Library Management System Review checklist

in the box on the right please indicate with the colours oppisite:			
yes - the LMS does this - Green infill no - It doesn't do this - red infill we can do this if we want/ in development available shortly - Grey infill			
description of element	yes -it does this	no - it doesn't do this	we can do this if we want/ in development available shortly
4.1. GENERAL REQUIREMENTS			
Search and discovery for end users is clearly 'de-coupled' 'back-end' resource management. Successful decoupling means going beyond search. It requires powerful enough APIs to allow a 'search/discovery service' user to, for example place holds (requests) for particular titles or items, or to see their personal library account information such as current (and past) transactions (such as loans) overdue items , unsatisfied holds etc			
The management of print and electronic (digital) resources are integrated (or 'unified)			
The library system elements interoperate easily with other systems. This is facilitated where overall architecture of the system is based around a (web based) Service Oriented Architecture (SOA) model to allow easier lower cost integration with 'admin' systems such as student registry and finance. This can be viewed as a move from a library *system* to what has been called a 'library services platform' approach where various components and sub systems are 'loosely' coupled (SOA) to provide an overall solution			
Related to the above is more attention to improved workflows leading to saving in staff effort and consequently lower cost of ownership			
Systems are typically 'cloud' based. This is a move away from more conventional 'hosting' to a system that is, in effect, a single entity that is shared by many separate and distinct libraries. Such 'multi-tenant' systems offer economies of scale and the opportunity to better share data (bibliographic, data on suppliers, licences etc) across the organisations that share the system			
Related to the above is a move from 'management information' to 'analytics' or 'business intelligence'. This is characterised by not simply providing *statistics* on *transactions* recorded by a single library system (number of loans, items catalogued, orders placed etc), to an approach where *all* activity (including clickstreams) is potentially recorded and might be analysed to deliver new business *insights*. A cloud environment offer opportunities to collect and analyse data and detect trends across, what is in effect, a global network of systems			
The system should be vendor hosted with all necessary migrations and data updates to be carried out on behalf of the Library by the vendor.			
Clear evidence of cloud resilience will be required along with a robust infrastructure which demonstrates the essentials of business continuity planning in the event of unforeseen events.			
The system must incorporate the following:			
bibliographic database management (including authority control)			
OPAC and end user services			
Circulation Control			
Acquisitions			
Serials control			
document delivery and inter-library loans			
Management information			
be integrated with data only needing to be entered once to support all functions			
support realtime updating in all functions			
track staff operations for audit purposes			
provide for progressing material through the various stages of processing, so that at all times the current status of an item can be shown, e.g. on order, in cataloguing			
provide for multi-site operation			
Operation and user interface			
The system must:			
provide a graphical user interface in all functions			
provide for direct access between functions where workflows dictate this			
allow staff to initiate a database search from any point in the system where workflows dictate this			
provide for use of function/hot keys for frequently used functions			
allow navigation tasks to be performed via the keyboard as well as with a mouse			
allow different searching/display options for staff for different functions			
allow library-defined inactivity time-outs in all functions			
Help			
The system must have help facilities, to include:			

screen examples			
context-sensitive help			
search option for help on given topics			
tutorials			
Customisation and configuration			
The Library must be able to customise the system in the following areas:			
screen layouts for public access			
bibliographic fields and field labels			
indexes			
record displays			
help texts			
The interface for system configuration must be consistent with the rest of the system			
Access to the system			
Access to the system must be password protected			
Access should be prevented if a pre-set number of tries is exceeded			
The system must allow:			
different levels of access to functions/sub-functions according to level of user			
suppression of disallowed options			
restriction of groups of users/workstations to specific functions			
maintenance of access levels by the Library			

4.2. HIGH LEVEL REQUIREMENTS

The system must provide unified management of all of the resources that the library owns (for example but not limited to monographs, serials, datasets, maps, audio and all digital materials), licenses, stewards and make them available to end users for discovery and delivery. This includes support of selection and acquisition of physical and electronic resources, metadata management across all resource types, submission of digital content, and fulfilment across all resource types.			
The system must support APIs and/or other interfaces that will allow the library to develop extensions to the core software, as well as integrate the software into the local environment.			
The system must offer robust interoperability with library's resource discovery platform. Such interoperability shall ensure that services developed for end-users that require resource management [i.e. user-driven acquisitions models] are available without additional integration work on the part of the library.			
In addition, the system must provide support for multiple discovery and delivery services and offer capabilities for the library to publish relevant library resources [both metadata and inventory information] to these discovery environments as well as develop extensions to the core resource management software to interface and interoperate with such environments.			

4.3. ACQUISITIONS AND DIGITAL DEPOSIT

There must be provision for acquiring print and non-print material, including monographs and serials, with integrated financial management and a common supplier file			
An audit trail must be maintained for all material at all stages of the acquisitions process			
the system must:			
The system must support Electronic Data Interchange (EDI) in conformance with the EDIFACT standards, to include the following EDI transactions for both monographs and serials:			
orders			
claims			
cancellations			
acknowledgements			
invoices			
reports			
quotes			
fulfilments			
It must be possible to produce acquisitions notices in print format			
Format and content of acquisitions notices must be library-definable			
The system must allow for input to be corrected and amended at all stages, including 'undo' operations			
It must be possible to display on order records on the OPAC and allow/disallow reservations to be placed			
It must be possible to read barcodes printed on books as an aid in acquisitions processing			
It must be possible to read barcodes printed on serials as an aid in acquisitions processing			
The system must support the import of order/bibliographic data from suppliers, e.g. from showroom visits or suppliers' websites.			
The system must be able to automatically create new item records when an item is received.			
The system must notify staff when a volume or issue of a series has not arrived after a predefined interval, and allow for claiming of missed items.			

