#### 1.4 Background

A critical component of the Resource Sharing network will be the delivery component. Once a library customer uses the technological interface to identify and request materials, a delivery service will physically move the materials from the lending library to the requesting library.

#### 1.5 RFP Organization

This RFP is organized in eleven sections, followed by five (5) attachments.

Section 1.0 Overview

Section 2.0 Format for Vendor Response

Section 3.0 Functional Specifications: Authentication

Section 4.0 Functional Specifications: Patron Interface

Section 5.0 Functional Specifications: Library Functions

Section 6.0 Functional Specifications: System Functions

Section 7.0 Management & Support

Section 8.0 Training and Documentation

Section 9.0 Planning for Development

Section 10.0 Terms and Conditions

Section 11.0 Evaluation of Process

#### Attachments:

A. DALNET Fact Sheet

B. OWLS Fact Sheet

C. Suburban Library Cooperative Fact Sheet

D. Sample Vendor Response Sheet

E. Cost Sheet

#### 1.6 Funding

Funding for this project is provided by an LSTA grant from the Library of Michigan and by the contributions of the participating libraries.

### 1.7 System Description

We are aware that no System may be able to meet all of the functional capabilities outlined in this RFP's specifications (see 3.0 -- 9.0). However, the ability to incorporate most of these features and functions into the System is considered an essential criterion for Vendor selection.

### 1.8 Questions and Inquiries

If additional information is necessary to assist the Vendor in interpreting and responding to this RFP, questions will be accepted and responses coordinated by:

Eileen M. Palmer  
Deputy Director  
The Library Network  
13331 Reeck Road  
Southgate, MI 48195

Phone: (734) 281-3830 ext. 107  
Fax: (734) 281-1905  
Email: [empalmer@rln.lib.mi.us](mailto:empalmer@rln.lib.mi.us)

OR

Louise Bugg

Inquiries regarding this RFP can be made any time during the inquiry period listed in the RFP Timetable. Inquires can be submitted by fax or email. When making an inquiry about a specific section of this RFP, please note the specification number and then include any questions or clarification requests.

If sending an inquiry by fax, please include a cover sheet directing the fax to either of the two people listed above.

We will try to provide to all inquiries within two working days, excluding weekends and holidays.

#### 1.9 Communication Restriction

From the release of this RFP until a Proposal is selected and a Contract signed, Vendors, including but not limited to their employees, agents, assigns and legal representatives, shall not communicate with any participating library staff or representatives concerning this RFP except through the inquiry method outlined in 1.8. If a Vendor attempts any unauthorized communication, we shall reserve the right to reject that Vendor's proposal.

#### 1.10 Vendor Incurred Expenses

TLN is not responsible for any expenses incurred by a Vendor in preparing and submitting a response to this RFP, regardless of whether it awards a contract through this process, decides not to go forward with this project, cancels this RFP for any reason, or contracts for the System through some other process or by issuing another RFP.

#### 1.11 Postponement or cancellation of the RFP

TLN reserves the right to cancel all or part of this RFP at any time. In addition, the release of this RFP does not imply any commitment to purchase any systems or services from any Vendor.

#### 1.12 Confidentiality of Vendor Responses to the RFP

All proposals will be open to public inspection after the Contract has been awarded. All Proposals and other materials will become the property of TLN and may be returned only at TLN's option.

Trade secrets, test data, and similar proprietary information will remain confidential provided they are clearly marked and Vendor's intent to label it confidential must be noted in the Vendor cover letter (see 2.1.3).

However, any proposal that indicates that the majority or entire contents are secret may be considered non-responsive. In addition, proposals will be made available to a wide variety of authorized individuals and non-disclosure cannot be guaranteed.

### 1.13 Rules for Modification or Withdrawal of Response

No modifications may be made by Vendors to responses to the RFP after they are submitted. However, any Vendor may withdraw its response at any time.

### 1.14 Time in Effect

Responses and prices quoted are to remain in effect for three (3) months after the due date of the proposal. Therefore, the bids submitted in the Vendor's proposal by the due date of April 9, 2001 must be firm until July 9, 2001.

### 1.15 RFP Evaluation Team

The Grant Steering Committee will evaluate Vendor responses to this RFP and make a recommendation to the TLN Board. All Vendor responses will be carefully evaluated and reviewed by the members of this Team.

In addition, various experts and outside agencies may also be in the evaluation and selection process.

### 1.16 Demonstrations of Systems

The Grant Steering Committee may require selected prospective Vendors to interview, make a presentation about their Proposal, and/or demonstrate their Systems. Such presentations, demonstrations, and interviews provide a prospective Vendor with an opportunity to clarify its Proposal(s) and to ensure a mutual understanding of the Proposal's content. Any presentations, demonstrations, and interviews will be scheduled at the convenience and discretion of the Grant Steering Committee. However, Vendors should be prepared to make a presentation in the Detroit area on either May 1, 2001, or May 2, 2001. Exact times and length of presentation will be communicated to vendors selected to make a presentation by April 23, 2001.

### 1.17 Evaluation of Vendor Responses

Each proposal must respond to all of the specifications and requirements included in sections 3.0 through 9.0 of this RFP (see 1.22 for an exception). Some of the specifications are expected to be met by most Vendors while others are desirable. Vendors are to address all specifications. Failure by a Vendor to respond to any specification or requirement may be considered non-responsive to the entire RFP. TLN

is aware that no Vendor may be able to meet all of the specifications presented in sections 3.0 through 9.0.

Our criteria, methodology, and additional details regarding the evaluation of each Vendor's response to this proposal are included in section 10.0 of this RFP.

#### 1.17.1 Vendor Responsibility

Vendors shall carefully review the requirements of this RFP and the contents of its proposal in order to provide sufficient information in their response for complete evaluation. By submitting a Proposal, the Vendor acknowledges that it has read this RFP, understands it, and agrees to be bound by its requirements.

#### 1.17.2 Sources of Information

Responses to the RFP will be the primary source of information used in the evaluation process. Therefore, Vendors are advised to be as complete as possible in their responses. However, TLN reserves the right to:

- (1) contact a Vendor to clarify any response;
- (2) contact any current or past users of a Vendor's system or services; and
- (3) evaluate the System as available electronically when responses to the RFP are due.

#### 1.17.3 The Library Network's Rights

In evaluating the responses to the RFP, TLN also reserves the right to:

- (1) reject any Proposal that takes exception to the terms and conditions of this RFP, is not in the required format, does not address all of the requirements of this RFP, or that TLN believes is excessive in price;
- (2) reject any Proposal that it believes is not in its interests to accept and may decide not to do business with any of the Vendors responding to this RFP;
- (3) Waive any defects in any Proposal or in the submission process followed by a Vendor. However, will only do so if it believes that it is in TLN's interests and will not cause any material unfairness to other Vendors;
- (4) accept or reject all or any part of any response, waive minor technicalities, and select a System that best serves the interests of and
- (5) use any or all of the ideas presented in the proposals without limitation.

In addition, TLN may cancel this RFP, reject all the Proposals, and seek to acquire the System through a new RFP or other means.

#### 1.17.4 RFP System to be Evaluated

Vendors responding to this RFP should provide access to a demonstration system which can be used by the Grant Steering Committee during the evaluation period. It is also essential that respondents to this RFP note that the intent of this RFP is to select a System that can be provided by January 2002. Vendors that cannot meet this timetable should not respond.

#### 1.18 Contract Negotiations

The final phase of the evaluation process (see 10.0) is contract negotiations. Negotiations will be scheduled and conducted at the convenience of TLN. The selected vendor must negotiate in good faith.

If the evaluation phase results in a recommendation of one top-ranked Vendor, TLN may limit negotiations to only that Vendor. If negotiations are unsuccessful with the top-ranked Vendor, TLN may then go down the line of remaining Vendors, as recommended by the Grant Steering Committee, and negotiate with the next highest-ranked Vendor.

It is entirely within the discretion of TLN whether to permit negotiations. A Vendor must not submit a Proposal assuming that there will be an opportunity to negotiate any aspect of the Proposal. TLN is free to limit negotiations to particular aspects of any Proposal, to limit the Vendors with whom TLN wants to negotiate, or to dispense with negotiations entirely.

#### 1.19 Contract

If this RFP results in a Contract award, the Contract will consist of this RFP, written amendments to this RFP, the Vendor's Proposal, and written, authorized amendments to the Vendor's Proposal. It will also include any materials incorporated by reference in the above documents and any purchase orders issued under the Contract.

