

**The University of London**

Tender for the Senate House Library and School of Advanced Study Libraries

Library Resource Management System & Resource Discovery Solution

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Tender for the Senate House Library and School of Advanced Study Libraries Library Resource Management System & Resource Discovery Solution

Invitation to Tender

1.0 Introduction

1.1 Background to the Library Resource Management System Tender

The University of London Senate House Library (SHL) and the School of Advanced Study (SAS) Libraries include SAS’ independent libraries which form part of the SAS Institutes’ serving national research communities. This group of libraries includes:

1. Senate House Library (SHL)
2. Institute of Advanced Legal Studies Library (IALS)
3. Institute of Classical Studies Library (ICLASS)
4. Institute of Historical Research Library (IHR)
5. Warburg Institute Library (WARB)
6. Heythrop College University of London
7. The University of London institute in Paris (ULIP)
8. The Wallace Collection
9. The hosted catalogue of the Bibliographical Society

Additional general information about the University of London (UoL) can be found at [www.london.ac.uk](http://www.london.ac.uk).

1.2 Tender Overview

The SHL and SAS Libraries are seeking to award a contract for a new library management system. The new system would be the successor to an existing library management system currently in place and must include a wider scope than traditional library systems and a search and resource discovery solution that is independent but closely coupled to the library system. Key deliverables expected from the implementation of a suitable Library Management System and Resource Discovery Solution:

1. Enhanced capability to effectively manage core library management functions across all library process areas. This includes acquisitions, cataloguing, circulation, discovery, management reporting and integration – in a system that is a SAAS cloud-based solution.
2. The ability to offer SHL & SAS readers a modern, feature-rich, single search and discovery interface that seamlessly integrates with multiple resources & repositories.
3. The capability to integrate the library management system with a number of existing and potential future systems including finance, student record, identity management and other enterprise wide systems.
4. The capability to produce detailed accurate and comprehensive management reporting, through customised dashboard interfaces.
5. Customisation and configuration of both the library management system and resource discovery system on an institution by institution level for each institution library within the SHL & SAS libraries. This is to ensure they can work independently whilst sharing the same underlying systems.
6. All necessary data & configuration migrations and data updates from the existing LMS system to the successful supplier’s proposed solution.

1.3 Key Deliverables

The following key deliverables are expected from the Library Management System and Resource Discovery Solution:

1. A next generation, SAAS, cloud based solution service that offers allows the Library staff, users and other stakeholders to take advantage of the benefits offered by the next generation of LMS & Resource discovery solutions.
2. Highly secure and resilient off-site managed LMS & Resource Discovery solution.
3. Web-based LMS and Resource Discovery interfaces that are multiple-browser and device friendly.
4. A solution that is both scalable and flexible.
5. Greater integration capabilities with other University of London Enterprise systems, including Finance Student Record, Staff record, Identity management. Teaching & learning and estates systems.
6. Comprehensive implementation functionalities – including API’s, Web Services, to enable system capabilities to be harnessed through other systems and services.
7. Greater and more comprehensive reporting & analytics, accessibility and efficiency.
8. Increased flexibility within the service allowing for faster and more comprehensive user administration.
9. Increased flexibility within the service allowing for faster and more comprehensive resource administration.

1.4 Contract Details

1. The contract to be awarded is for the development, implementation and maintenance of a cloud based software solution for managing library resources.
2. The contract term is for 5 years, from **15 January 2016 to 14 January 2021**. The contract terms and conditions will include the opportunity for a 2 year extension on the initial 5 year period but any extension to the contract must be with agreement of all parties to the contract.
3. Bidding suppliers must submit their schedule of contract prices with their tender and confirm their pricing for the term of the contract by signing the Form of Tender. Pricing must include charges for:
   1. Implementation (primarily during the first year of the contract)
   2. Licensing and subscriptions
   3. Hosting
   4. Maintenance and support costs
4. Tender prices will be scored along with the quality and technical elements of the tenders submitted. Price will be scored as 30% of the total tender score and as such more competitively priced bids will be scored higher; quality will be scored as 70% of the total tender score. See section 2.5 Tender Evaluation for more information.
5. The University will not be submitting a tender themselves.
6. The University of London reserves the right not to award a contract as a result of the current procurement process.

1.5 One Stage Procurement Process for the Library Resource Management System & Resource Discovery Contract

The tender for this contract is run in 1 single stage which comprises of 2 documents that suppliers are required to complete and return at the same time. The first document for supplier prequalification to establish supplier capability to carry out the contract. The second document is the tender document where suppliers propose to the University how they will provide the service and at what price:

1. Supplier Prequalification

First all suppliers must complete a Prequalification Questionnaire or PQQ. The PQQ asks suppliers to provide business information that establishes their experience, knowledge, resources and overall capability regarding the provision of a Library Resource Management System & Resource Discovery service. All PQQs returned will be evaluated; those that meet the required capability criteria will then have their relevant tender documents evaluated and scored. Where a supplier has not passed the PQQ stage their submitted tender will not be evaluated.

1. Tender Documents

All suppliers must submit responses for 3 sections of specification:

1. A technical specification
2. A service quality specification
3. A pricing worksheet

These sections will be weighted in accordance with their importance. Supplier responses will be evaluated and scored and the 3 highest scoring tenders will be shortlisted to attend a presentation and clarification meeting with the University. Presentations will be scored and these scores added to the overall tender score. The highest scoring tender will be awarded the contract.

1.6 Key Dates in the Procurement Exercise

See the procurement schedule below for key dates in this exercise:

|  |  |  |
| --- | --- | --- |
| **#** | **Project Activity** | **Date(s)** |
| **1** | Prequalification Questionnaire and ITT documents uploaded to Proactis | 21 September 2015 |
| **2** | Supplier Engagement Day & Senate House Library site visit | 8 October 2015 |
| **3** | Deadline for the submission of tender queries | 4 November 2015 at 12:00pm |
| **4** | PQQ and tender return date | 9 November 2015 at 12:00pm |
| **5** | Tender evaluation. Top 3 scoring suppliers shortlisted | 10 November - 9 December 2015 |
| **6** | Shortlisted suppliers notified and sent presentation guidance | 11 December 2015 |
| **7** | Tender debriefing for unsuccessful suppliers | 14 December – 18 December 2015 |
| **8** | Supplier ITT presentations and clarification meetings | 4 – 8 January 2016 |
| **9** | Final evaluation of tenders & presentations. Winning supplier notified | 11 – 13 January 2016 |
| **10** | Contract award date | 15 January 2016 |
| **11** | Final debriefing for shortlisted suppliers | 18 – 29 January 2016 |
| **12** | Contract start date | 18 January 2016 |
| **13** | Service go live | Summer 2016 |

1.7 Confidentiality

1. The University of London SHL, SAS and Procurement teams will at all times treat the contents of the tender and any related documents as confidential, save in so far as they become part of the public domain upon submission. The University will not use any of the tender information for any purpose other than for the purposes of the procurement exercise.
2. The University of London may disclose detailed information relating to suppliers to its officers, employees, agents or advisers and the University of London may make any of the tender documents available for private inspection by its officers, employees, agents or advisers.
3. The University of London also reserves the right to disseminate information that is materially relevant to the procurement to all suppliers, even if the information has only been requested by one supplier, subject to the duty to protect each supplier's commercial confidentiality in relation to its response. This is unless there is a requirement for disclosure under the Freedom of Information Act, as explained in 1.7 below.
4. Suppliers may disclose, distribute or pass any of the tender information to their advisers, sub-contractors or to another person provided that:
5. This is done for the sole purpose of enabling a response to be submitted and the person receiving the information undertakes in writing to keep the information confidential on the same terms as if that person were the supplier
6. The disclosure is made for the sole purpose of obtaining legal advice from external lawyers in relation to the procurement or to any contract arising from it

1.8 Freedom of Information

1. In accordance with the obligations and duties placed upon public authorities by the Freedom of Information Act 2000 (the ‘FoIA’), the University of London may, acting in accordance with the Secretary of State’s Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the said Act, or the EIR be required to disclose information submitted by the supplier to the University of London.
2. In respect of any information submitted by a supplier that it considers to be commercially sensitive the supplier should:
   1. Clearly identify such information as commercially sensitive
   2. Explain the potential implications of disclosure of such information
   3. Provide an estimate of the period of time during which the supplier believes that such information will remain commercially sensitive
3. Where a supplier identifies information as commercially sensitive, the University of London will endeavour to maintain confidentiality. Suppliers should note, however, that, even where information is identified as commercially sensitive, the University of London may be required to disclose such information in accordance with the FoIA or the Environmental Information Regulations. In particular, the University of London is required to form an independent judgment concerning whether the information is exempt from disclosure under the FoIA or the EIR and whether the public interest favours disclosure or not. Accordingly, the University of London cannot guarantee that any information marked ‘confidential’ or “commercially sensitive” will not be disclosed.
4. Where a supplier receives a request for information under the FoIA or the EIR during the procurement process, this should be immediately passed on to the University of London and the Supplier should not attempt to answer the request without first consulting with the University of London.

2.0 Instructions to Tenderers

2.1 General Instructions for Completing the Invitation to Tender

1. Suppliers shall ensure that they are familiar with the content of and the extent and nature of the obligations as outlined in the tender documents and shall in any event be deemed to have done so before submitting a tender.
2. Suppliers should read these instructions carefully before completing the documents in this tender pack. Failure to complete all sections of the documents may result in the rejection of the tender.
3. Suppliers are solely responsible for any costs and expenses incurred in connection with the preparation and submission of their tender response.
4. The PQQ and accompanying tender documents must be in the English language. All financial values within any of the submitted documentation must be provided in or converted into pounds sterling. Where official documents include financial data in a foreign currency, a sterling equivalent must be provided.
5. **The return date for the PQQ and tender is 9 November 2015 at 12:00pm. No late tenders will be considered for this procurement exercise.**
6. Suppliers must complete the PQQ and tender online, on the University’s electronic procurement system, Proactis: <https://supplierlive.proactisp2p.com/Account/Login>. Suppliers must register on the system, download the Word document, complete it and upload it to the Proactis website (along with the supplier’s audited accounts) before the due date above.
7. For audit purposes all queries regarding the PQQ and tender must be submitted online using the Proactis messaging service. For transparency purposes each supplier’s query regarding this procurement exercise will be responded to with a copy sent to the other bidding suppliers.
8. **PQQ and tender queries will be taken up to 4 November 2015 at 12:00pm. Queries sent in through e mail or by telephone will not receive a response.**
9. Suppliers must enter their tender responses directly into the specification Word Documents. There is no limit on the amount of text suppliers can submit onto the forms but all responses must be in the file with no references such as “please see attached customer service policy” or embedded links to separate documents or websites. Separate document attachments will not be evaluated.
10. The supplier shall nominate a lead supplier to submit the tender and serve as the single point of contact. Where the responding business is a partnership or consortia, responses should include contributions from all partners, consolidated into the tender response.
11. The University of London reserves the right to amend, add to or withdraw all or any part of this tender at any time during the procurement exercise. Notification of such an event will be provided to all suppliers.
12. If any submitted information is unclear suppliers may be asked to clarify their responses or provide additional information.
13. Where a supplier has been successful in the tendering exercise and are awarded a contract, all submitted tender and PQQ documents will become the contract documents for the Library Management Service. All tender documents submitted by unsuccessful tenderers will remain the property of the University for 12 months after the award date of the relevant contract. This is for audit purposes only and after 12 months is passed they will be destroyed.
14. All tenderers shall keep their respective tender offers open and valid for acceptance by the University for 6 months after the return date indicated above.

2.2 Supplier Presentations

1. Shortlisted suppliers are required to prepare and deliver a short presentation on their plans for delivering the Library Management Systems contract, should they be awarded the contract. The presentation session will also include a clarification session and a short question and answer session.
2. Presentations will be weighted and scored based upon the 0-5 matrix as with the tender evaluation methodology. Presentation scores will be added to the supplier’s overall score for price and quality.
3. Supplier presentation guidance will be coordinated by the University of London Library team and provided to suppliers when the shortlist is announced.

2.3 Site Visits

1. Shortlisted suppliers will be invited to attend one or more of the University’s library sites, in advance of the submission of their tender. The site visit will be coordinated by the Senate House Library staff and details will be provided in good time for suppliers to attend.
2. Dates will be allocated for site visits and suppliers are strongly encouraged to attend; if they cannot then they should send a deputy who can take notes and ask questions. There will be no opportunity for additional or “private” site visits.

2.4 The Form of Tender

1. The Form of Tender is a contract document and must be read by the supplier, completed, signed and uploaded to Proactis along with the rest of the tender response. Tenders that are submitted without a completed and signed Form of Tender will be removed from further competition.
2. The Form of Tender must be signed:
   1. Where the tenderer is an individual, by that individual
   2. Where the tenderer is a partnership, by two duly authorised partners
   3. Where the tenderer is a company, by 2 directors or by a director and the company secretary, such persons being duly authorised for that purpose
3. A tenderer’s completed Form of Tender will be rejected if there is evidence that a Tenderer has:
   1. Fixed or adjusted the prices, charges, rates and methodologies shown in its Form of Tender by or in connection with any agreement or arrangement with any other person
   2. Fixed or adjusted the prices, charges, rates and methodologies shown in its Form of Tender by reference to any other Form of Tender
   3. Communicated to any person other than the University of London the amount or approximate amount of the prices, charges, rates and methodologies shown in its Form of Tender except in accordance with instructions above
   4. In any respect, it does not comply with the requirements of the Form of Tender

2.5 Tender Evaluation

1. All tenders will be evaluated on both price and quality, to award the contract to the Most Economically Advantageous Tender submitted. The evaluation criteria is based upon a 70% / 30% matrix; 30% will be scored towards price and 70% towards quality.
2. All bona fide tenders will be scored based upon a weighted and scored methodology. Criteria in sections 3.0 The Quality Specification and 5.0 Support & Maintenance is weighted in importance using a 1-5 matrix; 1 being low importance and 5 being highest in importance:

|  |  |
| --- | --- |
| **1** | Low Importance |
| **2** | Not Very Important |
| **3** | Important |
| **4** | Very Important |
| **5** | Extremely Important |

1. Section 4.0 Technical Specification is weighted using the MoSCoW methodology:

|  |  |  |  |
| --- | --- | --- | --- |
| **Letter** | **Meaning** | **Weight** | **Definition** |
| **M** | MUST | **4** | Describes a requirement that must be satisfied in the final solution for the solution to be considered a success |
| **S** | SHOULD | **3** | Represents a high-priority item that should be included in the solution if it is possible. This is often a critical requirement but one which can be satisfied in other ways if strictly necessary |
| **C** | COULD | **2** | Describes a requirement which is considered desirable but not necessary. This will be included if time and resources permit |
| **W** | WOULD | **1** | Represents a requirement that stakeholders have agreed will not be implemented in a given release, but may be considered for the future. It would be nice to have, but is not sufficiently important and will not be missed if not there. (Can also be interpreted as ‘WON’T’ – “This Won’t be necessary now, but would, perhaps, in the future”) |

1. All tenders will be scored on a 0-5 scoring scale; 0 is the lowest possible score and 5 is the highest. Each criterion will be scored based upon the descriptions in the table below:

|  |  |  |
| --- | --- | --- |
| **Score** | **Description** | **Definition** |
| **0** | Failure | Failed to provide a response to the question |
| **1** | Unacceptable | An unacceptable response. There is limited or poor evidence of the skill and experience sought; a high risk that relevant skills will not be available |
| **2** | Less Than Acceptable | The response lacks convincing evidence of the skill and experience sought and a lack of real understanding of requirement or evidence of ability to deliver. A medium risk that relevant skills or requirement will not be available |
| **3** | Acceptable | 3 is an acceptable response and information presented by the supplier provides evidence that they have the required level of skill and experience sought |
| **4** | Above Acceptable | The response demonstrates real understanding of the requirement and evidence of ability to meet it. Good experience of the specific provision required or relevant experience of comparable service or supply provision is shown |
| **5** | Excellent | The response provides real confidence based on experience of the service or supply provision required. Response indicates that the supplier will add real value to the organisation with excellent skills and a deep understanding of the service or supply requested |

1. Criteria will be scored as **Weight X Score = Final Score.** All scores will be added together and the tender with the highest score will be awarded the contract.
2. For the pricing element, the price(s) submitted will be assessed upon the 30% matrix; the tender with the best price will awarded 30 points and other submitted prices will be compared and scored accordingly. The quality elements will be assessed upon a 70% matrix. See section 1.4, above and the worked examples below to see how the scoring methodology works.