The system must identify where to route received items based on the completeness of their metadata and item information (i.e. to cataloguing, physical processing, or shelves).			
4.3.4 ACTIVATION			
The system must allow for the activation of approved purchases for electronic packages and titles.			
The system must notify staff when an electronic package or title is activated.			
When an electronic package or title is activated, descriptive records to describe the title(s) must be added to the catalogue automatically.			
Indicate if there is a need to import/export data in order to support the e-resources lifecycle.			
4.3.5 LICENSES MANAGEMENT AND AMENDMENTS			
The system must be able to manage licenses and amendments, including attaching digital versions.			
The system must support the ERMI schema for licenses, including the ability to display only those fields that the library uses and not the rest.			
4.3.6 VENDORS			
The system must provide the ability to maintain accounts for a single vendor.			
The system must provide the ability to maintain multiple physical and email addresses for a single vendor, with the potential to tie these addresses to individual accounts.			
The system must offer the ability to maintain discount and delivery information in the vendor record.			
Supplier records			
The following fields must be included:			
supplier code			
name and address			
telephone, fax, e-mail, web address			
contact names			
account number			
standard discount			
GST number			
EDI transmission details			
chasing regime (library-defined)			
servicing arrangements			
delivery charges			
fields for notes to staff and suppliers			
It must be possible to create orders for suppliers not used on a regular basis, i.e. without having to enter full supplier details			
Pre-order searching			
The system must allow pre-order searching of both stock and order records using any library-defined index			
Ordering			
The system must:			
allow session defaults to be set when creating orders, e.g. default supplier, fund, currency, location			
allow session defaults to be defined by location			
allow order data to be carried forward for a succession of records			
allow existing order records to be copied to form new order e.g. for ordering additional copies			
be capable of dealing with a variety of order types, including:			
firm orders			
approvals			
subscriptions			
payment with order			
It must be possible to handle multi-part or standing orders, i.e. where multiple parts for a single order need to be receipted, invoiced and catalogued separately			
It must be possible to handle donations, i.e. where an order has not been created.			
It must be possible to handle exchanges, i.e. where an order has not been created.			
The order record must include the following elements in addition to the bibliographic data:			
supplier			
unit price			
fund			
currency			
location			
number of copies			
date of order			
order number			
order status e.g. urgent			
order type			
subscription period (if applicable)			
subscription renewal date (if applicable)			
notes to suppliers			
notes to staff			

requester/recommender information (if applicable)			
supplier report			
claims			
source, e.g. user request, staff recommendation			
Order records must be accessible by:			
bibliographic data elements			
order number,			
supplier,			
order status			
order type			
order date			
It must be possible to access the following data directly from the order record (where applicable):			
full bibliographic record			
check-in screens			
invoicing procedure and payment details			
prediction pattern			
supplier record			
The system must allow for multiple copies of all types of items including subscriptions to be ordered for different locations and from different funds			
It must be possible to flag subscription orders either to renew automatically or to alert staff before manual renewal is due			
It must be possible to block automatic renewal if no parts have been received for any order and/or no payment has been made for purchase orders and to provide a report/message to supplier on such blocked records.			
Once orders have been placed, funds should be committed immediately. Any subsequent amendment to price information must automatically update commitments			
It must be possible to link to e-mail/fax functions for sending of orders by these methods rather than print/EDI			
Reports from suppliers			
The system must:			
alert staff to outstanding reservations when a report on an order is received			
notify users who have requested/ recommended items when a report on an order is received			
Receipting			
The system must:			
allow receipt of items and invoice processing to be carried out in a single operation or separately as required			
be able to handle:			
partial receipt of an order			
return of damaged, incorrect or unwanted items			
variations in price/currency since order			
changes in bibliographic information.			
orders received on approval			
It must be possible to record the receipt of items for which there is no order, e.g. donation			
Reservations/requests must be alerted at the receipting stage and the requester notified			
4.3.7 FUNDS MANAGEMENT			
Real-time access to fund balances (including encumbrances and expenditures) must be supported.			
The system must support a hierarchical fund structure that provides the ability to group and report on funds			
The system must support optional fiscal year close processing.			
For each fund, the system must provide links to invoices committed against that fund.			
4.3.8 INVOICES AND PAYMENTS			
The system must support the ability to automatically create a system invoice from a purchase order.			
It must be possible to handle invoices before receipt, at the time of receipt or at a later date			
The system must be able to handle:			
credit notes			
pro-forma invoices			
subscription invoices			
discounts			
on approval payments			
fund transfers			
handling charges			
invoice records must include the following details:			
supplier details			
invoice number			
invoice date			
invoice total			

discount amount			
delivery/postage and packing charges			
GST			
supplier servicing charges (labelling, covering etc)			
links to display ordes invoiced			
free test note field			
the system must alalow online display of invoice data for a library-defined period			
Invoice processing must reconcile invoice totals and individual amounts charged on invoices with line items			
The system must provide an alert before accepting invoice data for the following:			
items which have been cancelled			
items which have claims outstanding			
items which are charged to over-committed and overspent funds			
if no parts have been received			
Fund accounting			
It must be possible to set up and display hierarchies of funds			
The system must allow transfer of monies between funds			
The system must maintain and display for each fund:			
fund allocation			
expenditure			
commitment			
cash balance			
Each fund should have the facility for library-defined limits on commitment and expenditure and warnings must be generated when these are reached			
The system must maintain a currency exchange table which can be updated regularly; changes to the currency exchange table should automatically update commitments			
The system must provide procedures for dealing with closing funds at the end of the financial year. It must be possible to roll over commitments to next financial year			
For serial subscription renewals, the system must carry forward commitment based on the actual total cost of that subscription for the previous financial year			
It must be possible to compare fund records for a library-defined number of previous financial years			
Claiming and cancellations			
The system must:			
allow a library-defined default claim period for each supplier			
allow for the default claim period to be amended on individual orders. Amendment of the delivery date should automatically reset the claims cycle			
It must be possible to link to e-mail/fax functions for sending of claims by these methods rather than print/EDI			
allow staff to force or suppress claims for individual items and subscriptions			
allow staff to either review items flagged for claiming before claims are generated, or generate claims without prior review			
allow authorised staff to cancel an order			
allow authorised staff to transfer an order to another supplier			
commitment details must be immediately adjusted upon cancellation of an order			
notify users who have requested/recommended an item if the order is cancelled			
Export/import of data			
The system must allow the export of financial data to organisational financial systems			
4.3.9 DIGITAL DEPOSIT			
The product should support pre-defined workflows for upload of digitized material and their metadata including: • Automatic loading from pre-defined data sources (ftp) or Manual via wizard (PC) • Define automatic validation/enrichment during load • Optional sampling rates/approval process and dedicated interfaces for handling exceptions			
4.3.10 BIBLIOIGRAPHIC DATA			
It must be possible to input bibliographic data for order records both by direct input and by use of imported bibliographic records at the order stage. Requirements for bibliographic data entry/import are the same as described under bibliographic database management			
It must be possible to input both brief and full data at the order stage			
The system must allow for bibliographic and item information on order records to be used as the basis for catalogue records and vice-versa			
4.4. CIRCULATION			
4.4.1 GENERAL			
The system must have the capacity to manage all types of library material e.g. books, serials, electronic resources, digital materials, etc.			
The system must be able to support variations in library policy from site to site.			