#### 1.20 Publicity

No announcement concerning the selection of a Vendor and/or the awarding of a contract as a result of this RFP may be made by the Vendor without the prior written approval of TLN. The initial announcement will be made by TLN or its authorized representative.



### 1.21 Vendor Alliances /Joint Proposals

The stated preference is to select one vendor who will meet all of the specifications outlined in this RFP. However, we realize that, given the scope of the project and the intricacies involved in patron authentication, creating a regional virtual catalog, and supporting patron-initiated borrowing, it may be necessary for vendors to partner together to provide the system that is specified in this RFP.

Therefore, vendors are encouraged to be creative and cooperative in developing partnerships that meet the requirements for effective regional resource sharing outlined in this RFP. Consequently, partnerships or alliances between two or more vendors to develop and deliver the necessary capabilities are encouraged. However, TLN requires a single primary vendor. All partnerships and/or sub-contractors must be clearly identified.

A third option is for a vendor to propose meeting one or more, but not necessarily all, of the components in 3.0, 4.0, or 5.0. For example, a vendor could propose providing the authentication component (3.0), but not bid on 4.0 (Patron Interface) or 5.0 (Library Functions). All proposals must include responses to 6.0 through 9.0.

### 1.22 Multiple or Alternative Proposals

We welcome multiple Proposals from a single prospective Vendor, but require each such Proposal to be submitted separately from every other Proposal the prospective Vendor makes. Additionally, the prospective Vendor must treat every Proposal submitted as a separate and distinct submission and include in each Proposal all materials, information, documentation and other items this RFP requires for a Proposal to be complete and acceptable. No alternative Proposal may incorporate materials from another Proposal made by the prospective Vendor or refer to another Proposal.

### 1.23 Potential Users

Potential users of this system are library patrons and staff served by the member libraries of DALNET, OWLS and SLC. See Attachments A, B and C for details about the membership of each consortium

### 1.24 Connectivity to the Internet

Vendors should assume all participating libraries are connected to the Internet via direct connection. Vendors should also assume that there will be significant remote

usage of this system by patrons dialing in from home.

### 1.25 Terminology

Vendors should respond to the RFP in language no more technical than that of the RFP. The terms used in this RFP are intended to be consistent with those commonly used in the World Wide Web, education, library and computer fields. Vendors are asked to use comparable terminology in responding.

An attempt has been made to define or interpret terms in the context of the specifications, either by statements introducing certain sections or by examples within the specifications themselves. Specifications are intended to be basically self-explanatory. Vendors are encouraged to seek clarification for any terms or phrases used in the RFP following the inquiry process outlined in Section 1.8.

This RFP uses the term "Vendor" to designate the party responsible for responding to this RFP and for providing the System.

This RFP uses the term "borrowing library" to mean the library whose patron is initiating the borrowing of an item using the system.

This RFP uses the term "lending library" to mean the library from which an item is borrowed by the patron of the borrowing library.

### 1.26 RFP Distribution

This RFP is being provided electronically on the TLN Web site at [tln.lib.mi.us](http://tln.lib.mi.us).

Notice of this RFP is being sent to resource sharing system vendors exhibiting at the ALA Midwinter Conference in Washington, DC in January 2001. In addition, an electronic announcement is being made by TLN on various listservs.

## 2 **FORMAT FOR VENDOR RESPONSE**

The Grant Steering Committee wants clear and concise Proposals. Vendor responses must be submitted as specified below. Contents and materials must be clearly marked. It is essential that responses follow the prescribed format for submission exactly. Vendors are encouraged to submit additional narrative information, materials, and documentation in support of a bid; brochures or other materials beyond those necessary to present a complete and effective proposal are not desired.

### 2.1 Submission Requirements

The following sections must be included and clearly identified. All responses and materials must be presented in the order specified.

Any supplemental materials (that is, materials submitted to provide additional information) must be included as appendices and must be clearly labeled and numbered to correspond to any relevant sections in the RFP.

Materials must be submitted on letter size (8 ½ x 11) paper and at least one copy must be presented in a loose-leaf notebook (or in binders which permit easy photocopying, disassembly, and re-assembly of sections of the responses, as desired).

### SECTIONS TO BE INCLUDED

#### 2.1.1 Vendor Identification

Legal Name of the Company  
Address  
Name of Company Representative  
Title of the Company Representative  
Telephone number of the Company Representative  
Fax number of the Company Representative  
E-mail address of the Company Representative

#### 2.1.2 Table of Contents

Provide a Table of Contents with page numbers specified.

#### 2.1.3 Cover Letter

A cover letter on company letterhead must be included which is in the form of a standard business letter. The cover letter must be signed by an individual authorized to legally bind the Vendor. The letter will provide an executive summary of the System being proposed. The letter must also include the following:

1. A statement indicating that the RFP has been read and agreed to;
2. A statement regarding the Vendor's legal structure, Federal tax identification number, and principal place of business;
3. A list of the people who prepared the Proposal, including their titles;
4. The name, phone number, and fax number of a contact person who has authority to answer questions about the Proposal; and
5. A confirmation of the ability to make a presentation/demonstration to

the Grant Steering Committee in Detroit on either May 1 or 2, 2001.

#### 2.1.4 Vendor Information

Provide a concise description of your company. Include information concerning financial stability (e.g., latest annual report), general organization and staffing, and experience of the company in the areas specified in this RFP.

#### 2.1.5 Customer References

Provide appropriate and relevant lists of current customers and clients. Include any consortial or statewide customers, especially any of similar size or design to this project. Include dates, contact information, and a brief description of similarities to this project.

#### 2.1.6 Vendor Response and Descriptive Answers

Respond to each of the specifications in Sections 3.0 through 9.0 of this RFP. In responding to each of the specifications, use the same numbering scheme and sequence provided by the RFP. Vendors are required to include the specifications as they appear in this RFP, followed by their response. Use a Response Sheet formatted like the one in Appendix D.

#### 2.1.7 Cost Summary

Provide a price quotation for the System (see Appendix E for additional instructions).

#### 2.1.8 Proposed System Overview

Provide a concise narrative overview of the resource sharing system proposed. Generally describe how you envision the system working. Note the availability of the four functional components and how they are integrated: Authentication, Patron Interface, Library Functions, and System Functions.

Outline the proposed system architecture that will link the libraries together and which will create a statewide virtual circulation system that supports patron-initiated borrowing. Provide any flowcharts or diagrams that will facilitate understanding of your overall proposal.

What are the strengths of the proposed system? Outline experience you have had with implementing other large scale resource sharing systems. Why should we consider it the best solution?

NOTE: Given the uniqueness and complexity of this project, this overview is considered an essential component of any vendor response.

## 2.2 Submission Information

In order to facilitate the review process, one original printed response and fifteen (15) printed copies of the proposal must be submitted as stipulated below (a total of 16 sets of the proposal). The original proposal should be packaged and labeled separately from the copies. All copies must be packaged and labeled to show the following information on the outside of the packages:

Vendor Name and Address  
"RFP RESPONSE"  
Number of Packages (if more than one)

Responses must be received by 3:00 p.m. Eastern Daylight Time on April 9, 2001. The Response should be addressed to:

Eileen M. Palmer  
Deputy Director  
The Library Network  
13331 Reeck Road  
Southgate, MI 48195

Vendors must allow sufficient time for delivery of their proposals by the time specified. Proposals that are not submitted on time will not be evaluated. It shall be the Vendor's responsibility to ensure that proposals are actually and physically received prior to the closing date and time specified. No telefacsimilies will be accepted.

## **FUNCTIONAL SPECIFICATIONS AND REQUIREMENTS**

### GENERAL INSTRUCTION:

The following sections (3.0 through 90) outline the functional and system capabilities that are required or desired by project participants.

Two types of answers are required for specifications listed in Sections 3.0–9.0. Please refer to Section 2.0 for additional information before submitting a response to the RFP and use the Response Forms (Appendix D).

## 1. STATUS RESPONSES

These require the use of one of the following codes:

### A = Available

Definition: The specification is to be labeled as AVAILABLE if it is currently a part of the system and if it is available immediately as part of the system provided for review as part of this proposal.

NOTE: If the specification is AVAILABLE with a minor difference, the Vendor must clearly indicate what the difference is. Any written clarifications must be attached at the end of the Vendor Response Forms, numbered to correspond to the specifications, and presented in numerical order.