2.6 Tender Evaluation Example: The Quality Specification

Following is an illustration of how the supplier’s tenders will be scored, on both the price and quality elements. This example shows the scoring methodology for the Quality Specification in section 3.0.

1. The Financial Evaluation: Price

Suppliers need to complete the pricing worksheet in section 6.0 and submit their prices for the 5 years of the contract’s term. In this tender 30 percentage points are allocated for the lowest price submitted – the remaining 70 points represent the 70% allocated as the evaluation percentage for quality and technical elements of this tender. In this example Company B has submitted the lowest price bid. Points are allocated to the remaining tender prices as a percentage of the lowest price and then converted to a point score to reflect this 30% of the total score:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tender** | **Price £** | **Calculation** | **Convert to 30%** | **Points** |
| Company A | £900,000 | 750000÷900000x100=83.33 | 30x83.33÷100 | 24.99 |
| **Company B** | **£750,000** | **N/A** | **N/A** | **30.00** |
| Company C | £1,200,000 | 750000÷1200000x100=62.50 | 30x62.50÷100 | 18.75 |
| Company D | £1,500,000 | 750000÷1500000x100=50.00 | 30x50.00÷100 | 15.00 |

1. The Quality Evaluation

The quality evaluation starts with the list of quality criteria that will be evaluated. The 7 quality criteria for the Library Resource Management System are:

1. Quality Management

2.0 Customer Service

3.0 Contract Management

4.0 Delivering a Sustainable Service

Internship & Work Experience Programmes

5.0 Health & Safety

6.0 Equalities in Practice

The quality elements and their weightings are listed, along with the highest possible score that each supplier can attain in the evaluation. This number is the benchmark for all the quality evaluations. The quality criteria and their weightings are listed in the table below.

As the scoring is based on a 0-5 methodology, 5 is entered against each criterion to show the highest possible score; the highest possible score that any tenderer can get for quality is 125:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Criteria** | **Weight** | **Score** | **Total** |
| 1.0 | Quality Management | 5 | 5 | 25 |
| 2.0 | Customer Service | 4 | 5 | 20 |
| 3.0 | Contract Management | 5 | 5 | 25 |
| 4.0 | Delivering A Sustainable Service | 3 | 5 | 15 |
| 4.2 | Internship & Work Experience Programmes | 3 | 5 | 15 |
| 5.0 | Health & Safety | 2 | 5 | 10 |
| 6.0 | Equalities in Practice | 3 | 5 | 15 |
|  |  |  |  |  |
| **Highest Possible Score for Quality** | | | | **125** |

The first tender evaluated is Company A; they are scored as follows:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Criteria** | **Weight** | **Score** | **Total** |
| 1.0 | Quality Management | 5 | 3 | 15 |
| 2.0 | Customer Service | 4 | 4 | 16 |
| 3.0 | Contract Management | 5 | 5 | 25 |
| 4.0 | Delivering A Sustainable Service | 3 | 2 | 6 |
| 4.2 | Internship & Work Experience Programmes | 3 | 2 | 6 |
| 5.0 | Health & Safety | 2 | 5 | 10 |
| 6.0 | Equalities in Practice | 3 | 4 | 12 |
|  |  |  |  |  |
| **Total Score for Quality** | | | | **90** |

Company A’s score for the quality aspects of the tender is 90. In order to convert that quality score into a numerical score, use the formula below; all tenders are evaluated in the same way.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **90** | **÷** | **125** | **×** | **70** | **=** | **50.40** |
| Company A’s Quality Score |  | Highest Possible Score for Quality |  | For the 70% Set For The Quality Percentage |  | The Final Score for Quality |

1. Making the Final Decision

The final evaluation score is bringing together the financial and quality evaluation scores. The total scores for both quality and price are added together and the company with the highest score wins the contract. See the following table; for the sake of this example the quality scores for the 4 tenderers have been added:

|  |  |  |  |
| --- | --- | --- | --- |
| **Tender** | **Price Score** | **Quality Score** | **Total Score** |
| Company A | 24.99 | 50.40 | 75.39 |
| **Company B** | **30.00** | **55.00** | **85.00** |
| Company C | 18.75 | 48.63 | 67.38 |
| Company D | 15.00 | 68.20 | 83.20 |

The contract is duly awarded to Company B. Whilst Company D had the highest quality score their price bid was very high and as such their score for price was the lowest of the 4 suppliers.

2.7 Tender Evaluation Example: The Technical Specification

Following is an illustration of how the supplier’s tenders will be scored, on both the price and quality elements. This example shows the scoring methodology for the Technical Specification in section 4.0.

1. The Financial Evaluation: Price

Suppliers need to complete the pricing worksheet in section 6.0 and submit their prices for the 5 years of the contract’s term. 30 percentage points are allocated for the lowest price submitted – the remaining 70 points represent the 70% allocated as the evaluation percentage for quality and technical elements in this tender. See the example in 2.6a to see how the formula results in a pricing score.

1. The Technical Evaluation

The technical evaluation starts with the list of criteria that will be evaluated. The technical criteria for the Library Resource Management System are contained in the following sections:

1.0 Resource Discovery & Interfaces

2.0 Acquisitions, Digital Deposits & Serials

3.0 Cataloguing

4.0 Resource management, reading lists & knowledge bases

5.0 Circulation

6.0 Management Information

7.0 ILL & Doc Supply & Link resolution

8.0 Systems Admin and Management

9.0 Systems architecture, security & technical requirements

10.0 Implementation & Training

The technical elements have been weighted using the MoSCoW methodology and will be scored individually; see the weighting and scoring matrices in section 2.5 of this document for details. The highest possible score that each supplier can attain in the technical evaluation is shown in the table below. This number 14,450 is the benchmark for all the quality evaluations.

|  |  |  |
| --- | --- | --- |
| **#** | **Section** | **Total** |
| 1.0 | Resource Discovery & Interfaces | 1495 |
| 2.0 | Acquisitions, Digital Deposits & Serials | 3020 |
| 3.0 | Cataloguing | 1560 |
| 4.0 | Resource management, reading lists & knowledge bases | 1415 |
| 5.0 | Circulation | 2040 |
| 6.0 | Management Information | 515 |
| 7.0 | ILL & Doc Supply & Link resolution | 485 |
| 8.0 | Systems Admin and Management | 850 |
| 9.0 | Systems architecture, security & technical requirements | 2550 |
| 10.0 | Implementation & Training | 520 |
| **Highest Possible Score for the Technical Elements** | | **14450** |

The first tender evaluated for the technical elements is Company A. An example of their score for section B6.6-B6.8 is as follows:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| # | Question | Weighting | Score | Total Score |
| B6.6 | Record items at binding (issue, return, overdue) | M (4) | 5 | 20 |
| B6.7 | Offer financial controls for binding | C (2) | 5 | 10 |
| B6.8 | Include invoicing + payment functionality configurable for data export to finance system | S (3) | 5 | 15 |
|  | | **Weighting x Score** | | **45** |

The rest of Company A’s technical scores are below. Their total score is 10,400:

|  |  |  |
| --- | --- | --- |
| **#** | **Section** | **Total** |
| 1.0 | Discovery Solution | 600 |
| 2.0 | Acquisitions, Digital Deposits & Serials | 2020 |
| 3.0 | Cataloguing | 1060 |
| 4.0 | Resource management, reading lists & knowledge bases | 1215 |
| 5.0 | Circulation | 1500 |
| 6.0 | Management Information | 500 |
| 7.0 | ILL & Doc Supply & Link resolution | 285 |
| 8.0 | Systems Admin and Management | 750 |
| 9.0 | Systems architecture, security & technical requirements | 2150 |
| 10.0 | Implementation & Training | 320 |
| **Company A’s Total Score for the Technical Elements** | | **10400** |

In order to convert Company A’s technical score into a numerical score that reflects 70% allocated to quality ion this tender, the formula below is used; all tenders are evaluated in the same way.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **10,400** | **÷** | **14450** | **×** | **70** | **=** | **50.38** |
| Company A’s Quality Score |  | Highest Possible Score for Quality |  | For the 70% Set For The Quality Percentage |  | Company A’s Final Score for Quality |

To show a comparison Company B’s technical evaluation scores are shown below:

|  |  |  |
| --- | --- | --- |
| **#** | **Section** | **Total** |
| 1.0 | Discovery Solution | 1295 |
| 2.0 | Acquisitions, Digital Deposits & Serials | 2820 |
| 3.0 | Cataloguing | 1360 |
| 4.0 | Resource management, reading lists & knowledge bases | 1015 |
| 5.0 | Circulation | 1940 |
| 6.0 | Management Information | 515 |
| 7.0 | ILL & Doc Supply & Link resolution | 485 |
| 8.0 | Systems Admin and Management | 800 |
| 9.0 | Systems architecture, security & technical requirements | 2150 |
| 10.0 | Implementation & Training | 500 |
| **Company A’s Total Score for the Technical Elements** | | **12880** |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **12880** | **÷** | **14450** | **×** | **70** | **=** | **62.39** |
| Company B’s Quality Score |  | Highest Possible Score for Quality |  | For the 70% Set For The Quality Percentage |  | Company B’s Final Score for Quality |

At a technical quality score of 62.39 Company B’s score is better than Company A’s score of 50.38. Depending on their score for their submitted price Company B has a better chance of winning this tender.

1. Using this methodology, the most economically advantageous tender is selected using a transparent, weighted and scored process to evaluate the quality and price of all tenders. This process provides a firm basis for an objective and auditable evaluation of whether a tender meets the University’s essential requirements and the importance of qualitative differences between tenders.

2.8 Rejection of Tenders

1. Any tender submitted by any supplier will not be accepted in respect of which the tenderer:
2. Offers or agrees to pay or give or does pay or give any sum of money, inducement or consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation any other tenderer or any other person's proposed Form of Tender
3. In connection with its Tender or the award of the Framework Agreement commits an offence under the Public Bodies Corrupt Practices Act 1887, Prevention of Corruption Acts 1889 to 1916, the Bribery Act 2010 or gives any fee or reward the receipt of which is an offence under sub-section (2) of Section 117 of the Local Government Act 1972
4. Has directly or indirectly canvassed any staff member or official of the University of London concerning the acceptance of any tender or who has obtained or attempted to obtain information from any such staff member or official concerning any other tender submitted by any other tenderer
5. The tenderer makes or attempts to make any variation or alteration to the Terms and Conditions of Contract except where the variation or alteration is expressly permitted therein by the University
6. Fails to use the English language

2.9 Debriefing

1. Following the conclusion of the tendering process unsuccessful suppliers will be offered debriefing to learn where their PQQ and tender responses could have been better. Unsuccessful suppliers should notify the University of London in writing if they wish debriefing information; requests must be made within 15 days of the announcement of the tender shortlist. The University of London will aim to debrief unsuccessful suppliers within 15 days of receiving the request.

2.10 Commencement of Contract

1. The contract for the Library Resource Management System & Resource Discovery Solution is scheduled for award on 15 January 2016; the actual start date will be as soon as possible thereafter, to be agreed by the University and the winning supplier. If the award date is changed the winning supplier will be notified as soon as possible. The contract term will be for 5 years until 14 January 2021. The contract terms include the option for a 2 year extension but any extension to the contract must be with agreement of all parties to the contract.

3.0 The Quality Specification

3.1 The Quality Specification is a non-technical specification where suppliers need to propose how they will deliver specific elements of the service. This section has questions for response:

1.0 Quality Management

2.0 Customer Service

3.0 Contract Management

4.0 Delivering a Sustainable Service

Internship & Work Experience Programmes

5.0 Health & Safety

6.0 Equalities in Practice

3.2 All questions in this section must be answered in full and typed directly onto this response document; no points will be given for blank spaces or where the tenderer has typed only "please see attached" with reference to a company document or where a separate document has been embedded in this form. The cells in the table will expand to accommodate the response and there is no word limit per section.

3.3 Adjacent to each criterion is its weighting, from 1-5. Each criterion will be scored on a scale of 0-5 and for both weighting and scoring 0 or 1 is low and 5 is high. The final score will be the result of the multiplication of the weighting by score to produce a final score for each criterion.

|  |
| --- |
| 1.0 Quality Management |

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| --- | --- | --- |
| 1.1 | Quality Management  How would your firm approach and develop quality management in the delivery of the LMS service? In your response please provide details on each of the following points:   1. The name(s) and job title(s) of the person(s) who will be responsible for the quality management of the services 2. The methodology that you will employ for quality assessment during the contract term. Include details on time scales, monitoring procedures and resources you will use 3. How your permanent and temporary staff members and any sub contracted providers will be involved in the quality management process 4. The generation of quality control statistics and reports | **Weighting: 5** |
| **Score:** |
| **Total:** |
|  | | |
| 2.0 Customer Service | | |

|  |  |  |
| --- | --- | --- |
| 2.1 | Customer Service  In the space below, provide details on how you will manage customer service during the term of the contract. In your response please provide details on each of the following points:   1. A named person or persons and contact details for such person or persons who shall be designated as a “first point of contact” regarding customer service 2. The methodology that you will employ for managing customer service during the contract term. Include details on time scales, monitoring procedures and resources you will use 3. How your permanent and temporary staff members and any sub contracted providers will be involved in customer service delivery 4. How you will monitor and report on customer satisfaction 5. How you will address and resolve customer complaints | **Weighting: 4** |
| **Score:** |
| **Total:** |
|  | | |
| 3.0 Contract & Supply Chain Management | | |

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| --- | --- | --- |
| 3.1 | Contract Management  In the space below, present your plans for managing and monitoring the LMS contract during the 5 year term, from implementation through to day to day support and maintenance. In your response please provide details on each of the following points:   1. The name and contact details of the person or persons responsible for the monitoring and management of the contract 2. The role the contract manager will play in the day to day and strategic aspects of the contract 3. The activities, plans and methodologies that the supplier will employ to manage this contract for the full 5 year term 4. Creation of a Contract Management Manual that will provide the University with the above information and any other relevant contract management details | **Weighting: 5** |
| **Score:** |
| **Total:** |
|  | | |
|  | | |
| 4.0 Sustainable Services | | |

|  |  |  |
| --- | --- | --- |
| 4.1 | Delivering A Sustainable Service  In the space below please present details of how you would provide the LMS service in a socially, economically and environmentally sustainable way. In your response please refer to the [University’s Corporate Social Responsibility policy](http://www.london.ac.uk/5634.html?&no_cache=1&sword_list%5B%5D=environmental) and provide details on each of the following points:   1. The name and contact details of the person or persons who will be responsible for sustainability during the contract term 2. Plans on reporting to the University your sustainability achievements in delivering the services | **Weighting: 3** |
| **Score:** |
| **Total:** |
|  | | |
| 4.2 | Internship & Work Experience Programme  The University of London encourages all of their suppliers to support an internship or work experience programme that benefits University of London students. In the space below please provide details of how you can use your firm’s existing programme or how you can set up a programme for the duration of the LMS contract. | **Weighting: 3** |
| **Score:** |
| **Total:** |
|  | | |
| 5.0 Health & Safety | | |

|  |  |  |
| --- | --- | --- |
| 5.1 | Health & Safety Practice  In the space below, submit your proposal for establishing a safe system of working that your firm will employ throughout the term of the contract. In your response please provide details on each of the following points:   1. The details of the person who will be responsible for health and safety during the contract term 2. Information on training provided to your firm's staff who will be directly involved in delivering the services 3. Availability of safety equipment and facilities 4. Provision for site visits. The University reserves the right to inspect, at random and without prior notification, any sites which the supplier is currently working, in order to check that methods and practices are consistent with the relevant health and safety standards proposed | **Weighting: 2** |
| **Score:** |
| **Total:** |
|  | | |
| 6.0 Equalities | | |

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| --- | --- | --- |
| 6.1 | Equalities in Practice  Throughout the term of this contract, how will your firm deliver the key points of your equalities policy? Please do not submit your firm’s policy as a response; use the space below to provide details of how you will deliver upon it. In your response please include the following information:   1. The details of the person who will be responsible for equalities during the contract term 2. Information on equalities training provided to your firm's staff who will be directly involved in delivering the services | **Weighting: 3** |
| **Score:** |
| **Total:** |
|  | | |

4.0 The Technical Specification

The University of London Senate House Library and SAS Libraries’ wish to procure a Library Management System and a Resource Discovery System that best meets the requirements as detailed within this document. For the purposes of this procurement these solution requirements have been broken down into areas as shown in the technical specification below.

