## The Library Corporation

**Bid Contact:** Calvin Whittington  
**Address:** 1818 Buerkle Rd.  
**Ph:** 304-229-7809  
**Qualifications:** WBE

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| TEC211573SP1-01-01 | Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): System Equipment/Hardware | Supplier Product Code: First Offer - | $39,808.00  
|         |                                                                         |                              | 1 / lump sum | $39,808.00  
| TEC211573SP1-01-02 | Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): System Software Licenses | Supplier Product Code: First Offer - | $102,920.00  
|         |                                                                         |                              | 1 / lump sum | $102,920.00  
| TEC211573SP1-01-03 | Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Implementation Services | Supplier Product Code: First Offer - | $4,800.00  
|         |                                                                         |                              | 1 / lump sum | $4,800.00  
| TEC211573SP1-01-04 | Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Training - System Hardware and Software | Supplier Product Code: First Offer - | $0.00  
|         |                                                                         |                              | 1 / lump sum | $0.00  
| TEC211573SP1-01-05 | Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Third-Party Software Licenses and Support - SwyerPOS | Supplier Product Code: First Offer - | $15,881.00  
|         |                                                                         |                              | 1 / lump sum | $15,881.00  
| TEC211573SP1-01-06 | Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Third-Party Software Licenses and Support - OPAC Content Enrichment | Supplier Product Code: First Offer - | $25,159.00  
|         |                                                                         |                              | 1 / lump sum | $25,159.00  
| TEC211573SP1-01-07 | Next Generation Integrated Library | Supplier Product Code: First Offer - | $25,256.00  
|         |                                                                         |                              | 1 / lump sum | $25,256.00  

4/25/2018

BidSync
System (NGS/ILS) and Discovery Services (DS): Third-Party Software Licenses and Support - Phone/SMS Messaging System

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<td>Data Backup Services</td>
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Submitted by:

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Denver, CO 80222
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Toll Free: 800.325.7759 Fax: 303.758.0606
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ABOUT US

WHO WE ARE

The Library Corporation (TLC) was established in 1974 with one purpose: To serve libraries with advanced automation solutions. We stand out in today’s market of vendor takeovers because our founders still own and operate TLC.

When you partner with TLC, you’re assured of product continuity, ongoing development and support, and corporate stability. TLC is here today and tomorrow. We’re the company you can depend on.

24/7/365 UNPARALLELED SERVICE
TLC provides you with advanced technological solutions supported by an outstanding and unexpected level of service. Our customer service is unmatched in the automation industry. Call TLC for information or assistance. A person – not a machine – will answer. You’ll get what you want without wandering through a voicemail labyrinth. That’s service you can depend on.

A VERY DEDICATED TEAM
TLC libraries benefit from an uncompromising knowledge base in a resource of people that care. Seventy percent of TLC employees have been with the company for at least five years, while over 60 percent have logged a decade or more of service! You get a knowledge base unsurpassed in the industry. You get a core group of TLC staff that knows you and cares about you. At The Library Corporation, it is not just about the bottom line; it is also about our customers and employees.

EXCELLENCE
TLC provides premier automation, cataloging, and data services to more than 4,500 public, school, academic, and special libraries worldwide, ranging from single-site facilities to massive metropolitan systems. We are certified by the U.S. General Services Administration, Women’s Business Enterprise National Council, and the Women Owned Small Business Federal Contracting Program.
COMPANY HISTORY

While the library landscape continues to change due to ongoing corporate mergers and acquisitions, TLC holds true. The Library Corporation is celebrating over 40 years of providing library services to all libraries, from single-site installations to the largest and busiest systems in the world.
TLC’s CARL

TLC’s CARL automation system is made better through its years of significant use by some of the largest public libraries in the world. TLC has achieved and maintained a reputation for beautiful software – software that looks fantastic, software that anticipates public library scenarios, and software that delivers a richer library experience, for 40 years. Experience has taught TLC to adapt to technology trends inside and outside the library industry, and that is showcased through CARL.

TLC is trusted by the world’s largest, busiest libraries.
April 21st, 2018

Maryann Berchiollini
Purchasing Agent
Broward County
954-357-6284

Dear Maryann,

The Library Corporation (TLC) is pleased to respond to this RFP for the Broward County Libraries. TLC appreciates the long history of partnership we have enjoyed with Broward County Libraries, having been your ILS provider since 2010.

TLC’s CARL•X division provides an exclusive and different model in the marketplace than our competitors, focusing on a select few customers and providing them with system, support, and development options that are unequaled in the industry. The CARL•X system was designed to be adaptable to many different environments and organizational needs. Our development processes and partnership mentality with our libraries ensures we can accommodate new unique business requirements and new industry trends in a rapid and high-quality manner. CARL•X has the flexibility to meet Broward’s needs now and in the future.

With CARL•X you will remain in a fraternity of forward thinking libraries that appreciate our efforts to avoid a one size fits all approach to software design. We successfully engage our users with ongoing, interactive discussions on how to provide and deliver better library service to patrons and library staff.

The CARL•X business model allows customers to be Development Partners and Beta Partners on new features. Our Development Partners work with us as we design and develop new features or services, while Beta Partners are early adopters of a new feature or service.

We strive for 100% of our new development to be in partnership with a Development or Beta Partner and there is no additional charge for this service. We have found this to be the best way to get immediate feedback on the new features as well as ensure we are building features that our customers want.

Our CARL•X customers enjoy the benefits of this partnership program, which allows for:

- The ability to have library-specific features included in future releases at no additional charge.
- Early visibility to the development of new features to provide feedback and comments to influence the direction while the features are still in development.
•ocus Groups and Strategic Discussions surrounding future development, for partnership planning beyond the 12-month roadmap.
• Early access to new features through our Beta Partner program. This is a benefit for any development partner. We solicit Beta Partners for new major functionality, which allows the library to be even more involved in the development process and act as an early adopter of the new functionality.
• Access to our Development Sandbox, which allows customers who are developing integrated solutions using CARL•X APIs to develop and test against a running CARL•X system at TLC without impacting their own production and test systems.

Our exclusive business model of providing a "white glove" level of service to CARL•X customers is one of the primary reasons clients such as the Los Angeles Public Library (LAPL) and Brevard County Public Library choose to remain loyal customers. Both have recently bypassed local procurement policy and renewed their CARL•X contracts with TLC.

Should the Broward County Libraries choose to remain in partnership with TLC our goal will be to work with you to best showcase your collection as well as provide a flexible and configurable system that is highly adaptable to your library and community needs today, tomorrow, and for years to come.

Sincerely,

Don West
CARL•X Automation Specialist
866-408-8450
dwest@tlcdelivers.com
TRusted by the world’s largest, busiest libraries
Serving more than 4,500 libraries worldwide

Get in touch
The Library Corporation | Don West
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Denver, CO 80222
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www.TLCdelivers.com
PRODUCT/SERVICE SPECIFICATIONS

2.1 CONFIGURATION SPECIFICATIONS

TLC’s Hosting Service

TLC’s Hosting Service is housed at ZAYO, a state-of-the-art, nation Tier-III data center with full redundancy of Power, HVAC, and Network (including multiple providers in a blended configuration for Internet connectivity). Many libraries don’t have this level of redundancy in their own facility.

ZAYO is an award-winning and internationally recognized leading provider of hybrid cloud hosting and data center solutions located in Denver, Colorado. Their state-of-the-art monitoring system provides real-time data on equipment operation, enabling easy system management and instant identification of problems. ZAYO is also winning recognition for embracing an environmentally friendly approach to IT Infrastructure as a Service. With high-density data centers located in every U.S. time zone, ZAYO’s national reach enables multi-site redundancy, managed backup and secure disaster recovery including cloud-based DR solutions.

Hosted Service & Maintenance include:

- State-of-the-art hosting facilities with redundant data communication lines and load balancing to ensure the best performance
- All security and virus protection
- Nightly backup
- Database monitoring
- Operating System updating
- Database configuration and updating
- TLC Software updating
- The fastest possible response time for any server-related issues

Additional services that TLC provides as part of TLC Hosting include:

Protection against the most common causes of outages (power spikes/failures, fire, and flood). We utilize APC and Minutemen equipment to clean up the line-in power and provide a failsafe should our facility experience a sudden loss of power. If the outage lasts longer than 30 seconds, our 100Kw generator takes control ensuring that communications continue uninterrupted. It is fully automatic and integrated to ensure that communications remain seamless.

The data center environment is monitored around the clock by automated equipment to detect increased levels of heat or humidity. Should an issue arise, the monitors immediately take action and contact key personnel.

Additionally, TLC’s Hosting Service provides a virtualized solution where the Library has their own, dedicated virtual servers between physical hosts as needed for maintenance, performance, and fail over.

TLC’s solution also includes monitoring, management, and administration of the environment:

1. TLC monitors the equipment. We use the Nagios system monitoring tool to monitor the activity of the servers and to proactively and automatically contact our support staff in the event of any issues detected.

2. TLC manages the servers. We install the operating system software and necessary system software to support our solution. TLC also patches the servers as new updates become available.
3. TLC upgrades the CARL•X software on the servers on behalf of the customer for both your test and production instances.

4. TLC provides the backup solutions for your environment so you don’t have to worry about nightly backups or restores, TLC manages the system for you, and

5. TLC regularly reviews your environment and utilization and proactively determines any updates needed to keep your system performing optimally.

Data Access

TLC’s CARL product suite is created especially for large library systems. As such, our libraries expect the same level of access in our hosted/SaaS solution as they would get with our On-Premise solution. The unique design of our SaaS solution means that the library can have access to their hosted environment and servers and can provide and restrict access to that environment entirely under their own control.

In either case, TLC still provides the monitoring, management, and administration of the environment.

Note that we use a secure VPN connection between our site and the servers’ location (at the library for On-Premises or our data center for Hosted) and HP’s ILO (Integrated Lights Out) solution for remote management and administration. With this service model, it is possible for the Library to be completely hands-off the servers and only access the system via the CARL•X Administration client. However, we don’t restrict the library’s access to the servers, should you want to be more involved, but no specific technical skills are required.

ILSaaS Test and Training System for County

We provide a test environment within the production hardware, at no additional cost. This allows for a more accurate representation of the production environment for testing, and results in a less expensive solution that does not impact the production system performance. This test instance is set up with a full replication of production environment data and configuration information including the discovery layer and SIP2. This test environment can run and be utilized alongside the production environment and can be on a separate version of the software code (as when testing new versions of the ILS). An annual test database refresh is provided free of charge.

Discovery Services (DS) Provider will provide DS to search County subscription databases, OPAC, internet resources, and open content available on the web through its proposed ILS solution.

TLC offers libraries the CARL•Connect Discovery public interface as a core part of our product, bringing in search, discovery, personalization and readers advisory features that rival those found in 'discovery layers' that are offered for an additional cost by Third Parties or by other ILS vendors. Our goal is to ensure that patron-driven services and the user experience are at the forefront of your library’s online catalog presence.

Following the social-local-mobile (SoLoMo) movement, the award-winning CARL•Connect Discovery Mobile offers mobile services that go beyond search and access and provides users with personalization and self-service access that meets the needs of a growing "always on, always in touch" population.

However, should the Broward County Library choose to purchase a third-party discovery service, options for integration with third party discovery layers include:

- Use of regular data exports, including options for sending over marc data, patron data and holdings data
- SIP2 for patron account activities, including fine payment
• CARL APIs for bibliographic data, updates and item availability, as well as for patron account information, activities, and updates, including loan history

Social OPAC Services Provider’s ILS solution should include social OPAC Services that allows library users to discover desired resources.

**CARL•Connect Discovery**

Built using Design Studio techniques, CARL•Connect Discovery incorporates extensive feedback from library staff, library borrowers, non-library users, and designers. Through iterative feedback, the development team was able to rapidly respond and re-test changes. CARL•Connect Discovery is designed to blend the familiarity of high traffic commercial web sites with the richness of library meta-data. Using Google Analytics to determine how patrons navigated the site, which areas patrons frequented most, and where patrons hit dead ends and abandoned the site, the development team concentrated on making changes and re-measuring for improvements. The team also frequently observed patrons using the PAC in the library, seeing first-hand its usage in action.

Through this observation, analysis, and measurement, changes are incorporated and iteratively improved upon. With an elegant design, clear language, strong calls to action, and the progressive reveal of the right information at the right time, CARL•Connect Discovery sets itself apart from all other public interfaces.

TLC offers libraries a public interface that rivals any discovery layer insuring that patron driven services in the user experience is at the forefront of all development. This includes the options for:

- Creating an easy login and password
- Powerful, search and relevancy
- Did you mean? Predictive searching
- Customizable Faceted search refinements and expanded Advanced Search capabilities to narrow your catalog search
- Opportunities to use RDA content for faceting navigation, including audience (adult/general or juvenile), media characteristics, form of content, contributor role, and content rating.
- Seamless incorporation of one click e-books and other digital content in your library's catalog
- eIntegration for major databases such as EBSCO and Gale
- Predictive search suggestions and customized display of search results
- Borrower ratings and reviews
- Saved lists
- Saved searches
- Downloading titles in the MPAA bibliography format
- Sharing features for email and social media (such as sharing reading lists)
- Integration for Cover Art, Reviews, Tagging, Summaries, Read-alikes, etc.
- Digital Library Card
- Geolocation Services for Library Hours and Addresses in Mobile
- Geolocation Services for Available Copies in Mobile
- Flow View for better browsing
- Access to CSS, language and properties files for branding
- High contrast fonts with the ability to enlarge buttons and text

Additionally, the MyAccount feature in CARL•Connect Discovery is easy to navigate to renew items, check on hold requests, suspend or cancel hold requests, view and pay fines, update notification preferences, store saved searches, store saved lists, and many more user-driven activities.

CARL also offers an electronic resource identifier, so that borrowers can easily identify eBooks and eResources within the OPAC within their search results. Additionally, the user interface dynamically responds to the presence of an eBook providing an intuitive and obvious distinction to the end users. For instance,
instead of presenting a “Place Hold” button, they will see a “Download” button that can help them navigate to product download page and options.

For library staff or more sophisticated search users, CARL•Connect Discovery offers an advanced search interface for building sophisticated queries that specify the field against which to search (Title, Author, Subjects, Series title, ISBN, UPC, ISSN, Notes, and Bibliographic Identifier), the ability to define the relationship between the fields being searched (AND/OR) and how to apply each search term – Contains, Does not Contain, Begins with, or Exactly matches.

CARL•Connect Discovery blends the familiarity of high traffic commercial web sites with the richness of library meta-data, and sets itself apart with an elegant design, clear language, and the progressive reveal of the right information at the right time.

We were able to share most features above, but a few feature that were not discussed are:

**Search:** The search uses an open source search engine called Lucene (http://lucene.apache.org/java/docs/). Lucene allows CARL•Connect Discovery to use standard TF-IDF (http://en.wikipedia.org/wiki/Tf-idf) algorithms to determine how important something is based on search terms. Lucene also allows CARL•Connect Discovery to boost specific fields to be more important than others. We feel Lucene allows us to return very relevant results and thus not burden borrowers with specifying a search type before they perform their search.

**Accessibility:** CARL•X is fully Unicode compliant. The Oracle database allows for the storing of characters in any character set. TLC offers all circulation notices in multiple languages. Spanish translations are available, and the library may provide text and translations for other languages. CARL•Connect Discovery is fully accessible, and supports use of third party visual aid and magnification tools such as Jaws. CARL•Connect Discovery offers ADA friendly displays and functions. We are very familiar with both the WCAG 2.0 and 508 guidelines. Additionally, there is a voice command capability, which is supported in Chrome releases. While this does not supplant software designed specifically for voice access, it provides a voice alternative for those with motor accessibility needs.

CARL•Connect Discovery’s user interface can be provided in any language the library chooses, including those with roman and non-roman characters. Machine translations can be provided, as default text, for any language that the library desires to implement. For example, beyond English, our customers currently offer CARL•Connect Discovery in Spanish, Japanese, Vietnamese, Russian, Chinese, Maori and Korean. CARL•Connect Discovery provides a consistent, predictable and uniform user interface that is W3C compliant and is accessible with all popular browsers, including: IE, Firefox, Chrome, and Safari.

**Online Borrower Registration (OBR):** This is included as a part of our core product. Once registered, the borrower will immediately receive a barcode via email to begin using the library’s (determined) services; typically these include options for placing holds or searching a licensed database. Validation points are determined by the library. The online registration web form is fully customizable, offering the option to require particular input or not, and the web form page can be linked from your public interface, or offered as an independent web page that can exist anywhere on your website.

**Purchase Suggestions:** Users can submit requests online via the library’s web form and the NCIP protocol. These are immediately loaded into the CARL•X Recommendations Queue for staff review and interactions. This eliminates the need to rekey information into the system from email and/or paper requests. As requests are reviewed, they can easily be edited and/or moved into an existing order, canceled, or routed to your Interlibrary Loan Department. Our Patron Purchase Suggestions feature can also interact with hold cancellation notices, to automate communications to customers about titles that cannot or will not be acquired. Additionally, libraries can link their “no results” page to TLC.

**Search Engine Optimization and Linked Open Data:** TLC has completed technical updates of the CARL•Connect Discovery product, to provide a foundation for enhancing the users’ search experience in this same way. This includes changes to expose bibliographic records, catalog data and images to Google and other popular search engines, following the BIBFRAME and Linked Open Data (LOD) concepts of making the library’s catalog visible to the World Wide Web.
What is the significance of our search engine optimization development?

- Gives new visibility to your library collections using the power of a google search as well as social engines
- “Meet your users where they are, right in the Google search box”
  - Reaches your community on their terms as they search the web
- Increases traffic to your catalog as bibliographic and other PAC data that was previously hidden from the web’s view is now exposed for searching
- Leverages work you have already completed in your library’s catalog to expose this data
- Extends your library’s missions to share information and collections beyond traditional boundaries
  - No longer only available by walking into a library building or navigating the the library’s website
- Adds to the overall use of library collections and databases.

TLC is offering this feature free of charge to all CARL•Connect Discovery users, where other ILS vendors require payment for services offered by a third party to index data for discovery outside of the catalog. We will continue our development to continue incorporating BIBFRAME and Linked Open Data concepts into our solutions, toward offering our libraries the best Discovery Experience for their patrons!

FRBR (Functional Requirements for Bibliographic Record Displays): TLC has completed development within our cataloging and staff clients to automate links (Intellectual Identifiers or IIDs) between bibliographic records that appear to be of the same intellectual content within the CARL.C database. Additionally, all IIDs generated within CARL•X are assigned a Trusted Record based on an evaluation of the quality of all records in a given set (based on Encoding Level of the bibliographic records) along with the most recent entry into the catalog. Together, Trusted Records and IIDs support our “FRBRized” view of intellectual content within CARL•Connect Discovery.

As part of our current development for CARL•Connect Discovery, we are updating the User Interface (UI) to leverage library’s RDA Data and along with making use of our proprietary intellectual identifiers and Trusted Record development described above and we are extending FRBR concepts - by offering a single entry for particular intellectual content, and grouping format and editions with that record - in the catalog. In the context of this FRBRized view of the catalog, our Hold Placement will evolve to allow for the selection of the ‘First Available’ regardless of format, - giving users the option to obtain any copy of the selected intellectual content. Or, the selection of a particular format, based on what is associated with the title, via a format selection menu.

Additionally, within the title details, we will present suggestions based on relationships exposed by new and emerging database structures that utilize entity relationship models, where information like Pride and Prejudice inspired Pride and Prejudice and Zombies, or Jane Austen authored Emma, as a way to facilitate discovery.

We are proud of our development of the above features; along with other features such as predictive search results and integration with CONTENTdm, LibraryHelp, Syndetics / Syndetics Unbound, LibraryThing, Novelist and RSS feeds that can be used to bring in content and services from third party products and major news organizations as well as from your locally created program database, your library can provide a user experience that is natural for the end user while bringing the breadth and depth of content that the library collects.

CARL•Connect Mobile

Our online catalog, CARL•Connect Discovery is built with responsive design and adapts to any mobile device automatically without any additional requirements needed by your library system. When visiting the library’s catalog URL on a smartphone or other smaller mobile device, patrons will be automatically connected to the mobile user interface; the user can navigate to the Desktop Version from the mobile catalog, if that is their preference. Because of our responsive screen design, there is no requirement for the end user to download an app on their mobile device to experience these library services.
What sets our award-winning CARL•Connect Discovery Mobile apart is its ability to connect users with library services and engage with mobile users following the SoLoMo (social, local and mobile) concepts adopted by retailers.

SoLoMo dictates that because of how our users are currently engaging (i.e. they are using mobile devices to access social media and business sites, and are out on the street looking for places to go and things to do and buy), we need to get social, think local, and invest in the mobile experiences that we offer. The Social Local Mobile framework is supported by the convergence of collaborative, location-based and on-the-go technologies that enable us, as service providers, to meet user needs and enhance the content for relevance based on information about the user that smartphones make available in ways that desktops can’t. To this end, Mobile highlights include but are not limited to:

- Availability, including proximity, mapping, and geolocation features helping users find nearby materials to give a more local experience
- Filtering and branch scoping options
- Access to saved searches and lists
- Title ratings and reviews
- Opt-in and notification options to personalize library communications
- Social Media integration and sharing capabilities, including options to share by email or text
- ECommerce fine payment capabilities
- Access to a Digital Library Card for use at the library and for access to account details, renewals, holds management, and fine payment directly through their smartphone (see more details below)
- Personalized reading recommendations

Additionally, while CARL•Connect Discovery Mobile adapts to any mobile device automatically without any additional requirements needed by your library system, we recognize that libraries may want to offer users access to CARL•Connect Discovery Mobile via a library-branded App in the Google Play store and iTunes store. Offering an interface that incorporates responsive design and an automatic redirect, for users starting in their browser, and a brand-able app that can be offered in the major app stores, ensures that users can find your library catalog regardless of how they engage on their device.

CARL•Connect Discovery Mobile also offers CMS (content management software) like features within our mobile offering, to enhance the users’ engagement with your catalog and collections. By bringing in a customizable landing page for library alerts, announcements, and readers advisory, and providing display and use of library hours and locations, TLC is allowing our libraries to provide a retail-like experience, removing barriers of access and increasing findability and use of libraries and collections.

**Mobile Landing Page:** In the current landscape of mobile catalogs, landing pages are something of a missed opportunity. Frequently users are dropped onto a landing page that consists exclusively of a menu. An enhanced Mobile Landing Page allows library’s to elegantly highlight areas of their collection, while also offering the opportunity to publish Alerts and publicize Events and Announcements to users on their mobile devices. By replacing the menu with a graphic content, we can better engage our ‘always users,’ without sacrificing the simple navigation that users relay on for easy access.

We support three different types of content for publishing to the Mobile Landing Page:

- **Library Alert:** An Alert can be added and appears directly under the banner, and can be used to highlight urgent information, such as holiday or unplanned closures. Making ‘just in time’ information front and center.
- **Saved Searches:** Saved Searches offer easy access to content like eBooks that might be of particular interest to mobile users.
- **Announcements:** Announcements are an opportunity for the library to publish non-bibliographic information about the library on the Mobile Landing Page such as Events and Programs, and other information that is relevant to the community. This allows libraries to better highlight information that is important not only to the smartphone dependent, but to all users for whom events and services are of interest.
Library Locations and Hours: Besides searching the catalog, users are often coming to your library on the web to find information about your library hours and locations. Our Mobile design supports options to view library locations and hours and incorporates this information to provide geolocation services so that the mobile site can take advantage of the more accurate location services that are available due to the GPS features of a smartphone. Integrating geolocation services allows us to show other information that users wish to evaluate passed on proximity:

- Sorting and Limiting by Proximity (5 miles, 15 miles, etc.) to find the nearest, open location.
- Sorting and Limiting by Proximity within Copies Information (e.g. is the item owned within 5 miles, 15 miles, etc.) to find the nearest available copy.

We are continuing our development toward offering event and other extra-catalog information based on Proximity.

Digital Library Card: While we love our physical spaces, many users don’t, or can’t come to the library – and libraries are evolving their policies to better serve those users. The CARL•Connect Discovery Mobile experience can support this by offering a digital library card that can be scanned directly from the borrower’s device. Users also have the opportunity to save an image of the card. Making the digital library card available is a natural extension of the productivity tools that smartphone users have come to expect from apps like Apple wallet.

