Library Management System Review checklist

In the box on the right please indicate with the colours opposite:

- yes - the LMS does this - Green infill
- no - It doesn't do this - red infill
- we can do this if we want/ available shortly - Grey infill

### 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 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 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
- 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:**
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 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
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
<table>
<thead>
<tr>
<th>discount amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>delivery/postage and packing charges</td>
</tr>
<tr>
<td>GST</td>
</tr>
<tr>
<td>supplier servicing charges (labelling, covering etc)</td>
</tr>
<tr>
<td>links to display ordes invoiced</td>
</tr>
<tr>
<td>free test note field</td>
</tr>
<tr>
<td>the system must allow online display of invoice data for a library-defined period</td>
</tr>
<tr>
<td>invoice processing must reconcile invoice totals and individual amounts charged on invoices with line items</td>
</tr>
<tr>
<td><strong>The system must provide an alert before accepting invoice data for the following:</strong></td>
</tr>
<tr>
<td>items which have been cancelled</td>
</tr>
<tr>
<td>items which have claims outstanding</td>
</tr>
<tr>
<td>items which are charged to over-committed and overspent funds</td>
</tr>
<tr>
<td>if no parts have been received</td>
</tr>
</tbody>
</table>

Fund accounting

| **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 predefined workflows for upload of digitized material and their metadata including:
- Automatic loading from predefined 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 BIBLIOGRAPHIC 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:**

<table>
<thead>
<tr>
<th>borrower category</th>
</tr>
</thead>
<tbody>
<tr>
<td>item category</td>
</tr>
<tr>
<td>location</td>
</tr>
</tbody>
</table>

**Circulation policies determined in this way must include:**

<table>
<thead>
<tr>
<th>loan periods (expressed in days, weeks, months, extended/fixed date)</th>
</tr>
</thead>
<tbody>
<tr>
<td>reference only</td>
</tr>
<tr>
<td>loan entitlements (per item category and overall)</td>
</tr>
<tr>
<td>renewal periods (according to method, e.g. phone, self-service etc)</td>
</tr>
<tr>
<td>reservations - charges</td>
</tr>
<tr>
<td>reservations – allow/disallow</td>
</tr>
<tr>
<td>reservations - maximum number (by item category and overall)</td>
</tr>
<tr>
<td>reservations - loan period reduction if more than one</td>
</tr>
<tr>
<td>reservations - length of time held on reservations shelf</td>
</tr>
<tr>
<td>reservations - expiry period for unsatisfied reservations</td>
</tr>
<tr>
<td>fine rates (normal and special rates, e.g. overdue reserved item)</td>
</tr>
<tr>
<td>maximum fines</td>
</tr>
<tr>
<td>charges – subscription/membership</td>
</tr>
<tr>
<td>charges – hire charges</td>
</tr>
<tr>
<td>notice production – type (e.g. overdue and frequency)</td>
</tr>
<tr>
<td>notice production - format (e.g. print or e-mail)</td>
</tr>
</tbody>
</table>

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:**

<table>
<thead>
<tr>
<th>expired ticket</th>
</tr>
</thead>
<tbody>
<tr>
<td>overdue/recalled items (library-defined threshold)</td>
</tr>
<tr>
<td>over entitlement</td>
</tr>
</tbody>
</table>

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
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:
<table>
<thead>
<tr>
<th>Issue, return and renewal of items</th>
<th>Borrower loans and messages</th>
<th>Fines and charges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Borrower registration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OPAC search</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**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

**Backup 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
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.

**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 URLs in bibliographic records for electronic location and access information

The system must incorporate a link checker

**4.5.2 EDITING**
### 4.5.5 IMPORTING RECORDS

The system must allow for the loading records singly or in bulk.

<table>
<thead>
<tr>
<th>Task</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>The system must support:</td>
<td>the ability to edit all records through an online editor, including any element, field, subfield, or fixed field value as appropriate for the format.</td>
</tr>
<tr>
<td>The product should have the same editing capabilities for all metadata types (physical, electronic and digital).</td>
<td>notify the cataloguer when a record being edited or saved matches an existing record in the catalogue.</td>
</tr>
<tr>
<td>The system must provide routines for bulk changes of data, e.g. location, loan category</td>
<td>allow display of cataloguing policies in the editor.</td>
</tr>
<tr>
<td>Cataloguers must be able to save drafts of records without committing them to the catalogue.</td>
<td>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.</td>
</tr>
<tr>
<td>The system must allow for the loading records singly or in bulk.</td>
<td>record versioning, including the ability to view and roll back to past versions of that record.</td>
</tr>
<tr>
<td>It must be possible to mark copies as withdrawn or deleted.</td>
<td>hotkeys for navigation and actions that allow editing entirely with the keyboard.</td>
</tr>
<tr>
<td>The system must give a warning if the last copy is being withdrawn or deleted</td>
<td>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.</td>
</tr>
<tr>
<td>The system must support:</td>
<td>provide a full-screen edit interface for creating bibliographic records.</td>
</tr>
<tr>
<td>The system must support MARC21 Authorities format</td>
<td>provide both a MARC and labelled input interface.</td>
</tr>
<tr>
<td>The system must allow for authority control on certain fields, to include:</td>
<td>prevent the creation of duplicate records by allowing pre-searching and matching on various fields including control numbers (ISBN, ISSN).</td>
</tr>
<tr>
<td>The system must allow authority control on certain fields, to include:</td>
<td>allow existing records, from external sources or the internal database, to be copied and used as the basis for a new record.</td>
</tr>
<tr>
<td>The system must give a warning if the last copy is being withdrawn or deleted</td>
<td>allow data common to more than one record to be duplicated for a succession of records.</td>
</tr>
<tr>
<td>The system must:</td>
<td>validate ISSNs.</td>
</tr>
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<td>The system must allow 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.</td>
<td>allow for adding new copies to an existing record.</td>
</tr>
<tr>
<td>The system must allow 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.</td>
<td>provide for the immediate retrieval on all access points defined by the library.</td>
</tr>
</tbody>
</table>

### 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 aware 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 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 data 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
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.

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 fulfillment 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 straightforward 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
### 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.

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.

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 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

<table>
<thead>
<tr>
<th>ProCite</th>
<th>library-defined formats</th>
<th>Self-service options</th>
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</tr>
<tr>
<td></td>
<td>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.</td>
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<td>Based on staff queries it must be possible to save and manage sets.</td>
<td></td>
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<tr>
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<td>Sets should be the result of a query – i.e. all the items resulting from the search will be included in the set.</td>
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</table>
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, if any, does a user group have in this process?