4.1 Overview

Suppliers tendering for the Library Management System and Resource Discovery Solution contract must be able to carry out the implementation of their solution as well as provide support and maintenance for the duration of the contract. The services required are:

1. Solution design based on SHL & SAS specification
2. Assistance with transition planning from existing system.
3. Management of the migration of the University’s existing library management system to the new cloud-hosted solution
4. Solution documentation and relevant skills transfer
5. Training, admin and end user (train the trainer)
6. Professional Services (Service support)

4.2 Functionality

The new shared system must have sufficient scope to support multiple use by all the member libraries with potential for future additions. It is important that the new system identifies and makes separate provision for the different arrangements in each of the individual libraries, for example their separate accounting units, membership arrangements, classification schemes, circulation policies, authentication for use of electronic resources, their need for relevant management and statistical information, and seamless interfaces with other systems such as local entry/security systems and user-interface branding. The system should provide at least the level of flexibility of separate configuration for each library afforded by the existing Innovative Millennium v2011 system.

4.3 High Level Requirements

It is important that the new library management system and the new resource discovery solution meet the following high level criteria:

1. The system must provide unified management of all of the resources that the institution libraries owns (for example but not limited to monographs, serials, datasets, maps, archives, 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.
2. The system must be able to integrate with the university’s central and individual institution systems such as but not limited to: Finance system (Agresso), Identity Management systems, student information systems (SITS), Access Control systems, and the VLE in a robust and transparent manner allowing on going updated from and to the system.
3. The system must support APIs, Web Services, and/or other interfaces that will allow the libraries to develop extensions to the core software, as well as integrate the software into the local institutional environment. Documentation must be provided by the vendor as well as support for certifying any extensions developed by the libraries. The vendor should also provide support for sharing of customer-developed extensions.
4. The library management system must offer robust interoperability with the resource discovery solution. 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 libraries.
5. The discovery solution must offer rich and robust customisation, including unique branding capabilities for ea.ch of the institution libraries.
6. The resource discovery solution must be able to integrate with a wide range of systems including institutional repositories, archive management systems, digital repositories and other discoverable systems.
7. In addition, the system must provide support for multiple discovery and delivery services and offer capabilities for the libraries 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.
8. The unified resource management environment should ensure that the libraries can – upon migration – decommission the following local systems:
   1. The Library management system/Integrated Library System (Millennium)
   2. The Electronic Resource Management (ERM) system(s) including the Web Access Management Proxy Server
   3. Discovery layers (Encore, VuFind)
9. The Open URL link resolution software and any linked knowledgebase.
10. The system should facilitate migration from the various internal digital asset management systems that are managed by the libraries. The digital objects that are currently managed by these systems could both be migrated and stored within the unified resource management repository, or can continue to reside in their current storage environment but be managed by the unified resource management system.
11. The LMS and Resource Discovery solutions must both be cloud-based Software As a Service (SAAS) systems.
12. 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.
13. The management of print and electronic (digital) resources are integrated and can be searched in their entirety or individually as required by the user.
14. 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.
15. Customisation and configuration on an institution by institution level for each institution library within the SHL & SAS libraries
16. All necessary data & configuration migrations and data updates to be carried out on behalf of the libraries by the vendor.
17. 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.

4.4 Technical Specification Sections

The technical specification is ordered in the following sections:

* 1. Acquisitions and Digital Deposit
  2. Serials
  3. Cataloguing & Metadata management
  4. Circulation & Fulfilment
  5. Reading Lists
  6. Resource Management
  7. Central Knowledge Base
  8. Resource Discovery & interfaces
  9. Link Resolution,
  10. Document supply & inter library loans
  11. Reporting and Analytics (Management information)
  12. System Architecture and Security
  13. System Administration and Management
  14. Technical requirements
  15. Implementation & training

4.5 Completing the Technical Specification

All questions must be answered in full and typed directly onto the tables following, in the “Tenderers Response / Additional Comments” section; the cells in the table will expand to accommodate the response. Any additional comments (except where specifically written RFI (Request for Information) text is limited to no more than 500 characters (approximately 100 words). No points will be given for blank spaces or where the tenderer has typed only "please see attached" with reference to a company document or where a separate document has been embedded in this form. Embedded or attached documents will not be evaluated.

1. **Acquisitions and Digital Deposit**

Selection

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A1.1 | Load vendor recommendations (notifications) for purchase consideration. Selectors may then purchase, reject, or defer purchase. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A1.2 | Vendor notifications under consideration may optionally be exported to the discovery environment to support user-driven collection development processes. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A1.3 | Approved selection items must generate orders in acquisitions that have the potential to be automatically ordered if they pass library-defined criteria (e.g. selector role, price and completeness of order line). | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A1.4 | Setting up of trials to evaluate e-resources before purchasing, which will include managing authentication, participant feedback and groups of participants. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A1.5 | Data importing facilities should be flexible and efficient. There must be some functionality such as an API to support the capture of data from 3rd party bibliographic sources and services (e.g. Amazon, Abebooks). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A1.6 | The system should allow customization of the acquisition workflows in order to accommodate specific libraries needs as well as control over when orders and invoices need mediated handling. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A1.7 | The system should manage the acquisition lifecycle such that an order that passes criteria will continue through creation, confirmation and sending with no staff intervention. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A1.8 | The system should allow for the automated import of Electronic Invoices from suppliers or all acquisitions (including Serials0 which allows for simultaneous receipting and payment of items. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Purchasing Workflows

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A2.1 | The system must support the following purchasing workflows: | | |  | | | | |
| A2.1.1 |  | Print approval | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.1.2 | Print firm order | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.1.3 | Electronic firm order (package or single-title) | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.1.4 | Print continuation | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.1.5 | Electronic subscription (package or single-title) | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.1.6 | User (Patron/Demand) driven acquisitions (PDA/DDA) | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.2 | As well as LIS users being able to load purchase orders into the system, it must be able to automatically create purchase orders based on vendor-supplied (MARC) records for resources ordered in the external system. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.3 | The system must manage the acquisition lifecycle such that: | | |  |  |  |  |  |
| A2.3.1 |  | an order that passes criteria (e.g. being from a member of LIS staff with appropriate authorisation; sufficient budget being available) will continue the lifecycle through creation and sending: | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.3.1.1 |  |  | it would be desirable to have the option to choose between either staff intervention (manual) or no staff intervention (automatic) for this process. | W(1) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.3.2 |  | Library-defined criteria (such as incomplete order lines or prices above a threshold) will flag purchases for staff review. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.3.3 |  | Duplicate copies already held will be identified by library-specific and defined locations. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.3.4 | An order which passes criteria must be able to distinguish between several identifiable vendors (or library specific determined choices). | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.4 | Links from a purchase order to other related information such as invoice, vendor and linked descriptive record. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.5 | ordering and invoicing via: | | |  |  |  |  |  |
| A2.5.1 |  | Full EDI interface with major library vendors including ‘one-click’ facility for real time load of bib + order records from vendor site | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.5.2 |  | Orders in printed form | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.6 | Credit/purchasing card reconciliation should be supported. | | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.7 | Workflows for user-driven acquisition of electronic books, including: | | |  |  |  |  |  |
| A2.7.1 |  | Loading and deleting candidate records for user discovery | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.7.2 | Loading (MARC) records to create purchase orders for purchased items | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.7.3 | Loading invoices for purchased items | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.7.4 | Creating local inventory for purchased items | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.8 | The system must support streamlined purchase requests for and from end users, including: | | |  |  |  |  |  |
| A2.8.1 |  | Privilege restrictions on what users may place requests | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.8.2 | Potential for mediation in the approval/rejection of purchase requests | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.8.3 | Automated ordering of requested purchases based on library-defined rules (i.e., user role, price) and license-specified (1 user, 3 users, unlimited) | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.8.4 | Notification and delivery to user once a requested item has been received | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.9 | The system must support the ability to evaluate existing electronic resource subscriptions and make a decision to renew or cancel based on: | | |  | | | | |
| A2.9.1 |  | Usage with granular information by library-defined user/membership types | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.9.2 | Cost | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.9.3 | Changes in license | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.9.4 | Changes in titles lists to a package | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.9.5 | Expiry of license, package or resource | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.10 | The system should support setting up RSS feeds, or other flexibility to generate new acquisition listings by each library. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.11 | The systems should have flexible facility to generate new acquisitions listings by each library. *(eg weekly, monthly, quarterly, annual – desirably with dynamic sort facility on author / title/ subject topic).* | | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.12 | The systems should have flexible facility to generate new gift listings by each library*. (eg weekly, monthly, quarterly, annual – desirably with dynamic sort facility on author / title/ subject topic).* | | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.13 | The system should be able to integrate fully with a range of book suppliers’ systems to all for full shelf ready material. | | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.14 | The system should allow for the direct import into it of bibliographic and authority records from external sources. Such importation to be: | | |  |  |  |  |  |
| A2.14.1 |  | Immediate import | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.14.2 | Batch processing (such as overnight, scheduled) | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.15 | The system should allow for optional overriding, overlaying, merging or rejection of imported records, which match records already on the system, according to per-institution library defined criteria, on the following methods: | | |  |  |  |  |  |
| A2.15.1 |  | Individual record | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A2.15.2 | Batch | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Receiving

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A3.1 | The system must allow print items to be received from both approved purchase orders and invoices. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.2 | The system must allow for the receipt of the following item types: | |  |  |  |  |  |
| A3.2.1 |  | Single-title monographs | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.2.2 |  | Serial monographs | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.2.3 |  | Issues of serials. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.2.4 |  | DVD’s, CD’s and other media | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.2.5 |  | Option for other material types in the MARC008 | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.3 | The system must be able to automatically create new item records when an item is received (but must not force this to happen with no other option). Both EDI and manual processing options are required. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.4 | The system must create notifications when a volume or issue of a series has not arrived after a predefined interval, and allow for claiming of missed items: | |  |  |  |  |  |
| A3.4.1 |  | To the library staff | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.4.2 |  | To the originating user (at receipt or via discovery layer/catalogue) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.5 | Missing order claims must be supported | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.6 | 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). | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A3.7 | Label printing functionality must be able to deal with complex classification schemes and to print labels on an individual or batch basis. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Activation

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A4.1 | The system must allow for the activation of approved purchases for electronic packages and titles. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A4.2 | The system must notify staff when an electronic package or title is activated. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A4.3 | When an electronic package or title is activated, descriptive records to describe the title(s) must be added to the catalogue automatically. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A4.4 | Indicate if there is a need to import/export data in order to support the e-resources lifecycle. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A4.5 | If an electronic package is activated, whether on trial or full subscription, metadata of records can be bulk imported automatically. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Licenses Management and Amendments

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A5.1 | The system must be able to manage licenses and amendments, including attaching digital versions and recording annotations. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Vendors

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A6.1 | The system must provide the ability to maintain multiple, library-specific accounts for a single vendor. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A6.2 | 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A6.3 | Handle more than 1 account per vendor. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A6.4 | The system must offer the ability to maintain discount and delivery information in the vendor record. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A6.5 | Accurate delivery statistics are required (including the option to make allowances for legitimate delays/postponements). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A6.6 | Support coding / annotation associated with the equivalent supplier records on the UoL finance system (currently Agresso). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A6.7 | The system should support the storage of price of item in original currency, rather than just in GMBP or its conversion, so reports on foreign acquisitions and spend can be easily computed and calculated historically. Capacity to store USD, EUR and any other currency. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A6.8 | With the storage of the original (non-GBP) currency, the system should be able to convert to GBP for consistency for report running in financial module. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |

Funds Management

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A7.1 | Real-time access to fund balances (including encumbrances and expenditures) must be supported, , reflecting any differences in the financial processes within SHL/SAS institutions. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.2 | The system must support a hierarchical fund structure that provides the ability to group and report on funds. This must support a consortia approach to the implementation of the system (to reflect the differences with SHL & SAS institutes). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.3 | The number of accounting units allowed must support the financial structures and processes of each partner institution (e.g. accruals; methods for carrying forward underspends). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.4 | Field length restrictions must support the requirements of the partner institutions. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.5 | The system must allow for Library-specific flexibility to determine the fiscal year period. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.6 | Optional fiscal year close processing with a validation check to ensure that this is a definitely required action. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.7 | For each fund, the system must provide links to invoices committed against that fund.  The system must support updated encumbrance estimations for foreign currencies based on the conversion rates for foreign currencies provided by the partner institutions. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.8 | The exchange rates used by the system may be different for each partner institute– and may be changed at different intervals according to their institutional financial processes. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.9 | There should be a validation check when overwriting a currency value. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.10 | Archiving of fund data not just at fund level (totals) but also to item level. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A7.11 | Storage capacity to archive (and query) fund data (down to item level) for up to 5 financial years (or library defined time parameters). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Invoices and Payments

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A8.1 | The system must support the ability to automatically create a system invoice from a purchase order. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| A8.2 | The system must support the export of payment requests to enterprise systems *(eg: Finance ‘Agresso’, Procurement),* as well as the import of payment confirmation files. VAT, postage, service charges and discounts must all be clearly and explicitly recorded by the system | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Digital Deposit

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| A9.1 | There should be options available for deposit of materials through the following methods: | |  |  |  |  |  |
| A9.1.1 |  | By end user | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A9.1.2 |  | Bulk load | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A9.1.3 |  | Submission software development kit | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A9.2 | The product should support pre-defined workflows for upload of digitized material and their metadata including: | |  |  |  |  |  |
| A9.2.1 |  | Automatic loading from pre-defined data sources (ftp) or Manual via wizard (PC) | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A9.2.2 |  | Define automatic validation/enrichment during load | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| A9.2.3 |  | Optional sampling rates/approval process and dedicated interfaces for handling exceptions | C(2) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Serials**

General

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| B1.1 | Support control of serial issues, tailored appropriately for print or electronic formats, specifically: | |  |  |  |  |  |
| B1.1.1 |  | Check-in | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.1.2 |  | Claiming | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.1.3 |  | Routing | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.1.4 |  | Binding | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.1.5 |  | Invoicing | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.2 | Site and/or partner specific check-in e.g. displaying only the site-specific issues. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.3 | It must be possible to access directly the following information attached to a serial title: | |  |  |  |  |  |
| B1.3.1 |  | Order details | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.3.2 |  | Receipt details | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.3.3 |  | Claims details | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.3.4 |  | Routing details | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.3.5 |  | Binding details | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.3.6 |  | Invoice details | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.4 | Display latest issue information in any relevant Discovery interface and update serial holdings data automatically. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.5 | Knowledgebase integration must be supported. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.6 | Automatically open attached records e.g. display an order record when opening it from check-in. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B1.7 | Any existing and new e-journal can be easily displayed and compiled for comprehensive display of e-holdings. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Check-in