### T = TESTING

Definition: The specification is to be labeled TESTING if it is in the process of being developed, but is available for review by the Grant Steering Committee on April 18, 2000.

### D = Development

Definition: The specification is to be labeled DEVELOPMENT if it can be developed (at cost or time).

NOTE: If the specification is labeled DEVELOPMENT, the Vendor must clearly indicate what is required to develop the capability; specifically, note any costs and/or time requirements. *The ability and commitment to develop these capabilities within six months of signing a contract must be clearly outlined.* Any written clarifications must be attached at the end of the Vendor Response Forms, numbered to correspond to the specifications, and presented in numerical order.

### N = Not Available

Definition: The specification is to be labeled as NOT AVAILABLE if it not available and is not being tested or developed.

## 2. WRITTEN ANSWER REQUIRED

Vendors are expected to provide complete, well-analyzed responses to these questions. As appropriate, vendors may suggest alternative methods, capabilities, or strategies for accomplishing the desired capabilities. Vendors must provide complete, self-contained answers to all Written Answer Required questions. As noted, all costs must be included in the Cost Summary.

Your careful and thoughtful analysis and responses to the specifications will demonstrate your ability to meet our requirements.

All Written Answer Required responses must be numbered to correspond to the specifications and presented in numerical order (see 2.1.6).

### **3 AUTHENTICATION AND SECURITY**

- 3.15 **WRITTEN ANSWER REQUIRED:** Each patron using the system for resource sharing must be authenticated. It is anticipated that each user will be directly associated with their "home" library. Indicate how your system authenticates a patron's library "card" number against the local library's automation system's patron file to determine: (1) if the patron record exists; (2) that the patron record is current; and (3) that the patron is approved to use the resource sharing system (e.g., is not delinquent, has a valid library card, etc.).
- 3.16 The system shall permit all patron record files to continue to reside on the local library's automation system
- 3.2.1 **WRITTEN ANSWER REQUIRED:** Describe how your system acquires and uses patron data from a local automated circulation system to control the requesting of materials. Describe how the system queries patron files of different types and discuss your system's ability to access standard patron protocol servers. Note any protocols used to communicate with the local system. Indicate if any patron data is kept by your system and how long it is retained. Finally, note whether the system can determine and enforce different patron privileges depending on the type of patron.
- 3.3 The system shall allow the local library to be responsible for updating and maintaining all patron records.
- 3.4 The system shall utilize existing patron barcodes
- 3.4.1 **WRITTEN ANSWER REQUIRED:** Since the system will use existing patron barcodes, explain how it handles duplicate patron barcode numbers from different libraries.
- 3.15 **WRITTEN ANSWER REQUIRED:** Describe the initial screen that will be displayed to users to access the interlibrary loan system.
- 3.16 **WRITTEN ANSWER REQUIRED:** Describe any initial logon, if required. Indicate at what point authentication occurs in your system - how and when is a

patron told that authentication is required and how is this accomplished?

- 3.7 The system shall permit access as "guest" for searching only. Guest access shall not include Request privileges and shall not require authentication.
  - 3.7.1 WRITTEN ANSWER REQUIRED: Describe how "guest" access is provided. Guest access permits access for searching only and does not include request privileges. Is authentication required for guest access?
- 3.15 WRITTEN ANSWER REQUIRED: Describe how patrons can be blocked from using the system to request items if the patron's local library wishes to limit their use of the system. What kind of message do they receive? Can this be customized for each library?
- 3.16 WRITTEN ANSWER REQUIRED: Describe how the system supports the capability to establish a maximum number of requests a patron can place at any one time.
- 3.17 The system shall support a capability to establish a maximum number of requests a patron can place at any one time.
  - 3.17.1 WRITTEN ANSWER REQUIRED: Describe how your system can prevent a patron from placing multiple requests for the same item at the same time.
  - 3.17.2 WRITTEN ANSWER REQUIRED: Discuss how your system ensures the confidentiality of patron records and maintains patron privacy.
- 3.11 The system shall permit the authentication module to be used independently to authenticate patrons for access to any database or resource licensed by DALNET, OSLS, and SLC. Privileges will differ among DALNET, OWLS, and SLC.
  - 3.11.1 WRITTEN ANSWER REQUIRED: Describe how the system permits the authentication module to be used independently to authenticate patrons for access to any database or resource licensed by DALNET, OWLS, and SLC., or for individual library subscriptions Privileges will differ between DALNET, OWLS, and SLC.
- 3.12 The system shall pass patron information through without change, accepting all policies regarding patron status set by the local library
- 3.15.1 WRITTEN ANSWER REQUIRED: Indicate the success of your system in



authenticating users from the existing systems listed in use by the participating libraries at DALNET, SLC and TLN/OWLS. Indicate how the system will be able to accept the "problem patron" status codes of a variety of system.

3.13 The system shall permit multiple levels of staff privileges.

3.14 WRITTEN ANSWER REQUIRED: Describe how the system permits multiple levels of staff privileges. Describe in some detail levels of staff authorization. Specify available levels of staff access (e.g., circulation staff, librarians, managers, etc.) Indicate how staff passwords are established and maintained.

3.15 WRITTEN ANSWER REQUIRED: Describe what level of system security can occur on a local level

3.16 WRITTEN ANSWER REQUIRED: Describe how the system provides security provisions

- a. Allow authorized libraries to change security parameters for their libraries but not others
- b. Allow authorized systems managers to change security parameters for libraries in their consortia but not others
- c. Provides security that allow the local library to write reports to obtain statistics for that local library but not others
- d. Provides security that allow the consortium managers to write reports to obtain statistics for the entire consortium

## 4 PATRON INTERFACE

The system shall provide a single interface that allows a user to gain access to a wide variety of catalogs, databases, applications, and systems.

### Searching

4.1 The system shall permit searches by:

- 4.1.1 Author
- 4.1.2 Title
- 4.1.3 Subject
- 4.1.4 Keyword
- 4.1.5 ISBN
- 4.1.6 ISSN

4.2 The system shall accommodate the following types of searches, provided the

Z39.50 servers with which it interfaces permits them:

- 4.2.1 Boolean AND
  - 4.2.2 Boolean OR
  - 4.2.3 Boolean NOT
  - 4.2.4 Limiting by date
  - 4.2.5 Limiting by type of materials
  - 4.2.6 Proximity
  - 4.2.7 Exact match
- 4.3 **WRITTEN ANSWER REQUIRED:** Different automation systems employ different search methods. Describe the extent to which your system permits patrons to search by methods not supported by their local system but which are supported by other remote Z39.50 servers.
- 4.4 The system shall permit individual libraries to limit subject searching to staff.
- 4.5 The system shall distinguish between searches for monographs and searches for serials
- 4.5.1 **WRITTEN ANSWER REQUIRED:** Briefly discuss how your system makes this distinction. For example, does the system use fixed fields in the MARC record to distinguish between monographs and serials?
- 4.6 The system shall have the capability to permit individual libraries to limit serial searching to staff.
- 4.7 The system shall have the capability to permit individual libraries to limit advanced searching features (e.g., those listed in 4.2) to staff.
- 4.8 The system shall indicate if some portion of the search encountered a problem (e.g., the search timed out, the local system did not respond, etc.)
- 4.9 The system shall inform the user if a "long search" (as defined by the system) is in progress and offer the means to interrupt the search.
- 4.9.1 **WRITTEN ANSWER REQUIRED:** Explain how your system handles inaccessible catalogs and describe any time-out error messages. Indicate, if appropriate, your error tolerance standards.
- 4.10 The system shall permit the user to initiate a new search from any screen.
- 4.11 The system shall accommodate returning to previous screens or menus with one click.