The system must be able to support lending policies based on customer demand, for example, our existing demand driven variable dynamic loan concept.			
Common circulation parameters should also be able to be set to work across multiple libraries.			
The system must support ANSI/NISO z39.50 (NISO Circulation Interchange Protocol) and SIP2. The system must be fully compatible with the self-service equipment including self issue/return and book sorter machines.			
The product should have flexible policies to control access to digital material.			
4.4.2 CIRCULATION POLICY TABLES			
Libraries must be able to define the policies by which their physical inventory is circulated to library patrons for example – due date policy, maximum renewals policy, fining policy, etc.			
Circulation policies must be determined by a combination of:			
borrower category			
item category			
location			
Circulation policies determined in this way must include:			
loan periods (expressed in days, weeks, months, extended/fixed date)			
reference only			
loan entitlements (per item category and overall)			
renewal periods (according to method, e.g. phone, self-service etc)			
renewal limits by method			
reservations - charges			
reservations – allow/disallow			
reservations - maximum number (by item category and overall)			
reservations - loan period reduction if more than one			
reservations - length of time held on reservations shelf			
reservations - expiry period for unsatisfied reservations			
fine rates (normal and special rates, e.g. overdue reserved item)			
maximum fines			
charges – subscription/membership			
charges – hire charges			
notice production – type (e.g. overdue and frequency)			
notice production - format (e.g. print or e-mail)			
It must be possible to apply library-defined grace periods			
The system must maintain a calendar of closed dates for each location. All circulation transactions including due dates, fines, recalls and reservations awaiting collection must take account of closed days			
Authorised library staff must be able to update parameters with immediate effect			
The system must provide extensive ability to set parameters including for loans, limits and calendar, globally or at the branch level.			
General circulation functions			
The system must provide automatic blocks/alerts on borrowers, including:			
expired ticket			
outstanding fines/fees (library-definable threshold)			
overdue/recalled items (library-defined threshold)			
over entitlement			
Automatic blocks/alerts must be automatically removed			
The system must allow authorised staff to input manual blocks with an explanatory message			
Authorised staff must be able to override any borrower or item block.			
The system must show the status of items (e.g. reserved, awaiting collection) at all times to both staff and end users			
The system must maintain a loan history for both items and borrowers, retrievable for a library-defined period			
The system must support the circulation of uncatalogued items and recording of brief information when issuing, using library-defined defaults for loan control and trapping such items on return to allow full details to be input			
The system must allow for loans of multiple sets, e.g. music, drama sets			
The system must allow end users to borrow, return and renew items at any service point			
The system must alert the operator to items which need to be returned to their 'home' location and manage the transit of such items, showing their current status at all times			
Issue, return and renewal			
It must be possible to enter the unique item identifier (e.g. barcode, RFID tag) by machine (e.g. scanner, reader) or manual input			
Item identifier only must be required for return			
Borrower and item status must be automatically checked on all three functions; any blocks/ accompanying messages must be displayed with an audible warning			
It must be possible to override the calculated due date at the point of issue/renewal, subject to borrower and item checks			
Borrower expiry date must override due date; warning of imminent expiry date must be given on screen			

The system must allow a means of ending the current transaction (to prevent the issue of items to a previously accessed borrower)			
It must be possible to backdate the date of return to accommodate book drop returns			
The system must allow for flagging items as 'claimed returned', leaving the item linked to the borrower as a claimed returned item but suppressing notices and fines			
It must be possible to flag items as 'lost', leaving the item linked to the borrower as a lost item, but suppressing notices and fines			
The system must alert staff of 'lost' items on issue and return			
It must be possible to flag items as 'damaged' and alert staff and end users on issue and return			
It must be possible to flag items with multiple elements, e.g. triple CD packs, and alert staff/users on issue and return to ensure sets are complete			
The system must:			
allow bulk renewal of all items on loan (subject to borrower and item checks), or selected items			
prevent renewal of overdue items (library defined threshold), reserved or recalled items, and items over the renewal limit			
allow for renewal of unseen items via:			
telephone			
self-renewal via OPAC			
self-renewal via automated telephone answering service			
flag method of renewal			
provide direct access to the borrower record for personal details and details of loans, fines and reservations, from issue, return or renewal functions			
provide direct access to the full item record, including reservation information, from the borrower's loan record			
Bookings			
The system must support booking of equipment, e.g. PCs, either directly on the system or via an interface with a bookings system using SIP2/NCIP standards			
Document delivery and inter-library loans			
General			
Document delivery and inter-library loans must be integrated with the rest of the system, including:			
the OPAC (for users to input requests and view progress)			
borrower records (to control ILL privileges)			
circulation control (for ongoing control of inter-library loans)			
For requests input via the OPAC, there must be facilities for staff to authorise and process requests			
The system must support ISO 10160/10161 ILL protocol (current version)			
The system must support the current procedures and formats specified by the Libraries Australia Document Delivery (LADD) service			
The system should support requests to other libraries			
A file of supplying libraries must be maintained, accessible by code and library name			
Format and content of notices must be library-definable			
It must be possible to archive completed document delivery/ILL requests and make them available for access by staff for a library-defined period			
Request process			
The system must:			
check eligibility to place requests (by borrower category) and any blocks on the user which may inhibit the request			
allow a limit to be imposed on the number of concurrent requests from any user (by borrower category), with an overall limit over a library-defined period of time			
provide varying templates for entering the request (for monographs, serials, serial articles, conferences etc)			
allow users entering requests via the OPAC to specify a collection point (if applicable)			
allow requests to be created by uploading data from external databases, e.g. LADD databases			
allow library staff to amend the bibliographic and other request details before and after transmission of request			
allow for checking requests against the OPAC			
allow for special requirements to be added to requests, e.g. loan essential, translation only			
allow for LADD transaction codes to be added to requests, e.g. RENEW, CANCEL etc.			
handle urgent requests, e.g. phone requests, and suppress transmission of the request concerned			
allow staff to access the request record in a number of ways, including:			
bibliographic details			
from the user record			
The user record must display:			
ILL items on loan			
outstanding requests			