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| B2.1 | Allow access to serial records by all of the following keys as appropriate to institutions: | |  |  |  |  |  |
| B2.1.1 |  | Title | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.2 |  | ISSN | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.3 |  | Issue barcode | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.4 |  | Publisher | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.5 |  | Supplier/Vendor | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.6 |  | Keyword | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.7 |  | Order no. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.8 |  | Claims details | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.9 |  | Supplier reference | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.10 |  | Classmark | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.1.11 |  | Appropriate identifiers for eJournals | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.2 | There must be the option to show several expected/outstanding issues as well as just the next expected issue. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.3 | Creation of free-text notes at both title and issue level must be allowed, including for e-journals for: | |  |  |  |  |  |
| B2.3.1 |  | Staff view only | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.3.2 |  | Public view | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.4 | Display of notes at point of check-in. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.5 | Check-in of non-standard issues must be allowed, including: | |  |  |  |  |  |
| B2.5.1 |  | Supplements | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.5.2 |  | Special issues | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.5.3 |  | Parts received out of sequence | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.5.4 |  | Combined and double numbered issues | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.5.5 |  | Duplicates | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.5.6 |  | Indexes | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.6 | Check-in must automatically update holdings statements. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.7 | Change the check-in date, rather than just using the current date. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.8 | ‘Unreceiving of issues receipted in error must be feasible i.e. an ‘oops’ button, with an audit trail to show the history of such changes. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.9 | Highlight gaps in receipted issues at point of check-in to staff. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.10 | Invoicing and payments functionality must provide alerts when no issues have been received. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.11 | Automated check-in with barcode scanning or other identification method. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.12 | Issue label printing functionality must be able to cope with complex classification schemes. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.13 | The system must be able to print labels in both: | |  |  |  |  |  |
| B2.13.1 |  | Individual | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.13.2 |  | Batch | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.14 | Support the check-in of non-purchased Serials (received by exchange, or as gifts, for example). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.14.1 |  | Allow for entry & updating of all detail relating to the source of the Serial: e.g. particular contacts and addresses of exchange partners. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B2.15 | Ability to record the acquisition method for the serial: Purchase, Gift, Exchange, etc. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Prediction of issues

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| B3.1 | Facility and flexibility to predict a wide range of publication patterns in terms of number of issues per week, per month, per year or over several years (biennial, triennial etc), including: | |  |  |  |  |  |
| B3.1.1 |  | Patterns to support irregular but predictable publications such as combined issues, supplements and indexes. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.1.2 |  | Irregular and unpredictable publications. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2 | It should be possible to: | |  |  |  |  |  |
| B3.2.1 |  | Change the prediction pattern within a subscription year | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.2 |  | Allow for stopping or suspending prediction for an individual title | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.3 |  | Accommodate delays of any duration between nominal and actual date of publication | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.4 |  | Support at least four levels of enumeration | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.5 |  | Allow any combination of numeric, alphanumeric or date descriptors | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.6 |  | Allow for volumes commencing at any time during the year | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.7 |  | Allow for volumes covering more than one year | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.8 |  | Allow for multiple volumes within a year | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.2.9 |  | Allow for both continuous and restart issue numbering within volumes | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.3 | There must be the option either to require a subscription renewal before parts are predicted for the next subscription period, or to allow subscriptions/predictions to roll over without manual intervention. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.4 | Allow for non-sequential check-in | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B3.5 | Alert when non-sequential issue is checked-in out of order | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Claiming

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| B4.1 | Claims generation based on predicted expected issue date together with library-defined claim period (by title or supplier) is required. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B4.2 | Prior review of claims by staff must be supported. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B4.3 | Claims for skipped issues should be automatically generated on receipt of subsequent issues – but not automatically submitted without approval. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B4.4 | Linking to e-mail/fax functions for sending of claims by these methods should be an option as well as print/EDI formats. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B4.5 | Supplier responses can be added to issues claimed. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B4.6 | Amendment of delivery date should reset the claims cycle. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B4.7 | Claim formats and claim messages must be library-defined (per institute). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Routing

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| B5.1 | Creation and maintenance of routing lists for specific copies of individual titles using the borrower file. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B5.2 | Lists of titles/recipients to be edited on an individual or global basis. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B5.3 | Alert staff to a routing list at check-in. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| B5.4 | Allow printing of routing lists at check-in, either on an individual basis or at the end of a check-in session. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B5.5 | Alert staff to routed issues not returned. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B5.6 | Format of routing slips must be library-defined (per institute). | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B5.7 | Alerting users to the availability of an e-journal issue. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |

Binding control

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| B6.1 | Flag and identify items ready for binding according to institute library-defined requirements. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B6.2 | Link to any other binding system. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B6.3 | Link to binding suppliers’ systems (e.g. for ordering binding). | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B6.4 | Alert if another library is sending the same items off for binding. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B6.5 | Hold binder details and instructions. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B6.6 | Record items at binding (issue, return, overdue). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| B6.7 | Offer financial controls for binding. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| B6.8 | Include invoicing + payment functionality configurable for data export to finance system. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Cataloguing & Metadata Management**

General

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C1.1 | Role-based access to cataloguing is required within a partner e.g. where Senate House is supporting a number of University of London libraries, it may need to catalogue an item for each of the libraries. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.2 | Stop word lists must be editable and tailorable to the institution partners. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.3 | Matching and management of bibliographic records on a SHLS basis. This will be according to the processes to be agreed by the partners (e.g. What will be the master record? What happens to duplicate copies of books/resources?). | | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.4 | Warnings and alerts that an action or edit appears incorrect. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.5 | ‘Low barrier’ cataloguing functionality is required i.e. a simple user interface for a non-MARC21 cataloguer to use. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.5.1 |  | This must be subject to supervisory control so that non-cataloguing staff can be prevented from making changes to the catalogue. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.6 | The system must be able to establish sets of templates for each type of record for each institution library sharing the system: | |  |  |  |  |  |
| C1.6.1 |  | Bibliographic | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.6.2 |  | Item | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.6.3 |  | Checkin | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.6.4 |  | Patron | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.6.5 |  | License | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.6.6 |  | Vendor | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.6.7 |  | Other… | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.7 | ‘FastCat’ functionality to support on the fly cataloguing. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.7.1 |  | Provide a preview option in public catalogue. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.7.2 |  | Any new record created will send an alert to Bib. Services for cataloguing assessment. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C1.8 | Spine labelling facility at point of classification/cataloguing. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |

Format Support

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C2.1 | 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 institute libraries. The metadata management environment must support functions appropriate to these formats. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.2 | The system must support import and export (with no loss of data) in all supported formats. Plus addition of data for exports. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.3 | The system must support new fields and subfields added to MARC to support RDA (and any successors to RDA). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.4 | The system must support 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). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.5 | Text in all records must support Unicode for importing, editing, storage and export. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.6 | Non-Roman characters must be supportable, with an easy approach to non-Roman scripts transliteration (e.g. a dedicated keyboard or an exhaustive table of these characters). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.6.1 |  | Non-roman characters should be indexable (and therefore searchable). | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.7 | The product should support PREMIS data model and data dictionary (or any other appropriate standards for digital objects). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.8 | 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 within the UK. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.8.1 |  | SHL & SAS do not want to be tied to using vendor-supplied records, so this functionality should be optional for use. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.9 | Library of Congress subject headings must be easily checked. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C2.10 | It must be possible for records to contain fields for links (urls) to external sites (856$u field). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Editing

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C3.1 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.2 | The product should have the same editing capabilities for all metadata types (physical, electronic and digital). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.3 | The system must notify the cataloguer when a record being edited or saved matches an existing record in the catalogue. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.4 | The system must support the display of cataloguing policies (both marc21 and local) in the editor. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.5 | Cataloguers must be able to save (also known as ‘supress’) drafts of records without committing them to the catalogue. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.6 | The system must support 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.8 | The system must support hotkeys for navigation and actions that allow editing entirely with the keyboard. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.9 | The system must support 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.10 | The system must provide a set of metadata management services that allows the institute libraries to easily and quickly define a set of records and perform actions against these records*.  For example, the libraries should be able:* | |  |  |  |  |  |
| C3.10.1 |  | to specify a group of records (from a search, or manually) to be withdrawn from a collection or moved to an off-site storage facility | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.10.2 |  | on import of metadata records from a specified source, to define a set of validation and normalization routines to be applied to the records on import | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.10.3 |  | to define, on export of records, various data transposition routines, etc. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.10.4 |  | It is desirable to be able to save and repeat search strategies used to generate groups of records and for libraries / staff to be able to mark/identify own groups of records to readily retrieve and resume work on own files | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.11 | A picture of the item should be available, whatever LMS process you’re using. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.11.1 |  | Option to switch this feature on or off as required. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.12 | The system must support record versioning, including the ability to view and roll back to past versions of that record. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.13 | Checking/correction of apparent spelling mistakes - with option to disable this feature. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.14 | The system must allow for searching of records from within the system. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.15 | The system should provide ‘hotkey’ (macro/shortcuts) to regularly used functionality. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.16 | The system should allow customisable text/values to be assigned to hotkeys. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.17 | There must be a preview mode in staff view for record for public display. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C3.18 | The system must allow the presence of duplicate or apparently duplicate bibliographical records within the catalogue. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Authority Control

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C4.1 | The system should provide access to global, shared authority files without the need for individual institute libraries to synchronize with the authorizing agency. *(eg. Library of Congress.)* | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C4.2 | The system must allow institute libraries to create or load local authority files and records for subjects (including genre terms) and names. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C4.3 | The system must support authorization of bibliographic headings against local or global headings in authority records. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C4.4 | 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C4.5 | The system must flag changes that request staff decisions, such as heading splits and newly qualified names. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C4.6 | The system must give an indication for all authority controlled fields, whether an entered heading matches a local and/or global heading and needs to flag if it doesn’t or if the match is for a tracing field (4xx, 5xx). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C4.7 | Matching of headings to local and/or global headings needs to disregard variable subfields such as |e, |v. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C4.8 | Variable subfields need to be unaffected by any changed made to the local and/or global authority record they are linked to. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Holdings Management

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C5.1 | The system must allow for the creation of holdings and item records for physical resources. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C5.2 | The system must support the ability to perform changes in bulk against a set of holdings or items. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C5.3 | Institutional repository – describe how your product manages the process of collecting internally digital generated material. | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| C5.4 | There should be no intrusive limit on the number of item/holding records that can be attached to a bibliographic record. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C5.5 | There should be a facility to sort, reorder and preserve sort order of item records in real time. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Importing Records

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C6.1 | The system must allow for the loading records singly or in bulk. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.2 | 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 - e (including an API/WebService for records creation). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.3 | When loading a record or set of records, staff must have the following options for handling records detected as duplicate: | |  |  |  |  |  |
| C6.3.1 |  | Add new records, ignoring duplicates | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.3.2 |  | Overlay one record with the other | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.3.3 |  | Merge the two records | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.3.4 |  | Do not load new records when a duplicate is detected. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.4 | The system must allow for validation of incoming records according to library-defined validation rules. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.5 | The system must allow for the enhancement of incoming records according to library-defined bulk record change rules – including deleting, adding, changing of subfields. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.6 | The system should provide a facility for gathering sub sets of records for subsequent global update following imports. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.7 | System operators should be able to perform mass updates - to library specific defined parameters - in an efficient, controlled way for all resources types (electronic/digital and print) including API or web services for importing records. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.8 | The source of the record should be recorded (e.g. OCLC). | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.9 | Knowledgebase interface for importing external MARC records (e.g. an API or Web Service for ePrints). | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| C6.10 | System should have ability to flag or alert a user (*eg: cataloguer or librarian*) when a particular record type is activated added by the vendor (*eg: e-book activation*). | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Exporting Records

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C7.1 | 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 (either via search or a manual retrieval), or records that have changed since the last export to that target. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C7.2 | Automation and scheduling functionality or an API is required to enable exporting records on a regular basis. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C7.3 | 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C7.4 | The system must allow for exports in a range of formats including MARC, XML, etc? | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Shared Bibliographic Records

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| C8.1 | The system must provide access to a catalogue of bibliographic records shared by all institute libraries of that system. Institute 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 , or edit them at the discretion of the library holding the original record. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C8.2 | The system must support individual institution catalogues 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C8.3 | Libraries must be able to use the shared catalogue, the institutional catalogue, or both simultaneously. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C8.4 | The system must support the addition of local fields to the shared records that are viewable only to the local institution library. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C8.5 | 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| C8.6 | Private fields should be supported so that sensitive information of this nature can’t be exported. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Circulation (fulfilment)**

General

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| D1.1 | The system must have the capacity to manage all types of library material: | |  |  |  |  |  |
| D1.1.1 |  | Books | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.2 |  | Serials | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.3 |  | Electronic resources | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.4 |  | Digital materials | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.5 |  | Special collections | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.6 |  | Short loan items | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.7 |  | Off-prints | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.8 |  | Archive collections | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.9 |  | Basement store (and/or depository) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.1.10 |  | DVD, CDs or other sound recordings and other multi-media formats | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.2 | The system must be able to support variations in library policy from site to site & institution to institution within SHLS – including (but not limited to): | |  |  |  |  |  |
| D1.2.1 |  | Opening hours | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.2.2 |  | Opening times | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.2.3 |  | Closure days | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.2.4 |  | Circulation rules | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.2.5 |  | Patron types | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.3 | The system must be able to support lending policies based on customer demand, for example, flexibility to shorten loan periods based on demand. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.4 | Common circulation parameters should also be able to be set to work across multiple libraries. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.4.1 | Both common and different circulation parameters should also be able to be set to work across multiple libraries. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.5 | The system must support ANSI/NISO z39.83 (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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.6 | The system must be fully compatible with the self-service equipment including self-issue/return and book sorter machines. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.7 | The system must provide integration with third-party ILL systems using standard protocols, including ISO 10160/10161 and ANSI/NISO z39.83 (NCIP). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.8 | Digitized library – the system should support the development of digitisation on demand services. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.9 | The product should have flexible policies to control access to digital material. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.10 | Entire circulation history of an item or a user to be accessible including ant BFR (bill for replacement) , invoiced, or claimed return statuses. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D1.11 | Data retention policies to be tailorable and able to align with UK/EU law e.g. Data Protection Act as well as reporting requirements for ongoing and historic usage metrics and Freedom of information requests (FOIR). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Fulfilment Policy Tables

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| D2.1 | Libraries must be able to define the policies by which their physical inventory is circulated to library users for example – due date policy, maximum renewals policy, fining policy, etc. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D2.2 | The system must provide extensive ability to set parameters including for loans, limits and calendar, globally or at the branch/institution level. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D2.3 | Flexibility to override policies case by case e.g. extenuating circumstances; disability. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D2.3.1 | System should allow for automatic extensions of loans for certain borrow/patron types. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D2.4 | Individual segments of the user record must be updatable by disparate sources without affecting information in other segments. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