- 4.12 The system shall permit the size of resulting sets to be limited by:
  - 4.12.1 The number of items displayed from each catalog searched
  - 4.12.2 The total number of items displayed

### Displaying Results

- 4.13 **WRITTEN ANSWER REQUIRED:** Provide a brief overview of how results are displayed by your system. (Note: Please review the following questions under "Displaying Results" before providing this answer to avoid unnecessary duplication.)
- 4.14 The system shall provide:
  - 4.14.1 Brief displays.
  - 4.14.2 Detailed displays.
- 4.15 The system shall have the capability to permit profiling to specify what data elements are displayed as the result of a patron search.
  - 4.15.1 On a system-wide basis
  - 4.15.2 By individual libraries
- 4.16 The system shall permit the patron to request the display of additional information from the MARC record, if not displayed automatically.
- 4.17 The system shall allow the local library to determine what additional information can be displayed.
- 4.18 The system shall be able to display the current item level status of any item retrieved and selected by the patron.
  - 4.18.1 **WRITTEN ANSWER REQUIRED:** Not all automation systems have the ability to provide item status, as required by Z39.50 Version 3. Describe how your system can retrieve item status information from such servers.
- 4.19 The system shall have the capability to display detailed bibliographic information for an item that is owned by more than one library.
  - 4.19.1 **WRITTEN ANSWER REQUIRED:** Describe how your system displays detailed copy status for one individual item. What information is displayed?
- 4.20 The system shall have the capability to display status information for an item that is owned by more than one library.

- 4.20.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished and indicate if the system displays multiple hits retrieved by identifying the catalogs searched.
- 4.21 The system shall display detailed item-level information that includes, but is not limited to:
- 4.21.1 author (1xx)
  - 4.21.2 title (24x)
  - 4.21.3 place of publication (260)
  - 4.21.4 publisher (260)
  - 4.21.5 date of publication (260)
  - 4.21.6 physical description (300)
  - 4.21.7 series (4xx)
  - 4.21.8 holdings (9xx)
  - 4.21.9 ISBN
  - 4.21.10 LCCN
- 4.22 WRITTEN ANSWER REQUIRED: Describe how your system can display holdings in the following circumstances. Number each separately. If answers are the same, please restate the information for each.
- 4.22.1 Holdings sent in 9xx fields in the MARC record (e.g., Dynix's use of the 920 field)
  - 4.22.2 Holdings sent in a format compliant with the OPAC Syntax described in Z39.50-1995, Appendix 5
  - 4.22.3 Holdings sent in a format compliant with the developing OPAC Schema
  - 4.22.4 Proprietary DRA\_HOLDINGS format for DRA Classic Servers
  - 4.22.5 Proprietary holdings information in a Z39-50 compliant, locally-designed system
  - 4.22.6 Holdings information sent in 856 field
- 4.23 The system shall display availability information that includes but is not limited to:
- 4.23.1 Location or branch
  - 4.23.2 Call number or ID Number
  - 4.23.3 Availability status (real time)
  - 4.23.4 Format (Material) Code
  - 4.23.5 Date Due (if available)
- 4.24 The system shall automatically display the availability if only one item is retrieved.
- 4.25 The system shall show the availability of an item at the copy or volume level.
- 4.26 The system shall have the capability to dedupe results and to display "unique"

items on each line of the display.

4.26.1 WRITTEN ANSWER REQUIRED: Briefly describe how dedupping works in your system. Indicate whether partial results are displayed before the dedupping process is completed. Outline any limits to search results that can be configured (e.g., no more than 10 titles per catalog, no more than 40 titles retrieved per search, etc.).

## REQUESTING

The requesting portion of the system is viewed as an extension of the circulation model rather than an augmentation of the ILL model.

4.27 WRITTEN ANSWER REQUIRED: Briefly describe how a patron places a request in your system. (Note: Please review the following questions under "Requesting" before providing this answer to avoid unnecessary duplication.)

4.28 The system shall permit the user to initiate the requesting process in one step (e.g., with one click).

4.29 The system shall allow any participating library card holder to initiate their own requests for materials using a Web-based interface

4.30 WRITTEN ANSWER REQUIRED: Describe how catalogs will be queried as part of the requesting process. Describe for Z39.50 catalogs and also for non-Z39.50 compliant catalogs. Cover all types of catalogs. (see 6.11).

NOTE: Appendix A provides information about existing consortia and automation vendor affiliations by participating libraries. The requester has no preconceived idea of how the resource sharing system will work or how it will sequentially and/or concurrently search these catalogs. The following specifications (4.31–4.37) are meant to indicate *what* the system should accomplish, *not how* it must be done. Use 4.30 to provide an overview of how your system will work. Append clarifying comments for any of the specifications. It is anticipated that patrons will generally not be allowed to select the lending library. Since a delivery system will be established, the groups do not need to be geographically based.

4.31 The system shall permit the order in which additional catalogs are searched by the system to be specified:

4.31.1 By local libraries

- 4.32 The system shall first check to determine if the requested title is owned by the requester's library.
  - 4.32.1 If the item is owned locally, the system checks to determine if the item is available.
  - 4.32.2 If the item is available, locally set policies determine whether the item can be requested.
  - 4.32.3 WRITTEN ANSWER REQUIRED: Describe how this is accomplished. For example, how a local library can block a request for an item available in the requestor's library.
- 4.33 After determining if the requested item is available locally, the system shall check default search groups to determine if the item is available and loanable.
- 4.34 If the item is owned by at least one other lending library, the system checks to determine if the item is:
  - 4.34.1 available
  - 4.34.2 loanable
- 4.35 The system shall compile a list of libraries that hold the requested item.
- 4.36 The system shall verify availability of the item in the libraries holding the item.
  - 4.36.1 WRITTEN ANSWER REQUIRED: Describe how your system checks for availability. For example, how does it differentiate between different terms that lending libraries use (e.g., "available," "not checked out," "on shelf," etc.)?
- 4.37 The system shall have the capability to automatically place a hold on the requested item in the owning library's online circulation system.
  - 4.37.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished.
- 4.38 WRITTEN ANSWER REQUIRED: The proposed resource sharing system assumes centrally-determined groups of libraries which are searched when a requestor enters a request for an item which is not available in their local library. However, the local library should also have the capability to direct patrons to a library-selected list of "local" libraries. Although the actual location of an item is immaterial with a cross-county document delivery service in place, it is assumed that some patrons may wish to identify local libraries having the desired item so that they can go to that library immediately and directly. Describe how this can be supported by your system.

4.39 The system shall have the capability to require the patron to designate a "need by date."

4.39.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished. In many cases, the local library will choose not to require the patron to set a "need by date." Verify whether this capability is optional at the local library level.

4.39.2 WRITTEN ANSWER REQUIRED: Indicate what action is taken by the system if the need by date is exceeded. Also, note whether a minimum length of time can be established (i.e., so that the need by date cannot be set for the next day).

4.40 The system shall require a requester to designate a delivery (pick-up) location. It is anticipated that the delivery location will be affiliated with the system for which the patron is authenticated (see also 3.0).

4.40.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished.

4.41 The system shall permit multi-level delivery locations by library system and then by branch/building.

4.41.1 WRITTEN ANSWER REQUIRED: Describe how the borrowing library can identify delivery locations in a multi-level environment (e.g., the requestor should be able to pick any branch in the system in which he has a library card, providing the library offers delivery to that location). Indicate how the system determines which potential delivery locations to be displayed based on the authenticated library patron.

4.42 The system shall provide an optional "notes" field to permit a user to include a note.

4.42.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished. Note if it is possible to suppress this capability.

4.43 The system shall support a "lender of last resort" feature that refers all unfilled requests to one designated library.

4.43.1 WRITTEN ANSWER REQUIRED: Indicate how such a feature might work.

4.44 The system shall require a requestor to confirm the information before the actual

request is placed.

4.44.1 WRITTEN ANSWER REQUIRED: Confirm that your system has such a feature and indicate what transaction details (e.g., requestor's name, item requested, pick-up location, etc.) are presented to the requestor. Indicate how the requestor confirms the information and how he corrects any incorrect information.

4.45 The system shall confirm the placing of a request with an immediate response.

4.46 The system shall have the capability of confirming the placing of a request by email to the patron.

4.46.1 WRITTEN ANSWER REQUIRED: Describe how this can be accomplished.

4.47 The system shall provide a unique request number to the requestor.

4.47.1 WRITTEN ANSWER REQUIRED: Describe how the system does this.

4.48 The system shall permit a requester to modify or cancel his request at any time after it is submitted.

4.48.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished.

4.49 The system shall permit the user to determine for an individual request:

4.49.1 Current status of the request

4.49.2 Date of the request

4.49.3 Need by date

4.49.4 Due date

4.49.5 Delivery (Pick-up) Location

4.49.6 Lending Library

4.49.7 Borrowing Library

4.49.8 Notes included

4.49.9 Request number

4.49.10 WRITTEN ANSWER REQUIRED: Describe how a patron can view the current status a specific request or review the status of all of their outstanding request.