E•Commerce: Other services that were once staff mediated are moving online, and into mobile, were user expectation is to be able to pay fines and fees in a safe and secure manner from their phone in order to dynamically clear blocks from their account. Online Fine/fee payment is particularly crucial for the smartphone dependent, who may lack another access point. It also provides the immediacy that users have come to expect.

Discovery and Downloading of eResources (Immediacy): Speaking of immediacy, complete eResource integration enables users that have already embarked on their journey, be it across town or across the country, to find material to read, or listen to without once leaving your catalog.

Social Media Integration (Facebook, Twitter, Pinterest): Integration with social media is basically a given in today’s environment and through the use of Facebook’s Open Graph and Twitter Cards, our Mobile (and Desktop) platform allows for attractively formatted post that offer a clear path to the content. Our development will continue to expand our integration with additional social media platforms.

Finally, our development is cognizant of the need for searching in mobile needs to be quick and dynamic, with options for sorting and filtering results sets. We also ensure that options to interact with dynamic content, such as ratings and reviews, should not be eliminated from the mobile experience.

CARL•Connect Discovery Kids

In addition to our intuitive, native discovery layer CARL•Connect Discovery, TLC is proud to offer CARL•Connect Discovery Kids as part of the core CARL ILS software. The Library Corporation developed CARL•Connect Discovery Kids as a touchscreen interface specifically engineered for your library’s younger audience. Its app-like interface appeals to the curious and playful as well as tech-savvy kids.

Highlights of CARL•Connect Discovery Kids include the following:

- An engaging young pup mascot, Scout, encourages kids to explore the treasures within your library and helps them along the way
- Full integration with OverDrive and Axis 360 eResources
A colorful, interactive display with magnified book jackets and images with intuitive flow-view technology, which helps children of all ages find exactly what they’re looking for with little or no assistance
A Search box that provides spelling suggestions and corrections when needed
Full functionality on iPads and other popular tablets
The ability to find books in a series more easily with a predefined list of popular titles like Berenstain Bears, Judy Moody, and Ranger’s Apprentice
Dozens of librarian-curated categories to explore, ranging from numbers and letters to basketball, giraffes, and fire engines
Settings to customize for younger kids or older kids.

The CARL•Connect Discovery Kids catalog offers a curated view of the library’s bibliographic database and excludes material that is not specifically coded for a juvenile audience. Additionally, we offer contextual help; when the “?” (help) icon is initiated, the user can click on any functional area of the screen, and audience- and age-appropriate help is offered as a dialog by the CARL•Connect Discovery Kids mascot, Scout the dog.

CARL•Connect Discovery Kids is simple, intuitive, and engaging – and it’s included with every TLC automation system!

Custom Development Services County may from time to time request customized services, the scope and pricing of which will be negotiated between provider and County.

In addition to opportunities for communication and active customer participation groups, TLC actively engages with its library customers to prioritize CARL•X development resources and schedule customer’s requested modifications, regardless of whether the modification is considered a bug (code not working as designed) or an enhancement (code working as designed, but not meeting the user’s needs).

Our customers are market makers who are constantly looking for ways to provide new and enhanced services to their community and involving them and you in our Partnership Programs results in a better product. At TLC, we pride ourselves on the development partnership business model that we have had in place for many years with our customers. Whether completing development to correct a bug or offer an enhancement, our CARL•X customers enjoy the benefits of this partnership program, which allows for:

- The ability to have library-specific features included in future releases at no or "at-cost" additional charge(s).
- Early visibility to the development of new features to provide feedback and comments to influence the direction while the features are still in development.
- Focus Groups and Strategic Discussions surrounding future development, for partnership planning beyond the 12-month roadmap.
- Early access to new features through our Beta Partner program. This is a benefit for any development partner. We solicit Beta Partners for new major functionality, which allows the library to be even more involved in the development process and act as an early adopter of the new functionality.
- Access to our Development Sandbox, which allows customers who are developing integrated solutions using CARL•X APIs to develop and test against a running CARL•X system at TLC without impacting their own production and test systems.

We successfully engage our users with ongoing, interactive discussions on how to promote and deliver better library service to patrons. We develop new components according to the library’s requirements as identified during planning sessions. In addition, we offer mid-development demonstrations to our full user group to get feedback on what features should be customizable by each library site, and at what level.
Our product development has been 100% driven by user needs. We reserve 20% of our development roadmap for ‘just in time’ development opportunities that allow us to complete enhancements and/or special projects for customers who have a service goal, where the CARL•X software can assist.

Customers may request an “Enhancement” to the CARL software by opening a ticket within our online support center and ticketing system. Requests are reviewed by the Site Manager, Product Owner and Director of Product Strategy. Once a decision is reached or an enhancement is planned for a product, the Site Manager will notify the requesting library and the original ticket is updated.

We take full responsibility for testing our releases. We will coordinate with you to schedule and install each release in the training/testing environment for your own testing. When you are ready to deploy the release into production, again, we will schedule and install the release.

We also provide our Libraries early visibility into the development of new features, so they can provide feedback and comments that may influence the direction of the enhancement while it is still in development. TLC offers our product development roadmap and timelines at each annual TLC User’s Conference as well as various opportunities throughout the year.

2.2 FUNCTIONALITY SPECIFICATIONS

APPLICATIONS SOFTWARE

We are proposing our Cloud-based solution that is a combination of client/server (CARL•X) and web-enabled (CARL•Connect and CARL•Connect Discovery) platform solutions to fit your needs. This also includes our Hosted services solution.

The CARL software license consists of an initial purchase price along with annual maintenance fees. This is a site license allowing for use of the below products throughout the purchasing library and its affiliated branches.

CARL•X™

Powerful, elegant, and intuitive, TLC’s CARL•X integrated library system is designed and developed in partnership with some of the largest libraries in the world. This UNIX® and SQL/Oracle®-based open-system solution enables libraries to better serve their communities while freeing staff from routine functions.

Key Features of our ILS include but are not limited to the following:

- Circulation
- Collection Agency Interface
- Floating Collections
- Inventory Control
- Multilingual Email, Text, and Paper Notices
- Offline Circulation
- Online Borrower Registration
- Outreach (Homebound) Services
- (Stock) Rotating Collections
- Acquisitions and Fund Accounting
- RCVA for Electronic Invoicing
- EDI Interface
- E•Commerce Online Payments
- Cataloging and Authority Control
- Bibliographic Import
- Batch MARC Load
- Global MARC Update
- Remote Patron Authentication
- Standard Reports, including Decision Support Reporting
- Ad Hoc Reports and Data Dictionary
- Serials Control
- Academic Reserves
- NCIP Integration and Support
- SIP2 Integration and Support
- Web API Integration and Support
- Z39.50 Server Software/Support
TLC’s newest product line, featuring mobile, web-based staff clients empowering connection through desk-to-deere interactions with your users, communities, and collections. This product line will include Circulation, Collections (Cataloging, Acquisitions, and Serials), and Reports.

**Connect** with your Library Users by working collaboratively with them in the stacks. Find them before they look for you!

**Connect** with your Communities by providing immediate, wireless patron lookup, library card registration, and materials checkout, allowing promotion of your library and library services to a larger audience beyond the library walls.

**Connect** with your Collections with transportable, seamless materials management tools. Complete your weeding and collection analysis activities where your books live, without having to bring them back to a desk.

Key Features of CARL•Connect include but are not limited to the following:

- Digital Library Card
- Paperless Registration
- Signature Capture and Storage
- Email and Text Receipts
- Patron Account Merge
- Real-time Hold Processing
- Advance Patron Search
- Patron Photo Capture and Display
- Dynamic, Multilingual Interface
- Fill List
- Who Notes
- Staff Settings
- Self Check *Connect for Kids
- Touchscreen Ready
- Bluetooth Integration
- Responsive Design
- Dynamic List Creation for Staff Searching
- Reports Concierge
- Online Context Specific Help
- Configurable Interface
- Item Maintenance
- Smart Pages and User Account Management
  and Fine Payment
- Smart PAC Record and Item Searching

We have been focusing our development on the continued growth of CARL•Connect web-based clients, moving our development beyond use with mobile services and solutions and moving further into offering a full replacement for the windows-based clients in use by staff.

**CARL•Connect Discovery**

CARL•Connect Discovery is a true discovery service designed with the mobile experience in mind. Responsive design automatically scales to accommodate display sizes ranging from smartphones to tablets to large touchscreen computer monitors.

CARL•Connect Discovery Kids is the children’s version of CARL•Connect Discovery – the same technology with new features oriented to younger library users. It’s powerful software with an intuitive, easy-to-use interface that helps children find exactly what they’re looking for within a library’s collection.

As part of the core CARL ILS software, TLC is proud to offer CARL•Connect Discovery and the award-winning Discovery Mobile in order to meet the search and discovery needs of your staff and customers. The CARL•Connect Discovery and Discovery Mobile modules are beautiful software that offers experiences that meet users’ expectations for a social, local, and mobile (SoLoMo) experience. Features include incorporating RSS from popular Internet and library sites into the catalog results sets, supporting the use of book jackets, professional reviews, and additional enhanced content from Syndetic Solutions and other Third Party vendors for materials within the library system’s collection.
The Discovery module is designed to work with CARL•X – which is a next-generation automation solution designed for (and by) medium- to large-size public libraries and library systems – and with CARL•Connect – TLC’s newest product line, featuring mobile, web-based staff clients empowering connection through desk-free interactions with your users, communities, and collections. CARL•Connect Discovery uses established, thoughtfully created design and development principles to showcase libraries’ individual strengths while freeing staff from having to perform routine functions.

Our public access catalog, CARL•Connect Discovery, is set apart from other vendors’ PAC offerings by our focus on Discovery and the User Experience.

Key Features of our OPAC include but are not limited to the following:

- eBook integration for downloading, checkout, and holds
- Customizable Interface
- Customer Opt-In for Notices and Receipts
- Integrated Fine Payment
- Online Borrower Registration
- Customer Opt-In for Loan History
- Saved Lists
- Saved Search
- “What’s New?” Alerts
- Did You Mean? Search Suggestions
- Faceted Navigation (customizable)
- OpenURL (EBSCO, Gale, Encyclopedia Britannica)
- EZ Login
- Personalized Reading Recommendations
- Discovery Kids: Augmented Content
- Discovery Mobile Platform: Dynamic and full-featured
- Search Results by Address Proximity & Library Hours
- Real Time Availability
- Tablet Ready
- Library Marketing (Landing Page)
- MyAccount & Contract Information Updates
- Event Database Integration
- OAI-PMH for CONTENTdm Integration
- Social Network Integration
- Google Analytics Integration
- Spelling Suggestions
- NoveList / Goodreads Integration
- Syndetics Unbound Integration
- LibraryThing Integration
- Saved Search
- Saved Lists Updates
- Saved Search
- OpenURL (EBSCO, Gale, Encyclopedia Britannica)
- EZ Login
- Personalized Reading Recommendations
- Discovery Kids: Augmented Content

BIBLIOGRAPHIC DATABASE SYSTEM

CARL•X is fully Unicode compliant. The Oracle database allows for the storing of characters in any character set. TLC offers all circulation notices in multiple languages. Spanish translations are available, and the library may provide text and translations for other languages. Diacritics, symbols, and non-roman characters in records are saved in a unicode-compliant database and are displayed appropriately in the CARL.Connect Discovery pac.

We can offer our CARL•Connect and CARL•Connect Discovery interfaces in any language desired, including those using Roman and non-Roman character sets. Machine translations can be provided, as default text for any language that the library desires to implement. Libraries have the option to adjust the default text as they feel appropriate. Beyond English, our customers currently offer CARL•Connect Discovery into Spanish, Polish, Chinese, Korean, Japanese, Vietnamese, Russian, Maori, and Armenian. The library can modify language files to include other options. There are no additional fees or software incurred in this process.
Our development with FRBR not only seeks to update technologies and interfaces used for cataloging, we are also ensuring that we consider the records ‘gap’ between MARC and BibFrame (like) data structures. In keeping with our focus on access and retrieval, upcoming development will leverage the clustering of bibliographic records to make catalog users more aware of a work’s different editions, translations, and physical formats, as well as looking at new database structures that allow for more sophisticated types of relationships to be defined between intellectual entities.

As part of our re-branding of LS2 PAC to CARL•Connect Discovery, we are updating the User Interface (UI) to leverage library’s RDA Data and along with added proprietary intellectual identifiers and we are extending FRBR concepts - by offering a single entry for particular intellectual content, and grouping format and editions with that record - in the catalog.

To that end, we’ve begun incorporating designs for a ‘FRBRized’ view of the catalog – by offering a single entry for particular intellectual content, and grouping formats and editions with that record, based on foundational data already present in the CARL•X System for creating connections between discrete MARC records based on intellectual content.

In the context of this FRBRized view, of the catalog, Hold Placement will evolve to allow for the selection of the ‘First Available’ regardless of format, - giving users the option to obtain any copy of the selected intellectual content. Or, the selection of a particular format, based on what is associated with the title, via a format selection menu.
Additionally, within the title details, we will present suggestions based on relationships exposed by new and emerging database structures that utilize entity relationship models, where information like Pride and Prejudice inspired Pride and Prejudice and Zombies, or Jane Austen authored Emma, as a way to facilitate discovery.
For RDA, TLC has an active and constant presence in the development and use of industry standards. We have had a minimum of one senior staff member active in the committee level development of MARBI, RDA, Z39.50, SIP2, NCIP, ILL 10160/10161 and other standards over the last 15 years.

Additionally, TLC employs two strategists who are responsible for keeping informed about industry changes, standards and vendor impacts. TLC remains active discussions surrounding RDA and invests in changes to comply with new guidelines outlined.

We recognize that:

- Customers can and will continue to use AACR2 for descriptive cataloging needs
Customers are using RDA for descriptive cataloging needs
AACR2 and RDA records can and will coexist in the same database beyond cataloging
TLC is already leveraging RDA to enhance discoverability and to develop the ‘FRBRized’ view of the catalog.

TLC has made changes to our CARL•X client to accommodate new MARC tags needed for RDA cataloging records, including Content Type, Media Type, Carrier Type, etc. We also complete regular audits against all existing graphical interfaces and validation rules to ensure:

- New Values are added to Leader, 006, 007 and 008 editors
- Discontinued values are removed
- Non-Fixed Field updates are included

The CARL•X Cataloging client allows users to seamlessly add bibliographic and authority records, whether they are cataloged according to RDA or AACR2 standards. Records can be added manually, in batch, through Z39.50, or created manually using customized templates.

Finally, TLC offers libraries an optional RDA conversion service, which will allow you to more quickly transition to this new standard and take advantage of the development that is being completed to support and enhance user discovery. TLC can provide RDA conversion services for a portion or all of your bibliographic records as part of your data migration; we would be happy to discuss your library’s interests in this service, along with our authority and bibliographic cleanup services. These cleanup and conversion activities are available, as an additional service for your migration, for an additional fee.

BIBFRAME

While the BIBFRAME standard has not been finalized, TLC has completed development to expose library catalog data to the World Wide Web. The ability to discover library resources outside of the catalog can take place without any data changes to the library’s system. That said, as linked data and other updates are completed, additional benefits to end users will be a natural extension of these changes. TLC is continuing this development toward optimizing rankings of library records in Google and other popular search engines.

Our future development roadmap includes enhancing options for integrating with Third Parties including monitoring industry changes to standards, and incorporating BIBFRAME and new API standards into our framework and providing needed updates into our code.

TLC takes a fine-tuned approach towards our review of developing new products and enhancing functionality that takes into consideration the priorities of our customer base and market trends. This approach may, in turn, eliminate the need for the use of a Third Party.

We elaborate more on this below.

Our Current Development for Cataloging:
TLC has continued our development of web-based staff clients through the development of CARL•Connect Collections. This development not only seeks to update technologies and interfaces used for cataloging. We are also ensuring that we consider the records ‘gap’ between MARC and BIBFRAME (-like) data structures.

We began with the understanding that libraries have a lot of data, this includes Authority data, bibliographic data and item data. Therefore, Titles, Authors, Subjects, Actors, Directors, Illustrators all become access points to your collection. Your library patrons access that data when they visit the catalog, allowing them to find, identify, select and obtain content from individual libraries. To that end, the goal of a good cataloging record is to ensure materials for your library are classified and findable.

Therefore, we are developing our new Cataloging features with the understanding that patrons don’t know, or care about the MARC record, or the rules associated with creating MARC data. Primarily, you need library staff...
to be able to create quality metadata that assists patrons in finding the titles they are interested in, in the format that they want.

There are 4 major areas of development at TLC that creates the change libraries, and more importantly their end-users, need. These are:

1. Untying the User Interface from MARC
2. New data structures
3. Exposing data to the web
4. Search Engine Optimization

To best share our cataloging development, we are sharing more information about Untying the User Interface from MARC.

We recognize that MARC is still the library industry standard for cataloging, importing and exporting bibliographic and authority records. This means we will continue to maintain MARC for sharing our records beyond the walls of CARL•X. At the same time, we have embarked on development that untangles the User Interface from MARC. This allows us to offer modernized Cataloging concepts from within the web-based client, for use by library staff.

CARL•Connect Collections’ Cataloging interface can be, when used to create a new bibliographic record within the database.

- The cataloger will be prompted to select a format for the record.
  - The formats listed would be determined by the library, and need not be tied to fixed field data a record may or may not have
  - From the dropdown, you see real-world language, rather than the typical cataloger language
- Entry of bibliographic record data
  - After selecting your format, your bibliographic data web form is presented
  - The modernization of the Cataloger’s interface uses real language, e.g a 245 subfield a versus a Main Title
Please select a format for the new record.

<table>
<thead>
<tr>
<th>FORMAT</th>
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<tbody>
<tr>
<td>Select a format</td>
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<tr>
<td>Book on CD</td>
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<td>Book on Tape</td>
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<td>CDRom</td>
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<td>Database</td>
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<td>DVD</td>
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<td>eAudiobook</td>
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<td>eBook</td>
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<td>Title</td>
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<tr>
<td>Type</td>
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<td></td>
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<tr>
<td>Add another title</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Series and Uniform Title</th>
<th></th>
<th></th>
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<tbody>
<tr>
<td>Type</td>
<td>Series Title</td>
<td>Ranges of history</td>
</tr>
<tr>
<td></td>
<td>Uniform Title</td>
<td>Type and select</td>
</tr>
<tr>
<td>Add another series</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
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</tr>
</thead>
<tbody>
<tr>
<td>Length</td>
<td>406 pages</td>
<td></td>
</tr>
<tr>
<td>Details</td>
<td>Illustrations, maps</td>
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<td></td>
</tr>
<tr>
<td>Accompanying Material</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Statement of Responsibility</td>
<td>Herbert West</td>
<td></td>
</tr>
</tbody>
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</tr>
</thead>
<tbody>
<tr>
<td>Type</td>
<td>Main</td>
<td>English</td>
</tr>
</tbody>
</table>

View MARC  Discard  Save
These efforts allow for greater participation from staff for record updates to bibliographic records by lowering the barrier of entry:
The modern Cataloger of today, and tomorrow, may not be a degreed cataloger
Staff will not need to know the nuances of each tag, indicator and subfield combination.
Allows users to read through the form, filling in data appropriately in the fields provided

Additionally, we are maintaining MARC button, mapped each entry to the appropriate MARC field and subfield (in the backend) and users can click on the button to see the MARC record view of the record they are creating.

Our current development also considers the upcoming BIBFRAME standard which remakes the Bibliographic Record in order to:

- Communicate with Web search engines (replaces MARC)
- Interlink bibliographic data with other Web resources (LOD)
- Focus on user tasks of access and retrieval (FRBR)
- Build on new, flexible cataloging principles (RDA)
- Use accepted Web data description specifications and encoding (RDF and XML)
- Recognize the Web community’s continuing development of its resources (W3C standards and Schema.org vocabulary)
- Provide an opportunity to reimagine the library’s online catalog

We are anticipating that the MVP version of this feature will be issued to our libraries in Q4 2017.

CATALOGING W/ AUTHORITY CONTROL

ITS International, or ITSi, is the cataloging module in the CARL•X ILS Suite and it is fully integrated with the Staff and Admin modules. Access to particular functions in ITSi is determined by security settings available in the Admin module and allows personal logins for users, giving library system administrators increased control over which library staff can perform certain functions. Personal logins also allow an increased level of knowledge of who created or edited a bibliographic record in ITSi, by retaining a user ‘alias’ in a system generated locally-defined MARC tag. As bibliographic records are added to the database they are available immediately in the Staff module and ready for holdings to be created/edited. Additionally, ITSi is a multilingual client and allows for storage, retrieval and display of records created in various Unicode languages, with expanded IME functionality.

First and foremost ITSi offers cataloging staff the ability to create and maintain bibliographic and authority records in MARC 21 format in their libraries’ database with ease and confidence that national MARC 21 standards are being adhered to. TLC strives to keep abreast of decisions made by the MARC 21 community and incorporate them into our cataloging module in a timely fashion.

Cataloging staff is provided with a multitude of options for record creation; whether creating and adding a record directly through ITSi using customized Templates, finding records through Z39.50 database searching, through a file of MARC records saved on a PC or flash drive, with the use of a batch loader(s), or a combination of all of the above. ITSi provides the opportunity to let libraries determine what best fits their needs when it comes to adding records to their database. The use of a batch loader gives libraries the ability to apply “matching & overlay” logic to a file of MARC records and is savvy enough to understand when records should be added as new to the database or overlay an existing record with a newer, better record while at the same time keeping existing holdings attached to the record.

As records are added to the database they are indexed based on a library determined profile, allowing standard keyword and Boolean search methods as well as browse searches that library staff have determined would be important for both staff and patron usage. CARL•X takes advantage of information in fixed fields to create rules, which generate library-determined terms, allowing modified and limited searches based on those terms. As records are edited by staff, indexing and display of records is seamlessly updated in real-time.
CARL•X provides the ability to suppress or “hide” bibliographic records from the Public view of the catalog. This is done either automatically, based on library specified needs, or manually on a record-by-record basis in the ITSi client or through a batch loader, which can contain a pre-determined suppression setting. Bibliographic records that have been suppressed manually can be suppressed for a specified amount of time as determined by library staff or until library staff makes the decision to un-suppress a record.

Automatic bibliographic suppression works with a series of triggers, which may cause records to be suppressed based on the holdings that are attached to the record. ITSi provides a thoroughly customizable view when editing MARC bibliographic and authority records within the library database. On a workstation-by-workstation basis library staff can decide background screen colors, MARC record text font and color, full screen editing capabilities, tag sorting options and more. Fixed-Field editors are available for use with drop-down menus featuring current MARC 21 standards and an associated record Validation messaging.

ITSi includes 3 components that provide cataloging staff additional tools to be able to do their jobs in a streamlined manner. An integrated Macro Editor allows users to enter often-repeated information to MARC records with one key-stroke. These staff created macros can be imported and exported between workstations. A Template Editor lets cataloging staff create ready-to-use workforms or templates for both authority and bibliographic records. Finally, the File Editor in ITSi acts as a MARC Editor, allowing staff to open MARC records from a file and make additions, corrections, etc. to the record and file without having to save it to the Libraries’ database.

TLC also offers our Global MARC Update tool within the cataloging interface. This is a robust, comprehensive client update tool that allows granular search and retrieval of MARC records, even allowing narrowing of a search to a particular subfield, with update, review, monitoring and reporting options.

Authority Control is integrated into the CARL•X database for processing and searching of heading data in bibliographic records. A locally-maintained authority file is kept current by batch loads of national authority records and can also be interactively maintained using the ITS International client. Multiple thesauri coexist in the authority file because the uniqueness of a heading depends on thesaurus and tag number as well as text.

Before any bibliographic record is saved to the CARL•X database, its headings are automatically authorized against the authority file. Headings that do not match an existing authority record are established in the authority file as placeholder headings ("ghosts"). These ghost headings function to collect together all bibliographic records containing the heading, and can be “upgraded” to full authority records by the batch authority loader or through ITSi.

Cross-references are generated in the CARL•X indexes from 4xx (see from) and 5xx (see also from) headings in the authority file. These cross-references are displayed in the staff module search interface (Companion Searcher) as well as in the OPAC. No blind cross-references are displayed. The ITSi Browse All search displays the CARL•X heading file in a single alphabetic sequence, along with associated bibliographic records, if any.