User/User Management

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| D3.1 | The system must provide the ability to create different user types and set circulation and database type parameters for each type of user. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.2 | User information must be updateable (through an API/Web Service/plug-in) via institutional systems that can serve as the initial source of that user information. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.2.1 |  | System should provide the ability to indicate on patron record where a patron’s status has changed and should be counted as a new user for reporting purposes (see K1.14.11) | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.2.2 |  | Ability for self-registration to be linked to payment interface e.g. WPM, PayPal | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.2.3 |  | Ability for system to support payment plans for membership, e.g. quarterly payments, linked to relevant payment interface, e.g. WPM | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.3 | The system must allow, for each library using the system, authorised staff to create, modify, and delete user records | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.4 | It must be possible to update defined areas of the user record (core information, addresses, and phone numbers) independently. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.5 | Photos linked to user records. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.6 | The system must support different authentication mechanisms including: | |  |  |  |  |  |
| D3.6.1 |  | Local authentication | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.6.2 |  | External identify management systems (e.g. LDAP, AD) for authorisation and authentication. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.7 | Individual segments of the user record must be updatable by disparate sources without affecting information in other segments. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.8 | Additional secure authentication i.e. password / username / PIN. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.9 | Multiple routes/methods to view and access user information. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.10 | Option to enable user editing of suitable personal data e.g. address, contact details. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.11 | It must be possible to set primary mode of contacts on user records. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.12 | Option for online self-registration, including sharing information between the Institutions to allow for faster membership checks to allow those libraries sharing the system to offer appropriate self-registration and/or not offer at all as they prefer – ensuring access for eligible people as appropriate. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.13 | Potential to support a single shared library card. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.14 | Email and other communications to users to include: | |  |  |  |  |  |
| D3.14.1 |  | Flexible templates and inclusion of LMS fields in any type of message | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.14.2 |  | History of automatically-generated emails | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.14.3 |  | Allow for staff monitoring/intervention on any automatic mailing (i.e. to allow for checking of returned books before proceeding with email) | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.14.4 |  | any automatic mailing including overdue notices | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.15 | Bounced email should be automatically recorded with a note on the record to tell the reader they have missed the message (and to take action such as updating their email address). | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.16 | Transfer the content of a user record to another record e.g. | |  |  |  |  |  |
| D3.16.1 |  | Checked out items between a borrower and a paid subscription where there is no gap in membership. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.16.2 |  | A student leaves and becomes an alumnus. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.17 | Mobile interface (web/app) allowing users to manage their accounts (which could include fines payment). | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.18 | The system must support linking to an external proxy server capable of handling multiple libraries | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.19 | The system must support per-library membership and associated rights management for each institution library. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.20 | The system user records must include facility for multiple library-defined coding of user type *(eg to indicate flexible combination of home institution / degree and level of study / geographic location linked to statistical reporting features and mapped to institutional reporting requirements).* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.21 | Option for storing and sending MMS text messages of any library notices deliverable by email. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.22 | Option to block access via library defined parameters (ie access to building, access to databases, etc.) | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D3.23 | System must allow for easy merging/reconciliation of identical patron records within library-specific domains (i.e. duplicate records within SHL) and/or across the libraries (i.e. between ICS and Warburg) *If required. In this manner, a patron with books outstanding and fines incurred on one SHL record an be merged with an existing SHL record if created ‘by accident’ so that the users’ full circulation history and fine history will be retained. At a minimum the ability to dedup or reconcile within SHL is required.* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Fines and Fees

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| D4.1 | Information on the context of any fees, fines or blocks on usage e.g. | |  |  |  |  |  |
| D4.1.1 |  | deposits for equipment such as microfiche lenses | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.1.2 |  | block on borrowing until an item is returned | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.1.3 |  | booking fees | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.1.4 |  | rentals | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.2 | The system must support assessment of fines and fees for an item based on transaction policies defined by the libraries. 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 or on return as a library determines. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.2.1 |  | Configuration and deployment would need to be flexible to allow those libraries sharing the system to offer as appropriate to their operations (*eg: may wish to continue to only generate fines when the overdue book is returned or renewed online but late.)* | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.3 | It must be possible for an authorised operator to manually add or waive a fine or fee. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.3.1 | Ability for a user to have a credit account (especially if there is a link to printing services). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.4 | The system must offer the ability to set the amount of fines accrued after which the user account is blocked from further activity. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.4.1 |  | it would be useful to be able to apply blocks after an is overdue beyond a defined number of days. | W |  |  | Please specify whether your solution can meet this requirement |  |
| D4.5 | It must be possible for end-users to view their fines and fees in the Resource Discovery solution, without seeing any element of the SHLS back-office systems. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.6 | It must be possible to disable fines and not operate a fining regime at all. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.7 | It must be possible for end-users to view their fines and fees other integrated systems (such as web/mobile apps) – through APIs/Web Services for data transfer. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.8 | Administration fee still applied if user replaces a lost/damaged book or other item. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.8.1 |  | Configuration and deployment would need to be flexible to allow those libraries sharing the system to offer as appropriate to their operations. (*Eg variations in when admin charges apply and nature of membership.)* | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.9 | Suppliers’ costs for lost/damaged books or other items should be chargeable if appropriate *(e.g. Dawsons charges are shown in one current LMS)* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.10 | Manipulation of fines so that payment by instalments is possible. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.11 | Standard fine levels, bill for replacement and other fine charges can be altered on a case by case basis. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.12 | Real time fine payment methods for both online and counter *(e.g. Mifare, WPM, Paypal.)* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.13 | Fines and fees reporting/display should include the source of the charge e.g. Senate House or the user’s home institution. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.14 | Accrued and accruing fines to be clearly differentiated in reports and messages. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.15 | Audit trail should include the full history of the fines and fees, including what has gone through the counter and what has gone through machines. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.16 | When fines are cleared, real time updating of student records or other enterprise systems. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.17 | There should be multiple fine/charge templates which allow for a default amount (eg: £50/BFR) and a non-standard one which can be altered/customised for more expensive BFR (£100/default or to whatever the cost for replacement). | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D4.18 | Fine/Charge history must be comprehensive for the life-cycle of the patron records. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Request Management and bookings

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| D5.1 | The system must support business rules for each individual library sharing the system that automatically manage users’ requests and allowing staff user mediation only when necessary.eg: | |  |  |  |  |  |
| D5.1.1 |  | Booking is only allowed for certain groups or within certain limits | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.1.2 |  | An item is not request-able when it is on the shelf | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.1.3 |  | Specific item types *(eg: short loan*) to be bookable even when they are on the shelf. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.1.4 |  | The system should support variations in library-preferred wording. *(Eg ‘not on loan’ rather than ‘on shelf’)* | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.2 | Scanning/digitisation requests (including from assisted users). | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.3 | A user-initiated Scanning/digitisation request must trigger an alert and a pick slip at a specific location. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.4 | The system must automatically generate a notice to users when requested items are available. This notice may be in the form of an email or an SMS or phone alert. This should be generated in real time. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.4.1 |  | Configuration and deployment needs to be flexible to allow those libraries sharing the system to offer as appropriate to their operations. *(e:g IALS Library currently does not send notices to some members with 1 day borrowing as the hold can expire before we get to generate the notice).* | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.5 | Requests for items must be able to trigger alerts as appropriate. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.6 | Off-site store requests, with capability to send alerts to store staff. Additionally, reporting is required for off-site store requests. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.6.1 |  | Configuration and deployment would need to be flexible to allow those libraries sharing the system to offer as appropriate to their operations. *(Eg IALS library staff would need to know about the request / order made and intervene to contact requestor with more information if necessary – such as letting reader know that there is an online version and double-checking that they really would want the print original).* | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.7 | Best sourcing route for an item being requested (e.g. smart fulfilment, using a combination of user and item attributes to determine the best fulfilment method). | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.8 | The system must support the administration of library-specific access rights for digital materials, based on user group and collection for each library that is sharing the system. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.9 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.10 | For all request types, user permissions must be based on transaction policies defined by the libraries. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.11 | Desirable to have a user self-booking function. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.11.1 |  | Configuration and deployment would need to be flexible to allow those libraries sharing the system to offer as appropriate to their operations. *(eg: IALS interest for bookings on its Short Loan collection and potentially research carrels, laptops etc.).* | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.12 | The system must be able to record the usage of digital materials by flexible and wide range of user categories reflecting each libraries local, London and national and international user communities (who? Where? When? How?). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.13 | Bookings facilities need to support all types of library-related materials and resources, including AV, study carrels, laptops etc. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.14 | Reservations need to accurately reflect the order that a user request is made in e.g. ensuring that the person who first puts a hold on an item receives it first. However, this also needs the flexibility to be overridden (e.g. the user is on holiday when the reservation becomes available, or an academic has higher priority). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D5.15 | It should be possible for staff to manually adjust hold pickup dates – even when there is a waiting list for the item. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Smart Fulfilment

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| D6.1 | The system must provide smart fulfilment, using a combination of user and item attributes to determine the best fulfilment method. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D6.2 | For all request types, user permissions must be based on transaction policies defined by the individual institution libraries. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| D6.3 | The system must support the fulfilment of requests via link resolution to appropriate electronic resources. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| D6.4 | Fulfilment of requests submitted by borrowers via the discovery or any other interface. Linked ISBNs/records across a library or SHLS could alert a user to the fact that an alternative exists (but only if it’s available). | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D6.5 | Fulfilment of requests via link resolution to appropriate electronic resources or other catalogues (ie COPAC and WorldCat). | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| D6.6 | Digitization-on-demand workflows. | C(2) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Reading lists**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | | RATING |  |  | Response Requirement | Tenderers Response |
| E1.1 | The system must be able to receive information about course reading materials from external sources. These sources may include (but not be limited to): | | |  |  |  |  |  |
| E1.1.1 |  | A discovery interface | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.1.2 |  | A web input form. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.1.3 |  | 3rd party products such as: | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.1.3.1 |  |  | Talis or other reading list software | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.1.3.2 |  |  | Reference management systems such as Endnote or Zotero | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.2 | The system must support complete list integration for print, digital, and electronic reserve items. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.3 | The reserve system must have a high level of integration with other modules, utilising the same user and bibliographic databases, and discoverable using same search interfaces. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.4 | It must be possible for an authorised operator to request digitisation of a resource from the reserve queue. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.5 | It must be possible to report copyright clearance status including integration with the PackTracker CLA reporting tool or similar. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.6 | The system must provide the ability to easily produce lists of items held on reserve by a variety of fields, including course code and lecturer. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.7 | The system must provide the ability for authorised users to archive information after the withdrawal date and re-activate at a time specified by the Libraries. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.8 | The system must be able to support the advance bookings of material, including items of varying loan periods (e.g. 24 hour as well as 2 hour loans). | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.9 | The system must be able to control access to certain content by some categories of users. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.10 | The product should support workflows for digitization of course reserve material. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.11 | Functionality to act as a student learning tool e.g. usable in classrooms to guide students through reading list contents and context. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| E1.12 | VLE integration. *(eg:Moodle)* either directly or via API/Web Services. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Resource management**

Electronic resources

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| F1.1 | Electronic Resources Management (ERM) encompasses the provision and management of digital information resources (e.g. databases, e-journals, e-books). The functionality required to provide access to these resources can be grouped in a single module or spread through other modules - but there must be efficient integration between various components. Please explain how the solution supports ERM. | | | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.2 | Holistic approach to electronic resource management with the flexibility to adapt and adopt new developments and standards in a timely way. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.3 | Alignment with national standards and projects such as: | | |  |  |  |  |  |
| F1.3.1 |  | JUSP http://jusp.mimas.ac.uk | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.3.2 |  | ELCAT https://www.jisc-collections.ac.uk/News/elcat\_launch | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.3.3 |  | KB+ http://www.jisc-collections.ac.uk/knowledgebaseplus/projects | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.4 | Knowledgebase provision is made [See section G]. | | | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.3 | Details of Knowledgebase functionality and integration with external sources are required [See section G]. | | | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.6 | Additional data can be imported into the Knowledgebase [See section G]. | | | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.7 | A-Z listing service for all partner institution e-resources, including partner holdings/access and an overlap analysis tool for staff. | | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.8 | Access management aligns with varying partner institution partners’ licences and agreements, ensuring that users cannot access resources they are not entitled to. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.9 | Workflow management across the e-resource life cycle, including: | | |  |  |  |  |  |
| F1.9.1 |  | Resource tracking | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.9.2 |  | Reminders | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.9.3 |  | Status assignments | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.9.4 |  | Redistribution of workflow between teams and users | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.9.5 |  | Communications and notifications to users | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.10 | License management: | | |  |  |  |  |  |
| F1.10.1 |  | License details records. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.10.2 |  | Storage of agreements. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.10.3 |  | Display license terms for internal and external users | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.10.4 |  | Ability to record explanation of user eligibility under the licence for onsite use, offsite use and any limitations on commercial / walk-in user use. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.11 | Statistics management: | | |  |  |  |  |  |
| F1.11.1 |  | Obtain, gather, and organize usage statistics including (but not limited to): | |  |  |  |  |  |
| F1.11.1.1 |  |  | usage by resource title | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.11.1.2 |  |  | Usage by user (by type, group, analysis code and individually by library card barcode/ID and any other fixed field across to item, bibliographic,, order record) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.11.2 |  | Auto-upload statistics using -SUSHI standard | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.11.3 |  | Provide historical statistics and reporting. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.11.4 |  | Archive o statistics for the life cycle of the LMS. Capacity to store a minimum of 5 years of statistical data, but ideally to the life of the LMS. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.12 | Administration of access rights for electronic materials, including: | | |  |  |  |  |  |
| F1.12.1 |  | ability to restrict access by IP address | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.12.2 |  | federated access management where appropriate, such as Shibboleth | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.13 | Administrative information, such as usernames and passwords for different suppliers | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.14 | Acquisitions functionality for: | | |  |  |  |  |  |
| F1.14.1 |  | Budget management | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.14.2 |  | Fund management | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.14.3 |  | Financial reporting | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.14.4 |  | Repository of cost data | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.14.5 |  | Invoicing | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.15 | Activation of approved purchases for electronic packages and titles | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.16 | Notify staff when an electronic package or title is activated | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.17 | When an electronic package or title is activated, descriptive records to describe the title(s) must be automatically added to the catalogue and/or Knowledgebase and/or journals package. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.18 | Indicate if there is a need to import/export data in order to support the e-resources lifecycle (i.e. to activate specific resources) - with an approval step if required. | | | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.19 | Interoperate with relevant library systems to support auto-feeds, data loads, and auto-updates. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.20 | Ability to evaluate existing electronic resource subscriptions (including options to build interfaces into other systems such as Google Analytics) and make a decision to renew or cancel based on: | | |  |  |  |  |  |
| F1.20.1 |  | Usage | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.20.2 |  | Cost | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.20.3 |  | Changes in license | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.20.4 |  | Changes in title lists to a package | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.21 | Method to check the availability of certain journals based on prediction patterns. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.22 | Electronic ‘claiming’ for journals not available. | | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.23 | Allow the use of 3rd party ERM systems with minimal development of interfaces. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.24 | Explain any aspects of ERM that cannot be directly supported by the solution and indicate where 3rd party software or plug-ins are required. | | | RFI (4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.25 | The system should have the ability to import license information from other systems (such as via CSV files, databases etc.) | | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.26 | The system must support use of multiple links including both direct links and proxied links and variant link texts to indicate eligible user access. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.27 | The system must allow to the libraries to specify Proxy server requirement that will allow server to be shared by several library. | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F1.28 | The system must allow to the libraries to include shared proxy server IP in individual library supplier accounts. (That may require Proxy server IPs for each library.) | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Physical resources

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| F2.1 | Audio-visual and electronic equipment, including laptops can be managed in the same way as a bibliographic or electronic resource. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F2.2 | Booking systems, with features such as (but not exclusively): | |  |  |  |  |  |
| F2.2.1 |  | Can override a booking with a higher priority one (e.g. at SOAS, a staff requirement for AV equipment will override a prior student booking). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F2.2.2 |  | Integrate with standard calendar functionality and/or provide a calendar interface | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F2.2.3 |  | Provide automated responses and forms. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F2.2.4 |  | Support asset tracking (i.e. where items are). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F2.2.5 |  | Integrate fully with the LMS authentication, including blocks on a user being able to borrow items. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F2.2.6 |  | Manage fines and fees in the same way as bibliographic or other resources | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| F2.2.7 | Enable linking (via API/Web Services or LDAP/AD) to external booking systems and door entry control *(eg Sentry Isis, Kinetix, etc.).* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Central Knowledge Base**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| G1.1 | It is expected that the new system will support and be supplied with a Central Knowledge Base of electronic resources. This is important as SHLS libraries needs to be able to manage a large and complex digital collection.  The vendors should answer the following: | |  |  |  |  |  |
| G1.1.1 |  | How many resources are managed in your Knowledge Base (per type)? | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.1.2 |  | How frequently is the Knowledge Base updated? | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.2 | Give details about how the following types of electronic resources are described in the Knowledge Base: | |  |  |  |  |  |
| G1.2.1 |  | Electronic journals (*Individual electronic journals, newspapers and other serials*) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.2.2 |  | Journal packages | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.2.3 |  | Selective packages | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.2.4 |  | eBooks | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.2.5 |  | Databases | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.3 | Does the system allow for the addition of titles not currently in the Knowledge Base? | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| G1.4 | Knowledge-base will need to support resources / accounts for each library sharing the system. That may require repetition of ISSN / eISSN information or other facility for handling multiple cases. | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |

1. **Resource Discovery & interfaces**

Discovery functionality

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| H1.1 | Discovery capability is intended to replace to a great extent the functionality traditionally offered by OPAC technologies and staff clients. A fresh and innovative approach is required to allowing users of all types to access the information they require, whether they are library staff, students, academics or any other class of customer. How does the solution meet this high level vision? | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| H1.2 | Discovery functionality bring to the surface the richness of the partner institutions collections in a way that is easiest for users on the key counts of: | |  |  |  |  |  |
| H1.2.1 |  | Usability | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H1.2.2 |  | Meaningful display of results | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H1.2.3 |  | Validity of results (i.e. intelligent approach to presenting the most relevant items in the context of the search). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H1.3 | End-users can see all their account information (fines, loans, stored searches etc) seamlessly in the Discovery solution as would have been the case in a traditional OPAC interface? | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H1.4 | If H1.3 is limited in any way, what account information will be viewable in the Discovery interface? | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H1.5 | To deliver the functionality and vision for the SHL/SAS institutes some of the partner institution libraries need a complex / advanced OPAC (or equivalent) that offers the same functionality as afforded by the existing WebCat interface. Please explain how your Resource Discovery Solution meets this need. | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| H1.6 | The system must allow individual library-focused initial search and for ability to build dynamic search form from comprehensive selection of fields with operator options to meet advanced research specialist searches. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H1.7 | It should be possible to provide deep links to individual journals / law reports from catalogue. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Discovery Searching

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| H2.1 | Standard searching functionality must be supported, whether an item is a physical, bibliographic or electronic resource. | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| H2.2 | All search methods are intuitive and easy to use, on a spectrum of: | |  |  |  |  |  |
| H2.2.1 |  | Google-style | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.2.2 |  | Faceted narrowing down of result by library specific and defined parameters | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.2.3 |  | Advanced Boolean | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3 | Intelligent searching and retrieval includes (with options to enable or disable, as required) | |  |  |  |  |  |
| H2.3.1 |  | Relevance ranking | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.2 |  | ‘Did you mean...?’ suggestions | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.3 |  | Checking/correction of apparent spelling mistakes | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.4 |  | ‘If you like that you might like this’ | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.5 |  | ‘If you looked at that, other people have looked at this’ | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.6 |  | ‘Users who borrowed that also borrowed this’ | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.7 |  | Opening up routes of interest and serendipity | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.8 |  | Autocomplete | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.9 |  | Lemmatization or stemming | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.10 |  | Library keywords to trigger links or advice on related library searches | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.3.11 |  | Ability to switch off intelligent searching functions (such as “did you mean”) | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.4 | Specialist research-related aspects of Discovery for users will work effectively for niche collections and services for all the institution libraries:   * Senate House Library (SHL) * Institute of Advanced Legal Studies Library (IALS) * Institute of Classical Studies Library (ICLASS) * Institute of Historical Research Library (IHR) * Warburg Institute Library (WARB) | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.5 | Dependent on the search type and role of the user, optional (on/off) functionality should allow for a user to edit a record, create an order, view holdings, items etc. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.6 | An advanced user (e.g. library staff) can change role to see Discovery functions and results as if they were a standard user (e.g. student). | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.7 | Discovery specifically supports non-Roman scripts or can interface with a product that does so. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.8 | The system must offer intuitive and easy to use search methods; both basic and advanced searching must be supported. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.9 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10 | The system must be delivered with an out of the box set of standard indexed fields, including, but not limited to: | |  |  |  |  |  |
| H2.10.1 |  | author | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.2 |  | title | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.3 |  | subject | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.4 |  | series | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.5 |  | call number | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.6 |  | ISBN/ISSN | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.7 |  | publisher | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.8 |  | notes | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.10.9 |  | edition | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.11 | It must be possible to filter large result sets – e.g. *by facets*. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.12 | It must be possible to search across all types – bibliographic physical, digital, electronic in one search query. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.13 | It must also be possible to set a pre-search filter by individual library sharing the system – for example by: | |  | | | | |
| H2.13.1 |  | Bibliographic information | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.13.2 |  | Physical title | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.13.3 |  | Physical item | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.13.4 |  | Digital title | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.13.5 |  | Digital files | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.13.6 |  | Electronic information. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.13.7 |  | It must be possible to set a pre-search filter by individual library sharing the system. *e.g.: Series title* | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.14 | Based on staff and/or user queries it must be possible to save and manage sets | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.15 | Sets should be the result of a query – i.e. all the items resulting from the search will be included in the set | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.16 | It should also be possible to choose items from a query, and to form a set from the chosen items | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.17 | It must be possible to search for electronic resources by – but not limited to - title (e.g*. journal title*), package and by provider | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.18 | Dependent on the search type, it should be possible – from the results list - to edit a record, create an order, view holdings, items etc. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.19 | System interface has a persistent search box so that staff could search the database regardless of where they are in the system. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.20 | The system should support multiple selections and recombination of facets. *(Eg: via breadbin)* | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.21 | The system must offer virtual shelf browsing functionality for search results | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.22 | Search results must be sortable by date –(both oldest and newest first) | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.22 | It must be possible to restrict a search to a particular date range, preferably in advance, but possibly from the search results screen. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.23 | Search results | |  |  |  |  |  |
| H2.23.1 |  | Search results should be saveable as lists for future reference | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.23.2 |  | It would be useful if saved lists can be shareable as public lists | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.24 | There must be a browse functionality by multiple and library specific classmark systems so browsing within a classmark is possible without reference to results of a common index *(eg: browsing LoC via MARC090 only brings results in SHL without reference to ICR if they have records with the 090).* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.25 | There must be browsable taxonomic structure available with regard to title, series title, periodical title, subject searching and class mark functions *(ie, no ‘null’ returns if beginning of title is ‘wrong’).* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.26 | The system should be open to sfx/link resource resolution for querying to other catalogues such as COPAS or WorlCat from within the catalogue. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.27 | All public views with the catalogue and/or discovery interface must either have responsive interfaces or must have automatic enabled customisations or plug-ins available to view across mobile phones or tables. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H2.28 | The system should have options for users to export results sets to bibliographic referencing applications eg Endnote, Refworks, Zotero. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Discovery Interfaces (user and system)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| H3.1 | Users can personalise their use of the LMS and Discovery interfaces to deliver the concept of a personal information environment or virtual learning environment e.g. customise display; choose default searches; set up favourite links and search groups; set up alerts; add widgets etc. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.2 | System interfaces of all kinds, particularly REST-compliant web services and other API options, must be: | |  |  |  |  |  |
| H3.2.1 |  | Well developed | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.2.2 |  | Well documented | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.2.3 |  | Easily usable | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.2.4 |  | Proven | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.3 | If an integral Discovery capability is not required by a partner institution, then a 3rd party Discovery product can be interfaced instead using a standards-based system or format. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.4 | Discovery interfaces should be customisable to each institutions own library-related services and systems, including look and feel to match institutional branding | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.4.1 | Seamless user driven workflows initiated from Discovery handled by the system such as: | |  |  |  |  |  |
| H3.4.2 |  | Digitization on demand | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.4.3 |  | User-driven acquisition (traditionally PDA or patron driven acquisition) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.4.4 |  | ILL requests | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H3.5 | Allow library-specific contextual guidance, help options and contact points *(eg: users of the IALS discovery interface should be offered options and contact points at IALS.)* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Discovery Interfaces (user experience)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| H4.1 | The discovery solution for the end user must be delivered via a cross-browser compatible web interface | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H4.2 | Supported browser including (but not limited to): | |  |  |  |  |  |
| H4.2.1 |  | Chrome | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H4.2.2 |  | Safari | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H4.2.3 |  | Firefox | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H4.2.4 |  | Internet Explorer | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| H4.2.4 | The system should require no additional plugins on the web interface | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Link Resolution**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| I1.1 | The system must be able to accept OpenURL and context sensitive services as well as resolving the services. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| I1.2 | It is highly desirable that the system be able to augment the OpenURL metadata content where necessary. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| I1.3 | The system should be able to support cases where the OpenURL resolves to multiple records. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| I1.4 | Link resolution functionality should be available but optional. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| I1.5 | Authentication/location recognition (e.g. on or off campus). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| I1.6 | SFX and other link resolution software must be compatible. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| I1.7 | Knowledge Base+ interoperability. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| I1.8 | Link check alert and report facility on bib/item records containing URLs | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Document supply and inter library loans**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| J1 | British Library document supply processes and standards must be fully supported i.e.: | |  |  |  |  |  |
| J1.1.1 |  | Compatible with British Library's ARTemail & BLDSS services, able to receive replies, give valid delivery instructions, process progress reports etc. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.1.2 |  | Transmission of formal requests to other libraries and suppliers | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.1.3 |  | ART File Format | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.1.4 |  | Option to generate customised numbers rather than depend on those assigned by BL | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.1.5 |  | Option to send document to alternative delivery address | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.1.6 |  | Follow BL-preferred format of bibliographic details in requests | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.2 | Solution must have the functionality to adopt any changes to British Library document supply processes and standards. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.3 | Document supply encompasses digitization and scanning workflows from other institutions/providers. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.4 | Import and export of data through APIs and other functionality e.g. | |  |  |  |  |  |
| J1.4.1 |  | Reference and citation management systems to initiate a request | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.4.2 |  | Incoming data on an ILL request | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.5 | Updates and information related to the document supply to be viewable by the user. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.6 | Finance system/module integration for budget charges etc. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.7 | Generic accounts so that (for example), any member of a research group can pick up and access requests, not just the originator. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.8 | Supply to other libraries, including digital and preferred formats. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.9 | Workflow for dealing with the approx. 20% of requests that are unobtainable. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.10 | Facility to send standard and free-text replies to other libraries for requests that SHL has received from other libraries that cannot be supplied (approx 50%). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.11 | Top of Form  Facility to route requests received by SHL from other libraries to other libraries using the LMS **e.g. Warburg, IHR etc.** | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.12 | Top of Form  Ability to manually adjust circulation parameters for items received from other libraries, e.g. circulation status, renewal limit. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.13 | Top of Form  Other (registered on system) libraries can initiate requests directly via discovery interface. | | W(1) |  |  | Please specify whether your solution can meet this requirement |  |
| J1.14 | Top of Form  ILL requests can be used to generate acquisitions records for selector-approval if Library decides to purchase item rather than acquire through ILL, i.e. link between ILL and Acquisitions modules/workflows. | | W(1) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Reporting and Analytics (Management information)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| K1.1 | The solution must provide both operational and usage reporting as well as analytics and Business Intelligence (BI) capabilities on all aspects of system use - at both an individual library level for each library using the system, at a material level and also at a global level to cover all usage across the system. *Note: Those needs will vary between traditional university library with large under graduate community, students and staff of own institution and the national research libraries in SAS which have large numbers of national and international users based at other institutions – and need to measure and account in detail for that use.* | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.2 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.3 | The reporting & BI tool must support a variety of output options including, but not limited to: | |  |  |  |  |  |
| K1.3.1 |  | viewable online | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.3.2 |  | email | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.3.3 |  | export in multiple formats (pdf, xls, csv, xml, etc.) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.3.4 |  | send to printer | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.4 | The reporting and BI system must be able to provide business intelligence capabilities and the analysis of different data gathered by the system to serve as a support for decision making process. Benchmarking is strategically important to all the institution libraries across SHL and SAS and the system must be able to generate the relevant metrics. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.5 | The reporting & BI system should support the ability to collaborate and share reports made by other parties. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.6 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.7 | The reporting solution must be able to provide usage statistics reports and comply with industry usage reporting standards such as SUSHI, COUNTER. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.8 | The solution must support flexible reporting with a range of standard expenditure reports. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.9 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.9.1 |  | role-based conditions should be sufficiently configurable to ensure that relevant reports can always be generated for each user as needed. | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.10 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.11 | The BI & Analytics tool must be able to analyse history data and provide predictive analysis (such as usage, expenditure). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.12 | The reporting and BI solution should allow layered reporting with drill down capabilities – for example: expenditure over year with drill down to quarters/items etc. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.13 | The Reporting application must allow for the automatic scheduling of reports at defined intervals. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.14 | Financial data analysis and reporting to include: | |  |  |  |  |  |
| K1.14.1 |  | Range of standard expenditure reports | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.14.2 |  | Drill down facilities (e.g. separate funds) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.14.3 |  | Integration/interoperability with institution’s finance reporting systems. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.15 | Report output formats should support statistics that are needed across the partner institutions e.g. Sconul return formatted stats. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.16 | History of circulation information for items - as a replacement for looking at date-stamps in a hardcopy record. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.17 | Library gates/access reporting and integration to provide statistics and reports (including at individual user level). This should not involve any 3rd party security access system having to go offline. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.18 | Personal data protection, including anonymisation of statistics that could identify individuals. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.19 | Delivering granular detailed information including local, London and national and international core user groups. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.20 | Facility to produce reports on patron records based on changes to patron parameters, e.g. so a patron upgraded from an undergrad to a postgrad can be counted as a new patron without needing to create a new patron record. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.21 | History of holds placed on specific items. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| K1.22 | The system must allow the creation of library specific report templates which could be shared across the library and automatically scheduled quarterly/annually (or another library defined scheduling period). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. **System Architecture and Security**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| L1.1 | The system must be vendor hosted in a cloud or Software-As-A-Service (SaaS) environment and be cloud born. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.1.1 | The system must be hosted in multiple Tier 3 (+) Data Centres. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.1.2 | Expected service availability must be at least 99.98%. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.1.2.1 |  | The Supplier should provide remuneration if the availability of the System falls below 99.98% in any month. Please provide brief details of your remuneration policy. | S(3) |  |  | Please provide brief details of your remuneration policy. |  |
| L1.1.3 | ISO 27001 standards should be in place. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.2 | The solution must maintain personal information securely and conform to EU legislation. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.3 | The cloud environment must assure complete data protection and have high security capabilities in place. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.4 | The cloud environment must be able to integrate with the institutions local LDAP or AD and / or IDM solutions as well as cloud directory services e.g. Windows Azure Active Directory (WAAD)for authentication. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.5 | The system must be scalable to meet the load of many institutions without performance impact. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.6 | The system must be able to integrate, including data transfer between with 3rd party systems – including HR, student records, finance, and more. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.7 | The system must provide a means for the institution to monitor basic parameters on its cloud environment. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.8 | the solution should support OpenID <http://openid.net/>. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.9 | The cloud system must be fully fault tolerant without a single point of failure. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.10 | The system must support basic fulfilment capabilities during local institution network outage. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.11 | 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. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.12 | 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? | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L1.13 | The product should support linking of digital resources to the relevant physical/electronic resources. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| L.14 | The system must allow institutions administrators/system librarians with sufficient permissions to have full access to all their library data stored in the cloud solution via: | |  |  |  |  |  |
| L14.1 |  | APIs | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| L14.2 |  | Interrogation of database table access via 3rd party SQL editors | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| L14.3 |  | Web Services | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| L14.4 |  | Other (detail as necessary) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| L14.5 | The system must allow full control – including export – of all the libraries own data – via scripts, tools or other processes & functions. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. **System Administration and Management**

General

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| M1.1 | No excessively restrictive limits on size and number of records or fields. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M1.2 | Each library sharing the system must have system level access capability. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M1.2.1 |  | M(4) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M1.3 | Localization and internationalization i.e. using a standard approach such as language files, like gettext in Unix. | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| M1.4 | No excessively restrictive limits on size and number of indexes | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Support and maintenance