progress reports			
Requests must be displayed in chronological order with most recent first			
The system must support the electronic transmission of requests to LADD via Email with an option to print or e-mail requests to other libraries if required.			
Error detection must be provided and it must be possible to amend and retransmit files			
It must be possible to change lenders for outstanding requests			
It must be possible to initiate action to revive a cancelled request or to re-request a wrongly-supplied item			
Receipt and loan			
The system must record the receipt of the following (with date of receipt automatically recorded):			
photocopy for retention			
item for loan or use in the Library			
It must be possible to amend the supplying library if different from the library from which the item was originally requested			
The system must:			
record the direct delivery of photocopied documents to the end user from LADD (as reported by LADD)			
produce requester's address in label format for sending out photocopies from Library			
record completion of items sent out from LADD/Library			
allow for ongoing control of reference and loan items (issue, renewal, recall, return, overdues, fines) via the circulation function, with specific parameters for such items, e.g. loan periods, fines, notices			
allow a default due date to be set for each lending library (library-defined) for loan items, and for 'issuing' items to be used in the Library			
take account of closed days when calculating return dates			
create a loan period that includes both a return date and an automatic extension (subject to recall) in line with LADD lending policy			
notify the requester on receipt of an item, with details of collection point, due date, renewal conditions, and whether item is for use in the Library only			
notify Library staff if an item has not been collected within a library-defined period of time			
notifications must be possible by e-mail, print, and also appear on user's record on OPAC			
Renewals			
The system must:			
manage renewal of loans, both from other libraries, and from LADD who require renewals to be made on a new request number			
allow for the electronic transmission of the renewal request to LADD			
produce printed or e-mail notices to renew with other libraries			
Reports			
The system must:			
recognise standard LADD report codes and translate them to appear as text on the system			
allow free text reports to be input and for standard reports to be amended as necessary			
generate reports for requesters, lenders and library staff, which may be printed, e-mailed, and/or displayed on the OPAC (for end users)			
allow for a reapplication to the same supplier or a different supplier after receiving a reply from the requester			
Chasers and cancellations			
The system must:			
generate chasers according to library-defined regimes			
transmit chasers electronically to LADD			
generate printed or e-mail chasers for other suppliers			
allow for requests to be cancelled			
allow for logging the reason for the cancellation			
generate cancellation notices to the supplier and requester			
transmit cancellation requests electronically to BLDSC			
Charges and funds			
It must be possible to handle charges imposed by document delivery suppliers			
The system must support deposit and billing accounts			
It must be possible to set up a number of accounting methods for one supplier			
The system must allow funds to be set up for document delivery/ILL			
Funds in ILL/document delivery should be linked to Acquisitions funds			
The system must maintain and display for each fund:			
fund allocation			
expenditure			
commitment			
cash balance			
Loans to other libraries			
The system must provide a facility for loaning to other libraries			
Control of loans (issue, renewal, recall, return, overdues) must use library-defined parameters.			

4.4.3 BORROWER MANAGEMENT			
The system must provide the ability to create different patron types and set circulation parameters for each type of patron.			
The system must allow authorised staff to create, modify, and delete patron records.			
It must be possible to update defined areas of the patron record (core information, addresses, and phone numbers) independently.			
The system must integrate with external identify management systems (e.g. LDAP) for authorisation and authentication.			
Individual segments of the patron record must be updatable by disparate sources without affecting information in other segments.			
It must be possible to import and update borrower information from the organisational database			
The system must be able to generate a PIN number automatically or to accept an externally derived PIN			
It must be possible to create/edit borrower records manually in addition to importing them			
It must be possible to duplicate data common to more than one borrower, e.g. family details			
Fields for the borrower record must be library-defined. Standard fields must include:			
name			
address (provision for at least two addresses)			
e-mail address (provision for at least two addresses)			
automatic use of address by date (term/vacation)			
telephone numbers			
borrower category			
date of birth (under 18s)			
home branch			
location/department			
course			
joining date			
date of expiry			
last use			
free text notes/messages			
Borrower records must be accessible by name and number			
Library staff must be able to delete borrowers' records, in bulk or individually, except where current transactions or blocks are outstanding			
It must be possible to delete records by the date of expiry			
When a library card is being replaced, the existing borrower's details must be carried across from the old card			
It must be possible to flag a borrower barcode/library card as 'lost', prohibiting transactions on that card and alerting staff when it is used			
The system must be able to generate unique user numbers and accept numbers from an externally derived source			
Notices			
The system must allow automatic generation of notices, including:			
overdue letters			
fines			
replacement costs			
recalls			
notification of item awaiting collection			
The system must allow notices to be generated in a range of formats, to include:			
print			
e-mail			
SMS messaging			
Text and format of notices must be library-defined			
Short loans			
The system must allow for short loan periods to be set, including both hourly and overnight loans			
Hourly loans must cater for both rolling hourly periods (e.g. items due back four hours after issue) and fixed times			
It must be possible to maintain items in a short loan collection by allocating temporary short loan status linked to courses and reading lists			
It must be possible to set specific parameters for short loan items, to include:			
loan periods			
loan entitlements			
renewal periods			
renewal limits			
reservations			
fine rates			
notice production			
The system must support bookings of short loan items for a given date/time			
Mobile library services			
The system must offer equivalent circulation functions to mobile libraries, to include:			