4.50 The system shall have the capability to communicate with patrons after a request has been placed and accepted (e.g., after the patron has left the library) by



4.50.1 Email

4.50.2 Fax

4.50.3 Printed notice

4.50.4 WRITTEN ANSWER REQUIRED: Describe in some detail the various types of patron notification that are available in your system. Indicate at what points in the process the system can communicate with the patron using the methods listed above. For example, how does the system notify a patron that a requested item has arrived or that the request cannot be filled? Indicate whether the patron can specify the method of notification from those available.

4.51 WRITTEN ANSWER REQUIRED: Describe to what extent the system interfaces with existing library automation system notification options.

4.52 The system shall permit an individual library to selectively enable or disable user notification options.

4.53 The system shall permit a patron to request a renewal of an item he has already borrowed.

4.53.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished. Indicate whether the borrowing library and/or the lending library can refuse to make this option available or, in the case of the lending library, automatically deny all requests for renewals.

4.54 WRITTEN ANSWER REQUIRED: The system shall have the capability of charging patrons for ILL service. While the requester does not envision charging for any aspect of the resource sharing process, describe how your system currently handles charging. Indicate charging options (e.g., credit cards, charge to patron's local system, etc.) and categories upon which charges can be based (e.g., patron type, type of material, etc.).

4.55 The system shall support the request and delivery of copies of items and other non-returnable materials. The need to support the delivery of photocopies of magazine articles is anticipated.

4.55.1 WRITTEN ANSWER REQUIRED: Describe how such items can be identified and requested using your system. For example, if a patron selects a bibliographic record for a journal (e.g., *Smart Computing*), to what extent does the system allow the patron to specify and request a specific article (e.g., "Back to Business" on p. 26 of the June 2000, issue of *Smart Computing*)?

In addition, briefly describe delivery options and any capabilities for tracking copyright compliance.

- 4.56 **WRITTEN ANSWER REQUIRED:** Describe how a patron places requests for more than one item. For example, how does the patron initiate a second request after completing the process of requesting the first item?
- 4.57 **WRITTEN ANSWER REQUIRED:** Describe how your system makes it possible for a patron to request a specific volume of a multi-volume set of a series when the lending library catalogs multi-volume works in a single bibliographic record.

## 5 LIBRARY FUNCTIONS

Please refer to the definitions in 1.27 to properly differentiate between "borrowing library" and "lending library," as used in this proposal request.

### Borrowing Library

- 5.1 **WRITTEN ANSWER REQUIRED:** Indicate whether "library profiles" are required by your system to control the operation of the system and, if so, what information the records contain and how these records are stored, maintained, and updated. If appropriate, distinguish between local library profiles, system profile, lending library profile, and borrowing library profile.
- 5.2 The system shall have the capability to allow borrowing libraries to limit the types of requests that can be placed before they are sent to potential lending libraries.
  - 5.2.1 By type of material
  - 5.2.2 By type of patron
  - 5.2.3 **WRITTEN ANSWER REQUIRED:** Describe how your system accomplishes this. Also indicate how the patron is informed that his request has not been placed.
- 5.3 The system shall have the capability to allow lending libraries to have external requests put into a file of requests that require human intervention.
- 5.4 The system shall have the capability to allow the borrowing library to establish loan periods.
  - 5.4.1 **WRITTEN ANSWER REQUIRED:** It is anticipated that the borrowing library, and not the lending library, will set loan periods. Describe how this is accomplished and how this information is communicated to the lending library when the item is delivered.
- 5.5 **WRITTEN ANSWER REQUIRED:** Describe how the system creates a record for requested items, including record creation, purging and status information for Z39.50 and other systems.
- 5.6 The system shall utilize existing item barcodes.
  - 5.6.1 **WRITTEN ANSWER REQUIRED:** Explain how the system handles duplicate item barcodes from different libraries.

- 5.7 **WRITTEN ANSWER REQUIRED:** Describe what steps must be followed when a requested item is received at the borrowing library. Specifically, what actions require staff involvement to receive an item from a lending library.
- 5.8 **WRITTEN ANSWER REQUIRED:** Describe how the system interacts with the borrowing library's automated circulation system when the requested item is received. Indicate how the borrowed item is circulated using the borrowing library's automated circulation system. Specify how temporary bibliographic and item records are created in the local system for the borrowed item.
- 5.9 **WRITTEN ANSWER REQUIRED:** Describe how your system handles the return of the borrowed item. Indicate what steps must be followed when a requested item is returned at the borrowing library. Specify how the temporary bibliographic and item records are deleted in the local system for the borrowed item.

### **Lending Library**

- 5.10 **WRITTEN ANSWER REQUIRED:** Generally describe the process required at the lending library to process a request. (Note: Please review the following questions under "Lending Library" before providing this answer to avoid unnecessary duplication.) In answering this question, also address:
- (1) What manual staff intervention is required by the lending library to process and complete a request from receipt to shipping of the item.
  - (2) How your system automatically interacts with the lending library's local circulation system during this process.
- 5.11 **WRITTEN ANSWER REQUIRED:** Describe how your system notifies a potential lending library that an item has been requested. Indicate what action must be taken to indicate that the requested item will be supplied. Similarly, indicate what action must be taken to indicate that the requested items cannot be supplied.
- 5.12 **WRITTEN ANSWER REQUIRED:** Describe how the lending library is informed of the request so that the item can be pulled by the circulation staff. Specifically, does the system generate a "pull list"?
- 5.13 The system shall have the capability to limit the number of days a request will stay pending at a specific lending library.
- 5.13.1 **WRITTEN ANSWER REQUIRED:** Describe how this is accomplished.

Indicate what occurs when this time limit is exceeded.

- 5.14 WRITTEN ANSWER REQUIRED: Indicate how the lending library can specify special conditions for the loan (e.g., in-house use only).
- 5.15 WRITTEN ANSWER REQUIRED: Indicate how the lending library undertakes the process of shipping the item to the borrowing library. What staff activity is required?
- 5.16 The system shall have the capability to produce a variety of shipping labels for items to be supplied by the lending library.
  - 5.16.1 WRITTEN ANSWER REQUIRED: Describe how these are produced.
- 5.17 WRITTEN ANSWER REQUIRED: Describe what the lending library must do to indicate that the requested item has been shipped.
- 5.18 The system shall have the capability to print a pull slip and sleeve to be placed on requested times that are pulled from the shelves.
- 5.19 WRITTEN ANSWER REQUIRED: Describe how the item is identified to the system (e.g., by a temporary barcode).
- 5.20 The system shall have the capability to allow lending libraries to establish loan periods.
  - 5.20.1 WRITTEN ANSWER REQUIRED: Describe how this is accomplished and how this information is communicated to the borrowing library when the item is delivered.
- 5.21 WRITTEN ANSWER REQUIRED: Describe how your system handles overdues. How are overdue notices sent? To whom? By whom? In what format?
- 5.22 The system shall have the ability to issue recall notices.
  - 5.22.1 WRITTEN ANSWER REQUIRED: Describe how your system handles recall notices.
- 5.23 WRITTEN ANSWER REQUIRED: Describe the process the lending library must undertake to receive and check-in a returned item. What actions are required of staff at the lending library and what happens automatically when these actions are performed? How is receipt of the returned item acknowledged to the borrowing library?

- 5.24 **WRITTEN ANSWER REQUIRED:** Describe how staff at the lending library can track and/or inquire about the status of a requested item. Indicate what access points (e.g., title, patron name, etc.) can be used.
- 5.25 The system shall have the capability to allow lending libraries to temporarily refuse to accept requests (e.g., for a holiday, because of a move, etc.).
- 5.25.1 **WRITTEN ANSWER REQUIRED:** Describe your system's ability to permit this and indicate how a requestor is notified that the library is not a provider at this time.
- 5.26 **WRITTEN ANSWER REQUIRED:** Describe how the system shall identify items checked out to the resource sharing system.
- 5.27 **WRITTEN ANSWER REQUIRED:** Describe how your system selects or deselects potential lenders based on certain bibliographic data elements (e.g., some libraries do not share videos).
- 5.28 **WRITTEN ANSWER REQUIRED:** Describe how your system selects or deselects potential lenders by availability or circulation status (e.g., only libraries which indicate that the item is available are listed).
- 5.29 **WRITTEN ANSWER REQUIRED:** Describe in some detail how you envision balancing requests across the system (i.e., "load leveling"). In addition, can your system set a maximum number of active requests that will be sent to any one library.