The Companion Searcher Authority Record tab allows the user to view the full authority record without having to select it back into the ITS MARC Editor. The See Also tab allows the user to identify authority records that contain the searched heading as a 5xx.

Adding a new authority record to the CARL•X authority file will automatically upgrade a ghost heading with the same text, thesaurus, and tag number. If a record in the CARL•X authority file is modified, the changes are automatically reflected in all associated bibliographic records and indexes. If a 1xx heading is modified, any corresponding 5xx headings in other authority records are automatically changed in order to preserve the “see also” relationship. Deleting an authority record from the CARL•X database will “downgrade” the 1xx heading to ghost status. As a ghost, the 1xx heading can be added to another authority record as a 4xx heading to accomplish authority record merge.

The CARL•X Cataloging client allows library staff with appropriate permissions to view and modify records. In the Cataloging client, records can be tiled vertically, horizontally, or cascaded with a single click. The number
of records that can be viewed at once simply depends on the computer screen size. The more records that are open, will cause the view to shrink just a bit when tiled in the client.

The use of an integrated Z39.50 client allows libraries to establish connections to a number of bibliographic and authority databases, including, but not limited to LC Voyager and OCLC WorldCat. Libraries can define the match points for records added to the CARL•X database via Z39.50. When a match is found, incoming records (from Z39.50) overlay the existing bibliographic record in CARL•X, keeping the associated items, orders, subscriptions, requests, etc.

A feature our libraries love is that a Z39.50 connection can be configured to not only allow for search and retrieval of records from OCLC, but to also update your Library’s holdings in OCLC for a particular record, all from within the CARL•X Cataloging client. Records selected are imported into the cataloging client and at the time a save occurs, the OCLC number and library holdings symbol is transmitted back to OCLC via Z39.50 protocol.

Additionally, Staff with the correct permissions can quickly and easily, edit, move and merge bibliographic records through a highly visible interface, allowing users to view records side-by-side and use simplified ‘select and move’ operations to merge or copy desired elements into a new record that can be viewed, as it is being built, and then saved to the live database.

Highlights of the CARL•X Cataloging client include but are not limited to the following:

**Macro Friendly**: Staff can create customized macros for frequently performed operations. Macros can be imported and exported between workstations, allowing users to share macros, rather than having to recreate them. For each macro that is defined, a keystroke or keystroke-combination can be assigned. While editing a record, staff can run the macro by simply typing that key or key combination.

**Bibliographic Record Merge**: CARL•X Cataloging provides users with the ability to Merge bibliographic records, allowing any associated items, orders, serials holding and holds to be merged. Users view records side-by-side and use simplified ‘select and move’ operations to merge or copy desired elements into a new record that can be viewed, as it is being built, and then saved to the live database. Also, when moving and/or merging bibliographic records Holds queues are merged into one, and the queue order is compiled using the date and time stamp of hold’s original placement date.

**Batch Loaders**: Libraries have the ability to create and modify load profiles, define the match points and determine actions taken when matches are/are not found. This includes options for protecting or adding in specified tag data. Batch loading gives libraries the ability to apply “matching & overlay” logic to a file of MARC records and is savvy enough to understand when records should be added as new to the database or overlay an existing record with a newer, better record while at the same time keeping existing holdings attached to the record. Additionally, different load profiles can be created for records received from multiple record vendors.

**Global Updates**: You can easily edit bibliographic records in batch using the Global MARC Update tool within the cataloging client. This is a robust, comprehensive client update tool that allows granular search and retrieval of MARC records, even allowing narrowing of a search to a particular subfield, with update, review, monitoring and reporting options. You have granular control over what tags, indicators, subfields, subfield data (including fixed field data) to search for and edit, and it allows a preview of the change before it actually takes place. All fields/subfields are available, and you can create your own queries as well. Additionally, you can edit item records in batch using Global Item Update. Updates can be applied against any field in the item record. Upon completion, a comprehensive report is offered, sharing details of successful and unsuccessful updates.

**Custom Indexing**: Indexing is completely configurable to your library’s preferences. Because of the Oracle database, you data is stable and re-indexing or updates are rare. The Cataloging client offers validation of records, ensuring that records that are added and updated adhere to national standards.

**Suppression**: Suppression is done either automatically, based on library specified needs, or manually on a record-by-record basis or through a batch loader, which can contain a predetermined suppression setting.
Bibliographic records that have been suppressed manually can be suppressed for a specified amount of time as determined by library staff or until library staff make the decision to un-suppress a record. Automatic bibliographic suppression works with a series of triggers, which may cause records to be suppressed based on the holdings that are attached to the record.

**Unicode** CARL•X is fully Unicode compliant. The Oracle database fully allows for the storing of characters in any character set. CARL•X’s cataloging module equally allows for the entry of characters in any idiom and character range with the use of alternate keyboard entry methods of the libraries choosing. Additionally, diacritics can be added using the Windows character map, as appropriate. Please see this example of random Arabic characters stored in a MARC tag:

Data Services
Today, TLC also provides the data services behind Bibliofile and eBibliofile, a subscription data service. This services provides libraries with eBook records and offers immediate access for your eBook purchases. This includes offering a brief record, free of charge, where metadata isn’t available to create a full record, with the option to upgrade this record when a new file is sent at a later date.

**ACQUISITIONS W/ FUND ACCOUNTING**

Like all TLC products, CARL•X Acquisitions functionality stands apart from other vendor offerings because of ease of use and flexibility. All CARL•X libraries have their own workflows and groups of vendors, their own specific procurement requirements and varying selection methods, and their own ordering and receiving processes.

CARL•X Acquisitions features include eight major functions: Selection, Order, Receive, Fund Maintenance, Vendor Maintenance, Currency Code Maintenance, Invoice Maintenance, and Special Charges. CARL•X Acquisitions provides acquisition staff with an easy to use graphical interface to create selection lists, distribution profiles and orders directly in the client.

Within the CARL•X Staff Client, Acquisitions and Serials functions share the same Vendors, Funds, Invoices, and Currency Code files. This enables centralized fund accounting and vendor management for Acquisitions and Serials.

Highlights include:

**Selection and Order Input**
- One-click access to most features
- Selection Lists
- Electronic Ordering
- Configurable Order Records
- Manual Ordering
- Outsourcing
- Added Copies Flexibility

**Tracking & Order Maintenance**
- Real Time Updating
- Robust Reporting Options
- Flexible Fund Options
- Claiming Capabilities
- Order Archiving
- Bulk Changes

**Order Fulfillment**
Electronic Receiving
Manual Receiving
Invoicing
Special Charges (e.g.: Processing Fees, Shipping etc.)

Responsive Collection Development

- Customer Requests
- Patron Notifications
- Floating Collections

CARL•X software is uniquely positioned to meet your needs due to our continued partnership with innovative public libraries. During your migration, TLC’s Acquisitions Subject Matter Expert will complete a workflow analysis to determine the most effective set-up for your library’s needs.

Some highlights of our acquisitions module include:

Electronic Ordering: CARL•X can support Electronic Ordering from any vendor that adheres to the X12 or EDIFACT standard. Acquisitions users can create selection lists on vendor websites, use distribution templates and grid definitions to add 945 tags to the Selection List MARC records, and download the Selection Lists to their PC. Using the Staff Client in real time, these Selection Lists can be loaded into the database, creating orders with the desired distribution profiles in Acquisitions. Electronic orders can include call numbers, processing notes, and distribution information, as can printed purchase orders. Electronic orders can be sent in scheduled batch mode or in real time using Order Now functionality with appropriate security permission. Orders can contain multiple funds, multiple branches, and multiple locations. The Order Log in the Staff Client displays a record of generated orders in an Excel spreadsheet. From the acknowledgment grid, the user can cancel or reorder unavailable titles or accept confirmation of shipped titles.

Electronic Invoicing and Receiving: CARL•X also offers options for electronic receiving and invoicing. Electronic invoices are picked up directly from vendors and are then translated and loaded into the CARL•X system. Invoices are created and associated orders are updated appropriately, awaiting staff review and approval. An Automatic Receiving report is available in the Staff Client as an Excel spreadsheet. Acquisitions staff can continue to manually receive orders and create invoices, and apply special charges to those invoices, for processing fees, shipping and handling fees, etc. Special charges can be distributed across all the funds associated with an order or can be associated with a particular fund. Additionally, Special Charges can be spread across all order units associated with an order or can be a single bulk entry.

Reporting: Our Acquisitions reports include output to review vendor performance, acquisitions transaction activities, and summary of financial fund statistics. These Acquisitions Utilities allow libraries to easily keep funds balanced and prepare data/statistics for the next fiscal year. Additionally, while staff can have a report run to view more detail about Funds, staff do have access to a Fund Summary directly in the Acquisitions client. This allows staff to quickly view all funds associated with a specified Fiscal Year, and the output can be grouped by Fund Manager or statistical code.

Flexible Fund Options: There is no limit to the number of funds/budgets allowed, and we offer extensive options for fund leveling including Fund Accounting by Branch, Department, Branch Groups or System-wide. Funds can easily be adjusted, and the system can also support overlapping fiscal funds for painless EOFY rollovers.

Patron Recommendations / Purchase Recommendations: Users can submit requests online via the library’s web form and the NCIP protocol. These are immediately loaded into the CARL•X Recommendations Queue for staff review and interactions. This eliminates the need to rekey information into the system from email and/or paper requests. As requests are reviewed, they can easily be edited and/or moved into an existing order, canceled, or routed to your Interlibrary Loan Department. Our Patron Purchase Recommendations feature can also interact with Hold Cancellation notices, to automate communications to customers about titles that cannot or will not be acquired. Additionally, libraries can link their “no results” page to TLC’s “Patron Recommendations” online web form.
With CARL•X, library staff can effectively and easily manage subscription check-in, as well as predictions and serials claiming. This is true not only for subscription titles that follow a standard monthly, weekly, yearly, etc. publication pattern, but also for serials publications with exceptions. Our serials module is intended to be flexible and allows libraries to use multiple workflows to ensure efficient entry and find-ability of serials collections.

CARL•X Serials functionality allows a user to add, edit, clone and delete subscriptions, as well as create grids from frequency based prediction patterns. Users can edit grids and spin grids for the next year based on the arrival pattern for the current year. Issues can be added, edited or deleted one at a time or across subscriptions. Issues can be labeled based on cover information by editing the label on the issue chronology. The ability to add, edit, and delete multiple issues is security controlled.

CARL•X allows for the following Subscription Frequencies: Annual, Bimonthly, Semiweekly, Daily, Bi-weekly, Semiannual, Biennial, Triennial, Three per week, Three per month, Monthly, Quarterly, Semimonthly, Three per year, Weekly, Other, Unknown.

Additionally, staff can modify a prediction pattern to meet the needs of the subscription, including excluding specified months of a monthly subscription (for a scenario like 9 times per year), or specific days of the week (for a Saturday, Monday, Wednesday publication).

**Item Creation:** When creating an item at check-in, the chronology and enumeration for the issue is defaulted into an item record. Staff can easily modify the chronology and enumeration if desired. Issues can be added, edited or deleted one at a time or across subscriptions. Issues can be labeled based on cover information by editing the label on the issue chronology. Item records can be linked by chronology and enumeration in support of issue level hold functionality. Staff can also create an item in Item Maintenance.

Some Additional Highlights include:

**Easy and Accurate Check-In:** Serials Check in can be completed using manual search and update practices, or through the use of scanning the UPC barcode for that serial’s issue. When issues are received in the Serials Client, users can select to receive across multiple subscriptions, or specific subscriptions. This allows Serials Maintenance to be usable for individual libraries managing their subscriptions, or from a single location for centralized subscription maintenance.

**Customer Holds:** Staff and library patrons can easily place holds on specific issues of a subscription. These issue-level holds are applied to all system copies of that particular issue, ensuring the hold will be filled from the first available copy and not tied to one specific copy.

**Prediction Grids:** CARL•X Serials allows for creating grids from frequency based prediction patterns. Users can edit existing grids, and spin new grids based on the issue and arrival pattern of the most recent grid. CARL•X also has the option to extend a grid which provides additional flexibility for working with high volume publications such as dailies. Staff can insert, append or pre-pend any check-In prediction grid in real time. Staff interaction ‘teaches’ the system what to expect for that publication in the future, so that patterns remain accurate from season to season. CARL•X allows for the following Subscription Frequencies:

**Frequencies:** Annual, Bimonthly, Semiweekly, Daily, Bi-weekly, Semiannual, Biennial, Triennial, Three per week, Three per month, Monthly, Quarterly, Semimonthly, Three per year, Weekly, Other, Unknown.

Additionally, staff can modify a prediction pattern to meet the needs of the subscription, including excluding specified months of a monthly subscription (for a scenario like 9 times per year), or specific days of the week (for a Saturday, Monday, Wednesday publication).

**Claiming:** Our module supports electronic claiming via the EDI protocol to any vendor who supports the protocol. Some examples are: WT Cox, EBSCO, NY Times, and SWETS. Printed claim notices are available for vendors who are not configured for electronic claiming. Users can select to view Claims for titles at their
Branch, the whole system, or for specific tiles. Staff can easily Claim missing serials issues from the Staff Client, or Serials Claims can run in the background. Serials Claims can be sent for issues that are more than a defined time period past their expected date, or when there is a Gap in check-in (an issue is received, and the previous issue has not yet been received). Our EDI services extend to Serials Claims to ensure daily and repeated communications to your serials vendor, where desired.

**Invoicing:** The CARL•X system allows users to post new payments and attach invoices to serials records. When creating a new payment, users can determine which branch the payment is for, or if the payment is for multiple branches. When selecting multiple branches, the cost is shared amongst branches. Each payment includes invoice information like Fund and Fiscal Year, Vendor account information, Order Number, Purchase Order information, Price, Cost, Currency, and approval date. Staff can enter free text notes for each payment, if needed.

**Flexibility:** CARL•X allows multiple subscriptions on a single title. Additionally, our ILS allows for multiple formats on a single record. Staff are able to create a bibliographic record, and use the serials module to attach issues, bound volumes and/or an eBook link for online access. CARL•X allows users with security permissions to Edit any issue, including those that have been checked in. If a user accidentally checked in an issue, editing the issue to Expected status removes the Check-in status of the issue. Because serials processes are completed in real time, and staff also controls the display of issue information into the public access catalog, libraries can create grids, edit and or delete information prior to making the information public to staff or patrons.

**Routing:** At Check-in, issues can be routed to users and departments, logging the issue as “Routed” until the issue is made available to customers. User Names are a free text field, allowing for use of Staff Name, Departments, Position, Titles, or any other reference that is preferred by the library. When an issue is checked in, staff is able to print the Routing List, which includes all contact information for the Routing Recipient.

**Subscription Creation:** Serials users can easily add and maintain serials subscriptions, and review and initiate claims to serials vendors. You can add, edit, clone and delete subscriptions. Serials staff can add an order for a serials title that will create a subscription at the time the order is saved. Serialspayments, fund accounting features and invoice approvals are also accessible and housed within the Staff Client, generally in use with Acquisitions.

**Reporting:** The CARL•X Canned Reports Suite offers a report specifically addressing serials check-in statistics. This report has customizable parameter options and the ability to save parameters sets for future and repeated use. The Serials Issue Statistics Report has options to limit by a date range as well as select single, multiple, or all from a list of available statuses such as In, Expected, At Bindery, Claimed, Routed, etc. Ad-hoc Reports also provides access to Serials Views in your Oracle database to enable users the ability to extract custom or additional data on demand when/if needed.

OPAC

TLC was the first ILS company to provide full integration with Overdrive’s eResources within the Library Catalog for Availability, Checkout, Download, and Holds placement, and also provides full integration for these features with Baker & Taylor’s Axis360. All future integrations are dependent on the release of APIs from eBook providers; additional development will be completed to integrate all services offered by vendors.

This integration allows for a seamless user experience with eBooks from within the CARL•Connect Discovery catalog, providing availability information within the initial search results screen, minimizing the need for users to have to click further to determine whether a title can be downloaded or needs to be placed on hold. Once a user finds their desired title, they can simply checkout the item, using the Download button which will offer a workflow to download immediately, or the user can select to download at a later time. Holds and Checkouts can be tracked in the user’s account, side-by-side with their physical materials, with options to download or renew (if allowed by the third party vendor/DRM) from within MyAccount.
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Through the use of our eResource record indicator, eBooks and eAudiobooks that are cataloged still provide users with easy access to these collections by moving the user to the content site and their user account when they click the ‘Download’ button. Through the use of the URL documented in the 856 tag of the bibliographic records and our single-sign in technologies, users that have logged into CARL•Connect Discovery will not need to re-authenticate and can easily view and download the title they are interested in using.

For library staff or more sophisticated search users, CARL•Connect Discovery offers an advanced search interface for building sophisticated queries that specify the field against which to search (Title, Author, Subjects, Series title, ISBN, UPC, ISSN, Notes, and Bibliographic Identifier), the ability to define the relationship between the fields being searched (AND/OR) and how to apply each search term – Contains, Does not Contain, Begins with, or Exactly matches.

CARL•Connect Discovery blends the familiarity of high traffic commercial web sites with the richness of library meta-data, and sets itself apart with an elegant design, clear language, and the progressive reveal of the right information at the right time.

**PORTAL MODULE**

Patrons can customize their CARL•Connect Discovery experience in several ways. Standard self-services offered through CARL•Connect Discovery include:

- A free, integrated, digital library card
The ability to create and maintain an EZ Login username and password, and reset the password without requiring library staff intervention

The ability to review and update user contact information – per library defined policy

The ability to monitor account activity, including loans, holds, and fines. All titles within a user’s account activity include cover art and users can rate or write reviews directly from their account

The ability to renew Loans individually or in batch – per library defined policy

The ability to cancel or suspend pending Holds individually or in batch – per library defined policy

Fine and fee payment via our secure E-Commerce solution

Saved List creation; from Saved Lists users can place holds, email, print, or export the list in bibliography format

Saved Search creation; from Saved Searches, users can reinitiate the search, or subscribe to an RSS feed of the search

The ability to opt in (or out) of library notifications.

The ability to choose how they get their notifications and receipts (email, SMS Text messaging etc.)

The ability to select your language preference for use with notices and library communications

The ability to opt in for library loan history

Option for completing Online Borrower Registration

Option for Online Patron Recommendations for communications with your Collection Development Department

Receipt of Personalized Reading Recommendations based on current and past checkout and hold activities.

Ability to select and change your Preferred Library Branch, for a personalize view of search results and for more efficient hold placement

Availability highlighting where an available item is located (based on IP) and there is an available item at the patron’s ‘preferred branch’

Additionally, CARL•Connect Discovery can display library branding with the provision of branding elements including fonts, colors, and logos for use in web interfaces. Your Landing Page can be completely customized to suit your needs. CARL•Connect Discovery was built to be highly malleable and comes with a graphical administration module, making the majority of configurations easy.

TLC also provides options for modifying custom style sheets (CSS) for the online public access catalog, CARL•Connect Discovery, as well as the option to set up unique configurations for each branch or set of branches toward providing a branded interface that integrates well with the library’s online presence. Additionally, we offer access to the language files in both the staff and the public access interface which offers you the option to customize labels within the user interface, toward ensuring a library specific user experience when engaging with our products.

Additionally, because the language and CSS files are external to the web application itself, any changes are automatically preserved when upgrades are completed with no additional intervention required.

Android and iOS app wrappers are also available for library branding and presence in the app stores for customer access to the award-winning CARL•Connect Discovery Mobile product.

Additionally, CARL•Connect Discovery offers deep-linking to an individual record. Please see the below screenshot from our customer the LAPL to see the rotators embedded on their web portal.
APIs

As we work with some of the busiest and largest public libraries, this market has shown us time and again they prefer choice and desire an ILS vendor that is flexible to integrate with the Third Party vendors they select. In response, CARL truly is an open system. We offer extensive integration options that embrace mature industry standards, such as SIP, NCIP, Z39.50, EDIFACT, etc., and our best-in-business APIs to provide our customers and their selected Third Parties an optimal integration experience.

We offer a robust Third Party Certification process, which allows us to partner with a variety of Third Party vendors and ensure integration meets all of the library’s service needs. TLC takes the time to complete certification and commits to continued support for any Third Party vendor interacting with the CARL system. We provide any new Third Party with a sandbox for testing, test data set-up, supporting documentation, and direct contact with the Subject Matter Expert using a Basecamp Forum for project communications.

Our library partners benefit from pre-testing activities between their chosen vendors and TLC, and also enjoy the benefits of the relationships and trust that we build during these processes. Additionally, while the SIP2 standard has been around for a while, TLC continues to assess use and updates needed for this technology, and provides enhanced feature sets that extends the communications between the ILS and the Library’s Third Parties.

TLC also maintains a longstanding and active membership on the NISO NCIP, SIP2 and (new) API Standards Committee.

Philosophy
Our third-party support is the best in the industry. That's because, philosophically, we view our customers as partners, and our long history of extending access to both read and write APIs allows libraries to create additional services outside of our development schedule and according to library priorities.

This philosophy means that the APIs are not just a “module” the vendor hands over to their customers, but also something that is actively used by the ILS and can, therefore, guarantee that we are invested in the development and support of this product, and the quality and performance of those interfaces that you would want from your vendor. Additionally, as new versions of the ILS are released, the APIs are not only regression tested as a standalone utility but as part of the regression testing of the overall ILS.

There is nothing worse than a set of APIs that no longer function correctly (or the same) as the underlying ILS functionality. We have designed our APIs to ensure you are using the very same APIs that we are using.

Library industry research shows that other ILS companies offering APIs develop these as a separate product, and then put them aside, without regular testing or updates, frustrating potential users. Other research shows that some of our competitors do not actually allow API updates to the ILS database, but instead share “updated” patron and other information to the library staff in email. We do not agree that this is a true read/write API, nor would this meet the needs of our user base.

We routinely partner with our libraries and their third-party developers to support the integration of their development with our CARL•X ILS and have enhanced our API product based on our long history of use and feedback from customers.

This includes support of APIs through:

- Access to a sandbox and TLC subject matter experts for integration projects.
- Comprehensive technical documentation that is automatically generated with additional information based on the annotations in the code that are writing in partnership between developers and functional experts. We also include sample XML responses in our written documentation to further support the external use of our APIs and provide sample code to help get even the most API adverse user off the ground.
- Useful error messaging: rather than give general messages, we provide granular and customizable error messaging. For example, when using our check out API, rather than telling you that the transaction failed, generically (a common complaint that you will hear from API users about non-CARL vendor products) we’ll tell you that ‘This item cannot be borrowed because the patron’s account will expire before the due date.’
- We also create many discrete calls and services - each well-defined and self-contained to maintain a service-oriented- architecture.

All of these features have received a high level of positive feedback from both libraries and their third-party development partners.

Finally, there are no extra charges for use of our existing or future APIs to the library as we view these as an extension of the core product, which our libraries have already licensed. The only associated costs that TLC may charge would be to a Third Party developer contracted to make use of our APIs for new integration features at the Library.
Circulation policies, fines rates, default information and parameter control for CARL•X are fully configurable by the library, allowing for granular control over policies. This allows libraries to create, maintain, and modify their configuration and Circulation policies as the needs of the library change. All Patron registrations and edits, including fine payments, are dynamically updated in real-time for efficiency and accuracy.

CARL•X provides parameter options that allow libraries to determine the registration workflow and set field requirements and defaults. All fields in the patron registration screen can be set to pre-populate with default information. The default information can vary depending on where the registration is occurring, allowing for each branch of the library to determine their own defaults. Additionally, the fields available, required fields, and account expiration date can be set based on the type of patron account selected in the registration process.

In addition to providing all of the regular and expected patron registration information, we allow for libraries to create up to 12 User Defined Fields (UDFs) to create, log, and store patron-specific information in the patron record that is helpful to their library. For instance, many libraries choose to add gender, ethnicity, opt-in for marketing, etc. that can help with local demographics and grant writing.

These fields can be Free Text, Validated, or Multi-Select, which allows libraries to define any additional types of information recorded as part of the patron record which can be used for statistical tracking and reporting, and sent via SIP2 to Third Parties. All fields of the patron records are indexed for searching, and all fields can be mined for Reports data. Additionally, these local fields can be leveraged for collecting and sharing information that would be important for CRM engagements.