issue, return and renewal of items			
borrower loans and messages			
fines and charges			
interception of reserved items			
borrower registration			
borrower search			
OPAC search			
It must be possible to list all stop points and group them into routes			
Loans must be associated with a stop point/route			
The system must support bulk renewals of all loans at a stop point (for use if stop point is postponed)			
Mobile library transactions must be synchronised with the main library system			
Housebound services			
The system must support services to the housebound to include:			
profiles and borrower history of housebound readers to enable selections to be made			
generation of pick lists			
issue and return of selected items to individual housebound readers according to specific parameters			
block issue and return of selected items to day centres, homes etc according to specific parameters			
Project/group loans			
It must be possible to group multiple items for issue under a single 'parent' identifier			
It must be possible to return items from the project/group loan individually			
The system must automatically return the 'parent' item when the last on-loan item in the group has been returned			
It must be possible to unlink on-loan items from the project/group loan, so that the rest of the project/group loan can be re-issued			
Stock rotation			
It must be possible to move collections of stock from branch to branch on a rotating basis			
The rota must incorporate dates for transfer of collections and produce an alert when collections are due to be moved			
Items on loan in a collection must be routed to the new location			
Back-up circulation			
In the event of system or network failure, there must be a back-up circulation function capable of handling all issue and return transactions without disruption to services			
Recovery of transactions must be possible as soon as the system is back online			
All recovered transactions must be time-stamped so that later transactions supersede earlier ones			
The system must report on current reservations on recovered return transactions			
4.4.4 FINES AND FEES			
The system must support assessment of fines and fees for an item based on transaction policies defined by the library. This includes both overdue fines and lost item fees, which may be automatically applied after an item is overdue for a library-defined period of time.			
It must be possible for an authorised operator to manually add or waive a fine or fee.			
The system must offer the ability to set the amount of fines accrued after which the patron account is blocked from further activity.			
It must be possible for end-users to view their fines and fees in the (OPAC) Resource Discovery solution, without seeing any element of the Library's back-office systems.			
It must be possible to disable fines and not operate a fining regime at all.			
The system must:			
show details for each fine or charge, e.g. the loan which incurred the fine			
accumulate fines and charges for payment in a single transaction			
allow for payment to be accepted either in the Return function or by direct access to the fine payment screen from the Return function			
allow payment in full or part against any individual charge			
allow payment in full or part against all charges			
allow authorised staff to waive all or some fines/charges owing. The reason for the waiver must be recorded.			
It must be possible to defer payment (at the discretion of the library)			
It must be possible to record the payment method			
The system must enable group payment of fines, e.g. families			
It must be possible to print receipts of fines/charges paid on attached or networked printer			
The system must include cash management functions to enable balancing of income received on the system with that recorded on tills			
It must be possible to set a default replacement cost (where cost not specified on item record) for lost books			
It must be possible to set processing/administration fees			

Financial history should be retrievable for a library-defined period			
It must be possible to handle other charges, including:			
subscription/membership charges			
hire charges			
reservation charges			
library sales			
The system must allow refunds to be made and recorded			
4.4.5 REQUEST MANAGEMENT - Reservations			
The system must support business rules that automatically manage patrons' requests and allowing staff user mediation only when necessary.			
The system must automatically generate a notice to patrons when requested items are available. This notice may be in the form of an email or an SMS. This should be generated in real time.			
The system must support the administration of access rights for digital materials, based on patron group and collection.			
The system must support the administration of access rights for electronic materials, including the ability to restrict access by IP address and federated access management where appropriate.			
The system must:			
allow title-level (first available copy) reservations by staff and end users			
allow item category and copy specific reservations by staff only			
allow grouping of locations to satisfy reservations			
allow/disallow reservations on items on order			
allow/disallow available items (i.e. on shelf) to be reserved if reservation placed in the library			
automatically notify staff at each site of reservations for items not on loan (remote reservations) for shelf check			
allow staff to record 'not found' status against remote reservation request			
allow for remote reservation requests to be routed between sites if on shelf copy at more than one site			
allow for a default collection point to be specified which can be changed if required by staff/end users			
allow reduction of loan periods when there are outstanding reservations on items			
allow generation of recall notices for reserved items (recall item due back soonest), and reduction of the loan period			
alert staff of a reservation on an item on return from loan and notify the requester that the item is awaiting collection			
alert staff/end users if a reservation is awaiting collection, whenever the user record is accessed			
allow for reservations to be cancelled automatically on expiration			
allow for reservations to be cancelled manually by staff (with provision for reason)			
Staff must be able to change the order of the reservation queue			
It must be possible to set an expiry date for uncollected reservations, with automatic notification to staff (to remove from reserve shelf)			
It must be possible to set an expiry date for unsatisfied reservations, with automatic notification to end users			
4.5. METADATA MANAGEMENT (CATALOGUING)			
4.5.1 FORMAT SUPPORT			
The system must support:			
multiple metadata formats and be extensible to additional formats. At a minimum, MARC21, Unicode, Dublin Core and MODS must be available out-of-the-box for the library. The metadata management environment must support functions appropriate to these formats.			
import and export (with no loss of data) in all supported formats.			
support new fields and subfields added to MARC to support RDA.			
validation of appropriate use of elements, fields, subfields, and values, including validation of controlled vocabularies for fields (e.g. RDA content, carrier, and media terms).			
Text in all records must support Unicode for importing, editing, storage and export.			
The product should support shelf-ready procurement and metadata provision; this will require full interoperability with established monograph and serials vendors including but not limited to those currently delivering content as part of existing regional and/or national procurement frameworks.			
Dewey (current edition)			
ISO 2108 (ISBN, current revision)			
must allow extra local bibliographic fields to be defined			
must not impose limits on record, field or subfield size, or the number of fields in a record (beyond that imposed by the MARC format)			
Electronic resources			
The system must allow for the input of URLs, URNs and other URIs in bibliographic records for electronic location and access information			
The system must incorporate a link checker			
4.5.2 EDITING			