### **Mediation**

Although it is anticipated that the system will allow some degree of mediation either at the borrowing library and/or the lending library, the system is intended to be as non-mediated as possible. However, some local libraries may wish to impose some degree of mediation.

- 5.30 The system shall have the capability to allow the borrowing library to mediate requests made by its patrons before requests are sent.
- 5.30.1 **WRITTEN ANSWER REQUIRED:** Generally describe mediation options for the borrowing library. For outgoing requests that are mediated, describe the extent to which the borrowing library can do the following and indicate how the patron is notified of any changes in his request:

- (1) Deny the request and notify the patron
- (2) Select a different lending library (e.g., not the one recommended by the system)
- (3) Select a different item than the one requested by the patron (e.g., a different edition of the title in a paperback edition).

5.31 The system shall allow lending library to mediate requests made of its collection by external patrons.

5.31.1 WRITTEN ANSWER REQUIRED: Generally describe mediation options for the lending library. For incoming requests, describe the extent to which the lending library can do the following and indicate how the patron is notified of any changes in his request:

- (1) Deny the request
- (2) Send the request to another library

5.32 WRITTEN ANSWER REQUIRED: Describe how a staff member can place a request in your system. Briefly identify what a staff member can do in placing a request that a patron cannot do.

## 6 SYSTEM ARCHITECTURE AND STANDARDS

6.1 WRITTEN ANSWER REQUIRED: Generally describe the telecommunications and system architecture for the system you are proposing for DALNET, OWLS, and SLC. We current envision the use of two SUN servers at separate locations. Consider the use of multiple or redundant servers. Include flowcharts, diagrams, and different scenarios, as appropriate. As part of your response:

- i. Clearly indicate what your system provides and what is required from the DALNET, OWLS, and SLC central sites and what is required from local libraries.
- ii. Indicate records (e.g., patron, bibliographic, or transaction), if any, that your system keeps centrally.
- iii. Describe how your system interacts with local automated circulation systems of both borrowing and lending libraries.
- iv. Describe how your system deals with branch libraries when searching, requesting, borrowing and lending materials.
- v. If multiple servers are used, describe how they stay "in-synch"
- vi. Describe your ability and the extent of the interaction with bibliographic utilities (e.g. OCLC – ILL subsystem) and document delivery services (e.g. DOCLine).

6.2 WRITTEN ANSWER REQUIRED: Discuss your ability to interact with the

automation systems that are currently is use by DALNET, OWLS, and SLC libraries. Indicate specific versions of the library system software that are supported and any specific protocol required. . Note nay known auxiliary products required to interface with these vendors' products. Provide examples of libraries using these automated systems that have implemented your system. Vendors Systems are:

- a. Innovative Interfaces
- b. DRA Classic
- c. Dynix
- d. Horizon
- e. Endeavor
- f. Sirsi

- 6.3 WRITTEN ANSWER REQUIRED: Describe in detail the hardware, operating system, and software required to run this system. Indicate the hardware platforms you support as well as the operating systems and other supporting software required to run your system. Stipulate the versions you support.
- 6.4 WRITTEN ANSWER REQUIRED: Describe any facility requirements to house the hardware associated with the system.
- 6.5 WRITTEN ANSWER REQUIRED: It is anticipated that use of the system will grow and expand. Indicate any limitations of your proposed system that would require the system to be "scaled up." For example, is there a maximum number of libraries, of transactions, etc. that the proposed system can accommodate without a degradation of service? Address the extent to which the system can be scaled up and what this would require.
- 6.6 WRITTEN ANSWER REQUIRED: Provide statistics from other consortia using your system to demonstrate the reliability of your system. Indicate a level of performance that you would be prepared to cover by a warranty in a contract (e.g., "The System will be operational 98% of the time or certain penalties may be applied.").
- 6.7 WRITTEN ANSWER REQUIRED: Provide estimates of "normal" response times for the major transactions performed by your system. (We recognize that various external factors affect response time.) If possible, provide response time statistics from libraries already using your system.
- 6.8 WRITTEN ANSWER REQUIRED: Describe how your system interacts and successfully passes information through the local libraries firewalls and the firewalls at the central sites.



- 6.9 WRITTEN ANSWER REQUIRED: Describe the backup capabilities of your systems for saving historical data and for systems recovery.
- 6.10 WRITTEN ANSWER REQUIRED: List the hardware requirements of the library staff machines using your system (RAM, disk storage, processor speed, etc.)
- 6.11 WRITTEN ANSWER REQUIRED: Describe the software required on the machines used by library staff. Does the system require the load of client software or does it make use of a web-based approach. If web-based, describe the process staff would use to access the client.
- 6.12 WRITTEN ANSWER REQUIRED: Describe how your system uses Z39.50 to search the catalogs of DALNET, OWLS, and SLC member libraries
- 6.13 WRITTEN ANSWER REQUIRED: Detail how you propose to search these different servers (e.g., serially or in parallel)
- 6.14 WRITTEN ANSWER REQUIRED: Describe how records are consolidated, deduped, and displayed
- 6.15 WRITTEN ANSWER REQUIRED: Describe how the system will function in libraries that use a proprietary implementation of Z39.50 standards systems. Indicate systems (e.g., telnet, web, in-house automation systems) for which you have done this.
- 6.16 WRITTEN ANSWER REQUIRED: Describe how your system handles automated libraries without Z39.50 servers who wish to participate in the system, e.g., by serving as lending libraries.
- 6.17 The system shall permit users to access the system From within member libraries and through external connection to the Internet (e.g., from home or work).
- 6.18 The system shall not require any specific display resolution or other local configuration.
- 6.19 The system shall have a patron web interface that is independent of local workstation configurations.
- 6.20 WRITTEN ANSWER REQUIRED: We envision our library users accessing this system from their local library and from remote locations (home, office, etc.) Generally describe your use of the web browsers for public access. List all that are supported and not supported and the version supported.. Are any "plug-ins"

or other software required for use of your product by public users? Is any specific display resolution or other local hardware or software configuration required?

Specifically Address:

- a. Netscape navigator and Communicator
- b. Microsoft Internet Explorer
- c. AOL Browser Variants
- d. Lynx
- e. WebTV

- 6.21 **WRITTEN ANSWER REQUIRED:** If multiple versions of HTML (e.g., frames and non-frames) are available, describe how the system delivers the appropriate version based on the browser (HTTP\_USER\_AGENT in the request header) automatically.
- 6.22 **WRITTEN ANSWER REQUIRED:** Describe how your system complies with the American with Disabilities Act and operate with assistive software or devices such as large print indexes, voice-activated input, alternate keyboard or pointer interfaces, etc.
- 6.23 **WRITTEN ANSWER REQUIRED:** Describe any "timeout" feature on your system to deal with patrons who begin to enter a request, get interrupted, and leave the workstation without canceling the request. At this point the next user could, either unintentionally or maliciously, place other requests, etc. Indicate any safeguards your system has to lessen the likelihood of this unauthorized use. Describe the extent to which the system supports the ISO standards (10160, 10161). Also indicate any ways in which the system deviates from these standards.
- 6.24 **WRITTEN ANSWER REQUIRED:** How does your systems clear session for public users if they exit the system without logging off.
- 6.25 **WRITTEN ANSWER REQUIRED:** How does your systems clear session for staff users if they exit the system without logging off.
- 6.26 **WRITTEN ANSWER REQUIRED:** Describe the extent to which the system supports NCIP - NISO Circulation Interchange Protocol draft standard. Also indicate any ways in which the system deviates from this proposed standard.
- 6.27 **WRITTEN ANSWER REQUIRED:** Describe the extent to which the system supports ANSI Z39.50 and applicable subsections (e.g., item order or extended service). Also indicate any ways in which the system deviates from these standards. Indicate which versions you support. Describe how results may differ when results are retrieved from systems using different versions of Z39.50

- 6.28 **WRITTEN ANSWER REQUIRED:** Identify all protocols that local systems must support to successfully interface with your system. Note which of the vendors from participating libraries at DALNET, OWLS, and SLC you have successfully communicated with using these protocols.
- 6.29 **WRITTEN ANSWER REQUIRED:** We have identified the following additional standards that are relevant to the proposed system. Indicate if you have implemented these standards. Describe success in meeting each of them and indicate any ways in which your system deviates from any of the standards. Note any library automation vendor's systems you have tested this standard on. If you have not implemented this standard, what are your plans (e.g., timetable for implementation or why you do not intend on implementing it)?
- a. 3M Standard Interchange Protocol. Data Transfer Protocol Between Library Automation Devices and automated Circulation Systems (Revision 2,1997)
  - b. ISO 8459-4:1997, Information and Documentation - Bibliographic Data Element Directory - Part 4: Circulation Applications
  - c. ISO 8459-1:1988, Information and Documentation - Bibliographic Data Element Directory - Part 1: Interloan Applications
  - d. ANSI/NISO Z39.63-1989, Interlibrary Loan Data Element

## **7 MANAGEMENT AND SUPPORT**

- 7.1 **WRITTEN ANSWER REQUIRED:** Generally describe your proposed method and level of system support including warranty, documentation, training, phone support, field service, and software upgrades. Distinguish between support provided for the central site system administrators and for the libraries themselves. Describe how your plan for supports three separate entities: DALNET, OWLS, and SLC.