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | | | | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| M2.1 | Suppliers must meet UoL’s [minimum service level requirements](#_Professional_Services_(Service): | | | | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
|  |  | Category | | Description | Response time | Resolution time | |  |  |
| P1 | | Showstopper, significant business or user impact | 1 Hour | 4 Hours | |
| P2 | | High priority, impacting effective use of the service for a significant number of users | 1 Hour | 1 Business day | |
| P3 | | Normal priority, service impaired for a small number of users | 2 Business hours | 3 Business days | |
| P4 | | Low priority, service not functioning as expected, but not significantly affecting use | 1 Business day | 5 Business days | |
| M2.2 | Incident management and emergencies: | | | | | |  |  |  |  |  |
| M2.2.1 |  | | Response procedures, addressing specifically the management of: unscheduled outages; interrupted services or a customer's report of degradation in service. | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.2.2 |  | | How is emergency support provided 24x7? (List any web sites used for support purposes.) | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.3 | Supply evidence of human resource dedicated to support and maintenance. | | | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.4 | Support for cloud environment details, including: | | | | | |  |  |  |  |  |
| M2.4.1 |  | | Security approach? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.4.2 |  | | Specialist staff? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.5 | Change control: | | | | | |  |  |  |  |  |
| M2.5.1 |  | | Procedures? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.5.2 |  | | How do customers receive prior notification of scheduled downtime for maintenance or upgrades? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.6 | Upgrade | | | | | |  |  |  |  |  |
| M2.6.1 |  | | Customers should be able to postpone upgrades or patches to suit business requirements. | | | | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| M2.6.2 |  | | The Supplier must provide a clear policy on upgrades and *versions eg. do all customers need to be on the same version?* Details to be provided in the Notes. | | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M2.7 | Customer resources – how do customers access: | | | | | |  |  |  |  |  |
| M2.7.1 |  | | A knowledge base that includes extensive information to assist customers in troubleshooting issues and FAQs? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.7.2 |  | | Product information such as release notes, user group presentations, etc.? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.7.3 |  | | Software documentation? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.7.4 |  | | Information regarding upgrades and patches? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.8 | Enhancements | | | | | |  |  |  |  |  |
| M2.8.1 |  | | How are requests for enhancements handled? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.8.2 |  | | How are feature enhancements released to your product (e.g. separate beta testing vs. en-masse beta testing with the entire population). | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.8.3 |  | | How will the users be notified of upcoming or released product features? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.8.4 |  | | How are priorities set for enhancements? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.8.5 |  | | What role, in any, does a user group have in this process? | | | | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| M2.9 | Backup processes should be supported by modern network and cloud backup functionality as standard - but also tape if required. | | | | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M2.11 | Data restoration timescales and processes are explicitly clear and acceptable by the institution partners, including the OS from bare metal and LMS-specific data. | | | | | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Customization

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| --- | --- | --- | --- | --- | --- | --- |
| Number | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| M3.1 | 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M3.2 | 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M3.3 | The system must support multiple libraries (sites) – each with their own, potentially complex, branding, ranking, scoping, interface customisations (css, html, javascript, templates, etc.) and other configuration requirements. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M3.4 | 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. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M3.5 | The system should come with the ability to add notes and file attachments to various resources managed in the system. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M3.6 | The interfaces (both the LMS and Discovery Layer) must be easily customizable to the extent that it can be branded with the partner institutions identities. This includes control of style, images and graphical elements. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M3.7 | The system must permit changes to vocabulary to reflect UK and individual partner practices. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M3.8 | Customization of the acquisition workflows in order to accommodate specific library needs as well as control over when orders and invoices need mediated handling. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

User Management

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| --- | --- | --- | --- | --- | --- | --- |
| Number | Question | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| M4.1 | The system should support a robust and flexible yet straight-forward system for assigning roles and permissions to staff functions. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M4.2 | The system should support automatic assignment of roles to staff users. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M43 | The system should support Authorization/authentication which is role/attribute based (i.e. a single user can have multiple roles without needing multiple IDs). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M4.4 | The system must provide granular access control rights for staff accounts and be able to facilitate multiple profiles accessing different combinations of functional modules. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| M4.5 | Roles and permissions should be integrated to allow a staff member to have a single set of permissions for working across libraries and across roles e.g. staff working across the different partner institutes. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. **Technical requirements**

As already indicated, high level technical requirements are captured here because they are essential elements of successful delivery of all functional requirements. Also as previously stated, the solution is expected to work within any constraints indicated. If this is not possible for any reason, then any implications of those constraints need to be fully worked through and resolved appropriately before implementation.

The solution provider is expected to work with the project team to ensure that the system can support the levels of performance and security indicated.

Performance

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| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N1.1 | **Users and content:**  Whilst requirements for precise response times, storage performance and records capacity cannot yet be calculated, the following volumes of potential usage and content must be catered for – plus a standard calculation of growth rates: | | | | | | |
|  | Users (FTE staff and students) | |  |  |  |  |  |
| 27,050 | Minimum | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| 232,050 | Maximum (including all UoL federated staff & students) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| Records (bibliographic, electronic resources, digital, archives) | |  |  |  |  |  |
| 5,497,438 | Minimum | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| 17,587,568 | Maximum (including archives) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| Max concurrent staff users: 160 | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

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| Number | Question | | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N1.2 | High level performance criteria  The following high level criteria must be met by the overall performance of the solution: | | | | | | | |
| N1.2.1 |  | Real-time response rates for searching, retrieval and LMS processes | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N1.2.2 |  | Database growth capability | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N1.2.3 |  | No adverse impact on the performance of institution partner software and systems i.e: | | | | | | |
| N1.2.3.1 |  |  | Infrastructure (e.g. network, security, servers). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N1.2.3.2 |  |  | Enterprise systems (e.g. finance, student records). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N1.3 | Performance testing:   Proof will be required that the solution performs appropriately under the stress of usual and peak usage. This applies before selection in terms of a report on standard system performance, and pre-launch to ensure that the developed system will operate to acceptable levels in a live environment. The partner institutions may choose to employ a 3rd party performance tester, in which case full support is required from the solution provider in terms of: | | | | | | | |
| N1.3.1 |  | Carrying out the testing. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N1.3.2 |  | Investigating any highlighted issues. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N1.3.3 |  | Resolving issues (unless they are agreed as too minimal to be of concern). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Interoperability

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Number | Question | | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N2.1 |  | | | | | | | |
| N2.1.1 | This includes data import and export, as well as being able to surface information where appropriate, through features and methods including (but not restricted to): | | | | | | | |
| N2.1.1.1 |  | API’s | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.1.1.2 |  | Web Services | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.1.1.3 |  | Batch processes, CSV and FTP as a minimum | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.1.1.4 |  | Direct access to Database tables/views | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1 | **Library:** | | | | | | | |
| N2.2.1.1.1 | **LMS** | | Millennium | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.2.1 | **Archives** | | AdLib | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.1.1.2.2 |  | | Calm | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.3.1 | **Ref.Mgmt** | | EndNote | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.3.2 |  | | Zotero | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.4.1 | **Discovery** | | VuFind | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.4.2 |  | | Primo Central | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.5.1 | **Authentication** | | AD | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.5.2 |  | | LDAP | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.5.3 |  | | Shibboleth | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.5.4 |  | | OpenAthens | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.5.5 |  | | Innovative WAM | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.5.6 |  | | AthensDA | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.6.1 | **Link Resolver** | | Serials Solutions | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.6.2 |  | | SFX | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.6.3 |  | | Innovative WebBridge | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.7.1 | **Federated Search** | | Metalib | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.8.1 | **eJournals** | | TDNet | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.8.2 |  | | LM | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.8.3 |  | | Innovative ERM | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.8.4 |  | | EBSCO | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.8.5 |  | | TDNet | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.9.1 | **Repository** | | ePrints | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.9.2 |  | | dSpace | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.10.1 | **Image catalogues** | | Luna Imaging | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.10.2 |  | | PhotoLibrary | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.10.3 |  | | Elluminate | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.11.1 | **Printing/Photocopy** | | Pcounter | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.11.2 |  | | FollowMe printing | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.1.11.3 |  | | Pharos | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2 | **Enterprise:** | | | | | | | |
| N2.2.2.1.1 | **Estates/Security** | | 3M | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.1.2 |  | | Sentry access control | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.1.3 |  | | G4 ESI | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.1.4 |  | | Kinetix | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.2.1 | **Finance** | | Agresso | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.2.2 |  | | WorkDay | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.2.3 |  | | Oracle | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.3.1 | **Student records** | | SITS (Tribal) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.4.1 | **HR records** | | NorthGate ResourceLink | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.4.2 |  | | Oracle | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.4.3 |  | | Midland | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.4.4 |  | | WorkDay | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.4.5 |  | | Oracle | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.5.1 | **Web** | | Drupal | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.5.2 |  | | WordPress | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.5.3 |  | | SharePoint | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.6.1 | **Identity Management** | | Microsoft ForeFront identity manager | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.6.2 |  | | Oracle Identity Manager | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.7.1 | **Fundraising systems** | | Blackbaud | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.8.1 | **Payment systems** | | WPM | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.8.2 |  | | PayPal | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.9.1 | **VLE systems** | | Moodle | S(3) |  |  | Please specify whether your solution can meet this requirement |  |
| N2.2.2.9.2 |  | | Blackboard | S(3) |  |  | Please specify whether your solution can meet this requirement |  |

Hosting

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| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N3.1  N3.1.1 | Overall, hosted services must meet standard good sector practice in terms of performance and security requirements  Key requirements are: | | | | | | |
| N3.1.1.1 |  | Zero data loss in the event of a disaster | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N3.1.1.2 |  | Service levels for system performance. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N3.1.1.3 |  | Stringent information governance requirements. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N3.1.2 | ISO 20000-1 and UK ITIL standards for IT Service Management, or equivalent processes should be in place. | | C(2) |  |  | Please specify whether your solution can meet this requirement |  |
| N3.1.3 | **Cloud services**  As there is no single cloud interoperability standard, evidence of good practice and alignment with development standards is required.  This again applies whether the solution provider is also supplying hosting services or whether they are contracted elsewhere.  Developing standards and sources of good practice include: | | | | | | |
| N3.1.3.1 |  | Open Virtualization Format (OVF) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N3.1.3.2 |  | Distributed Management Task Force (DMTF) - Open Cloud Standards Incubator (OCSI) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N3.1.3.3 |  | Open Cloud Consortium (OCC) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N3.1.3.4 |  | Open Grid Forum (OGF) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N3.1.3.5 |  | Storage Networking Industry Association (SNIA) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N3.1.3.6 |  | Cloud Security Alliance (CSA) | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |

Security

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| --- | --- | --- | --- | --- | --- | --- | --- |
| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N4 |  | | | | | | |
| N4.1 | **Standards**  Security and Information Assurance standards are essential to protect commercially sensitive and personally identifiable information. | | | | | | |
| N4.1.1 | ISO 27001 (originally BS 7799 part 1 and BS 7799 part 2) compliance is required - or equivalent (e.g. National Institute of Standards and Technology (NIST) and International Society of Automation (ISA) computer security standards). | | S(3) |  |  | Please specify whether your company can meet this requirement |  |
| N4.2 | **Policies** | | | | | | |
| N4.2.1 | The solution must be able to support requirements for security processes and policies e.g.: | | | | | | |
| N4.2.1.1 |  | Password changes | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N4.2.1.2 |  | Role-based access | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N4.2.1.3 |  | Acceptance of terms and conditions by users | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N4.2.1.4 |  | Other | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N4.3 | **Security/penetration testing**  Proof of acceptable security levels will be required, including resilience against hacking or penetration attempts. This applies before selection in terms of a report on standard security levels and any relevant accreditation, and pre-launch to ensure that the developed system will operate to acceptable security levels in a live environment. | | | | | | |
| N4.3.1 | Institute Partners may choose to employ a 3rd party security tester, in which case full support is required from the solution provider in terms of: | | | | | | |
| N4.3.1.1 |  | Carrying out the testing | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N4.3.1.2 |  | Investigating any highlighted issues | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N4.3.1.3 |  | Resolving issues (unless they are agreed as too minimal to be of concern – and bearing in mind this is not a NATO-level security requirement) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Authentication

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| --- | --- | --- | --- | --- | --- | --- | --- |
| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N5 | **Authentication** | | | | | | |
| N5.1 | The method of authentication must be able to deal with different enterprise architectures based around the following technologies: | | | | | | |
| N5.1.1 |  | AD | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N5.1.2 |  | LDAP | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N5.1.3 |  | Athens (DA and OpenAthens LA) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N5.1.4 |  | Eduserve | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N5.1.5 |  | Shibboleth | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Compliance

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| --- | --- | --- | --- | --- | --- | --- | --- |
| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N6 | As a minimum UK/European legislation must be met; international legal compliance should be identified. Alignment with good practice and standards, such as (but not limited to) those listed should also be identified. | | | | | | |
| N6.1 | **Usability**  As a general statement, key indicators of usability should be met i.e | | | | | | |
| N6.1.1 |  | **Ease of learning** - How fast can a user who has never seen the user interface before learn it sufficiently well to accomplish basic tasks? | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N6.1.2 |  | **Efficiency of use** - Once an experienced user has learned to use the system, how fast can he or she accomplish tasks? | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N6.1.3 |  | **Memorability** - If a user has used the system before, can he or she remember enough to use it effectively the next time or does the user have to start over again learning everything? | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N6.1.4 |  | **Error frequency and severity** - How often do users make errors while using the system, how serious are these errors, and how do users recover from these errors? | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N6.1.5 |  | **Subjective satisfaction** - How much does the user like using the system? | RFI (4) |  |  | Please detail how your solution can meet this requirement |  |
| N6.1.6 |  | The key relevant standards must also be met e.g. ISO 9241 (Ergonomics of human-system interaction). | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.2 | **Accessibility** | | | | | | |
| N6.2.1 | Core standards, requirements and legislation must be fully supported to provide for all visually impaired and special needs users e.g. | | | | | | |
| N6.2.1.1 |  | DDA (Disability Discrimination Act) - 1995 | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.2.1.2 |  | BS 8878: 2010 - Web accessibility code of practice | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.2.1.3 |  | SENDA (Special Educational Needs Disability Act) - 2001 | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.2.1.4 |  | Equality Act - 2010 | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.2.1.5 |  | Screen readers and other standard assistive technology e.g. JAWS, Dragon Naturally Speaking | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.3 | **Information management** | | | | | | |
| N6.3.1 | As a general statement, key indicators of usability should be met i.e: | | | | | | |
| N6.3.1.1 |  | DPA (Data Protection Act) – 1998 | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.3.1.2 |  | Freedom of Information Act – 2000 | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.3.1.3 |  | BS 8878: Standards for Electronic Records Management such as ISO 15489 (Records Management). - Web accessibility code of practice. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.4 | **Quality management** | | | | | | |
| N6.4.1 | Quality planning and management should align with good practice as per the ISO 9000 family of standards. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N6.4.2 | Acceptance criteria and sign off processes will be required, potentially provided by the project itself dependent on the selected solution. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Infrastructure and architecture

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N7 | As a minimum UK/European legislation must be met; international legal compliance should be identified. Alignment with good practice and standards, such as (but not limited to) those listed should also be identified. | | | | | | |
| N7.1 | The LMS must operate according to standard enterprise architecture and standards, including SOA (Service Oriented Architecture). | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N7.2 | Where any open source, or other particular requirement in terms of operating systems, interfaces or other 3rd party software is essential, this should be identified up front. | | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N7.3 | Scalability to allow straightforward expansion of the system without major re-engineering is essential e.g. | |  | | | | |
| N7.3.1 |  | New Institution Partner. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N7.3.2 |  | Expansion of Discovery interface to cover other resources. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N7.3.3 |  | Major addition of new records (bibliographic, staff, students etc.) | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

Documentation

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Number | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| N8 |  | | | | | | |
| N8.1 | Technical and user documentation for all aspects of the system, including interfaces, should be available in the following formats: | |  | | | | |
| N8.1.1 |  | Online interface | M(4) |  |  | Please specify whether your solution can meet this requirement |  |
| N8.1.2 |  | Searchable manual with everything in one place. | M(4) |  |  | Please specify whether your solution can meet this requirement |  |