All activity that occurs within CARL•X is logged, and can be used by canned reports or Ad Hoc reporting to gain detailed statistics of patron and staff usage of CARL•X. Data integrity and access to that data is a critical success factor in evaluating library usage and collections. CARL•X has been designed to allow libraries to collect any information they may need to assist in making decisions about their system.

CARL•X does not lock records, allowing staff to complete their work without interfering with a customer's simultaneous interaction with their account. All activity occurs immediately in the database, ensuring that any user of the system is always viewing the most up to date data.

CARL offers two types of patron and item notes: Free text notes and standardized notes. Free text notes offer the option for staff to input up to 500 characters into a single note. Our standardized text or patron notes, available via a dropdown menu, are allowed to be 74 characters long. These standardized notes can be easily selected and assigned to a patron or item record. CARL•X does not limit the number of standardized notes allowed to be set-up for staff selection into the library's system, nor are there limits to the number of notes (free text or standardized) that staff can retain on any individual patron or item record. CARL•X currently records the date and timestamp of created and edited notes, as well as the user alias who created and edited it. Staff can add a note to a patron account as a Standard Note, or as an Urgent Notes. Urgent Notes require the note be read and acknowledged by staff before accessing the account for circulation activities.

Fully customizable patron notices and receipts can be sent via email, SMS text, telephone or mail. Each notice has an identifier that allows for automatic processing of failed notifications. This allows the system to update patron accounts with notice failure information, and produce backup notifications to a patron with no interaction by staff. Additionally, when a patron account has had their contact information updated after a notice failure, CARL•X removes any associated notes and blocks from the patron account, allowing staff to quickly correct a patron account without having to manually clean up the system placed notifications of failure.

CARL•X is on the cutting edge of modern strategies including options for hourly loans for iPad checkouts, Wi-Fi Checkout options, and dynamic real time SMS Text notifications.

When it comes to fines, CARL•X provides a way to differentiate between waived fines and fees, and those that are written off as financial liabilities. We facilitate this by offering both “waive” and “cancel” fine options. CARL•X’s secure tracking of financial transaction data allows for robust reporting on library revenues from fines and fees. Our Audit Trail report provides library accounting staff the ability to output data by a Date Range, Payment Library (Branch), and Payment Code (i.e., Paid, Canceled, Waived, etc.). We also offer the
granularity to identify data by the staff user who processed the payment and his/her workstation terminal. Third Party payment processing transactions can also be identified with this report as well. Our Ad-hoc Reports options also provide access to output various accounting data, allowing for additional statistical analysis as desired. Security settings can control which staff have the ability to use “waive” or “cancel” functionality.

CARL•X offers robust Holds functionality to serve the needs of libraries and their patrons in an efficient manner. Within CARL•X, holds are available at the title, issue/set and item level. (Please see the OPAC section of this RFP response for more information on issue level holds).

Additionally, all actions taken in the Circulation module are a live update to the database. All activity occurs immediately in the database, ensuring that any user of the system is always viewing the most up to date data. This ensures that all actions taken against patron accounts (including blocking), items, etc., are immediately reflected in the database, and can be accessed by other staff and patrons. CARL•X does not lock records, allowing staff to complete their work without interfering with a customer’s simultaneous interaction with their account.

The CARL•X Circulation system can support multiple patrons barcode schema within the same database. Circulation privileges can be controlled on a system-wide, branch group, or individual branch basis. All Circulation activity is logged and can be accessed via canned reports or by using Database Views (Ad Hoc Reporting) to create customized reports that will provide report data that meet your libraries’ needs.

The Circulation module interacts seamlessly with many Third Party vendors, including TALKINGTECH's i-tiva for Phone Notification and Circulation, Unique Management Services for account collections, Point of Sale services, PC Reservation, and Self-Check machines from various vendors.

CARL•Connect

In addition to proposing our CARL•X Windows-based staff client, we are proposing CARL•Connect, our web-based staff client.

Our approach is to not simply add a web-interface to the existing functionality, but rather to create experiences that not only bring in the best of what CARL has offered over the years, but also modernize features developed many years ago towards building a tool that will take our company and our libraries well into the future. To this end, we are thoughtfully planning and developing web-based features, and engaging with our libraries to include their desired workflows and priorities. We plan to provide a full replacement of our Windows Clients with web-based Clients within 3 - 5 years. You will see below that we are well on our way toward providing web-based solutions for the major modules of our ILS.

CARL libraries are already benefiting from our development of CARL•Connect, a series of web-based clients developed to empower your library staff to connect through desk-free interactions with your users, communities, and collections. The Metro Nashville School Libraries have been solely using this web-based client, since their Go Live in August 2017. This new product suite allows libraries to enhance their service offerings and engage users by supporting a BYOD (bring your own device) philosophy. Whether your staff will be using a PC, tablet, or smartphone, libraries have the power to be inventive, providing new ways to serve their users through wireless, mobile, and Bluetooth technologies.

CARL•Connect is Tablet Ready for both Android and iOS and automatically adapts to the size and aspect ratio of the device you are using. It was designed with mobile touchscreens in mind; all screen elements are designed to allow for easy use with a finger or stylus ensuring a positive user experience.

CARL•Connect Circulation, the Circulation module of our web-based staff client, is in use at over 145 libraries and has enhanced their ability to provide quality service for Outreach, Roving Reference, and Circulation Desk interactions in order to complete daily circulation activities, away from the desk. CARL•Connect Circulation is designed first with mobile devices in mind, with cognizant development for wireless internet interactions and Bluetooth Readiness for barcode scanners and printers. Our flexible receipts offered via SMS text, email,
paper, as well as the option to not issue a receipt for those transactions where a receipt is not necessary to keep your transactions and activities paper-free.

Highlights of CARL-Connect Circulation include but are not limited to the following:

**Patron searching:** Quickly find your customer accounts with either the simple search box or using our Advanced Patron Searching option.

**Weighting for relevant search results:** When searching for patrons, your library can choose to weight which fields to give prominence to, such as Primary Name and Address.

**Patron registration with duplicate checking:** Register new users to your library system without being tied to your service desk or brick and mortar locations. Once you input a potential customer’s information CARL-Connect Circulation immediately checks it against the database and alerts staff if any accounts already exist that may be potential duplicates.

**Flexible Receipts:** The text of your receipts can be customized to your library’s specifications, and customers can choose to have their receipt emailed, sent via SMS text, printed or they can choose “no receipt” as an option as well. Printed receipts can also be enabled via our Bluetooth capabilities if so desired.
Patron Image and Signature Availability: CARL-Connect Circulation allows the use of your device’s camera to take and store photos or an image. Once you have verified your customer you can simply click on the image to collapse and gain more real estate for other user details.

Paperless Patron Registration: Additionally, you can help users sign up for a library card anywhere, anytime! This service allows staff to enter user information, share a customized Terms of Use policy for your library and the option to collect and store the patron’s signature on the device.
Desk-free Interactions: CARL•Connect Circulation is designed specifically for mobile devices and for use with Wireless Internet. It is Bluetooth Ready to enable barcode scanners and printers. Our flexible receipts offered via SMS text and email as well as “opt out” feature can keep your transactions paper-free.

Digital Library Card: Once registration is completed a digital library card will display that can be scanned, emailed, or printed for the customer’s records.
**Multilingual interface:** CARL•Connect is available in multiple languages, which enables staff the ability to work with customers and reduce potential language barriers. The contextual online help is also instantly translated into the selected language of choice.

**Responsive Design:** CARL•Connect has been designed with mobility in mind, and automatically adapts to the size and aspect ratio of the device you are using. CARL•Connect is Tablet Ready for both Android and iOS.

**Configurable Interface:** Banners, colors, font, text and other design elements can be customized for your library’s branding needs. Additionally, the library chooses the fields in the ‘Library Statistics’ section for generating valuable reports.

**Fill List:** Viewing and managing hold requests has never been so seamless! Staff can view, filter and sort items, issues and titles being requested on a mobile device providing new mobile efficiencies to libraries. Options to fill, fill and print or update the database for an item not found, are all at your fingertips (literally) with CARL•Connect and touchscreen optimizations!

**BYOD (Bring Your Own Device) Philosophy:** Staff can easily access CARL•Connect Circulation whether roaming the stacks, attending a local fair, or hosting an off-site fundraising event.

**Account Information:** Access to customer’s “My Account” page in a new tab for simultaneous usage without having to re-enter any of your customer’s information. Once in “My Account” you have access for:

- Fine Payment options
- Pending or Available Holds Information
- Items currently checked out and their due dates
- Renewal options

**Touchscreen Design/Readiness:** While CARL•Connect can be used on a traditional desktop or laptop, it was designed with mobile touchscreens in mind. All screen elements are designed to allow for easy use with a finger or stylus.

**Merge Users:** When a customer is discovered to have duplicate live patron accounts, CARL•Connect Circulation can be used to merge both records to retain information from both accounts.
2D Barcode Scanning: Leveraging 2D barcode scanning standards, CARL•Connect builds upon the already streamlined paperless registration process by providing libraries an intuitive process of simply scanning the 2D barcode on the back of a driver's license to upload information to the patron database. This integration also offers libraries an alternative way to search for existing patrons, using their license or ID, in lieu of scanning their library card barcode.

Online Context Specific Help: Users can quickly access context-sensitive help when needed. The Help content is also easily translated into the languages that your library has chosen to offer staff and customers.
We are anticipating a full replacement of our windows circulation client with this web-scale option, going beyond ‘mobile’ circulation features that are currently supporting daily outreach, roving reference and holds and staff search activities at our libraries.

**Family Card:** Today, CARL links family member accounts together using the same barcode, through the use of what we call the “Main/Added” user feature. The “Main/Added” user feature allows staff to associate multiple family members by linking them to the same Patron ID, but allows each individual family member to have an independent account for checking out materials, and ensures that holds, blocks, fines/fees, checkout limits, etc. are applied only to the individual user account and do not negatively impact all family members.

The Main user is the designated responsible party, and notices are sent to that individual.

TLC completed a Family Card focus group at our annual Users’ Conference in 2016, toward reviewing development updates for ensuring broader use of this service to support self-services, fee payments, and online engagement. In-Development features are anticipated to be available within CARL in 2018/2019 timeframe.

As mentioned above, our current functionality allows each individual family member to have an independent account for checking out materials, ensuring that holds, blocks, fines/fees, checkout limits, etc. are applied only to the individual user account and do not negatively impact all family members. Notices can be sent to a designated responsible party.

We are currently expanding on the functionality of our Family Card to include options for:
- Receiving notices for all linked users
- Reviewing all checkout and holds online
- Reviewing and paying for fees associated with a personal account, or all accounts that are linked
- Ability to link or unlink a personal card online
- Ability for a 'Main' user to be associated with more than one linked account
- Checking Out Holds with Staff or on the Self Check

Primary Patron's Account in CARL »**Connect**
Secondary Patron's Account in CARL•Connect
Account Summary in CARL•Connect Discovery
Fine Payment in CARL•Connect Discovery
CARL•X Floating Collections is an extremely flexible module, which allows libraries to define specific parts of their collection that are floating, and where those materials are allowed to float to. CARL•X also offers Stock Rotation, which allows libraries to more definitely define the movement of collections among branches, and how long those collections reside at each branch.

CARL•X offers a highly flexible solution to libraries for Floating Collections. This feature allows for designating materials as part of a floating collection at the Branch, Location (collection), and Media Type level. An item must be designated as floating at all levels to be considered part of a floating collection, allowing for inclusion and exclusion of materials as part of floating collections.

Additionally, materials will only float to a new branch when returned at a branch participating in floating collections.

It is also possible to create library groups for Floating Collections, allowing libraries to define a set of materials that float amongst one set of branches, but will not float to another set of branches. This allows for geographical groupings of shared collections, setting up groups based on materials funding or consortium member libraries.

CARL also allows for load balancing within our Floating Collections features, eliminating the requirement for staff to manually manage the movement of collections. Our load balancing solution allows libraries to define the maximum number of a type of material that can belong to a branch at any one time. The limit can be based upon materials currently assigned to the branch, or on materials that are in an On Shelf status at the branch.
This allows for setting collection limits based on physical shelf space, or on a defined share of the collection. Libraries can set where materials should be sent in the event that a branch has reached their collection limit.

Materials returned after a branch has reached their limit will display an alert informing staff that the limit has been reached, and where the material should be sent. Limits also allow for designating a location where materials should reside should all branches reach their limit.

**PROGRAM REGISTRATION, ROOM BOOKING AND SCHEDULING MODULE**

TLC does not offer a native solution for CARL customers, however, we integrate with current 3rd party room and event programs via SIP2 and RSS, making the events searchable within the PAC for both patrons and staff.

**INVENTORY CONTROL MODULE**

CARL offers a native inventory control option for scanning barcodes and uploading reports into the system for updates regarding availability of materials. Additionally, report outputs can be completed to match shelf-lists with inventory using Third Party software and/or peripherals that can read RFID tags and/or barcodes. Updates back to the system for batch updates can easily be accomplished using our **Global Item Update** features, described below. We can integrate with any third party software who uses SIP2, such as Tech Logic, Bayscan's PV Supa, Bibliotheca, and Envisionware.

CARL•Connect, our web based client, allows libraries to complete their weeding and collection analysis activities where the books live, without having to bring them back to a desk. CARL•Connect is Tablet Ready for both Android and iOS, and can adapt to turning a device on its’ side, or loading on PC, Laptop, Tablet or Smartphone. We are developing new options for inventory, staff search and collection maintenance activities within our CARL•Connect product suite. Item maintenance is part of our 6-12 month product roadmap.

CARL•X allows for users to ensure accuracy of information for end-users and staff. By monitoring your collection, staff can track and manage the library’s collection. Because we have made the process simple, staff can complete inventory control processes frequently, or against smaller segments of the collection, in order to keep up-to-date with these activities with shortened time to complete these tasks. While we share the simplified processes as a benefit to busy library staff, we want to assure you that the system is also very robust!

CARL•X Inventory Control can be run against collections as small as a specific shelf of the library, or as large as all materials located in a specified building. The Inventory Control process is comprised of four steps:

- Using a barcode scanner to scan a portion of the collection
- Downloading the data to the PC
- Uploading to the application server
  - Standard FTP processes are used
  - A login and password will be provided that will supply access to the directory/carl.input/InventoryControl/ on the server.
  - The logon will not have access to other areas on the server.
- Running a utility to generate reports and update the status of missing items.

The inventory control utility will compare the downloaded file of item numbers against information in the item file. The utility will mark an item as on-shelf but not located (status SN) when it finds items in the item file within the scanned call number range that are not in the inventory file. The inventory utility will also produce report output that contains the following information: items missing from inventory, inventory of items with incorrect status, inventory of items with special status, inventory of items at wrong branch.
- Items Missing from Inventory—items that should have been on the shelf but were not located when the scanning occurred
- Inventory of Items with Incorrect Status—items found on the shelf but have a non-shelf status
- Inventory of Items with Special Status—items noted in the system as ‘lost and paid’, ‘lost’ but not connected to a patron, or ‘claimed missing’
- Inventory of Items at Wrong Branch—items on the shelf that should be at a different library branch, shelf location or media section
- Mis-shelved and Unconverted Items – items that are out of shelf list order

Lightweight hand-held barcode wand or scanners are readily available and are sufficient for use with our Inventory Control software. Finally, our robust reporting techniques, including our Item by Status report, provide powerful Collection Analysis and Weeding tools for library staff.

**ILL MANAGEMENT SYSTEM**

While our system does not offer a native ILL module, we do support ILL functions.

CARL customers currently participating in regional resource sharing systems use NCIP protocols, as well as proprietary NCIP profiles, to bring requested materials into the CARL Staff interface, so that both staff and customers can use a single circulation system for filling holds. CARL-X supports implementations with the NISO Circulation Interchange Protocol (NCIP) with the following eight core messages: Authenticate User, Lookup User, Lookup Item, Accept Item, Check Out Item, Check In Item, Request Item, and Cancel Request Item. Our implementation as an NCIP Responder supports integration with CARL-Connect Discovery My Account, allowing users to maintain a single patron record for tracking requests, holds and status of returns.

For ILL lending, requests can be brought into the CARL ILS and incorporated into the standard hold features. Holds are placed for a pre-created staff user library card and routed to available copies. When fulfilled, staff can check materials out to the requesting library, and NCIP carries that message back to the third party system to share a status update. When materials are returned, that update is once again sent to the Third Party system to confirm the receipt of the borrowed item.

For ILL borrowing, NCIP calls are used to create a temporary item on the patron’s account, allowing them to track updates to their request. Additionally, when materials arrive, the CARL ILS standard circulation processes are used to notify the user that their material is ready for pickup, checkout and set due dates, enforce circulation policy and return items and/or bill for non-returned items.

CARL-X allows for flexible barcode acceptance. Depending on your preference for barcode validations, use of lending library barcodes can be enabled. Some TLC libraries will use the OCLC reference number as the item barcode when adding Interlibrary Loan items to the ILS for circulation, which provides quick access to lookup information in OCLC. Use of Custom Receipts to print labels for borrowed ILL materials allows for scanning the OCLC number to check the item out to the patron.

CARL-X supports the use of OCLC, ILLiad and other online consortial borrowing systems that automate Inter-library loan service between the library and the end user.

CARL-X customers currently participate in regional resource sharing systems using Z39.50, NCIP and API integration methodologies with Inn-Reach, URSA and OCLC WorldCat products, as well as local website integration for patron tracking of requests and efficient workflows.

**Z39.50 SERVER**

The system supports the Z39.50 client-server protocol.
The use of an integrated Z39.50 client allows libraries to establish connections to a number of bibliographic and authority databases, including, but not limited to LC Voyager and OCLC WorldCat. Libraries can define the match points for records added to the CARL•X database via Z39.50. When a match is found, the incoming record (from Z39.50) overlays the existing bibliographic record in CARL•X, keeping the associated items, orders, subscriptions, requests, etc.

A feature our libraries love is that a Z39.50 connection can be configured to not only allow for search and retrieval of records from OCLC, but to also update your Library’s holdings in OCLC for a particular record, all from within the CARL•X Cataloging client. Records selected are imported into the cataloging client and at the time a save occurs, the OCLC number and library holdings symbol is transmitted back to OCLC via Z39.50 protocol.

MANAGEMENT INFORMATION SYSTEM/REPORT GENERATOR

Included with our system is our native CARL•X reporting module. The reporting module utilizes the Oracle database platform directly. Because CARL•X is built on a UNIX and Oracle platform, report processing is extremely fast, and has little or no impact on your system resources when reports are run individually or simultaneously. UNIX utilities or tools can also be used to easily schedule the running of a report at a convenient time or run several reports in batch.

Our philosophy is that the ILS houses your data and therefore, you have complete access to it. CARL•X provides many options for our customers to easily run and monitor reports on your system. These include the ability for:

- Staff to complete regular and “canned” reports from within the CARL•X Staff Client (the library can match reporting needs, with staff logins, via Security Permissions)
- Managers, supervisors and other responsible parties to run complete customizations to “canned” reports, run and monitor reports via the CARL•X Administrative client
- ILS Administrators and IT staff to create and run more sophisticated inquiries, reports and notices via CARL•X Ad-hoc reports.

CARL•X reports offer the flexibility of limiting the report by several factors including branch, location, media and a date range.

- The CARL•X Staff Client includes options for running Circulation, Acquisitions, Cataloging and Utility reports. Branch, front line and support staff can run the reports they need through the CARL•X Staff Client. Staff can run reports with pre-defined parameter sets or can modify existing parameter sets.
- The CARL•X Administrative Client provides administrators, managers, and any IT or library staff that is given access to this Client, with a full suite of Canned Reports to meet 80% of your reporting needs. These canned reports come with a significant amount of customization options, through the use of pre-defined parameter sets. Canned reports that are customized for a specific output can be saved for future and repeated use.
- The CARL•X Administrative Client also provides the ability to run and monitor report processes as well as establishes report security levels and customizes individual report settings. Security levels and report customization is used to establish which staff will be able to see and run the various reports.

All report data is FTP’d to the client PC as a .csv file that can be accessed on your PC and opened in Excel or Crystal Reports format or distributed as desired, such as via email or posted as files to a staff intranet.
Reports are offered in Crystal Report and Excel formats. The Excel format provides the flexibility for the site to customize the data returned in the report to suit their needs. These reports can create lists, notice forms, bar charts, pie charts, line graphs, and cross-tabs. Any scheduled report outputs can be accessed on demand via the Staff and Administrative Clients to those with appropriate permissions thus eliminating the need for email distribution as well.

There are also options to locally archive report data files that can be then accessed at a later time, allowing retention to meet library-reporting needs over time. The Administrative Client offers the option to automatically archive the previous version of the report each time a new instance is FTP’d to the client PC, while the Staff Client automatically maintains report archives on the local client PC until they are removed.

All CARL•X Canned Report outputs can be saved locally and distributed as desired, such as via email or posted as files to a staff intranet. Reports can be either generated on demand or scheduled with the ability for those staff with access to locally export the report output and distribute as they see fit. As CARL•X Canned Reports are security driven, any scheduled reports outputs can be accessed on demand via the Staff and Administrative Clients to those with appropriate permissions thus eliminating the need for distribution as well.

The reports have easy-to-use, drop-down menu options for flexible limiting and adjustments to the report by several factors including branch information, borrower types, collection location, item media or format code and date range. For example, the pre-configured “item by status report” can be run for any date range, against one, all or some library branches or one, all or some item (media) types or collections.

We are offering a description of some of our CARL•X Canned Report for use with Acquisitions:

1001 – Vendor Performance
This report displays calculated statistics for vendors so libraries may measure their acquisitions performance. Report output can be limited by a vendor code, or multiple vendors within a single branch group. Output can also be limited by a date range, allowing performance statistics to be calculated based on acquisitions activity within a specific time frame. Examples of statistics included in the output are number of orders placed, total orders received, average discount per copy, percentage of orders received within 30 days, number of orders canceled, average receive days, etc. The report also has an option to update the Statistics tab of the vendor record in the CARL•X Staff Client’s Financials area to display a selection of vendor performance statistics.

1002 – Generic Transactions
This report displays information about orders and/or serials payments so libraries may view a holistic list of acquisitions activity within a specified date range, which refers to the order’s status date. The report output can be limited by branch group, as well as, by specific branches. In addition, there are options to limit by a specific fund, vendor, invoice number, purchase order, alternate purchase order number, or order/serials payment status codes. The report output will display information about the acquisitions activity such as the title, order number, status, price, cost, copies ordered, copies received, vendor, fund, alternate purchase order number, status date, and purchase order.

1004 – Funds Summary
This report displays calculated statistics for funds, including values such as allocations, amount spent, and percent encumbered. The report output can be limited by the branch group associated with the fund, as well as by the fund year. You can display all funds for the year, or input a specific fund to display. The report displays information about funds such as the fund year, fund code, fund name, allocation, amount encumbered, percent encumbered, amount spent, purchasing power, percent discount, etc.

1005 – Rebilling Report
This report displays information on specific cost information for each branch and location’s order
units that are in received and spent status. The report output can be limited by a specific fund, local acquisitions code 1 value, and date range, which refers to the status date of the order unit(s). This report can be used by consortia library systems that have central acquisitions ordering, but still need to “rebill” consortia members to recoup any costs for materials ordered on their behalf.

1201 – Fund Balancing
Run Fund Balancing to bring all the funds into balance and check to see that the balances are correct before ordering, receiving or approving invoices. No report is produced by Fund Balancing. It is recommended to run this Fund Balancing report before rolling over funds.

1202 – Fund Rollover
The Fund Rollover Report should be run on the last day of the fiscal year. Old funds should not be ordered against once the change is made to the funds. Once the report is selected, the Edit parameters button will open the Report Parameter window. The Report Parameter screen begins with the Default Parameter set and allows the parameters to be altered for each run of the report. The report parameter options are discussed in CARL.X SYSTEM TECHNICAL BULLETIN: END OF FISCAL YEAR PROCESSING on the CARL.Community. The report shows which funds were rolled over, the allocation for the old fund and the allocation for the new fund. The report parameters used when the report was executed, Data Moved and New Fund Already Exists, are shown in the report.