- 7.2 The system shall provide support for the central site staff.

7.2.1 **WRITTEN ANSWER REQUIRED:** Describe the type and extent of assistance that will be provided to central site staff. Describe the availability of technical support. Indicate hours of technical or operational support. Describe the level and availability of weekend support for these large complex organizations. Indicate the extent to which support will be provided for technical problems, including but not limited to authentication, searching, library functions, and system functions. Include costs on Cost Sheet.

7.2.2 **WRITTEN ANSWER REQUIRED:** Describe how problems are to be reported and how they will be resolved. Note any escalation procedures or other

mechanisms for ensuring that reported problems are resolved in a timely fashion.

- 7.3 The system shall be capable of producing a variety of standard system-wide statistical reports for DALNET, OSLS, and SLC specified dates, including, but not limited to:
- a. Number of items requested
  - b. Number of items lent
  - c. Filled v. Unfilled requested
  - d. Number of items borrowed by library
  - e. Number of items lent by library
  - f. Number of patrons requesting items by library
  - g. Number of patrons accessing the system (i.e., authenticated)
  - h. Turnaround time
  - i. Transit times
  - j. Workload statistics
  - k. OCLC referrals
  - l. Not fills—why?
- 7.3.1 **WRITTEN ANSWER REQUIRED:** Describe your products statistical reporting capabilities. Describe how the system can produce a variety of standard statistical reports for individual libraries; for each of the three separate organizations (DALNET, OWLS, and SLC) as single entities; and for the project as a whole. Describe the reports (canned) that are provided by the vendor. List the report writer software products currently in use by customer libraries for staff to write their own reports. Describe the method by which staff access data to write local reports.
- 7.4 **WRITTEN ANSWER REQUIRED:** Describe the extent to which data is archived in your system, either automatically or manually.
- 7.5 **WRITTEN ANSWER REQUIRED:** Describe the amount and level of DALNET, SLC, and TLN/OWLS central staff required to develop, implement, and maintain the system you propose. (Note: This does not include staff required for the operation of the system in a library.) Distinguish, as necessary, between developing, implementing, and operating/maintaining the system.
- 7.6 **WRITTEN ANSWER REQUIRED:** Describe the amount and level of local library staff required to operate the system. Specifically, what will be required from the local library's system administrator or automation coordinator to implement your system?

- 7.7 **WRITTEN ANSWER REQUIRED:** Outline in some detail an implementation schedule with a timeline for DALNET, OWLS, and SLC. A flowchart can be included, but a narrative description is also required.
- 7.8 **WRITTEN ANSWER REQUIRED:** Describe how upgrades to the system are made available. Describe any charges that will be involved. Include costs on Cost
- 7.9 **WRITTEN ANSWER REQUIRED:** If certain portions of the system are customized to meet the needs of DALNET, OWLS, and SLC libraries, indicate the extent to which this will affect our ability to load future upgrades, etc.
- 7.10 **WRITTEN ANSWER REQUIRED:** Describe how problems, bug fixes, suggestions for enhancements, etc. are prioritized within your company. Note if there is a users group that makes such recommendations.

## **8 TRAINING AND DOCUMENTATION**

- 8.1 **WRITTEN ANSWER REQUIRED:** As noted in 1.1, the system must be easy to use by untrained patrons who are minimally familiar with the Internet and the Web. While librarians and other library staff can and will provide group and individual instruction, as necessary, to effectively use the system, it is essential that most patrons be able to individually use the system without direct intervention by a librarian. Describe how your system will meet this ease-of-use requirement for patrons, especially users who will access the system outside of the library.
- 8.2 **WRITTEN ANSWER REQUIRED:** Identify any user manuals or system documentation that will be supplied with the system for both the central sites' staff and local libraries' staff. Describe how these materials will be available (e.g., online) or distributed (e.g., print copies provided to all participating libraries). Include examples and samples of documentation, as appropriate. Any costs for documentation must be noted on the Cost Sheets.
- 8.3 **WRITTEN ANSWER REQUIRED:** It is anticipated that DALNET/OWLS/SLC staff will provide regional or local workshops to demonstrate to library staff how the system operates. Detail plans to train these DALNET/OWLS/SLC trainers. Describe any and all training that is included in this bid. Describe the standard training and indicate any additional training that can be requested at additional cost. Any costs must be included on the Cost Sheets. Indicate options of on-going training and costs for such training.

8.4 **WRITTEN ANSWER REQUIRED:** Discuss and identify any promotional materials provided or available to introduce the system to patrons. Any costs for promotional materials must be identified on the Cost Sheets. Provide samples, as appropriate.

8.5 The vendor shall assign a staff person to monitor and contribute to the grant listserv during implementation.

8.5.1 **WRITTEN ANSWER REQUIRED:** Describe how you envision using this listserv capability.

## 9 PLANS FOR DEVELOPMENT

9.1 **WRITTEN ANSWER REQUIRED:** Describe your Product as it was available as of March 2000. Then compare this with your current (March 2001) status. Indicate how enhancements were developed, priorities decided, and implementation accomplished, etc. What has the last year demonstrated about where your Product will be in March 2002?

9.2 **WRITTEN ANSWER REQUIRED:** Describe how you foresee development of the system over the next five years to meet all current and future requirements. Generally describe your future development plans for this product. Describe how you prioritize enhancements. Is there any user involvement in this process, either formal or informal.

9.3 **WRITTEN ANSWER REQUIRED:** The organizations involved in this grant project realize that the provision of an effective resource sharing process to all public, academic, and special library patrons in our combined service area is a major undertaking. It will necessitate an on-going commitment and a willingness to adapt and modify both the Product and the procedures for making it easily expandable to other interested libraries in the service area. This will require DALNET/OWLS/SLC to effectively partner with the selected Vendor to further develop the Product, enhance services, resolve problems, and, potentially, to even create new products and capabilities.

Describe how the grant committee could work with you as a partner (e.g., focus groups, user surveys, beta-test sites, etc.). Include references to any track record of working with other multi-type library or educational networks to develop and make available your Product.

## **10.0 EVALUATION PROCESS**

### **10.0 EVALUATION PROCESS**

#### **10.1 The LSAT Grant Steering Committee: (see also 1.16)**

All Vendor RFP responses will be carefully evaluated and reviewed by the members of the LSTA Grant Steering committee hereafter known as the "Committee". Committee team members will be composed of representatives from the DALNET (Detroit Area Library Network)/OWLS (Oakland/Wayne/Washtenaw Livingston and St.Clair County Libraries) and SLC (Suburban Library Council). Additionally, all members from the 5 subcommittees may be present during the vendor demonstrations and include their recommendations for consideration by the Committee during the selection process. Finally, the Committee in the evaluation and selection process may also consult various experts and outside agencies.

#### **10.2 Proposal Evaluation Process:**

The first step of the evaluation process of Vendor proposals will be a review of the format and section requirements specified in Section 2.0 of the RFP by the Committee. The proposal will be initially evaluated in light of how well it meets the following areas:

- A. Ability to Meet Critical Requirements:
  - a. Hardware
  - b. Telecommunications
  - 10 Functionality
  - 11 Software
- B. Cost/Price
- C. Ability to Meet Time Lines
- D. Credibility of Vendor/reputation
- E. Support
  - 10 Financial Viability
  - b. Customer References
- F. Future Development Plans for the Product
  - a. New Releases
  - 11 Product Replacement

Vendor proposals best meeting these critical requirements will be included in the next step of the evaluation process. If a Vendor is not responsive to the requirements in step one, the Committee shall have the right to disqualify that Vendor's proposal.