The system must support:			
the ability to edit all records through an online editor, including any element, field, subfield, or fixed field value as appropriate for the format.			
The product should have the same editing capabilities for all metadata types (physical, electronic and digital).			
notify the cataloguer when a record being edited or saved matches an existing record in the catalogue.			
the display of cataloguing policies in the editor.			
Cataloguers must be able to save drafts of records without committing them to the catalogue.			
the creation and storing of record templates for use in creating and editing records, including specifying default elements, fields, subfields, and values stored in these templates.			
record versioning, including the ability to view and roll back to past versions of that record			
hotkeys for navigation and actions that allow editing entirely with the keyboard.			
the ability to perform changes in bulk against a set of records, including the ability to alter any element, field, subfield, or fixed field value.			
provide a full-screen edit interface for creating bibliographic records			
provide both a MARC and labelled input interface			
prevent the creation of duplicate records by allowing pre-searching and matching on various fields including control numbers (ISBN, ISSN)			
allow existing records, from external sources or the internal database, to be copied and used as the basis for a new record			
allow data common to more than one record to be duplicated for a succession of records			
validate ISBN-10 and ISBN-13			
validate ISSNs			
allow for adding new copies to an existing record			
provide for the online deletion of bibliographic records; it must not be possible to delete a bibliographic record if it still has item (copy) records attached			
provide for immediate retrieval on all access points defined by the library			
4.5.3 AUTHORITY CONTROL			
The system must:			
support MARC21 Authorities format			
allow for authority control on certain fields, to include:			
authors			
subjects			
series			
provide for the creation, editing and deletion of authority records			
allow access to authority records during record creation for checking/selecting headings			
allow display of works associated with an authority heading			
allow for global changes of headings and merging of headings, with associated records amended automatically			
allow libraries to create or load local authority files and records for subjects (including genre terms) and names.			
support authorization of bibliographic headings against local or global headings in authority records.			
When a heading changes in a local or global authority record, the system must automatically make the change in bibliographic records that are authorized against that heading without staff intervention.			
4.5.4 HOLDINGS MANAGEMENT			
The system must allow for the creation of holdings and item records for physical resources.			
The system must support the ability to perform changes in bulk against a set of holdings or items.			
Institutional repository – describe how your product manages the process of collecting internally digital generated material.			
The system must allow unique item identifiers (e.g. barcodes, RFID tags) to be assigned to item records on the system			
There must be no effective limit to the number of item records linked to the bibliographic record			
It must be possible to specify library-defined defaults for item data and to copy item data from one record to another			
It must be possible to mark copies as withdrawn or deleted			
The system must give a warning if the last copy is being withdrawn or deleted			
It must be possible to assign a replacement item identifier to an item, and transfer all transaction data to the new item record			
The system must provide a stock checking facility, allowing the use of portable devices to store and upload item identifiers (e.g. barcodes, RFID tags) to the database, and report inconsistencies			
The system must provide routines for bulk changes of data, e.g. location, loan category			
4.5.5 IMPORTING RECORDS			
The system must allow for the loading records singly or in bulk.			

The system must allow for searching external databases through the online interface via z39.50 or SRU/W and importing resulting records to the catalogue.			
When loading a record or set of records, staff must have the following options for handling records detected as duplicate: • Add new records, ignoring duplicates • Overlay one record with the other • Merge the two records • Do not load new records when a duplicate is detected.			
The system must allow for validation of incoming records according to library-defined validation rules.			
The system must allow for the enhancement of incoming records according to library-defined bulk record change rules.			
System operators should be able to perform mass updates in an efficient, controlled way for all resources types (electronic/digital and print).			
provide for the import of authority records			
4.5.6 EXPORTING RECORDS			
The system must allow for the export of individual, groups of records, or an entire catalogue to a predefined target with no additional fees. The records to be exported may be based on a selected set, or records that have changed since the last export to that target.			
The system must allow for the enhancement of exported records according to library-defined bulk record change rules, including the ability to enhance bibliographic records with holdings information.			
allow the export of records in MARC21 exchange format			
4.5.7 SHARED BIBLIOGRAPHIC RECORDS			
The system must provide access to a catalogue of bibliographic records shared by all libraries of that system. Libraries must be able to attach holdings directly to the shared records, edit the records, or copy them from the shared catalogue to the libraries' local catalogue.			
The system must support a local catalogue in addition to the shared catalogue for storing records that have local descriptive needs or terms of use that prevent their being shared with other libraries. Libraries must be able to use the shared catalogue, the local catalogue, or both simultaneously.			
The system must support the addition of local fields to the shared records that are viewable only to the local library.			
Libraries must retain the right to remove their records from the shared catalogue. The vendor must not take ownership of the records or make any kind of charge for their use.			
4.6 CENTRAL KNOWLEDGE BASE			

It is expected that the new system will support and be supplied with a Central Knowledge Base of electronic resources. This is important as the Library needs to be able to manage a large and complex digital collection. The vendors should answer the following:
• How many resources are managed in your Knowledge Base (per type)?
• How frequently is the Knowledge Base updated?
• Give details about how the following types of electronic resources are described in the Knowledge Base:
  • electronic journals (Individual electronic journals, newspapers, and other serials; journal packages; selective packages)
  • eBooks
  • Databases.
• Does the system allow for the addition of titles not currently in the Knowledge Base?			

4.7 LINK RESOLUTION			
The system must be able to accept OpenURL and context sensitive services as well as resolving the services.			
It is highly desirable that the system be able to augment the OpenURL metadata content where necessary.			
The system should be able to support cases where the OpenURL resolves to multiple records.			
4.8 COLLECTION MANAGEMENT			
A selector must be able to review recommendations and make decisions about whether or not to acquire a recommended resource.			
The system should support automated acquisition workflows for recommended items. Describe how rules to support this can be defined and managed in your system			
4.9 REPORTING AND ANALYTICS			
The solution should provide not only operational and usage report but analytics and Business Intelligence (BI) capabilities.			
The solution must support reporting and analytics capabilities. Describe the reporting and BI solution of the proposed product and specifically indicate its ability to run in a cloud environment.			
The reporting tool must support a variety of output options including, but not limited to viewable online, send to printer, email and export to a spreadsheet.			