1500 – Order Log
This report displays information on the activity of orders, both paper and electronic. It can be limited by a date range, which applies to the following:
When paper and/or electronic orders are generated by overnight Acquisitions processes
☐ The order status is systematically updated from N to O, in the Staff Client
Other information displayed are the date and time, vendor code, purchase order number, number of titles and unit, format (e.g. paper or electronic), and FTP status for electronic formats as appropriate (success or failure).

10022 – Electronic Invoices
This report displays information about processed electronic invoices for automated Acquisitions orders receiving. The report can be limited by how many days to report and how many days back to report. For example, you could enter a value of one for each parameter and receive “yesterday’s” activity. Similarly, you could enter a value of one for how many days to report and a value of seven for how many days back to report. This would show you one day, seven days ago from “today.” Information displayed in the report output includes the order number, invoice number, vendor, title, purchase order, branch, location, number of units, price, cost, and whether the order was received.

Note: There is an assumption that your library is using Local EDI Invoice Processing, thus producing data for this report to display

Also included with CARL•X is the ability to access all of your site’s data that could be used to create customized reports. CARL•X saves and tracks all patron, acquisition, serials, cataloging and transaction data in the Oracle database. Also available is information that can be used to create reports related to library productivity and other internal metrics. With the power and flexibility of a relational database, like Oracle, and the availability of many third party reporting tools that connect to Oracle, you can create any report that your library may need.

We offer scheduled Ad-hoc report outputs that can be automatically emailed to a library provided email distribution alias. Ad-hoc Reports, dependent on the Third Party tool in use, also have the flexibility to generate outputs that can be exported and distributed in the desired method and format, including Excel, PDF, text, CSV, HTML, and XML.

To create ad-hoc reports, CARL•X provides the following:
An individual site Oracle log-on
Access to Oracle data views that allow you to access data in a read-only manner without the possibility of accidentally deleting or modifying your site’s data.
A comprehensive report-oriented data dictionary with information on tables/columns/data types/keys
Documents on how to set-up Crystal reports, Excel and SQL Developer on a reporting PC to access the Oracle database using ODBC or if another third party product is chosen, assistance will be provided in helping to connect it to the CARL•X Oracle database
Access to the CARL•X Reports Forum for communication with other sites using Ad-Hoc Reporting to share queries and ask questions
Support from TLC staff knowledgeable in the areas of relational databases, SQL and writing ad hoc reports using Crystal Reports, Excel and MySQL Developer.

With access to all of your library’s reporting data, you can create reports to meet all the needs of your library management and staff. CARL•X Reports can be exported in a variety of formats, such as .pdf, .xls, .csv, .xml, and .html to satisfy various layout and distribution requirements a library may have. The TLC reports options we offer can create lists, notice forms, bar charts, pie charts, line graphs, and cross-tabs. No additional charges are required to access all reporting functionality.

ELECTRONIC RESOURCE MANAGEMENT

TLC is a reseller of Gold Rush®, a complete electronic resource purchasing and management, as an optional component.

Gold Rush® is a stand-alone electronic resource management system developed by the Colorado Alliance of Research Libraries to help libraries or consortia manage subscriptions to electronic resources and provide improved access to these resources for their patrons. Libraries may license Gold Rush as a complete system or they may license individual modules depending on local needs.

- Gold Rush Decision Support
  - Gold Rush® Decision Support allows libraries to do content overlap between electronic resource packages from primary publishers, aggregators and indexing/abstracting services. Users can compare one-to-one or many-to-many in the same simple interface.
  - This option allows library staff to compare title lists from over 1,500 aggregators, publishers, and indexing/abstracting services that have been loaded into Gold Rush®. It allows comparison of the content within packages even if the library does not subscribe to them! This is especially helpful to collection development, library administration, and reference staff who are trying to make tough decisions on what products to purchase and cancel. All reports are generated in real time over the Web and may be viewed on most standard browsers or downloaded into Microsoft Excel™. Title lists are updated on a regular basis in order to provide the latest and best information possible.
  - A unique feature of this service is that it covers both full-text as well as indexed-only titles.
- Gold Rush A-Z & Link Resolver
  - OpenURL link resolver has full compliance for NISO 1.0 and 0.1 standards. Control your own style sheets and results page templates.
  - Public search interface - A powerful interface offering not only A-Z browsing but full title, keyword and ISSN searching. An XML Gateway available offering sites complete flexibility in designing their own interfaces.
- Electronic Resource Management (Subscriptions)
  - Subscriptions (Electronic Resource Management) system for monitoring contracts, pricing, and the renewal process. Includes an incident tracker plus the ability to add your own fields and create customized reports.
- Gold Rush Knowledge Base
- Gold Rush® includes over 1,500 title lists which represents over 100,000 journals from publishers, aggregators and index/abstracting services. Title lists are uploaded on a regular basis to reflect changes in journal titles and coverage dates.

Gold Rush® is centrally hosted and requires no programming or management of a local server. It interoperates with any integrated library system and can be folded into your library's Web presence.

**BROWSER-BASED STAFF INTERFACE**

**CARL•Connect Staff**

With TLC’s newest product line—featuring mobile, web-based staff clients—empowers connection through desk-dree interactions with your users, communities, and collections. This product line will include Circulation, Collections (Cataloging, Acquisitions, and Serials), and Reports.

**Connect** with your Library Users by working collaboratively with them in the stacks. Find them before they look for you!

**Connect** with your Communities by providing immediate, wireless patron lookup, library card registration, and materials checkout, allowing promotion of your library and library services to a larger audience beyond the library walls.

**Connect** with your Collections with transportable, seamless materials management tools. Complete your weeding and collection analysis activities where your books live, without having to bring them back to a desk.

**CARL•Connect** is Tablet Ready for both Android and iOS and automatically adapts to the size and aspect ratio of the device you are using. It was designed with mobile touchscreens in mind; all screen elements are designed to allow for easy use with a finger or stylus ensuring a positive user experience.

Our approach in developing **CARL•Connect** is to not simply add a web-interface to the existing functionality, but rather to create experiences that not only bring in the best of what CARL has offered over the years, but
also modernize features developed many years ago towards building a tool that will take our company and our
libraries well into the future. To this end, we are thoughtfully planning and developing web-based features, and
engaging with our libraries to include their desired workflows and priorities. We plan to provide a full
replacement of our Windows Clients with web-based Clients within 3-5 years. You will see below that we are
well on our way toward providing web-based solutions for the major modules of our ILS.

Key Features of CARL•Connect include but are not limited to the following:

- Digital Library Card
- Paperless Registration
- Signature Capture and Storage
- Email and Text Receipts
- Patron Account Merge
- Real-time Hold Processing
- Advance Patron Search
- Patron Photo Capture and Display
- Dynamic, Multilingual Interface
- Fill List
- Who Notes
- Staff Settings
- Self Check *Connect for Kids
- Touchscreen Ready
- Bluetooth Integration
- Responsive Design
- Dynamic List Creation for Staff Searching
- Reports Concierge
- Online Context Specific Help
- Configurable Interface
- Item Maintenance
- Smart Pages and User Account Management and Fine Payment
- Smart PAC Record and Item Searching

CARL•Connect Circulation
The Circulation module of our web-based staff client, is in use at over 145 libraries and has enhanced their
ability to provide quality service for Outreach, Roving Reference, and Circulation Desk interactions in order to
decomplete daily circulation activities, away from the desk. CARL•Connect Circulation is designed first with
mobile devices in mind, with cognizant development for wireless internet interactions and Bluetooth Readiness
for barcode scanners and printers. Our flexible receipts offered via SMS text, email, and paper, as well as the
option to not issue a receipt for those transactions where a receipt is not necessary to keep your transactions
and activities paper-free. **We have shared circulation features and highlights within the Circulation
Section of our response.**

CARL•Connect Items
Last year we completed developed of new Item Information functionality within CARL•Connect Staff. This
offers library staff new ways to interact with existing items on bibliographic records in their library’s catalog, as
well as offering the opportunity to create new items on existing bibliographic records, all from within our web-based client. This includes the ability for staff to create, maintain and delete Item notes on Item records. Additionally, development within this area of functionality has begun incorporating CARL•X foundational parameter options to inform how and when options should be displayed in the interface.

As is our strategy, we took the opportunity to improve interactions when searching and accessing item data,
allowing library staff to search by Item ID or BID and retrieve all items associated with that record. Additionally,
our design utilizes the content server to retrieve and display cover art associated with the record being
displayed. CARL•Connect Items will also alert the library user if a bibliographic record is marked as
Downloadable content and will display messaging to allow library staff to see if the record is Manually
Suppressed, System Suppressed, Never Hidden, etc, without having to navigate into CARL•X Cataloging client
to view this information.

Downloadable

Yes

Publication Date

2005

Record never hidden.

Robert & Cybil: The Winning Hand; The Perfect Neighbor

Roberts, Nora

Downloadable

No

Publication Date

2012

Record suppressed, no available items.
Searching by Item ID will return the matched Item ID and BID, with the Item ID you searched displaying first in the list. If you search by BID or using the Bib Search functionality, all the items associated with your CARL•Connect login branch will display first. All subsequent items on the BID are sorted by Branch Name, by default, but library staff can choose to sort by additional fields.

**Smart Pages & Smart PAC**

SMART Pages and Smart PAC interactions between CARL•Connect Staff and CARL•Connect Discovery offers library staff functionality that allows them to engage with users in an interface that is familiar to them, while offering staff-side details regarding accounts, histories and collections.

When a library staff member accesses MyAccount from the link provided in CARL•Connect Circulation, they are taken to CARL•Connect Discover MyAccount, and logged in as a staff member on behalf of a patron. When logged in in this manner, libraries have the opportunity to review transactions, renew materials, place, suspend or remove holds, view fine history and pay, waive or cancel fines. All options allow for generating receipts that can be printed and shared with patrons. Additionally, library staff will have the option to complete eCommerce payments on behalf of the patron.

Libraries have options for displaying or hiding patron details such as loan history, saved lists and saved searches, when interacting with MyAccount from Smart Pages.

When searching Smart PAC, library staff will be able to view suppressed items along-side non-suppressed items toward supporting customer interactions and collection maintenance activities.
CARL•Connect Reports

CARL•Connect Reports continues our theme of open data access, being developed to offer embedded analytics into our web-based staff clients by providing real-time, interactive, visual displays of regularly requested data within a customizable dashboard view, in addition to offering the option to run our growing set of pre-defined reports. This interface is also being developed to interface with the CARL system database views for completing custom (ad hoc) queries, without the need for a third party reporting tool.

Key to this functionality is our groundbreaking add-on CARL•Connect Reports Concierge service, introduced in October 2015.

This service offers access to TLC data experts via email where library staff can seek information at the time of their reporting needs, using a web-based interface and after-hours request form.
CARL•Connect Reports Concierge transforms the way that metrics driven libraries gather and analyze data. Not only will these customers be receiving timely assistance directly from TLC’s very own subject matter experts, their requests can be submitted using natural language, removing the dependency on data mapping expertise. Library Directors and other key staff will no longer be burdened by last minute calls for statistics that cannot be met, or out of the box reports that do not allow for unique customizations, when their ILS Administrator is unavailable. If requests are submitted while the experts are offline, libraries can depend on hearing from TLC within 48 hours.
We would like to calculate the time it takes from when an item is created by our Technical Processing Staff to when it goes on the shelf at the receiving library. For example, we would like the time from the item’s creation to when it goes in transit to the receiving branch, then to the shelf. This will help us understand where we can improve our work flows to get newly acquired materials from receipt into the patron’s hands, such as identify any potential staff performance issues and/or opportunities to implement new technologies or hardware.
Continuing our development of Reporting Options, we are excited to share information about our in process Reports Dashboards in both CARL-Connect Circulation and Reports.
TLC is introducing Dashboards and a Dashboard Gallery this year within our new web-based CARL•Connect to present real-time, graphical analytics and library data to staff users. This, along with our ground-breaking CARL•Connect Reports Concierge services, discussed above, can support both executives and mid-level management decision making for budgetary spending, collection development, staff distribution and desk scheduling.

The concepts of personalized dashboards to display “quick-touch” metrics that are both informative and visually appealing is guiding our development in this area. We want the user to see key performance and daily indicators that require minimal interactions as data is personalized for their login or functional area.

With this in mind, we are creating “widgets” (or “report tiles”) that display within a “my dashboard” area that is visible in both the functional module, like CARL•Connect Circulation, and within the more traditional home of CARL•Connect Reports. We are starting with key daily statistics metrics, and as more widgets are developed, these would be viewable in the Reports Dashboard Gallery, and can then be added to the functional modules as appropriate.

Pictured below are some example report widgets that will be available for performance indicators in Circulation and Patron Card Activity.

Circulation Activity displays Week-To-Date statistics on combined Checkouts and Renewals, including a Patron Trend line to show how many unique patrons are responsible for those daily transactions. Statistics are specific to the branch you logged in with, thus the user does not need to tell the report what branch data to display. Easy to use “refresh” and “download” icons allow the user to refresh report data real-time, and/or download a flat file of these statistics.

Similarly, the Patron Card Activity graphically displays counts of New, Replaced, Expired, or Deleted Patron Cards per day. With an Easy Date Filter, users can select the data they want to see with natural language terms, such as “Today” or “Yesterday” or “Week-to-Date”. With these widgets, users can quickly identify regular metrics and spot trends in order to take appropriate action within their library.

Pictured below is the My Dashboard and Reports Gallery within CARL•Connect Reports.

As you can notice, there is an additional widget that displays Fund Activity – specifically spending. Using similar design themes of the green-yellow-red, already present in CARL•Connect, an easy to read colored pie graph quickly shows the user that they’ve spent 60% of their monies in a particular fund.

While in the Reports area, additional report widgets will be available for the My Dashboard. As we are already collecting the data within the CARL Database, we can easily begin leveraging it for display and reporting in CARL•Connect.
CARL•Connect Permissions and Setting

With recent releases, TLC offered new granular security settings for staff access to functionality in CARL•Connect Staff. To that end, we’ve created new Security entries for CARL•Connect Staff within CARL•X Administration.

When a user attempts to access a function they do not have permission to access, they will be alerted with messaging within CARL•Connect Staff. Security Settings also apply when users attempt to access a bookmarked link directly. With this development, there has been some reconfiguring of the URLs utilized within CARL•Connect, so any bookmarks in place should be updated.

Self Check•Connect
TLC also launched Self Check•Connect in 2017 with the Metropolitan Nashville School Libraries. It is the first self check system designed specifically for your library’s youngest users. Integrated into CARL•Connect product line, children and students aged K-12 will enjoy a playful, independent interface for checking out library materials, with options to override a check out limit, if an item has recently been returned.

Self Check•Connect provides a simple, secure staff login to set-up preferences and allow library staff to put a workstation into Self Check mode, utilizing touch screen or traditional interfaces.
Once in Self Check mode, young users can check out library materials, utilizing an interface that provides consistent visual and audio feedback throughout the check out process. Self Check•Connect also provides easy to follow error and time out messaging. Timeouts associated with Self Check•Connect are configurable on a Library Institution basis and can be put in place by TLC staff at this time.
For public libraries interested in using Self Check•Connect in your children or young adult library spaces, or on tablets in conjunction with programming, we recommend setting your browser to run this application in Kiosk mode.
Online Selection & Acquisitions

TLC offers our web-based Online Selection Assistant to libraries using CARL, Library-Solution, and many other ILS systems. This service provides support for selection, ordering and receiving, as well as integration with your catalog to determine if titles are already owned by your library, and with many vendor providers toward determining inventory and pricing, calculating costs based on your library’s standard discount.

The Library Corporation’s Online Selection & Acquisitions interface is a time-saving solution that offers one-stop shopping for public, school, academic, and special libraries. OSA is a direct portal to the databases of leading vendors including Baker & Taylor, Brodart, BWI, Ingram, Midwest Tape, and Perma-Bound, thereby eliminating the hassle of visiting individual vendor sites to order books, CDs, DVDs, and audiobooks for your library’s collection. OSA is updated weekly with the latest in-demand titles from the New York Times Bestseller List and independent booksellers, and also includes prestigious works honored with Hugo Awards, Nebula Awards, World Fantasy Awards, and Kate Greenaway Medals. Each title is accompanied by enrichment elements such as chapter excerpts, summaries, and reviews. You can search OSA’s Z39.50-accessible databases to make selections, then share your lists with other staff members in your library.

With our future CARL•Connect Collections development, which will include Cataloging, Serials and Acquisitions features, TLC will embark on new development to provide enhanced options for purchasing, managing and renewing electronic resources. We are anticipating that the MVP version of this feature will be issued to our libraries in 2019.

We have been focusing our development on the continued growth of CARL•Connect web-based clients, moving our development beyond use with mobile services and solutions and further into offering a full replacement for the windows-based clients in use by staff.

SYSTEM ADMINISTRATION

The CARL•X Administration Client is a comprehensive ILS management software interface offering a user-friendly, graphical, intuitive interface for library staff workflow and policy settings, custom receipts, notice templates, utilities and server monitoring.

The CARL•X Administration Client also offers an industry leading reporting framework allowing users to create custom reports on the fly.

Circulation policies, fines rates, default information and parameter settings for CARL•X are fully configurable by the library, and allows for granular control over policies. This allows libraries to create, maintain and modify their configuration and Circulation policies as the needs of the library change without having to rely on vendor assistance, though we are happy to help you.

Access to Administrative functions like flag settings, parameter options, code creation and calendar modification are controlled through Security in the CARL•X Administration Client. Security can be set for No access, View Only access, Modification or Delete access to specific areas of the Administration Client. Staff must enter a valid User ID and Password to access the client.

Access to all functionality within the CARL clients is security driven. Security access is controlled through the CARL•X Administration Client, and is applied to a specific user, or to groups of users, for easy maintenance. User permissions are provided through the CARL•X Administrative Client. Access to the administrative function can be restricted through the application permissions. Permissions can be assigned by user or by group of users or by combination of the two. CARL also supports Active Directory integration for user authentication into our client application.

Additionally, some features in CARL•X allow for Security Override access. This allows a user with security permissions higher than the user who is logged in to authorize an activity. Security Override permits the activity to occur without requiring a user to log out of the clients. Batch editing of privileges can be performed via the Groups profile functions.
Application-level security is supported via the CARL•X Administration Client's Security Manager. The Security Manager allows your library to control the access to various features and functions of the CARL•X clients. Groups and Individual user accounts can be created with varying permissions. This allows library administrators to only allow staff to have access to features that they are trained and permitted to use.

There are two types of profiles that can be created in the Security Manager: Groups and Users. User profiles may be created for an individual user of CARL products. You can customize the exact settings for this individual as well as the databases to which they may have access. Groups can be created with a default set of permissions. Several individual users may then be assigned to the group giving them the same preset default values. You may adjust security settings for individuals even if they are assigned to a group. The Group allows you to start with a default group of settings.

When creating users, administrators can set a password or a temporary password. Temporary passwords require the user to change their password on a library-determined schedule. User Passwords (including temporary passwords) are encrypted in the database, and cannot be retrieved in readable format. Administrative staff with security permissions can reset forgotten passwords.

Selected features have a Security Override option so that users with permission can allow a specific action by entering their user name and password (for example, waiving fines and overriding blocks). Field Level Security is available to control access to data modification. Full audit logging tracks all user activities. The main Administrative window, which appears after a successful logon, can be configured at each workstation to default to certain workflow settings.

CARL•X is a true “Open System” that has open architecture with direct access to the power of the Oracle database via our Ad-hoc reporting, without the need to ‘harvest’ data. CARL•X Report options allow your library to easily access multiple facets of available data, including the ability to combine patron, circulation, acquisitions, and cataloging to create both robust and statistically useful reports outputs. Our software and integration options are built with precautions to ensure accuracy, integrity, and timeliness of data. With the power and flexibility of a relational database, like Oracle, and the availability of many third party reporting tools that connect to Oracle, you can create any report that your library may need.

We provide access to Ad Hoc views within the database, connecting through any third party reporting tool. Our libraries regularly make use of Excel, SQL Developer, Crystal Reports and Toad. Additionally, we provide a data dictionary that is updated with every release to support knowledge and use of the ILS database tables.
The CARL•X system supports secure protocols via network encryption, database encryption options, and data storage. Our data retention, disclosure, and administration capabilities provide flexibility to the library to determine how to manage patron-based information in support of FIPPA and MFIPPA as well as Library-designated privacy policies.

**Americans with Disability Act (ADA) Compliance.**

As shared in earlier responses, CARL•X offers a powerful, elegant, and intuitive, integrated library system that is designed and developed in partnership with some of the largest libraries in the world. This UNIX® and SQL/Oracle®-based open-system solution enables libraries to better serve their communities while freeing staff from routine functions.

We can offer our CARL•Connect and CARL•Connect Discovery interfaces in any language desired, including those using Roman and non-Roman character sets. Machine translations can be provided, as default text for any language that the library desires to implement. Libraries have the option to adjust the default text as they feel appropriate. Beyond English, our customers currently offer CARL•Connect Discovery into Spanish, Polish, Chinese, Korean, Japanese, Vietnamese, Russian, Maori, and Armenian. The library can modify language files to include other options. There are no additional fees or software incurred in this process.
We are also very familiar with both the WCAG 2.0 and 508 guidelines and our web-development follows these standards. Additionally, we test our product with Zoom Text ADA Software. In addition to having voice navigation/searching as a beta option, CARL•Connect Discovery provides a consistent, predictable, and uniform user interface that is W3C compliant and is accessible with all popular browsers, including Internet Explorer, Firefox, Chrome, and Safari.

In CARL•X Windows client we offer short-cut keys, discussed below and integration with Windows sounds for alerts and increases to window text/sizing.

INTERFACES

As we work with some of the busiest and largest public libraries, this market has shown us time and again they prefer choice and desire an ILS vendor that is flexible to integrate with the Third Party vendors they select. In response, CARL truly is an open system. We offer extensive integration options that embrace mature industry standards, such as SIP, NCIP, Z39.50, EDIFACT, etc., and our best-in-business APIs to provide our customers and their selected Third Parties an optimal integration experience.

Our successful partnerships and implementations include (but are not limited to) the following: [List of Vendors].

We offer a robust Third Party Certification process, which allows us to partner with a variety of Third Party vendors and ensure integration meets all of the library’s service needs. TLC takes the time to complete certification and commits to continued support for any Third Party vendor interacting with the CARL system. We provide any new Third Party with a sandbox for testing, test data set-up, supporting documentation, and direct contact with the Subject Matter Expert using a Basecamp Forum for project communications.

Our library partners benefit from pre-testing activities between their chosen vendors and TLC, and also enjoy the benefits of the relationships and trust that we build during these processes. Additionally, while the SIP2 standard has been around for a while, TLC continues to assess use and updates needed for this technology, and provides enhanced feature sets that extends the communications between the ILS and the Library’s Third Parties.

TLC also maintains a longstanding and active membership on the NISO NCIP, SIP2 and (new) API Standards Committee.
A library may choose to incorporate any of the third party products for which CARL-Connect Discovery has established integration – more of which are being added all the time.

Currently, CARL-Connect Discovery interfaces with third parties using various integration methods, including:

- OverDrive E-Books
- Axis360 E-Books
- NoveList OPAC integration
- LibraryThing OPAC integration
- GoodReads (via your NoveList subscription)
- Ebsco Databases
- Encyclopedia Britannica
- Gale Databases
- LibraryH3lp Chat
- ContentDM
- OCLC’s WorldCat
- StackMap
- Syndetics
- Syndetics Unbound
- Wowbrary
- Newsfeeds from:
  - CNN
  - NY Times
  - BBC
  - Google News
  - E.Vanced Solutions Events
  - Other, local, indexed news organization and/or databases

Integration can be turned on library-by-library, using CARL-Connect Discovery configurations options.

### 2.3 IMPLEMENTATION SPECIFICATIONS

Provider will be responsible for the following as part of the implementation of Provider’s proposed ILS solution:

TLC meets all the criteria outlined for implementation and training in full. As Broward County Libraries Division's incumbent ILS/NGS vendor, there is no implementation required to utilize the CARL-X System, aside from a migration to a hosted facility.