The Committee will conduct an evaluation of all responses meeting the format and section requirements on April 23<sup>rd</sup>. The Committee will do a preliminary ranking of the vendors submitting responses and will determine which vendors will be invited to do demonstrations in May. Vendors will be notified by telephone no later than 5 p.m. on Friday, April 23, 2001 if they are to be invited to do a demonstration on either May 1 or 2<sup>nd</sup> 2001. The exact date and time will be provided at time of notification.

Copies of all vendor responses will be distributed to all members of the LSTA Grant sub-committees no later than April 25, 2001.

### **10.3 Vendor Demonstrations:**

Vendors invited to provide a demonstration, will be given a "scripted" program on or by April 23<sup>rd</sup> (one week prior to the demonstration). It is strongly recommended that the vendor adhere to the script and demonstrate the specific functionality as defined by the script. A specific amount of time is allotted for each vendor demonstration. Vendors are encouraged to use any remaining demonstration time to highlight the system's enhanced features or capabilities.

The script is intended to provide the Committee with the means to equally judge the level of software development, the ease of use, the intuitive nature of the interface, the system support requirements, and the flexibility of the overall package between different vendors. In general, a feature that can be successfully demonstrated will rank higher than one that is in development. Vendors are encouraged to demonstrate the version software that will be the package that will be supplied if awarded the contract.

In general demonstrations are expected to be on a live database and approximating the conditions under which the proposed software would be operating including interacting between two or more library automation systems in real time and changes brought about by the software a fully viewable in all 3 systems. Details of the parameters of the demonstration will be provided with the script.

### **10.4 Vendor Ranking:**

Initial ratings may change based on the demonstrations and answers provided by the vendors. The Committee reserves the right to invite demonstrations by the other vendors if it deems this necessary. In that case, evaluations of the other vendors, including a recommendation of whether they should also be invited to do a



demonstration, will be completed no later than May 15<sup>th</sup>.

The members of the Committee, using the following process, will evaluate all responses from individual vendors.

The Committee will evaluate each Vendor's responses to the specifications in Sections 3.0 through 9.0 of this RFP: Authentication, Patron Interface, Library Functions, System Functions, Management & Support, Training and Documentation, and Planning for Development. This step may also entail checking references.

The Committee will evaluate the ability of how well the software performed as scripted in the demonstration.

The Committee will review the comments/observations/etc. of all subcommittee members as part of the evaluation process.

The Committee will make a final vendor ranking based upon ratings assigned by the Committee and subcommittees.

The Committee will consider the proposals, vendor demonstrations, and recommendations from the sub-committees in developing its final vendor ranking. It will also take into consideration the other factors stipulated in the RFP, including but not limited to: experience of the Vendor, the Vendor's financial condition, the Vendor's conduct and performance on previous contracts, the Vendor's facilities, the Vendor's managerial and operational skills, and the Vendor's ability to execute the contract properly, the Vendor's track record, business viability, and references.

#### 10.5 Final Vendor Ranking/Recommendation/Report:

The vendor who, in the opinion of the Committee, best meets the critical and specific needs outlined in the RFP and with their on-site demonstration, will be recommended as vendor of choice.

The Committee will compile and submit a formal report and recommendation to the TLN (The Library Network) Board who has fiduciary oversight of the LSTA grant monies.

The Board will review the recommendation and make a final decision on awarding of the contract to the Vendor not later than June 30, 2001.

## **11.0 TERMS AND CONDITIONS**

### **11.1 Contract**

The Contract ("Contract") shall consist of this RFP as modified by any addenda issued by TLN, the acceptable Vendor's proposal, the executed Agreement for the System and any TLN purchase orders issued under the contract.

### **11.2 Headings**

The headings used in this RFP are for convenience only and shall not affect the interpretation of any of the terms, conditions, and requirements hereof.

### **11.3 Related Contracts**

After award of the Contract, the Vendor shall not hire or use subcontractors without prior written approval from TLN.

### **11.4 Conflicts of Interest**

No personnel of the Vendor or member of the governing body of an locality, or other public official or employee of any such locality in which, or relating to which, the work under the Contract is being carried out, and who exercises any functions or responsibilities in connection with the review or approval of the undertaking or carrying out of any such work, shall prior to the completion of said work, voluntarily acquire any personal interest, direct or indirect, which is incompatible, or in conflict with the discharge and fulfillment of such person's functions and responsibilities with respect to the carrying out of said work. Any such person who acquires an incompatible or conflicting personal interest, prior to, on or after the effective date of the Contract, or who involuntarily acquires any such incompatible or conflicting personal interest, shall immediately disclose his or her interest to TLN in writing. Thereafter, such person shall not participate in any action affecting the work under the contract, unless TLN shall determine that in the light of the personal interest disclosed, such person's participation in any such action would not be contrary to the public interest.

### **11.5 Time of Performance**

The Contract shall be binding upon both parties upon approval and receipt of a fully executed TLN purchase order.

### 11.6 Record Keeping Requirements

The Vendor shall keep all financial records in a manner consistent with generally accepted accounting principles. Documentation to support each action shall be filed in a manner allowing it to be readily located.

All disbursements made for the Contract shall be only for obligations incurred in the performance of the Contract and shall be supported by contracts, invoices, vouchers, and other data as appropriate to support such disbursements. All disbursements for the contract shall be for obligations incurred only after the effective date of the Contract.

### 11.7 Performance and Acceptance

Acceptance will be specified in the contract. As currently envisioned, TLN expects the selected vendor to agree to provide a test system for participants to view with no fewer than three disparate catalogs live by October 31, 2001. At this point, TLN will initially accept the system (see below).

A fully functioning system with at least 65% of libraries participating by December 31, 2001 must be in place. Plans and a time line for completing 100% of the project must be in place by February 1, 2002.

Acceptance of the vendor's System is dependent upon a thirty (30) calendar day successful standard of performance as defined herein, and as stipulated in the contract.

The Vendor will notify TLN when the System is installed and operational and the thirty (30) day performance period is ready to begin for each of the milestones described above. This notification shall be made in writing. Upon successful completion of the performance period, TLN will notify the Vendor of initial acceptance in writing.

The System shall not be accepted until the Performance Period is complete. Should it be necessary, TLN may delay the start of the Performance Period, but such delay shall not exceed thirty (30) consecutive calendar days after the scheduled start date. Unless otherwise mutually agreed to by TLN and the Vendor, the Performance Period shall start no later than the thirty-first (31<sup>st</sup>) day after the scheduled date.

## APPENDICES

## Appendix A

## Appendix B

# Appendix C

*(The following table contains extremely faint and illegible text, likely bleed-through from the reverse side of the page. The content is not transcribable.)*

## Appendix D

### SAMPLE VENDOR RESPONSE SHEET

These Response Forms (or responses similarly formatted) must be used to respond to the RFP.

Any written clarifications and all Written Answer Required responses must be attached at the end of these Vendor Response Forms (or incorporated in them), numbered to correspond to the specifications, and presented in numerical order.

**Instructions for completing the forms are included immediately before 3.0.**

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## Appendix E

### COST SHEET

Please provide a detailed and complete listing of all costs for the Product as proposed in the response to the specifications included in 3.0 through 9.0.

In preparing this cost proposal, the following points must be addressed

(1) Costs for each of the following functional components:

1. Authentication (3.0)
2. Patron Interface (4.0)
3. Library Functions (5.0)

Note: These costs do not have to be provided separately. If appropriate, the cost of the proposed software product, provided it includes the three components listed above, can be listed. However, if you are willing to contract with TLN for only a portion of your product (e.g., authentication only), you must include separate costs for each component.

(2) Costs for required hardware and/or facilities, if applicable. Include annual maintenance costs. Separate one-time and on-going costs. Include here all costs associated with purchasing and installing your system as proposed in this response. Indicate

(3) Costs for each of the following support components:

1. Management and Support (7.0)
2. Training and Documentation (8.0)
3. Plans for Development (including upgrades & enhancements) (9.0)

Vendors are strongly encouraged to explain how the cost figures were derived or calculated (e.g., by number of potential users, by size of libraries, etc.).