The reporting system must be able to provide d the analysis of different data gathered by the system to serve as a support for decision making process. Benchmarking is strategically important to the Library and any system must be able to generate the relevant metrics.			
The reporting & BI system should support the ability to collaborate and share reports made by other parties.			
The reporting system must support the customization of reports by librarians; this includes but not limited to: changing of reports parameters, views, time range etc.			
The solution must support flexible reporting with a range of standard expenditure reports.			
The solution must support role-based report generation and view such that user will only be able to view reports and data according to his/her role.			
The solution must include a dashboard in which it is possible to monitor performance, tasks and detect trends. It is also required that the dashboard will be based on roles, allow customization and support the embedding of widgets.			
The Analytics tool must be able to analyze history data and provide trends analysis (such as usage, expenditure).			
The reporting solution should allow layered reporting with drill down capabilities – for example: expenditure over year with drill down to quarters/items etc.			
The Reporting application must allow for the automatic scheduling of reports at defined intervals.			
It must be possible for the Library to define how long data is retained on the system for use in reporting.			
It must be possible for the Library to define and run its own regular and ad hoc reports without using a complex query language and without the intervention of systems staff			
It must be possible to save report specifications for re-use			
It must be possible to tailor pre-defined management information reports and to run these on a regular or ad hoc basis			
Layout and filing order of reports should be library-definable, with standard layouts also provided			
The system must be able to provide statistical information on an hourly, daily, weekly, monthly and annual (academic/financial year) basis			
It must be possible to produce snapshot statistics			
It must be possible to:			
view reports and statistics online			
output reports and statistics via e-mail			
output reports and statistics to electronic files (for ftp, download etc.)			
output reports and statistics to local and system printers			
download data from the system into standard PC packages for further analysis, e.g. spreadsheets, databases			
Data must be exportable in ASCII and comma-delimited formats			
The system must provide pre-defined reports to meet Public Lending Right requirements			
Bibliographic database management			
Statistics of records added to the database, broken down by library-defined categories, e.g. material type, class mark, type of record (local/external)			
Lists of titles selected by a combination of a range of categories, e.g. date of input, class-mark / shelf-mark, material type			
Bibliographic records with no items attached			
Lists of new authority headings			
Withdrawals			
Inventory and stock check reports			
OPAC			
Usage statistics by title			
Usage by borrower category			
Usage by type of search			
Failed searches			
Self-service transactions			
Circulation			
Reports and statistics relating to circulation transactions, including: issues, returns, renewals, fines, reservations, with accumulation on an hourly, daily, weekly, monthly and annual basis; breakdown of statistics by borrower/loan status/collection category/ broad classification and any combination of these			
Reports on reservations: reserved items not on loan (for shelf check); reserved books with over a library-defined number of reservations (purchase alert); reserved books that have passed their holding date; uncollected reservations; outstanding reservations including number of days outstanding			
Reports on borrowers with fines and overdues			
Lists of titles with specified loan status or collection category			
Lists of borrowers with tickets due to expire within library-defined period			
Analysis of borrower information: by academic department/borrower category; levels of library usage and non-usage			
Reports on stock rotation activity, including: items in a particular rotating collection; current site of any item in a rotating collection; total items at a given site which are part of a rotating collection			
Mobile library statistics, including stop points			

Acquisitions (relating to serial as well as monograph orders)			
Acquisitions statistics, by library-defined categories including: gift/purchase; material type; supplier; fund; country of publication			
Outstanding orders by supplier, by fund / order date / order number / material type			
Completed orders by supplier / fund / material type			
All orders, by financial year; broken down by material type and supplier			
Cancelled orders			
requests for purchase from users			
Lists of suppliers			
Analysis of supplier performance e.g. average supply time, price and discount information, level of non-supply			
Monthly, annual and on demand fund reports, including commitment and expenditure			
Expenditure by supplier			
Expenditure by library-defined subject areas / departments			
Lists of recent accessions			
Statistics of EDI transactions			
Reports on unsuccessful transmissions			
Serials control			
Lists of titles with unfulfilled claims, after penultimate and final claims, by supplier			
Cancelled subscriptions, by supplier / financial year			
Cumulating daily, monthly and annual totals of issues checked-in, by library-defined categories, e.g. frequency, fund code			
Lists of current serials by combinations of: title, classmark, supplier, material type, fund code			
Binding: number of volumes sent to bind, number returned, analysis of time spent at binding			
Inter-library loans			
Statistics of ILL requests satisfied / unsatisfied / cancelled / outstanding			
Statistics of items by supplier: requests satisfied / unsatisfied, by material type			
Costs by supplier/fund/material type			
Relative statistics of photocopies supplied / items for home loan / items issued for reference use			
Supply times: average; shortest; longest			
Statistics of items requested, broken down by borrower category and material type			
Statistics of items supplied to other libraries: requests satisfied / unsatisfied, by material type			
4.10 SYSTEM ARCHITECTURE AND SECURITY			
The system must be vendor hosted in a cloud or Software-As-A-Service (SaaS) environment and be cloud born.			
The solution must maintain personal information securely and conform to EU legislation.			
The cloud environment must assure complete data protection and have high security capabilities in place.			
The system must be able to integrate with 3rd party solutions, specifically but not limited to ERP and human resources systems.			
The system must provide a means for the institution to monitor basic parameters on its cloud environment.			
The product should have the ability to store digital collections in cloud storage or in customer-managed storage.			
The cloud system must be fully fault tolerant without a single point of failure.			
The system must support basic fulfilment capabilities during local institution network outage.			
The data managed in the product must be preservation-ready and allow the library, at a later date, to apply preservation procedures to digital objects that are stored in the repository.			
Describe the data model for management of digital resources. Describe how resources with multiple representations/files are managed. Are physical, electronic and digital resources managed in the same repository?			
The product should support linking of digital resources to the relevant physical/electronic resources.			
4.11 SYSTEM ADMINISTRATION AND MANAGEMENT			
4.11.1 CUSTOMISATION			
The system should come with a set of "Out of the Box" definitions and configurations so that the library need only make minimal changes to the standard settings.			
The system should allow customization of the acquisition workflows in order to accommodate specific library needs as well as control over when orders and invoices need mediated handling.			
The system should allow the library to configure when fulfilment processes such as hold request/call slips can be automated or need to be mediated.			
The system should come with the ability to add notes and file attachments to various resources managed in the system.			