1. Implementation & Training

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Question | | RATING | SCORE | TOTAL SCORE | Tenderers Response / Additional comments | |
| O1.1 | Give a detailed description of your approach and proposed plan for the data migration process. | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.2 | Describe your experience (and examples) of migrating data from the Innovative Millennium (v2011) LMS | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.3 | Evidence of migrating potential problem areas (e.g. non-MARC records, acquisitions, financial information, serials, analytics, circulation history). | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4 | Please specify which of the below can be migrated from our existing Innovate Millennium LMS (please describe whether Migration will be an automatic or manual process in each instance). | | **Note that migration & conversion will be for all existing partner libraries in SAS & SHL who are using the shared Millennium LMS.** | | | | |
| O1.4.1 |  | Conversion of bibliographic and holdings data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.2 |  | Preservation of the Local Control Number (the LCN, held in the 001 field of the MARC record) | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.3 |  | Conversion of borrower data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.4 |  | Migration of current loan data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.5 |  | Migration of circulation history data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.6 |  | Conversion of acquisitions data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.7 |  | Conversion of serials data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.8 |  | Conversion of inter-library loan data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.9 |  | Migration of fines history | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.10 |  | Migration of loans history | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.11 |  | All historical data should be migrated and its integrity should be maintained | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.12 |  | Migration of the existing LMS parameters as defined by the library | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.13 |  | Conversion of serials data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.14 |  | Conversion of inter-library loan data | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.15 |  | Migration of fines history | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.16 |  | Migration of loans history | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.17 |  | All historical data should be migrated and its integrity should be maintained | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O1.4.18 |  | Migration of the existing LMS parameters as defined by each of the partner libraries | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O2.1 | Describe your approach with regard to configuration and customization by each of the libraries using the system. What tools will be available for library staff to configure and customize various parameters? | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O2.2 | Outline the estimated timeline for implementation and major steps and the respective vendor/University responsibilities. | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O2.3 | Supply details related to vendor resources that have been included in your implementation costs and will be available for the library during implementation. Provide primary points of contact for the library and describe the escalation path you support. | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O3.1 | The vendor should provide details of a standard training program, the method of training and materials. | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O3.2 | Provide details of the extent, level and format of the documentation which comes with the proposed solution. | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O3.3 | Provide details and examples of on line and context sensitive help. | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O3.4 | Describe how documentation is updated. How will the library be notified regarding new and/or updated documentation? How will this documentation be made accessible to staff? | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |
| O3.5 | Describe how bespoke training may be delivered. Please state methods and likely cost implications of each session. | | RFI(4) |  |  | Please detail how your solution can meet this requirement |  |

5.0 Support & Maintenance

SHL & SAS libraries will retain first line support responsibility for the managed service and will carry out moves/adds/changes and basic administrative tasks for all services procured through this tender agreement. However SHL and SAS libraries will require 2nd-3rd line support from the solution provider. The table below details SHL & SAS’s minimum service level requirements:

|  |  |  |  |
| --- | --- | --- | --- |
| **Category** | **Description** | **Response time** | **Resolution time** |
| P1 | Showstopper, significant business or user impact | 1 Hour | 4 Hours |
| P2 | High priority, impacting effective use of the service for a significant number of users | 1 Hour | 1 Business day |
| P3 | Normal priority, service impaired for a small number of users | 2 Business hours | 3 Business days |
| P4 | Low priority, service not functioning as expected, but not significantly affecting use | 1 Business day | 5 Business days |

* SHL & SAS expects the procured LMS & Resource Discovery Solution to be available on a 24/7/365 basis, achieving up time availability in excess of 99.98%
* SHL & SAS expects the service provider to offer 24x7x365 support
* Service credits to be awarded in the advent that SLA’s are breached
* SHL & SAS expects the solution provider to proactively monitor against security violations and performance issues to be the responsibility of the solution provider

|  |  |
| --- | --- |
| Support & Maintenance Proposal  In the space below explain your firm will provide support and maintenance for the solution throughout the term of the contract. | **Weighting: 5** |
| **Score:** |
| **Total:** |
|  | |

6.0 Pricing Worksheet

1. **Cost schedule**

Please provide pricing for the following:

* An itemised breakdown of your solution, using the table below, to include support and maintenance.
* Price breakdown based on 5 year contract
* **Costs are to be shown both exclusive & inclusive of VAT**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Please provide an estimated indicative cost for the complete solution based on: | | | | | |  | | | | |
| ·  Please give prices for 100 and 160 concurrent library staff users | | | | | |  | | | | |
| ·  Unlimited concurrent Resource Discovery System users | | | | | |  | | | | |
| ·  All the key modules | | | | | |  | | | | |
| · Additional products required as appropriate | | | | | |  | | | | |
| ·  Typical implementation and service costs | | | | | |  | | | | |
|  | | | | | | | | | | |
| Licence type: | | | | | | | | | | |
| Please provide a clear explanation of your licence agreement and whether there are different options available. Most questions below require more than a Yes/No answer, please provide explanations as required. Model licences may be supplied as supplementary information. Please also provide details as to the circumstances in which a licence may be terminated. | | | | | | | | | | |
|  | | | | | | | | | | |
|  | | **Yes** | **No** | | **Explanation** | | | | | |
| Licence is perpetual | |  |  | |  | | | | | |
| Licence is annual subscription | |  |  | |  | | | | | |
| Licence will cover all University libraries, institutions & campus agreement | |  |  | |  | | | | | |
| Licence is scaled according to number of users, administrators, size of collection etc. | |  |  | |  | | | | | |
| Licence will cover all elements of the product | |  |  | |  | | | | | |
| License (annual subscription) covers support & maintenance, including patching & upgrades | |  |  | |  | | | | | |
| Each element of the product is licenced separately | |  |  | |  | | | | | |
| The Library Staff administrative screens may be access off campus | |  |  | |  | | | | | |
| Access to the OPAC and resource discovery tool may be made available worldwide | |  |  | |  | | | | | |
| Arrangements for Escrow are in place | |  |  | |  | | | | | |
|  | | | | | | | | | | |
| Please use the template below for your cost proposals | | | | | | | | | | |
| Application pricing: | | One-time costs | | Year1 | | Year2 | Year3 | Year4 | Year5 | Total |
| Core products: | Please list all elements included below and breakdown cost if appropriate: | | | | | | | | | |
| Library Management System |  |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
| Resource Discovery Solution |  |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
| Non-core products: | Please list all products that you can supply outside of your core offering that you are proposing to meet SHL & SAS's requirements: | | | | | | | | | |
|  |  |  | |  | |  |  |  |  |  |
| Third party products: | Please list all third party products that you are recommending as part of your solution to meeting SHL & SAS's requirements: | | | | | | | | | |
|  |  |  | |  | |  |  |  |  |  |
|  | Total application software costs: |  | |  | |  |  |  |  |  |
|  | | | | | | | | | | |
| License | | | | | | | | | | |
|  | User license |  | |  | |  |  |  |  |  |
|  | Database license |  | |  | |  |  |  |  |  |
|  | Other |  | |  | |  |  |  |  |  |
|  | Total licensing cost |  | |  | |  |  |  |  |  |
| Services |  |  | |  | |  |  |  |  |  |
|  | LMS/RDS software installation |  | |  | |  |  |  |  |  |
|  | Project management |  | |  | |  |  |  |  |  |
|  | Data migration |  | |  | |  |  |  |  |  |
|  | Catalogue Records |  | |  | |  |  |  |  |  |
|  | Documentation costs |  | |  | |  |  |  |  |  |
|  | Consultancy costs per day if required |  | |  | |  |  |  |  |  |
|  | Helpdesk - any additional charges |  | |  | |  |  |  |  |  |
|  | Total services |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
| Any charges not requested in the above | | | | | | | | | | |
|  |  |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
| Training: | LMS training for all library staff |  | |  | |  |  |  |  |  |
|  | Systems manager training |  | |  | |  |  |  |  |  |
|  | Ongoing/additional training |  | |  | |  |  |  |  |  |
|  | Total training |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
|  |  |  | |  | |  |  |  |  |  |
| **Total Costs (Exc. vat)** |  |  | |  | |  |  |  |  |  |
| **Total Costs (Inc. vat @ 20%)** |  |  | |  | |  |  |  |  |  |

7.0 Supplier Presentation

**TENDER FOR SERVICES IN RESPECT OF: LIBRARY RESOURCE MANAGEMENT SYSTEM & RESOURCE DISCOVERY SOLUTION**

Presentation Guidance Notes

1.0 Guidance

1.1 As a finalist tenderer your presentation will be for the University only. 45 minutes have been allocated for each supplier presentation, divided into two sections:

1. **Contract Implementation & Delivery Plan 25 Minutes**

Briefly describe the services that your firm plans to provide to the University of London and how your firm would proceed in the contract implementation. Address the benefit your firm can add to the University and any innovative methods you intend to employ in the delivery of the services.

1. **Question & Answer Session from the Tender Panel 20 Minutes**

On the presentation day, suppliers will take questions from the tender panel regarding your firm, your tender submission or any of the items in your presentation. Questions will not be provided to suppliers in advance and responses will be scored as per the evaluation score sheet.

1.2 The presentation will be scored as part of the tender evaluation; see the evaluation guidance in the Instructions to Tenderers section of this document. **The weighting for the presentation score is 5.**

2.0 Presentation Resources

2.1 Please be advised that all preparation and implementation costs and any resources and/or materials or supplies required for your presentation must be borne by your firm. Where sample materials or presentation equipment is to be used in your presentation, please provide these yourself; these will not be provided for you on the day of your presentation.

2.2 Information may be provided in your presentation by any one or combination of the following media:

1. Paper flip chart
2. MS PowerPoint slides
3. Paper handouts
4. Any other materials you plan to use in the delivery of the services, should you be awarded the contract. (Amend as necessary)

If your presentation requires the use of PowerPoint or a flip chart, please contact the project lead in advance of the presentation so these resources can be arranged beforehand.

2.3 For tender review purposes, please be prepared to leave electronic copies of your presentation materials for future evaluation and audit reference. All presentation materials will be destroyed or returned to each tenderer as the tenderer desires, at the end of the procurement exercise.

8.0 Form of Tender

**The University of London**

Unconditional and Irrevocable offer to the University

**CONTRACT FOR: Library Resource Management System & Resource Discovery Solution**

|  |  |
| --- | --- |
| **Firm’s Name & Address:** |  |

1.0 Form of Tender

1.1 To the University of London (“the University”):

I/We the undersigned, hereby offer to undertake on the acceptance of this tender to perform, execute or otherwise carry out the Library Resource Management System & Resource Discovery Solution services to the University in accordance with the tender documentation.

I/We, the undersigned, having examined the tender documents hereby undertake to perform the services required for the following price, inclusive of VAT: prices and rates quoted shall be deemed to include the cost of inter alia, all expenses, materials, equipment including computer systems, overheads, labour, travel expenses, waiting, personal attendance including day and evening meetings, data processing, statistical information, reports and accounts. This includes the supplier’s general obligations under the terms and conditions of contract and the schedules and other items of work to complete the services to all statutory requirements, professional codes of practice, the supplier’s policies and codes, the reasonable satisfaction of the University, together with all liabilities whether express or implied incurred or incumbent upon the supplier pursuant to the contract.

2.0 TOTAL PRICE (Enter price details from the worksheet here)

|  |  |
| --- | --- |
| Total Contract Price for 5 Years | £ |

3.0 Method Statement

3.1 I / We hereby submit my/our service specification response as required by the Instructions for Tenderers and the Conditions of Contract:

YES  NO

**4.0 Declaration**

4.1 I/We understand that my/our Tender is for the Prices and rates as set out in our tender response and undertake that if this Tender is accepted I/we will not, save as expressly provided in the Conditions of Contract, be entitled to and will not withdraw the above offer and undertaking and will subject to and according to the documents carry out the Services.

4.2 I/We agree that the insertion by me/us of any conditions qualifying this tender or any unauthorised alteration to any of the tender documents shall not amend these Documents and may cause the tender to be rejected.

4.3 I/We agree that if upon examining the Form of Tender, an error of computation is detected by the University the tenderer shall be given details of the error(s) and afforded the opportunity to confirm or withdraw the offer. If confirmed the tender figure will remain unaltered.

4.4 I/We agree that this tender shall remain open for acceptance by the University and shall not be withdrawn for six calendar months from the last date specified for the receipt of this tender. I/We undertake and agree that if this tender is accepted by the University, the said tender shall from the date of such acceptance form a binding contract between us. Nevertheless I/We further undertake to execute a formal agreement for the proper and complete fulfilment of the University.

4.5 I/We confirm that I/we have fully read and understood the contract terms and conditions enclosed in the tender pack of documents. If there are terms and conditions that I/we object to, I/we agree to raise these issues with the named officer responsible for this contract, before signing this Form of Tender.

4.6 I/We hereby acknowledge that I/we shall be disqualified and my/our tender may accordingly be rejected by the University at its sole option if I/we:

1. Fix or adjust the prices already shown in my/our Form of Tender by or according to any agreement or arrangement with any other person, group or tenderer.
2. Communicate to any person other than the University the amount or approximate amount of the prices shown in my/our Form of Tender, except where such disclosure is made in confidence to obtain quotations necessary for the preparation of the Form of Tender, or for the purposes of insurance referred to in these tender documents.
3. Enter into any agreement or arrangement with any other person that such other person shall refrain from submitting a Form of Tender or shall limit or restrict the Prices to be shown by any other tenderer in its Form of Tender.
4. Offer or agree to give any sum of money, inducement or consideration - whether directly or indirectly - to any individual or group for doing or having done or having caused to be done or refraining from doing anything in relation to any other tenderers or any other person’s proposed Form of Tender.
5. Shall have offered, given or agreed to give any person any gift or consideration of any kind as an inducement or reward for doing or forbearing to show favour or disfavour to any person in relation to the contract or any other contract with the University, or if the like acts shall have been done by any person employed by me/us or acting on my/our behalf, whether with or without my/our knowledge.
6. In relation to any contract with the University, I/we or any person employed by me/us or acting for me/us shall have committed any offence or offences under the [Bribery Act 2010](http://www.legislation.gov.uk/ukpga/2010/23/contents).
7. Such non acceptance or rejection shall be without prejudice to any other civil remedies available to the University or any criminal liability which conduct by me/us may attract.

4.7 I/We declare that I am/we are not party to any scheme, agreement or arrangement by which any tenderer for the said services has been or may be reimbursed by any other tenderer in respect of whole or any part of their tendering costs.

4.8 I/We acknowledge that the University may, in its absolute discretion, refrain from considering a tender if the tenderer does not tender for the provision of the entire services contained in the specification.

4.9 I/We acknowledge that the University is not contractually bound to consider this tender and that the issuing of any tender documents to me/us did not amount to any form of offer for any purpose.

4.10 I/We accept that the University are not bound to accept any tender at all.

4.11 I/We confirm that this is a bona fide tender.

4.12 I/We hereby warrant and represent to undertake with the University that:

1. I/We have complied in all respects with and understand all parts of this Invitation to Tender
2. All information, representations and other matters of fact communicated (whether in writing or otherwise) to the University by me/us or my/our employees concerning this tender are true, complete and accurate in all respects
3. I/We have not submitted a tender or entered into the contract in reliance upon any representation or statement that may have been made by the University
4. I/We have full power and authority to enter into the contract and carry out this service

**5.0 SIGNED FOR THE TENDERER**

|  |  |  |
| --- | --- | --- |
| **Signature** | **Print name/s in full** | **Position held by each signatory** (in the case of a company) |
|  |  |  |
|  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Dated this** |  | **day of** |  | **(Enter year)** |

|  |
| --- |
| **Full name of person or company:** |
| **Address:** |
| **Telephone Number:**  **E Mail Address:** |

**In case of partnership, enter the full name and address of each partner:**

|  |  |
| --- | --- |
| **Name** | **Address** |
|  |  |
|  |  |

9.0 Terms & Conditions of Contract

A full set of terms and conditions will be uploaded to the Proactis site before close of play on 1 October 2015.