**Project Management**

TLC realizes that a strong implementation partner is key to a successful migration. To this end, TLC provides all of the required resources needed to guide the Library during the implementation and to perform the migration activities. We provide a dedicated Project Manager to oversee the process, work with the Library to ensure you understand what is needed and when, and meet with stakeholders regularly to provide status and feedback on the migration process. We also have the data migration resources to take your data and massage it as needed to meet both your requirements as well as our own.

**Support Team**

Your TLC support team consists of the following extremely qualified individuals:

**John Burns** – Vice President of Sales. John Burns joined TLC in October 2000 as a Sales Development Specialist and was quickly promoted to Automation Consultant. He successfully developed underperforming markets early in his career and later was instrumental in validating business concepts leading to the recent success of both CARL-X and Library-Solution. Mr. Burns has a Bachelor of Science in Economics degree from West Virginia University, where he minored in Communications.
Don West – CARL•X Automation Consultant. Don West joined TLC in 2015 and is responsible for driving revenue growth and market position in the Southern and Midwest Regions. Prior to joining TLC, Mr. West served in senior sales and sales management positions within the data and software automation industry. He has an extensive background working closely with libraries to help them achieve their automation objectives by creating a positive patron experience and enhancing staff efficiencies. Mr. West lives in Atlanta, Georgia and holds a B.A. in Journalism from the University of Georgia.

Paul Leppert – Vice President, Managing Director, Denver Operations. Before accepting his current position, Paul Leppert served as Executive Project Manager for the implementation of CARL•X at Chicago Public Library. Before overseeing the Chicago Public Library project, Mr. Leppert was the Director of Technology Operations at Deloitte & Touche Tax Technologies where he implemented a hosted tax software solution for his customers. Mr. Leppert has also served as a consultant for Deloitte Consulting and Technology Solutions Company (TSC) in Chicago where he led many software development, software implementation, and technology strategy projects.

Lorrie Ann Butler – Director of Product Strategy and Customer Relations. Prior to this position, Ms. Butler served as the Information Systems Project Manager for the Contra Costa County Library, in Pleasant Hill, CA. and as the Data Training Coordinator, and held various other positions, for the Denver Public Library, in Denver, CO. In her 25 years of service to libraries, she has provided leadership of many initiatives for innovative and new services through the integration of technology, change management and project management and strategic planning activities. She also advocated and been responsible for educating staff and customers in the area of information technology. In 2002, Lorrie Ann Butler was selected as one of America’s first “Movers & Shakers” by Library Journal. She has subsequently been chosen to participate in the Urban Library Council’s Executive Leadership (ELI4) Program and remains an active member of her local library community, the American Library Association, and the Public Library Association.

Other TLC Product Experts that may be assigned to your implementation project include:

Sean McClay, PMP – CARL Implementation Project Manager
Ebony Pacheco-Hoos, CSPO – CARL Cataloging, Circulation, and CARL Administration
Cindy Phillips, MLIS, CSPO – CARL Discovery and Online Services
Marisa Wood, MLIS, CSPO – CARL Third Party Integration Manager
Claire Yoshida, MLIS – CARL Authority Control and Database

(1) Prior to implementation, review and analyze Broward County’s plans for automated systems and services.

For our Hosted solution, the majority of the tasks are performed by TLC (with Library input) to setup the new environment and migrate your existing configuration to the Hosted solution. Because we would be moving your existing configuration from On-premise to Hosted, the Library doesn’t need to go through the process of bringing your ILS vendor up to speed with your existing policies, practices, and configuration settings. We can migrate your existing settings without changes. However, we will include an opportunity to review those settings, if desired.

As your incumbent vendor, the cutover to the new Hosted solution is also simplified. We will perform test cutovers to ensure the process is working and for the Library to confirm the data and configuration has been migrated successfully. When the final migration is performed, we can cut over to the new system in 1 day, minimizing migration downtime while allowing staff to continue to utilize the system they are familiar with and without any special “processing requirements” during the migration.

The Library will have a dedicated project manager for any implementation needs. Additionally, TLC's Customer Relations Director is available to meet with your ILS administrator and library stakeholders and can assist customers with questions and escalations of emergency tickets, provide support and planning for your library’s ILS technology activities and projects and ensure that the customer’s ‘voice’ is brought into the TLC product development priorities and reviewed by company strategists.
(2) Planning for conversion of and loading of County’s database of machine-readable records.

As Broward is an existing CARL•X customer with servers On-Premise at the county, migration to our Hosted solution will consist of restoring a backup of the ILS data to the Hosted environment. No data conversion is necessary.

(3) The designation of a specific Provider’s employee to serve as the Provider’s Project Manager for implementation of the ILS. Said Project Manager shall be responsible for phone conferences with County staff, and as many on-site visits to County as deemed necessary by County.

As a current customer, we do not anticipate that any visits would be necessary. We will assign a project manager to your migration to hosted. We are open to conversations about any specific needs that warrant a visit, and would continue to meet monthly as shared above.

(4) A written Project Plan and schedule for installation, data migration, and testing and cut over of the ILS.

As Broward County Libraries Division's incumbent ILS/NGS vendor, there is no implementation required to utilize the CARL•X System, aside from a migration to a hosted facility.

TRAINING

The successful Provider should provide training services for staff and the general public at the six (6) levels listed below, for which full descriptions are requested. The provider will provide all training manuals, courseware, and the training database. Provider should provide all training materials in an electronic format prior to the training sessions. Training shall be in a “Train-the-Trainer” format. The provider will provide an ample number of sessions to train staff according to Appendix 2. Training will be available on-site, off-site, or online for the duration of the contract. Any on-site or off-site training shall be approved in advance by County as to date, time, and location.

As Broward County Libraries has been utilizing TLC’s CARL•X system since 2010, your staff is very familiar with the application and therefore, no additional training is necessary. This eliminates another cost component, but also means the elimination of the training time and effort required by the Library staff to learn a new system.

SYSTEM INSTALLATION

For replacement hardware, we would be installing the Talking Tech i-Tiva server on-premise (replacing the existing, older one). Otherwise, the ILS servers will be in the cloud.

MIGRATION

As an existing customer, Broward County Library will not be required to go through data migration and implementation to a new ILS.

As I noted above, traditional ILS A to ILS b "extraction, conversion, preparation and loading" is not necessary. We’ll take an Oracle backup of your on-premise data and restore it in the Hosted facility, greatly simplifying the migration.
This will save months of work and cost to the Library’s staff, which could be better utilized serving your patrons or providing new services.

Merging and duplication of Bibliographic Records Merge identical bibliographic records into one. If two (2) or more bibliographic records are identical and have associated items, provider shall merge all of the bibliographic records into one, and all of the items from each record should be merged into the resulting single record.

While we would not be completing a traditional migration, we would be happy to discuss this as a separate for pay project.

PROVISION OF SMART BARCODE LABELS

We offer barcode printing on built-in receipts and spine label options.

ACCEPTANCE PROCEDURES

The provider’s ILS should pass the following tests, as determined in County’s sole discretion, prior to achieving Final Acceptance.

TLC is extremely conscientious of meeting project timelines. That said, as Broward County Library’s incumbent ILS vendor, there is no implementation required to utilize the CARL•X System, aside from migration to a hosted facility.

2.4 SYSTEM AVAILABILITY, MAINTENANCE AND SUPPORT

In addition to any performance tests outlined in this scope of services, the provider’s ILS should adhere to the Service Level Agreement (SLA) attached to the solicitation. Further, provider should provide County information on the following as it becomes available to provider:

1. Frequency of software updates and new software releases (e.g., patches and major revision levels) for the solution;

   Product upgrades are included as part of the annual maintenance fees. We generally provide four major releases of CARL•X annually. When the software is released, your Site Manager will communicate the availability and ask you to schedule the release into your test environment. TLC will then implement the update into your environment on the date specified. Enhancement requests can be submitted by ticket, email, during regular monthly calls and through the ticketing prioritization process. Additionally, pre, post and mid-development demonstration and discussions are hosted between TLC and our beta partners and users.

   2. Description of periods of scheduled maintenance and system availability during such scheduled maintenance periods;

   We schedule maintenance with our Libraries twice a year (more frequently as needed based on software changes) to implement these updates. We utilize a secure VPN connection between our site and the servers’ location solution so that Library staff are not required to support the maintenance. Downtime for the entire maintenance cycle is generally less than 8 hours (and usually closer to 4), depending on the updates needed.

   We typically complete this maintenance in February and August of each year. TLC reminds customers of upcoming events and works with the library’s IT team to schedule maintenance at a time of their choosing and convenience.
3 Procedures to resolve critical system issues;

TLC’s CARL•X solution is focused on high availability to keep the system running even in the event of most failures. We can provide redundant server solutions that can keep the system running even if the event of a complete server failure.

Our solution is built upon a highly available infrastructure that starts with a rock-solid database platform in the Oracle Enterprise Edition Database. This database system is utilized by some of the largest and most critical systems in the world and it allows for 24x365 operation.

Additionally, our recommended server hardware includes redundant components (mirrored disk drives, multiple network interfaces, multiple power supplies, etc.) so that in the event of a single hardware failure, the system can remain functional. These are enterprise-class servers that will even report a pending failure before the hardware component actually becomes nonfunctional. And with four hour hardware response, we can frequently get these components replaced before they even fail.

The CARL•X application is built to be highly available. The servers consist of multiple processes that support the functionality and we configure the system to have many of these processes available at any time. If a process fails for some reason, the application reroutes the functionality to a working process, generally without the user even noticing. Failed processes are also automatically restarted so the system is not only highly available, but self-healing.

All of the above factors result in a system that achieves extremely high uptimes. However, should a significant failure (or multiple failures) occur, general response is four hours or less to replace or repair the hardware and get the system running again. Due to the robustness of the Oracle database server, even if the server were unplugged, the system would automatically come back up when power was restored.

Since the redundant hardware includes the disk drives, even if a single disk failed, no data would be lost. If multiple disks failed, they would need to include the primary and its corresponding mirror (e.g., if two primary disks failed, no data would be lost as the mirrors would continue to support the database). Additionally, the database data is stored on one set of disks and the latest backup of the database stored on another. In the unlikely event that the database needs to be restored, for the volume of data utilized by Broward, the restore process would take approximately 12 hours.

However, due to the configuration of the system, TLC has never needed to restore a customer’s CARL•X database.

4 Policy and Product Road Map regarding future enhancements and upgrades;

In addition to opportunities for communication and active customer participation groups, TLC actively engages with its library customers to prioritize CARL•X development resources and schedule customer’s requested modifications, regardless of whether the modification is considered a bug (code not working as designed) or an enhancement (code working as designed, but not meeting the user’s needs).

Our customers are market makers who are constantly looking for ways to provide new and enhanced services to their community and involving them and you in our Partnership Programs results in a better product. At TLC, we pride ourselves on the development partnership business model that we have had in place for many years with our customers. Whether completing development to correct a bug or offer an enhancement, our CARL•X customers enjoy the benefits of this partnership program, which allows for:

- The ability to have library-specific features included in future releases at no additional charge.
- Early visibility to the development of new features to provide feedback and comments to influence the direction while the features are still in development.
- Focus Groups and Strategic Discussions surrounding future development, for partnership planning beyond the 12-month roadmap.

- Early access to new features through our Beta Partner program. This is a benefit for any development partner. We solicit Beta Partners for new major functionality, which allows the library to be even more involved in the development process and act as an early adopter of the new functionality.

- Access to our Development Sandbox, which allows customers who are developing integrated solutions using CARL•X APIs to develop and test against a running CARL•X system at TLC without impacting their own production and test systems.

We successfully engage our users with ongoing, interactive discussions on how to promote and deliver better library service to patrons. We develop new components according to the library’s requirements as identified during planning sessions. In addition, we offer mid-development demonstrations to our full user group to get feedback on what features should be customizable by each library site, and at what level.

Our product development has been 100% driven by user needs. We reserve 20% of our development roadmap for ‘just in time’ development opportunities that allow us to complete enhancements and/or special projects for customers who have a service goal, where the CARL•X software can assist.

Customers may request an “Enhancement” to the CARL software by opening a ticket within our online support center and ticketing system. Requests are reviewed by the Site Manager, Product Owner and Director of Product Strategy. Once a decision is reached or an enhancement is planned for a product, the Site Manager will notify the requesting library and the original ticket is updated.

TLC does not charge any additional fees or require funding from our Libraries for their enhancement requests, in most cases. Enhancements accepted for development are generally completed within a single development cycle (dependent upon scope of the enhancement) which is three months from start to release to customers.

We take full responsibility for testing our releases. We will coordinate with you to schedule and install each release in the training/testing environment for your own testing. When you are ready to deploy the release into production, again, we will schedule and install the release.

We also provide our Libraries early visibility into the development of new features, so they can provide feedback and comments that may influence the direction of the enhancement while it is still in development. TLC offers our product development roadmap and timelines at each annual TLC User’s Conference as well as various opportunities throughout the year.

5 Anticipated life cycle of the software being proposed;

Broward County Library does not have to worry about purchasing technology that will become outdated and unsupported. All system updates/software enhancements for the first year are included in the initial cost of the software. As part of the annual maintenance fees, TLC provides upgrades and patches to all licensed users at no additional charge.

TLC releases new versions of software on a regular basis. We provide upgrades to the software approximately every 3 months, or 3-4 times a year. TLC continues to support all versions of CARL•X for at least a year and will announce and end-of-life / end-of-support changes well in advance.

Additionally, the CARL•X database is monitored and configured accordingly to expand and meet the changing needs of your library system. TLC has no perceived or anticipated limitations and/or constraints on future expansion of the database.

6 Availability of tiered support options to handle potential escalations;
Customer Support
Living up to our reputation for offering high-quality and gold status treatment for all of our customers, the TLC help desk staff are available and ready to assist you from 6:00 a.m. to 6:00 p.m. U.S. Mountain Standard/Daylight Time, Monday through Friday. All support calls are personally answered (no voice recordings) via toll-free telephone lines, and libraries have the option to email or chat with our representatives. After-hours support, holiday emergency support, and upgrade support are available 24 hours a day, 7 days a week at no additional charge.

TLC also offers an online support center for our customers. This web-based tool provides a direct interface between customers and TLC’s Support Staff. Access is available 24/7. Customers may log in to report an issue or to review the status of any previous or existing issues. Each time an issue is updated by TLC staff, you are automatically notified of the updated status via email.

Questions are prioritized based on the severity of the issue. We prioritize tickets based on impact to the customer (not impact to all customers). If it is critical to you, it is critical to us. We staff our support center with librarians as they are uniquely qualified to understand an issue from your point of view. So, you don't have to explain to them why an issue is important as you frequently do with support centers staffed with “generalist” support analysts.

Critical issues that affect your ability to deliver services to your patrons or staff receive the highest priority and attention. The system is designed to ensure that issues are constantly tracked until resolution. The system automatically reviews outstanding issues and escalates them to the attention of senior management if they are not resolved promptly. Each issue in the system remains an “open” ticket until the Library is fully satisfied and closes the ticket.

We respond to emergency trouble tickets within 15 minutes and resolve within 4 hours during normal business hours, after hours, and holidays. For non-emergency tickets, response time is within 24 hours and resolution within 4 days.

TLC’s customer service is unmatched in the industry. Your library will benefit from an outstanding level of service. Our team members are ready to assist your library during implementation and beyond.

County anticipates the need for up to one-hundred-sixty (160) hours per year of on-demand services subsequent to the implementation of the solution in the following areas: Project Manager; Business Analyst; Integration Developer; Report Developer; Database Developer; and QA Tester. As the County cannot anticipate the precise distribution of hours for these skills, the Provider should provide an hourly rate per resource for these types of services.

Project Manager - $200 per hour (remote)
Business Analyst - $138 per hour (remote) or $200 per hour (onsite)
Integration Developer - $200 per hour (remote)
Report Developer - $200 per hour (remote)
Database Developer - $200 per hour (remote)
QA Tester - $200 per hour (remote)

Specific on-demand services can be quoted and additional discounts apply for bundled / bulk pricing.
Functionality Checklist for Next Generation Integrated Library System (NGS/ILS)

In the Functionality Checklist for NGS/ILS that follows, please indicate a Yes or No answer to each question posed of your NGS/ILS.

<table>
<thead>
<tr>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

**Applications Software**

### 1.1 Bibliographic Database System

- **1.1.01** Can it process input from multiple workstations, apply appropriate record locking to insure data integrity? [X]
  - Can it apply appropriate record locking at the record level to insure data integrity? [X]
  - Does record locking prevent a single user from locking up multiple workstations? [X]
  - Under any circumstance can a single user lock up multiple workstations? [X]
- **1.1.02** Does it use an open relational database that is ANSI SQL compliant? [X]
- **1.1.03** Does the Database System provide ODBC connectivity? [X]
- **1.1.04** Can it export any record or portion of a record to ASCII format? [X]
- **1.1.05** Can it export any record or portion of a record in MARC format? [X]
- **1.1.06** Can it export any report or portion of a report in .CSV format? [X]
- **1.1.07** Can it export reports to HTML? [X]
- **1.1.08** Can it export statistics as bar graphs? [X]
- **1.1.09** Can it export reports to Excel? [X]
- **1.1.10** Can it export data at any level to Excel? [X]
- **1.1.11** Does it use SOAP [X]
- **1.1.12** Does it use REST [X]
- **1.1.13** Does the system support hypertext (URL) coding within records? [X]
- **1.1.14** Will the system use security protocols for staff? [X]
- **1.1.15** May we have three bibliographic databases (production, training, test) for the price of the production database? [X]
- **1.1.16** May we copy the contents of the production database nightly or periodically to a training database? [X]
- **1.1.17** May we copy the contents of the production database nightly or periodically to a test database? [X]
<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.18 Can transactions be undone?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.1.19 Can you provide a complete listing of your database tables,</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>including a data dictionary that shows indexes and relationships</td>
<td></td>
<td></td>
</tr>
<tr>
<td>between the tables?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.20 Will the bibliographic database and its operational software</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>(Cataloging, Circulation, Serials etc.) function under the following</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operating Systems?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Windows 7</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Windows 10</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Unix/Linux</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mac/OS</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Android(Mobile)</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>iOS(Mobile)</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.1.21 Will web based software modules (Cataloging, Administration,</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Circulation etc.) operate under the following browsers?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edge</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Internet Explorer 11</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Safari</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Chrome</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

**Additional Comments:**

1.1.04 and 1.1.10 - TLC cannot export authority or bibliographic records in any format other than MARC.

1.1.15 - TLC offers both a Production and Test database. The Test database would, under normal circumstances, provide a suitable training environment with the CARL • X ILS. A third database can be made available for an additional charge.

1.1.16 - TLC completes an annual refresh as part of your standard maintenance. We can offer quarterly refreshes for an additional charge.

<table>
<thead>
<tr>
<th>1.2 Cataloging (w/Authority Control)</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2.1 Will the ILS incorporate MARC21 validation tables?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.2 Will the ILS provide macros for repetitive data entry tasks?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.3 Will the ILS offer batch editing or deleting capabilities for</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>bibliographic records?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.4 Will the ILS offer batch editing or deleting capabilities for item</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>records?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.5 Is there a way to schedule batch deletion of items?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.6 Is there a way to schedule batch deletion of bibliographic records</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.7 Will the ILS offer batch loading or MARC export capabilities?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.8 Will the ILS detect corrupted headings?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.9</td>
<td>Will the ILS incorporate FRBR?</td>
<td>X</td>
</tr>
<tr>
<td>-------</td>
<td>-------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>1.2.10</td>
<td>Will the ILS incorporate RDA?</td>
<td>X</td>
</tr>
<tr>
<td>1.2.11</td>
<td>Can bibliographic records with holdings within a group of libraries be identified?</td>
<td>X</td>
</tr>
<tr>
<td>1.2.12</td>
<td>Can bibliographic records with a specific MARC and no holdings within a group of libraries be identified?</td>
<td>X</td>
</tr>
<tr>
<td>1.2.13</td>
<td>When importing MARC records can the following actions be performed automatically</td>
<td>X</td>
</tr>
<tr>
<td>• Move a tag to a different tag</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>• Remove defined tags</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.14</td>
<td>Merge bibliographic records, retaining selected information from both records</td>
<td>X</td>
</tr>
</tbody>
</table>

### Acquisitions (w/ Fund Accounting)

<table>
<thead>
<tr>
<th>1.3.1</th>
<th>Will full electronic invoicing, including automatic generation of vendor invoices in the ILS database, be available?</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.3.2</td>
<td>Will the ILS support the ability to set up automatic patron notification when an on-order title is cancelled?</td>
<td>X</td>
</tr>
<tr>
<td>1.3.3</td>
<td>Can Purchase Orders (POs) be created in acquisitions and then deleted at the end of the year or when complete?</td>
<td>X</td>
</tr>
<tr>
<td>1.3.4</td>
<td>Can invoices be downloaded into the ILS from multiple book vendors?</td>
<td>X</td>
</tr>
<tr>
<td>1.3.5</td>
<td>When a PO is created, will the cost be subtracted from the budget immediately?</td>
<td>X</td>
</tr>
<tr>
<td>1.3.6</td>
<td>Can custom reports be created and output as pdfs?</td>
<td>X</td>
</tr>
<tr>
<td>1.3.7</td>
<td>Are purchase requests and desiderata attached to funds?</td>
<td>X</td>
</tr>
<tr>
<td>• Is it necessary to set up fund balances for them?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>• Is data entry for items restricted by fund amounts?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>• Is there an override function for restrictions?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.3.8</td>
<td>Can a running total reflect what is ordered and compare it to what is received?</td>
<td>X</td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td></td>
</tr>
<tr>
<td>Are total amounts encumbered shown?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Are total amounts expended shown?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Are total free balances shown?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Are standing orders processed differently than single vendor orders?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Can standing orders be carried forward to a new fiscal year?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Can purchase requests and desiderata be created in selections/acquisitions modules(s) and then deleted at the end of the year or when complete?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Will the ILS support the ability to set up automatic OPAC notification when an on-order title is cancelled?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Can the price be edited when items are received and automatically update the purchase request?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Will a cancelled item be deleted from the module?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Can worksips be electronically accessed throughout the processing workflow?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>And edited at each step?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Print only?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Both print and electronic options?</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

### Serials Control

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will the system perform automatic generation of prediction patterns?</td>
<td>No</td>
</tr>
<tr>
<td>Will the ILS support the ability to save patterns as templates for future use?</td>
<td>No</td>
</tr>
<tr>
<td>Can special issues be received easily?</td>
<td>No</td>
</tr>
<tr>
<td>Display notes in public catalog</td>
<td>No</td>
</tr>
</tbody>
</table>