The interface must be easily customizable to the extent that it can be branded with the library identity. This includes control of style, images and graphical elements.			
The system must permit changes to vocabulary to reflect Australian practices.			
The system must allow the Library to define:			
which fields/subfields or combination of fields/subfields are indexed for the different search options			
which search options are offered to staff and end users			
the type of indexing applied, e.g. keyword, phrase/browse (i.e. with implicit right-hand truncation)			
The system must be able to sort the classification index for the following schemes, in accordance with general principles for the scheme:			
Dewey (current edition)			
4.11.2 USER MANAGEMENT			
The system should support a robust and flexible yet straight-forward system for assigning roles and permissions to staff functions.			
The system should support automatic assignment of roles to staff users.			
The system should support Authorization/authentication which is role/attribute based (i.e. a single user can have multiple roles without needing multiple IDs).			
The system must:			
provide an online public access catalogue (OPAC) for use by end users			
provide a simple (novice) interface, including non-Boolean searching			
an advanced search interface, including:			
explicit use of Boolean operators AND, OR, NOT			
specific fields to search			
left-hand truncation			
right-hand truncation			
wildcards			
links on search screens and results displays to other search options, e.g. browse index			
at all times, a display of the current search			
Searching			
It must be possible to perform a keyword search across all defined indexes or on selected indexes			
All commands and search keys must be case-insensitive and it must be possible to ignore diacritics and punctuation for searching			
The system must allow searching using variant spellings			
The system must offer the ability to **pre** *-limit searches:*			
by date (including open and closed range of dates)			
by language			
by format of publication (e.g. video, serial)			
to particular collections			
by location			
The system must offer the ability to **post**-*limit searches:*			
by date (including open and closed range of dates)			
by language			
by format of publication (e.g. video, serial)			
to particular collections			
by location			
Display of search results and navigation			
The system must:			
provide different levels of display (brief, full) and allow the Library to define which elements in a record are included in each display			
allow default sort order of search results to be library-defined for each search type			
allow the user to be able to change the default sort order			
allow users to view serial holdings, including serials check-in and latest issue information			
display the record immediately in the event of a single hit being retrieved (rather than intermediate index display)			
support hypertext links between elements in records allowing highlighted index terms to be used as the basis of further searches			
support hypertext links from cross references to authorised headings			
support hypertext links from bibliographic records to other electronic information resources both local and remote via URLs, URNs and other URIs			
Output and saving			
The system must:			
allow users to mark or select references for printing and downloading			
allow users to review and edit the list and to sort items			
allow users to download lists of saved records to disk or e-mail or to send to an attached or network printer			
offer a range of output formats for exported records, including:			
full and brief records			
M.A.R.C. 21			
ASCII			
EndNote			

ProCite			
library-defined formats			
Self-service options			
The system must allow users access to their own records and transaction details (as authorised by user ID/PIN). Transaction details must include:			
loans			
reservations			
fines			
purchase requests			
ILL requests			
Users must be able to:			
make reservations			
cancel reservations			
make bookings for short loan material			
make renewals			
make ILL requests and view progress			
make purchase requests			
update their contact details			
The system must interface with automated telephone renewal systems for self-service renewals via this method, using the SIP2/NCIP standards			
The system must interface with self-issue/return devices using the SIP2/NCIP standards			
All circulation parameter settings (e.g. loan rules, borrower blocks) must also apply to self-service functions			
4.12 UNIFIED STAFF SEARCH			
The system must:			
provide additional access to the bibliographic database for staff use only in the different functions, to include:			
additional indexes			
ability to access all records in stock, on order, in process etc.			
additional information relating to loans, borrowers, items on order etc.			
additional displays, e.g. MARC format			
The system must support Z39.50 (current version) client and server			
It must be possible to display help, including examples, on search screens			
It must be possible to suppress certain categories of material from display to the end user on the OPAC (e.g. no copies available for loan/request)			
It must be possible to suppress individual bibliographic records from display to the end user on the OPAC			
offer intuitive and easy to use search methods; both basic and advanced searching must be supported.			
Advanced search must allow for the option of searching multiple fields simultaneously for words or phrases. Staff should be able to define their own search conditions – based on standard indexed options.			
be delivered with an out of the box set of standard indexed fields, including, but not limited to: • author • title, • subject • series • call number • ISBN/ISSN • publisher • notes			
It must be possible to filter large result sets – e.g. by facets.			
It must be possible to search across all types – bibliographic physical, digital, electronic in one search query.			
It must also be possible to set a pre-search filter – for example by: • Bibliographic information • Physical title • Physical item • Digital title • Digital files • Electronic information			
Based on staff queries it must be possible to save and manage sets.			
Sets should be the result of a query – i.e. all the items resulting from the search will be included in the set.			
It should also be possible to choose items from a query, and to form a set from the chosen items.			
It must be possible to search for electronic resources by – but not limited to - title (e.g. journal title), package and by provider.			
Dependent on the search type, it should be possible – from the results list - to edit a record, create an order, view holdings, items etc.			
It would be desirable if the software had a persistent search box so that staff could search the database regardless of where they are in the system.			
4.13 RESOURCE DISCOVERY LAYER INTEROPERABILITY			

Integration with the Library's discovery layer must be complete – i.e. no elements of the Next Generation Library System's own interface should be visible to the Library's end-users			
Describe any unique capabilities available by using your Resource Discovery solution in conjunction with your proposed library resource management system.			
The solution must support seamless patron driven workflows initiated from discovery served by the system such as but not limited to: digitization on demand, patron driven acquisition, ILL requests, and course reserve requests.			
End-users should be able to see all their account information (fines, loans, stored searches etc) seamlessly in the library's discovery solution.			
4.14 SUPPORT AND MAINTENANCE			
Describe the hosting capabilities – please include: up-time, data centre details, maintenance periods and level of support. Provide examples of Service Level Agreements (SLA) you offer. Supply evidence of human resource dedicated to support and maintenance.			
Describe overall support options: • Type of support plans (i.e. 24x7x365) • Can plans be adjusted? • Do you provide the support or is it provided by a third party?			
Describe your proposed incident response procedures, addressing specifically how you will manage unscheduled outages, interrupted services, or a customer's report of degradation in service. Include specifics as to how you will investigate and resolve service level interruptions.			
Describe how emergency support is available 24x7. List any web sites used for support purposes.			
Describe what steps you have taken to secure the cloud environment including information about specialist staff dedicated to this.			
Please describe the way in which feature enhancements are released to your product (e.g. separate beta testing vs. en-masse beta testing with the entire population). How will the users be notified of upcoming or released product features?			
Please describe your change control procedures and how the users receive prior notification of scheduled downtime for maintenance or upgrades.			
Describe how you provide access to customer resource web site that includes: • A knowledge base that includes extensive information to assist customers in troubleshooting issues and FAQs. • Access to product information such as release notes, user group presentations, etc. • Access to all software documentation. • Information regarding upgrades and patches.			
Describe how requests for enhancements are handled. How are priorities set for enhancements? What role, in any, does a user group have in this process?			