### OPAC

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the ILS provide for live links to websites and e-books (e.g., for NetLibrary, OverDrive) in the staff PAC module as well as the OPAC?</td>
<td>No</td>
</tr>
<tr>
<td>Does the ILS allow patrons to create multiple named lists which are stored and retrieved through patron’s account?</td>
<td>No</td>
</tr>
<tr>
<td>1.5.3</td>
<td>Does the ILS allow patrons to suspend holds in patron account?</td>
</tr>
<tr>
<td>1.5.4</td>
<td>Does the ILS have the ability to display customized messages for patrons?</td>
</tr>
<tr>
<td>1.5.5</td>
<td>Does the ILS have the ability to suggest spelling alternatives, i.e. “Did you mean?”</td>
</tr>
<tr>
<td>1.5.6</td>
<td>Is there a similar look and feel to OPAC and Staff interface?</td>
</tr>
<tr>
<td>1.5.7</td>
<td>Does the ILS have the ability to return from detail screen to result list screen without returning to the first entry?</td>
</tr>
<tr>
<td>1.5.8</td>
<td>Does the OPAC respond to browser functions?</td>
</tr>
<tr>
<td>1.5.9</td>
<td>Will the OPAC allow the use of the Back button?</td>
</tr>
<tr>
<td>1.5.10</td>
<td>Does the ILS allow patrons to change their PIN?</td>
</tr>
<tr>
<td>1.5.10.1</td>
<td>Are the use of PINs an Individual Library option?</td>
</tr>
<tr>
<td>1.5.11</td>
<td>Does the ILS allow for patron tagging?</td>
</tr>
<tr>
<td>1.5.12</td>
<td>Will the tagging affect the authority index?</td>
</tr>
<tr>
<td>1.5.13</td>
<td>Can you create dynamic lists of holdings (i.e. New DVDs, New Books)</td>
</tr>
<tr>
<td>1.5.14</td>
<td>Can a user send SMS text-messages containing item information from within the OPAC?</td>
</tr>
<tr>
<td>1.5.15</td>
<td>Can the OPAC display multimedia files?</td>
</tr>
<tr>
<td>1.5.16</td>
<td>Can text be resized via options presented to the user in the OPAC (without using browser specific commands)?</td>
</tr>
<tr>
<td>1.5.17</td>
<td>Will changes made to item records display in the OPAC immediately?</td>
</tr>
<tr>
<td>1.5.18</td>
<td>Can the OPAC provide item maps that show locations of wanted items by displaying a map showing their physical locations on library floor plans?</td>
</tr>
<tr>
<td>1.5.19</td>
<td>Is the first ISBN of the title always used to select the image?</td>
</tr>
<tr>
<td>1.5.20</td>
<td>Does your OPAC incorporate socialization features?</td>
</tr>
<tr>
<td>1.5.20.1</td>
<td>Tagging</td>
</tr>
<tr>
<td>Question</td>
<td>Yes</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>-----</td>
</tr>
<tr>
<td>List Sharing</td>
<td>X</td>
</tr>
<tr>
<td>User Reviews</td>
<td>X</td>
</tr>
<tr>
<td>User Comments</td>
<td>X</td>
</tr>
<tr>
<td>RSS result feeds</td>
<td>X</td>
</tr>
<tr>
<td>RSS indexing from social Web sites</td>
<td>X</td>
</tr>
<tr>
<td>Other: specify</td>
<td>X</td>
</tr>
<tr>
<td>Does your OPAC incorporate faceted searching?</td>
<td>X</td>
</tr>
<tr>
<td>Display search results with selected home branch first in display.</td>
<td>X</td>
</tr>
<tr>
<td>Ability to display bibliographic records in MARC format?</td>
<td>X</td>
</tr>
<tr>
<td>Ability to display any data element from an item record in OPAC?</td>
<td>X</td>
</tr>
<tr>
<td>1.6 Portal Module</td>
<td></td>
</tr>
<tr>
<td>Can System Administrator do the following:</td>
<td></td>
</tr>
<tr>
<td>Alter HTML/XHTML?</td>
<td>X</td>
</tr>
<tr>
<td>Alter the look of the portal via an Administrative interface?</td>
<td>X</td>
</tr>
<tr>
<td>Create different looks/options for different libraries on a single server?</td>
<td>X</td>
</tr>
<tr>
<td>Will you support the changes and versions created by the local System Administrator?</td>
<td>X</td>
</tr>
<tr>
<td>Can user log-in and authentication be set up for this module?</td>
<td>X</td>
</tr>
<tr>
<td>Can log-in be made non-case-sensitive?</td>
<td>X</td>
</tr>
<tr>
<td>Can your ILS portal be totally customized by each Library in Broward County?</td>
<td>X</td>
</tr>
<tr>
<td>Does your ILS portal allow links to LibraryThing?</td>
<td>X</td>
</tr>
<tr>
<td>Does your ILS allow patron reviews to be linked to bib records?</td>
<td>X</td>
</tr>
<tr>
<td>Does your ILS notify patrons about items placed ‘on order’ status that they have requested via the ILS online portal?</td>
<td>X</td>
</tr>
<tr>
<td>Does your ILS allow patrons to re-set their passwords?</td>
<td>X</td>
</tr>
</tbody>
</table>
### 1.7 Circulation System

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.7.1 Does your ILS have email pre-notification of items due to patrons?</td>
<td>Yes</td>
</tr>
<tr>
<td>• Can this run automatically as a scheduled process?</td>
<td>No</td>
</tr>
<tr>
<td>1.7.2 Are patrons able to update information in their patron records online?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.3 Can email notices be deliverable to mobile devices?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.4 Can notices be deliverable to phones?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.5 Is it possible to pay fees online?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.6 Can the system email patrons their PINs?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.7 Is there a “Books by Mail” module?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.8 Is there a patron self-checkout capability?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.9 Can patrons request renewals online?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.10 Does the system have an offline circulation backup function?</td>
<td>Yes</td>
</tr>
<tr>
<td>• Is this suited for bookmobile or outreach circulations?</td>
<td>No</td>
</tr>
<tr>
<td>1.7.11 Is there a status tab showing location due?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.12 Are keyboard shortcuts available when searching?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.13 Does it display who has an item, owes for it, had it, or wants it?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.14 Does it have the ability to display bibliographic records in MARC format?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.15 Does it provide transaction history of items and patrons (e.g., fines, charges, holds)</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.16 Does it allow for negotiation of selected fines (manual, system generated, lost, …)</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.17 Can patrons be registered by batch loading from an input file?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.7.18 Can patrons be deleted in batch?</td>
<td>Yes</td>
</tr>
</tbody>
</table>

### 1.8 Stock Rotation Module/Capability

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.8.1 Do routes include a defined time before moving to next location?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.8.2 Can items checked out automatically go to next location at check in?</td>
<td>Yes</td>
</tr>
<tr>
<td>1.8.3 Is action required of staff at the end of the rotation defined?</td>
<td>Yes</td>
</tr>
</tbody>
</table>

### 1.9 Course Reserve Module

<table>
<thead>
<tr>
<th>Section Name</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Reserve Module</td>
<td>NOT REQUIRED BY Broward County</td>
</tr>
<tr>
<td>Section</td>
<td>Question</td>
</tr>
<tr>
<td>---------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1.10</td>
<td>Do you have such a module?</td>
</tr>
<tr>
<td>1.11</td>
<td>Can inventory be performed online?</td>
</tr>
<tr>
<td></td>
<td>Can inventory be performed with mobile devices?</td>
</tr>
<tr>
<td></td>
<td>Can selected sections of the collection be inventoried without having to inventory the entire collection?</td>
</tr>
<tr>
<td></td>
<td>Does inventorying the collection, or a portion of the collection, change the status date of an item?</td>
</tr>
<tr>
<td>1.12</td>
<td>Will the patron be able to fill out ILL forms and submit them through the ILS?</td>
</tr>
<tr>
<td></td>
<td>Can the ILS system handle fast adds of materials not in the system?</td>
</tr>
<tr>
<td></td>
<td>Can ILL staff delete fast adds easily?</td>
</tr>
<tr>
<td></td>
<td>Is there a patron interface for ILL?</td>
</tr>
<tr>
<td></td>
<td>Can patrons track their ILL status online?</td>
</tr>
<tr>
<td></td>
<td>Can patrons submit requests online?</td>
</tr>
<tr>
<td></td>
<td>Are there fast-add templates?</td>
</tr>
<tr>
<td></td>
<td>Does the ILL Module support a free form “Lending” notes field?</td>
</tr>
<tr>
<td></td>
<td>Does the ILL Module interface with the ILS patron database?</td>
</tr>
<tr>
<td></td>
<td>Does the ILL Module have a built-in checkout / check-in mechanism?</td>
</tr>
<tr>
<td></td>
<td>Does the ILL Module auto-catalog borrowed materials?</td>
</tr>
<tr>
<td></td>
<td>Does the ILL Module auto-search ISBN or OCLC numbers for borrowing requests?</td>
</tr>
<tr>
<td></td>
<td>Does the ILL Module auto-generate OCLC Workforms for auto-searched borrowing requests?</td>
</tr>
<tr>
<td></td>
<td>Is the ILL Module a web-based interface?</td>
</tr>
<tr>
<td>Q.No.</td>
<td>Question</td>
</tr>
<tr>
<td>------</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1.12.15</td>
<td>Is it a Windows based interface?</td>
</tr>
<tr>
<td>1.12.16</td>
<td>Does the module support a completely “paper free” work environment?</td>
</tr>
<tr>
<td>1.12.17</td>
<td>Does ILL check-in automatically delete a “fast add” bib record?</td>
</tr>
<tr>
<td>1.12.18</td>
<td>Is the system an intermediary between OCLC Resource Sharing and the Library?</td>
</tr>
<tr>
<td>1.12.19</td>
<td>Does the system support expanded notes fields?</td>
</tr>
<tr>
<td>1.12.20</td>
<td>Does the system support a free form “Borrowing” notes field?</td>
</tr>
<tr>
<td>1.13</td>
<td>Z39.50 Server</td>
</tr>
<tr>
<td>1.13.1</td>
<td>Does the ILS support the Z39.50 Server Bath 2.0 Profile?</td>
</tr>
<tr>
<td>1.13.2</td>
<td>Does the ILS support the SRW/U (Search &amp; Retrieve Web Service / Search &amp; Retrieve URL Service) Web Service Standards?</td>
</tr>
<tr>
<td>1.14</td>
<td>Z39.50 Client module</td>
</tr>
<tr>
<td>1.14.1</td>
<td>Does the software support the Z39.50 Client Bath 2.0 Profile?</td>
</tr>
<tr>
<td>1.15</td>
<td>Management Information System/Report Generator</td>
</tr>
<tr>
<td>1.15.0</td>
<td>Fully developed capabilities to produce the Day One Reports described by Appendix 3 such that the Library can produce a sample of each during practice runs before Day One?</td>
</tr>
<tr>
<td>1.15.1</td>
<td>Does the software run scheduled reports?</td>
</tr>
<tr>
<td>1.15.2</td>
<td>Does the software provide pre-defined reports?</td>
</tr>
<tr>
<td>1.15.3</td>
<td>Are the reports provided in a choice of output formats (e.g., PDF, Excel, Text, HTML)?</td>
</tr>
<tr>
<td>1.15.4</td>
<td>Can the reports be customized at the SQL level?</td>
</tr>
<tr>
<td>1.15.5</td>
<td>May the reports be emailed or displayed on a Web Portal?</td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>1.15.6 Does the ILS have an easily usable system to report holds vs number of copies of materials?</td>
<td>X</td>
</tr>
<tr>
<td>1.15.7 May reports be run on the basis of items records?</td>
<td>X</td>
</tr>
<tr>
<td>1.15.8 May reports be run on the basis of bibliographic records?</td>
<td>X</td>
</tr>
<tr>
<td>1.15.9 May the reports be run on the basis of user data?</td>
<td>X</td>
</tr>
<tr>
<td>1.15.10 May reports be run on the basis of combining information from bibliographic records and item records?</td>
<td>X</td>
</tr>
<tr>
<td>1.15.11 Are customizable reports a standard component of system?</td>
<td>X</td>
</tr>
<tr>
<td>• Is there an additional charge for customizable reports?</td>
<td>X</td>
</tr>
<tr>
<td>1.16 Displays of content delivered by subscription services for enriched content</td>
<td></td>
</tr>
<tr>
<td>1.16.1 Is the first ISBN of the title always used to select the image?</td>
<td>X</td>
</tr>
<tr>
<td>1.16.2 Can a different ISBN be selected easily to determine which image will be used for the title?</td>
<td>X</td>
</tr>
<tr>
<td>1.17 Systems Administration</td>
<td></td>
</tr>
<tr>
<td>1.17.1 Can access rights be restricted to authorized staff?</td>
<td>X</td>
</tr>
<tr>
<td>1.17.2 Can rights to create and make changes to records and fields be restricted to authorized staff?</td>
<td>X</td>
</tr>
<tr>
<td>• To staff profiles/roles for categories of individuals?</td>
<td>X</td>
</tr>
<tr>
<td>• Is there an ability to track changes made by individuals?</td>
<td>X</td>
</tr>
<tr>
<td>1.17.3 Can the groups providing access rights be Microsoft Active Directory groups?</td>
<td>X</td>
</tr>
<tr>
<td>1.17.4 Can the system use LDAP authentication?</td>
<td>X</td>
</tr>
<tr>
<td>1.17.5 Does the ILS meet minimum Americans With Disabilities Act (ADA) requirements for users?</td>
<td>X</td>
</tr>
<tr>
<td>1.17.6 Is the data in the ILS (databases and files), and backups encrypted?</td>
<td>X</td>
</tr>
</tbody>
</table>
## Interfaces

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Does your ILS have APIs for interfaces?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>2.1.1 Do you provide training for APIs</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>2.1.2 Is there an interface for Communico for Libraries?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>2.1.3 Is there an interface to programs/activities at cultural events and museums?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>
# Industry Standards - NISO

<table>
<thead>
<tr>
<th>3.0</th>
<th>Industry Standards - NISO</th>
<th>Yes</th>
<th>No</th>
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</thead>
<tbody>
<tr>
<td>3.1.1</td>
<td>MARC21</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>3.1.3</td>
<td>ANSI/NISO Z39.56 The Serial Item and Contribution Identifier (SICI)</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>3.1.4</td>
<td>NISO/ISO Z39.63 Interlibrary Loan Data Elements</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>3.1.5</td>
<td>ANSI/NISO Z39.71-2006 Holdings Statements for Bibliographic Items</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>3.2.0</td>
<td>NISO RP-21-2013 Improving OpenURLs Through Analytics (IOTA): Recommendations for Link Resolver Providers</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>3.2.1</td>
<td>NISO Z39.100-201x Standard Interchange Protocol (SIP)</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

## Industry Standards – ISO

| 3.2.2 | ISO 10160, the Interlibrary Loan Application Service Definition |     | X  |
| 3.2.3 | ISO 10161 the interlibrary loan (ILL) application protocol |     | X  |
| 3.2.4 | ISO 15511:2011 specifies the International Standard identifier for libraries and related organizations (ISIL) |     | X  |
| 3.2.5 | ISO 27729 International Standard Name Identifier |     | X  |
In the Functionality Checklist for NGS/ILS that follows, please indicate a Yes or No answer to each question posed of your NGS/ILS

<table>
<thead>
<tr>
<th>Other standards and protocols</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2.6 COUNTER</td>
<td>X</td>
</tr>
<tr>
<td>3.2.7 EAD</td>
<td>X</td>
</tr>
<tr>
<td>3.2.8 EDIFACT</td>
<td>X</td>
</tr>
<tr>
<td>3.2.9 ERMI</td>
<td>X</td>
</tr>
<tr>
<td>3.3.0 OASIS</td>
<td>X</td>
</tr>
<tr>
<td>3.3.1 ONIX</td>
<td>X</td>
</tr>
<tr>
<td>3.3.2 OSI Reference model</td>
<td>X</td>
</tr>
<tr>
<td>3.3.3 SSL</td>
<td>X</td>
</tr>
<tr>
<td>3.3.4 SRU</td>
<td>X</td>
</tr>
<tr>
<td>3.3.5 SOAP</td>
<td>X</td>
</tr>
<tr>
<td>3.3.6 TEI</td>
<td>X</td>
</tr>
<tr>
<td>3.3.7 Unicode</td>
<td>X</td>
</tr>
<tr>
<td>3.3.8 MARC-8</td>
<td>X</td>
</tr>
<tr>
<td>3.3.9 UTF-8</td>
<td>X</td>
</tr>
</tbody>
</table>
Functionality Checklist for Discovery Services (DS)

TLC’s full suite of API’s is included in the core software suite. TLC does not charge extra for API access or for development completed by the library. Our APIs are not just a “module” the vendor hands over to their customers, but also something that is actively used by the ILS and can, therefore, guarantee an ongoing investment in the development, quality, and performance of those interfaces that you would want from your vendor. Additionally, as new versions of the ILS are released, the APIs are not only regression tested as a standalone utility but as part of the regression testing of the overall ILS.

**API Interface:** The CARL•X application utilizes SOAP interfaces for complex tasks and RESTful interfaces for resource access. The SOAP interface provides the ability to expose complex system tasks that one cannot do with REST. The availability of web API’s expands the library’s options to integrate, extend, analyze, modify, and open your library data to meet your needs. TLC is using the same web APIs for developing our CARL•Connect web clients, further enhancing and strengthening our web API offerings by maintaining one interface for use by our customers and by our own developers.

**API Dependability:** There is nothing worse than a set of API’s that no longer function correctly (or the same) as the underlying ILS functionality. We wanted our Web APIs to be not only used by Third Party developers, but also used by the ILS created by TLC. This philosophy means that the APIs are not just a “module” that the vendor hands over to their customers, but are also something that is actively used by the ILS and can therefore guarantee TLC’s investment, and the quality and performance of those interfaces, that you would want from your vendor.

Additionally, as new versions of the ILS are released, the APIs are not only regression tested as a standalone utility, but as part of the regression testing of the overall ILS. By designing our APIs in the way that we have, we can ensure you are using the very same APIs that we are using.

**API Documentation:** Many of our customers utilize third party developers and these third party developers don’t necessarily share information in the same way as our libraries. Therefore, we ensure that our API documentation is comprehensive and easy to follow and includes sample requests and responses.

Additionally, we provide our customers with tools such as a Data Dictionary, along with open access to all relevant database views and web APIs to allow the library to effectively grant or deny access to bibliographic, patron, and transactional data, as well as analyze and update data, as it deems appropriate.

The current suite of CARL•X Web APIs includes the following (with additional services being added based on feedback from our libraries and 3rd party development partners):

**Catalog Services** – Catalog APIs offer access to the catalog and search functionality, utilizing various search types, with the ability to add modifiers, to retrieve basic bibliographic, item, subscription, and issue information, as well as offering access to relevant system information that informs search limiting and modification, including policies and operations. These allow third parties to retrieve holdings updates to information based on changes you have made, versus a general export of data. We also offer our MARCout API that reads bibliographic and item data from a CARL•X database and outputs a file of MARC records.
CARL•X also offers multiple options to provide bibliographic, authority, holdings (item), and transactional (e.g. holds and circulation) data to external Third Parties for collection analysis and/or authority data authorization services such as collectionHQ or LT:One. Cataloging APIs also extend access to Global MARC Update functionality.

**Patron Services** – A full suite of patron APIs that allows libraries to create, edit and retrieve patron functions, and includes options for online borrower registration, merge patrons and retrieval of account information, including access to patron transactions, reading/checkout history, if maintained by the library’s ILS policy settings. This suite of APIs also allows for the retrieval and updates to patron information such as address, phone number, PIN, notification preferences, language, etc., and generation of an authentication key for single-sign-on support.

**Circulation Services** – These APIs offers options for checkout, return, hold placement, hold cancellation, changes to and suspending of holds and fine/fee payments. E-book API’s for OverDrive and Axis 360 also offer integration for checkout, holds, availability and account updating.

**Data Synchronization** – Data synchronization APIs extend access to information that has changed in the database and the ability to harvest/request bibliographic and items information for updates to a discovery layer or other locally developed search and discovery interface.

**Administration Services** – Available calls include authentication for extending secure access to staff-side services, as well as receipt customization and generation.

All CARL APIs are in production use at TLC libraries, either through their custom development, third-party integration or as part of a TLC product (CARL•Connect, CARL•Connect Discovery, Baker & Taylor’s Custom BTweb, and in CARL•X).

Please see details about our offerings in the OPAC section of our discovery features.
In the checklist that follows, please indicate a Yes or No answer to each question posed of your Discovery Service (DS).

<table>
<thead>
<tr>
<th>(1)</th>
<th>(2)</th>
<th>(3)</th>
<th>(4)</th>
<th>(5)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Features and Functions</strong></td>
<td><strong>Date</strong></td>
<td><strong>Installed in a Library</strong></td>
<td><strong>Comments</strong></td>
<td></td>
</tr>
<tr>
<td>1. Is there a single search box for your service?</td>
<td></td>
<td>YES</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>1.1 Can it be embedded in any Web page?</td>
<td>Available</td>
<td>X</td>
<td>TLC can also provide sample code for implementing this feature locally.</td>
<td></td>
</tr>
<tr>
<td>2. Does your service perform searches:</td>
<td></td>
<td>YES</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>2.1 Against an aggregated physical index of harvested metadata?</td>
<td>Available</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 With federated searching capabilities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.1 With Z39.50 connectors?</td>
<td>Available</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.2 With custom-built connectors?</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.3 With other types of connectors?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3 With semantic searching capabilities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Are metadata harvested and aggregated into a physical index?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Could there be more than one aggregated physical index for services to Broward County?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Could metadata be harvested from Broward County’s Next-Generation Integrated Library System (NGS) service for your DS for Broward County?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Would these metadata be added to the physical</td>
<td>Available</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
In the checklist that follows, please indicate a Yes or No answer to each question posed of your Discovery Service (DS).

<table>
<thead>
<tr>
<th>Features and Functions</th>
<th>Date Available</th>
<th>Installed in a Library</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>index?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. Could metadata be harvested from open content web sites designated by Broward County for your DS for Broward County?
   5.1 Could these metadata be added to the physical index?

6. Could metadata be harvested from each subscription database (see Table 2.2-3)?
   6.1 Would these metadata be added to the physical index?

7. Could metadata be harvested from Broward County’s on-premise CONTENTdm server?
   7.1 Could these metadata be added to the physical index?

8. Would the following e-resources be searched for Broward County by searches of an **aggregated physical index**:
   8.1 Broward County’s Next-Generation Integrated Library System (NGS) service? X
   8.2 Broward County’s subscription databases (see Table 2.2-3)?
   8.3 Open content web sites designated by Broward X
In the checklist that follows, please indicate a Yes or No answer to each question posed of your Discovery Service (DS).

<table>
<thead>
<tr>
<th>Features and Functions</th>
<th>Date Available</th>
<th>Installed in a Library</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>County for your DS for Broward County?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information from other Broward County local systems or databases?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

| Would the following e-resources be searched for Broward County by federated searches:   |                |                        |          |
| 9.1 Broward County’s Next-Generation Integrated Library System (NGS) service?         |                | X                      |          |
| 9.2 Broward County’s subscription databases (see Table 2.2-3)?                        |                |                        |          |
| 9.3 Open content web sites designated by Broward County for your DS for Broward County? |                | X                      |          |
| 9.4 Information from other Broward County local systems or databases?                 |                | X                      |          |

Does your service provide for user accounts and profiles?

| 10.1 Are these stored in your system?                                                   |                |                        |          |
| 10.2 Are these accessed in the Library’s ILS?                                            |                |                        |          |
| 10.3 Can your service provide an alert service to users for new content for which metadata are harvested? |                | X                      |          |
In the checklist that follows, please indicate a Yes or No answer to each question posed of your Discovery Service (DS).

<table>
<thead>
<tr>
<th>Features and Functions</th>
<th>Date</th>
<th>Installed in a Library</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is authentication required?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.1 Is there automatic authentication by IP address?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>11.2 Is there authentication by user log-in?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Is an A to Z list provided?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Do or can search results include:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.1 Relevance ranking?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.2 Facets?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.3 URL linking?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.4 Enriched catalog data?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.5 Social networking information?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.6 Delivery of full content of discovered resources?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.7 “Do you mean?” hints</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.8 Do you have an autocorrect feature?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>13.9 User option to pay-for-download of proprietary content to which user is not authenticated for access?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Does your service interoperate or interface with e-commerce payment services?</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Are there interfaces to mobile devices?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
In the checklist that follows, please indicate a Yes or No answer to each question posed of your Discovery Service (DS).

<table>
<thead>
<tr>
<th>Features and Functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
</tr>
<tr>
<td>Available</td>
</tr>
</tbody>
</table>

16. Are the interfaces ADA-compliant? X

17. Does your service interoperate or interface with other search engines?
   17.1 Google? X
   17.2 Google Scholar? X
   17.3 Google Earth? X
   17.4 Yahoo? X
   17.5 Bing? X
   17.6 Wolfram Alpha? X
   17.7 (Other)?
   17.8 (Other)?
   17.9 (Other)?

18. Does your service search open content, e-book, and social networking sites?
   18.1 Project Gutenberg X
   18.2 Google Books X
   18.3 Google eBooks X
   18.4 Amazon X
   18.5 Baker & Taylor’s Blio X
   18.6 Barnes & Noble NOOKbook Store X
   18.7 Overdrive’s Digital Library Reserve
In the checklist that follows, please indicate a Yes or No answer to each question posed of your Discovery Service (DS).

<table>
<thead>
<tr>
<th>Features and Functions</th>
<th>Date Available</th>
<th>Installed in a Library</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>18.8 Facebook</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.9 Twitter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.10 YouTube</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.11 MySpace</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.12 Pinterest</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.13 Hathi Trust</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.14 Google+</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.15 Internet Archive</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.16 The Huntington Archive of Buddhist and Asian Art</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.17 Chronicling America, Historical American Newspapers</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

19. Does your service allow for customizations?
   19.1 For search results?                                    X
   19.2 For look and feel?                                     X

20. Does your service have skins?                             X

21. Does your service provide usage reports?
Appendices & Attachments

Re: RFP-RLI-RFQ Subcontractors-Subconsultants-Suppliers Requirement Form

The Library Corporation (TLC) has submitted the Application for Evaluation of Good Faith Effort in regards to the Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS) for the Broward County Public Library.

Both County Business Enterprise (CBE) firms and Disadvantaged Business Enterprise (DBE) firms were researched to determine if the CBE Goal Participation for this RFP could be met. After extensive research on the web site provided within the RFP and several calls, we found it difficult to find a hardware provider or software provider that could assist in fulfilling this requirement.

We reviewed the different sections (Hardware, Software, Implementation Services, Training and Maintenance) that make up our quote and determined that it will be difficult to meet the CBE Goal Participation objective of 10%. Several factors make up this determination:

- Regarding the Hardware portion, Broward County Public Library is an existing customer that will be migrating, if they chose to remain a TLC customer, from a Hosted On-Premise solution to a Hosted SaaS solution. The servers/hardware that they are currently utilizing will not be needed since they will be migrating to a cloud based solution that other CARLX customers already utilize. No CBE or DBE firm could be used since we are currently under contract with another Hosting provider.

- Regarding the Software portion, Broward County Public Library will be utilizing the same CARLX Software that they utilize today. Since no new software development or software installation is needed, no CBE or DBE firm would be needed to fulfill this requirement.

- Regarding Implementation Services, Broward County Public Library will not be incurring a significant migration charge. If they decide to stay a TLC customer, they will remain on the same CARLX Integrated Library System (ILS). No CBE or DBE firm would be needed to help fulfill the migration process.

- Regarding Training, Broward County Public Library will not incur any training cost since they will utilize the same core CARLX software that they currently use. No CBE or DBE firm will be required.
As mentioned, we did speak to several CBE firms in Broward County to see how we could work together to help fulfill the CBE Goal Participation objective. It was difficult to determine how we could work together based on the services that they provide and what could be outsourced to a third party.

These calls included the following firms:

Coastal Computer Systems Inc.
3015 N. Ocean Blvd. Suite 109
Fort Lauderdale, FL 33308
954-491-9779

CTI Computer Training Institute
600 Sw 4th Ave.
Fort Lauderdale, FL 33315-1012
954-761-8282

Miranda IT Solutions, LLC
No address provided
954-448-6862

We believe that the above explanation and our efforts are sufficient enough to prove that we tried in good faith to fulfill the CBE Goal Participation objective. If you’re not in agreement, please contact us with suggestions. We are open to discuss how we might be able to achieve the stated objective.
Enterprise Technology Services
Vendor Security Questionnaire (VSQ)

The Vendor Security Questionnaire's (VSQ) purpose is to assess the Vendor's security policies and/or system protocol and to identify any security vulnerabilities. Each responding vendor will be required to complete and submit the VSQ (for applicable solution – services, hardware, and/or software). If not included with the proposal submittal at the time of the solicitation opening deadline, the proposing vendor will be required to complete and submit the VSQ within three business days of County's request.

If a response requires additional information, the Vendor should attach a written detailed response; each response should be numbered to match the question number. The County will review Vendor's VSQ response and any security concerns will be addressed during Evaluation Committee Meetings or negotiations. At the sole discretion of the County, unresolved security concerns shall also be evaluated in making a determination of responsibility or may lead to impasse during negotiations.

The questionnaire is divided into the following areas: Section 1: Software-as-a-Service/Hosted/Cloud Services; Section 2: Managed/Professional Services; Section 3: Hardware; and Section 4: Software. Each section(s) should be completed as applicable to the vendor's proposed product and/or service. If applicable, failure to complete the questionnaire may deem a vendor non-responsible. The questionnaire should be submitted with your proposal. Vendor should immediately inform the assigned Purchasing Agent of any changes in vendor's responses after submittal.

SECTION 1: SOFTWARE-AS-A-SERVICE / HOSTED / CLOUD SERVICES

COMPLETE THIS SECTION OF THE QUESTIONNAIRE.

Vendor Name: CARL Corporation
Technical Contact Name / Email: Paul Leppert / pleppert@tlcdelivers.com
Product Name / Description: CARL•X SaaS Library Automation System

For each applicable section, complete the matrix by placing an "X" in the applicable YES/NO column for each Description. Use "Comments" section to provide as much explanation as possible to clearly support your response. Additional pages may be attached to provide further detail, but any attachments should be referenced in "Comments" section. If not applicable, mark "N/A" in "Comments" section.

<table>
<thead>
<tr>
<th>No.</th>
<th>Area</th>
<th>Description</th>
<th>Yes</th>
<th>No</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Applicability (Required Response):</td>
<td>REQUIRED RESPONSE: Does your response involve providing SOFTWARE-AS-A-SERVICE, HOSTED, OR CLOUD SERVICES? If YES, indicate response and complete Section 1. If No, indicate NO and skip Section 1.</td>
<td>X</td>
<td></td>
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<tr>
<td></td>
<td>Supporting Documentation</td>
<td>Please provide the following:</td>
<td></td>
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<tr>
<td>1</td>
<td>a) Workflow diagram of stored or transmitted information</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
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<tr>
<td>2</td>
<td>b) Security / Network Architecture diagram</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
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<tr>
<td>3</td>
<td>Audit Reporting Requirements</td>
<td>Does your organization have a current Service Organization Controls (SOC) II, Type II report, inclusive of all five Trust Service Principles (Security, Availability, Processing Integrity, Confidentiality, and Privacy)?</td>
<td>X</td>
<td></td>
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<tr>
<td>4</td>
<td></td>
<td>Does your organization have a current Payment Card Industry (PCI) Attestation of Compliance (AOC)? Applicable only if accepting payment cards.</td>
<td>X</td>
<td></td>
<td>Not Applicable</td>
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<tr>
<td></td>
<td><strong>Electronic Protected Health Information (ePHI)</strong> - Applicable only if Vendor has access to or will be hosting or storing County ePHI.</td>
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<tr>
<td>5</td>
<td>Has the Vendor had a Risk Assessment performed in the past 5 years by an external auditor in conjunction with the HIPAA Security Rule?</td>
<td>Not Applicable</td>
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<tr>
<td>6</td>
<td>Does the Vendor maintain current HIPAA specific policies and procedures in conjunction with the HIPAA Security Rule?</td>
<td>Not Applicable</td>
<td></td>
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<tr>
<td>7</td>
<td>Does your organization have a designated HIPAA Security and Privacy Officer(s)?</td>
<td>Not Applicable</td>
<td></td>
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<tr>
<td>8</td>
<td>Do you provide HIPAA Security training to your employees at time of hire and at least annually thereafter?</td>
<td>Not Applicable</td>
<td></td>
<td></td>
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<tr>
<td>9</td>
<td><strong>Roles &amp; Responsibilities</strong></td>
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<tr>
<td>10</td>
<td>Has your organization appointed a central point of contact for security coordination?</td>
<td>X</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>11</td>
<td>What is the expected timeframe to respond to initial contact for security related issues?</td>
<td>15 Minutes</td>
<td></td>
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</tr>
<tr>
<td>12</td>
<td>Does your company define the priority level of an issue (e.g., minor vs. major, 0-4 scale, etc.)? Please describe.</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Does your company have an expected Service Level Agreement (SLA) to implement changes needed to fix security issues according to priority level? Please describe.</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
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</tr>
<tr>
<td>14</td>
<td><strong>Federated Identity Management and Web Services Integration</strong></td>
<td></td>
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<tr>
<td>15</td>
<td>Does your product have Single Sign-on (SSO) and Federated Identity Enablement integration options (e.g., support for standards like SAML v2 and OAuth 2.0, active directory, etc.). Please describe.</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>External Parties</td>
<td></td>
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<tr>
<td>17</td>
<td>Does your product use web services and/or data import/export functions? Please describe.</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Will third parties, such as IT service providers, have access to the County's stored or transmitted information?</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
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<tr>
<td>19</td>
<td>Are there contingencies where key third-party dependencies are concerned?</td>
<td>X</td>
<td></td>
<td></td>
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<tr>
<td>20</td>
<td>Is the company outsourcing any aspect of the service to a third party?</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Do you share customer data with, or enable direct access by, any third-party?</td>
<td>X</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>22</td>
<td>Information Security Policy &amp; Procedures</td>
<td></td>
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<tr>
<td>23</td>
<td>Do you have written, standard operation procedures for your security and compliance policies and procedures? If so, please provide copies of your IT Security Policies and Procedures for review (e.g., access, password, incident response, etc.) with this questionnaire.</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
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<tr>
<td>24</td>
<td>Risk Assessment</td>
<td></td>
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<tr>
<td>25</td>
<td>Do you have a process that addresses: (a) the identification and measurement of potential risks with mitigating controls (measures taken to reduce risk), and (b) the acceptance or transfer (e.g. insurance policies, warranties, etc.) of the remaining (residual) risk after mitigation steps have been applied?</td>
<td>X</td>
<td></td>
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<tr>
<td></td>
<td>Compliance with Legal Requirements - Identification of applicable legislation</td>
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<tr>
<td>24</td>
<td>Do you have a process to identify new laws and regulations with IT security implications? (e.g., FIPA, new state breach notification requirements, monitoring newsletters, webinars, security or regulatory forums, etc.)?</td>
<td></td>
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<tr>
<td>25</td>
<td>Has vendor experienced a legally reportable data breach within the past 7 years?</td>
<td>X</td>
<td></td>
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<tr>
<td>26</td>
<td>Do you have procedures for preservation of electronic records and audit logs in case of litigation hold?</td>
<td>X</td>
<td></td>
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<tr>
<td>27</td>
<td>In the event of a security incident, do you provide the consumer the ability to perform digital forensics?</td>
<td>X</td>
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<tr>
<td>28</td>
<td>During Employment – Training, Education &amp; Awareness</td>
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<tr>
<td>29</td>
<td>Have your employees received formal information security training (e.g., new employee orientation, annual training, posters in public areas, email reminders, etc.)?</td>
<td>X</td>
<td></td>
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<tr>
<td>30</td>
<td>Do you have procedures for preservation of electronic records and audit logs in case of litigation hold?</td>
<td>X</td>
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<tr>
<td>31</td>
<td>Background Checks</td>
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<tr>
<td>32</td>
<td>Does your organization perform background checks to examine and assess an employee’s or contractor’s work and criminal history? Identify the type of background check information and the agency performing background check (e.g., credential verification, criminal history, credit history, etc.).</td>
<td>X</td>
<td></td>
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<tr>
<td>33</td>
<td>Are individuals who would have access to the County’s data subjected to periodic follow-up background checks?</td>
<td>X</td>
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<tr>
<td>34</td>
<td>Prior to Employment - Terms and Conditions of Employment</td>
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<tr>
<td>35</td>
<td>Are your employees required to sign a non-disclosure agreement (e.g., non-disclosure and/or confidentiality form upon initial employment)?</td>
<td>X</td>
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<tr>
<td>36</td>
<td>If so, are employees required to sign the non-disclosure agreement annually?</td>
<td>X</td>
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<tr>
<td>37</td>
<td>Termination or Change in Employment</td>
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<tr>
<td>38</td>
<td>Does your firm require that all equipment of any terminated employee is returned and that his/her user ID is disabled in all systems and badges and/or keys are returned? Upon transfer, is employee's existing access reviewed for relevance?</td>
<td>X</td>
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<tr>
<td>39</td>
<td>Secure Areas</td>
<td></td>
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<tr>
<td>40</td>
<td>Do you have effective physical access controls (e.g., door locks, badge/electronic key ID and access controls) in place that prevent unauthorized access to facilities and a facility security plan?</td>
<td>X</td>
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<tr>
<td>41</td>
<td>Do you have a contingency plan in place to handle emergency access to facilities?</td>
<td>X</td>
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<tr>
<td>42</td>
<td>How are physical access controls authorized? Who is responsible for managing and ensuring that only appropriate persons have keys or codes to the facility and to locations within the facility with secure data?</td>
<td>X</td>
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<tr>
<td>43</td>
<td>Are there written procedures to document repairs and modifications to physical components of the facility that are related to security?</td>
<td>X</td>
<td></td>
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<tr>
<td>44</td>
<td>Are employees permitted access to customer environments from your physical locations only?</td>
<td>X</td>
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<tr>
<td></td>
<td>Application and Information Access Control - Sensitive System Isolation</td>
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<tr>
<td>41</td>
<td>Are systems and networks that host, process, and/or transfer sensitive information &quot;protected&quot; (i.e., isolated or separated) from other systems and/or networks? Provide supporting documentation.</td>
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<td>42</td>
<td>Are internal and external networks separated by firewalls with access policies and rules? Provide supporting documentation.</td>
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<tr>
<td>43</td>
<td>Is there a standard approach for protecting network devices to prevent unauthorized access/network related attacks and data-theft (e.g. firewall between public and private networks, internal VLAN, firewall separation, separate WLAN network, secure portal, multi-tenancy, virtualization, shared storage, etc.)?</td>
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<tr>
<td>44</td>
<td>Are employees allowed to connect to customer environments remotely (e.g., working from home, public wifi access)? Provide supporting documentation.</td>
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<tr>
<td>45</td>
<td>Is there a remote access policy? If so, please provide documentation.</td>
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<tr>
<td>46</td>
<td>Do you have protections in place for ensuring secure remote access (i.e., up-to-date antivirus, posture assessment, VPN enforcement, split tunneling, etc.)?</td>
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<tr>
<td>47</td>
<td>Will Vendor restrict inbound and outbound traffic to the County network to a &quot;deny all, permit by exception&quot; configuration?</td>
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<tr>
<td>48</td>
<td>Will County's data be co-mingled with any other Cloud customer?</td>
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<td>49</td>
<td>Will County's data be stored, accessed by, or transmitted through an off shore environment (Outside continental U.S, Alaska, Hawaii)?</td>
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<tr>
<td>50</td>
<td>Is or will County sensitive information be transferred to external third parties? If so, what controls are in place to protect sensitive information when transferred (e.g., encryption)?</td>
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<tr>
<td>51</td>
<td>Do you use a secure VPN connection with third parties and/or IT vendors for email encryption?</td>
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<tr>
<td>52</td>
<td>Does Vendor provide a means to encrypt data at rest (AES, etc.)?</td>
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<tr>
<td>53</td>
<td>Do you perform periodic vulnerability scans on your IT systems, networks, and supporting security systems? How often?</td>
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<tr>
<td>54</td>
<td>If no, do you provide proof of vulnerability scanning and penetration testing upon request?</td>
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<tr>
<td>55</td>
<td>Are internal or third party vulnerability assessments automated?</td>
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<tr>
<td>56</td>
<td>Do you have a security patch management cycle in place to address identified vulnerabilities?</td>
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<tr>
<td>57</td>
<td>Do you provide disclosure of vulnerabilities found in your environment and remediation timelines?</td>
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<tr>
<td>58</td>
<td>Do you notify customer of applicable patches?</td>
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<tr>
<td></td>
<td>Security Monitoring</td>
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<tr>
<td>59</td>
<td>Are third party connections to your network monitored and reviewed to confirm only authorized access and appropriate usage (i.e. with VPN logs, server event logs, system, application and data access logging, automated alerts, regular/periodic review of logs or reports, etc.)?</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
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<tr>
<td>60</td>
<td>Do you monitor your systems and networks for security events? If so, please describe this monitoring (e.g., are server and networking equipment logs, such as servers, routers, switches, wireless APs, monitored regularly, etc.)?</td>
<td>X</td>
<td></td>
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<tr>
<td>61</td>
<td>Does Vendor maintain a file integrity monitoring program to ensure critical file system changes are monitored and approved with respect to confidential County data?</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>62</td>
<td>Do you periodically review system activity (related to patient information systems)? If so, provide frequency.</td>
<td>Not Applicable</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>63</td>
<td>Identity &amp; Access Management</td>
<td>Do you have a formal access authorization process based on “least privilege” (i.e. employees are granted the least amount of access possible to perform their assigned duties) and “need to know” (i.e., access permissions granted based upon the legitimate business need of the user to access the information, role-based permissions, limited access based on specific responsibilities, network access request form, etc.)?</td>
<td>X</td>
<td></td>
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<tr>
<td>64</td>
<td>Are systems and applications configured to restrict access only to authorized individuals (e.g. use of unique IDs and passwords, minimum password length, password complexity, log-in history, lockout, password change, etc.)?</td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>65</td>
<td>Is there a list maintained of authorized users with general access and administrative access to operating systems (e.g., active directory user lists within a sensitive application, a spreadsheet of users, a human resources file, etc.)?</td>
<td>X</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>66</td>
<td>Does a list of &quot;accepted mobile devices&quot; (e.g., smart phones, cell phones, etc.) exist and are these devices asset tracked and managed (i.e., MDA)?</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>67</td>
<td>Are accepted mobile devices tested prior to production use?</td>
<td>X</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>68</td>
<td>Is a Data Loss Prevention (DLP) in place to prevent the unauthorized distribution of sensitive information?</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>69</td>
<td>Is software installation for desktops, laptops, and servers restricted to administrative users only?</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>70</td>
<td>Does your software or system have automatic logoff for inactivity?</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>71</td>
<td>Is access to source application code restricted? If so, how? Is a list of authorized users maintained and updated?</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>72</td>
<td>Are user IDs for your system uniquely identifiable?</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>73</td>
<td>Do you have any shared accounts?</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>74</td>
<td>Will Vendor activate remote access from vendors and business partners into the County network only when needed by vendors and partners, with immediate deactivation after use?</td>
<td>X</td>
<td>See Attachment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>75</td>
<td>Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?</td>
<td>X</td>
<td></td>
<td></td>
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<tr>
<td>76</td>
<td>Is Multi-Factor Authentication (MFA) required for employees/contractors to log in to production systems?</td>
<td>X</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td><strong>Entitlement Reviews</strong></td>
<td></td>
<td><strong>Antivirus</strong></td>
<td></td>
<td><strong>Network Defense and Host Intrusion Prevention Systems</strong></td>
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<tr>
<td>77</td>
<td>Do you have a process to review user accounts and related access (e.g., manual process of reviewing system accounts to user accounts in AD for both users and privileged access, such as admins, developers, etc.)?</td>
<td>X</td>
<td>Is antivirus software installed and running on your computers and supporting systems (e.g., desktops, servers, gateways, etc.)?</td>
<td>X</td>
<td>Do you have any host-based Intrusion Protection System (IPS) for systems that the County will use?</td>
</tr>
<tr>
<td>78</td>
<td></td>
<td></td>
<td>Is this antivirus product centrally managed (e.g., is the antivirus monitored to verify all endpoints have functional agents, agents are up to date with the latest signatures, etc.)? Please explain your policies and procedures for management of antivirus software.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>79</td>
<td></td>
<td></td>
<td>Do you have a process for detecting and reporting malicious software?</td>
<td>X</td>
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<td>80</td>
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<tr>
<td>81</td>
<td><strong>Network Defense and Host Intrusion Prevention Systems</strong></td>
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<tr>
<td>82</td>
<td></td>
<td></td>
<td>Does Vendor install personal firewall software is installed on any mobile or employee-owned device that manages the County’s PCI-DSS Cardholder Data Environment (“CDE”)?</td>
<td>Not Applicable</td>
<td></td>
</tr>
<tr>
<td>83</td>
<td><strong>Media Handling</strong></td>
<td></td>
<td>Do you have procedures to protect documents and computer media (e.g., tapes, disks, hard drives, etc.) from unauthorized disclosure, modification, removal, and destruction?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>84</td>
<td></td>
<td></td>
<td>Is sensitive data encrypted (e.g., data at rest) when stored on laptop, desktop, and server hard drives, flash drives, backup tapes, etc.?</td>
<td>X</td>
<td>See Attachment</td>
</tr>
<tr>
<td>85</td>
<td><strong>Secure Disposal</strong></td>
<td></td>
<td>Are there security procedures (e.g., use of secure wiping, NIST 800-88, etc.) for the decommissioning (replacement) of IT equipment and IT storage devices which contain or process sensitive information?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>86</td>
<td><strong>Segregation of Computing Environment</strong></td>
<td></td>
<td>Are development, test, and production environments separated from operational, IT environments to protect production (actively used) applications from inadvertent changes or disruption?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>87</td>
<td><strong>Segregation of Duties</strong></td>
<td></td>
<td>Are duties separated (e.g., front desk duties separated from accounting, data analysts access separated from IT support, etc.), where appropriate, to reduce the opportunity for unauthorized modification, unintentional modification, or misuse of your IT assets?</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>88</td>
<td><strong>Change Management</strong></td>
<td></td>
<td>Do formal testing and change management procedures exist for networks, systems, desktops, software releases, deployments, and software vulnerability during patching activities, changes to the system, changes to the workstations and servers with appropriate testing, notification, and approval, etc.?</td>
<td>X</td>
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<tr>
<td><strong>89</strong> Process &amp; Procedures</td>
<td>Do you identify, respond to, and mitigate suspected or known security incidents (e.g., is an incident form completed as a response to each incident, etc.)?</td>
<td></td>
<td>X</td>
<td></td>
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<tr>
<td><strong>90</strong></td>
<td>Do you have a formal incident response and data breach notification plan and team?</td>
<td></td>
<td>X</td>
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<tr>
<td><strong>91</strong></td>
<td>Is evidence properly collected and maintained during the investigation of a security incident (e.g., employing chain of custody and other computer forensic methodologies that are monitored by internal and/or external parties, etc.)?</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>92</strong></td>
<td>Are incidents identified, investigated, and reported according to applicable legal requirements?</td>
<td></td>
<td>X</td>
<td></td>
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<tr>
<td><strong>93</strong></td>
<td>Are incidents escalated and communicated (e.g., what is your documented process for escalation to management and outside authorities, etc.)?</td>
<td></td>
<td>X</td>
<td></td>
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<tr>
<td><strong>94</strong></td>
<td>Do you have a contingency plan in place to handle emergency access to the software?</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>95</strong> Disaster Recovery Plan &amp; Backups</td>
<td>Do you have a mechanism to back up critical IT systems and sensitive data (e.g., is data backed up nightly, weekly, quarterly, taken offsite, etc.)?</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>96</strong></td>
<td>Do you periodically test your backup/restoration plan by restoring from backup media?</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td><strong>97</strong></td>
<td>Does a disaster recovery plan exist for your organization?</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td><strong>98</strong></td>
<td>Are disaster recovery plans updated and tested at least annually?</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td><strong>99</strong></td>
<td>Do any single points of failure exist which would disrupt functionality of the product or service?</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>100</strong> Product Security Development Lifecycle</td>
<td>Do you have any product pre-release security threat modeling in place (e.g., secure coding practice, security architecture review, penetration testing, etc.)?</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>101</strong></td>
<td>Does Vendor maintain end-of-life schedule for the software product?</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td><strong>102</strong></td>
<td>Is the product engineered as a multi-tier architecture design?</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td><strong>103</strong></td>
<td>Is product or service within 3 year end of life?</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td><strong>104</strong> Crypto Materials and Key Management</td>
<td>Do you have a centralized key management program in place (e.g., any Public Key Infrastructure (PKI), Hardware Security Module (HSM)-based or not, etc.) to issue certificates needed for products and cloud service infrastructure?</td>
<td></td>
<td>X</td>
<td></td>
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</tbody>
</table>
**SECTION 2: MANAGED / PROFESSIONAL SERVICES**

*ALL VENDORS MUST COMPLETE THIS SECTION OF THE QUESTIONNAIRE.*

<table>
<thead>
<tr>
<th>No.</th>
<th>Area</th>
<th>Description</th>
<th>Vendor Response</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
</tr>
<tr>
<td>1</td>
<td>Applicability (Required Response):</td>
<td>REQUIRED RESPONSE: Does your response involve providing MANAGED AND/OR PROFESSIONAL SERVICES? If YES, indicate response and complete Section 2. If No, indicate NO and skip Section 2.</td>
<td>X</td>
</tr>
<tr>
<td>2</td>
<td>Audit Reporting Requirements</td>
<td>Does your organization have a current Service Organization Controls (SOC) II, Type II report, inclusive of all five Trust Service Principles (Security, Availability, Processing Integrity, Confidentiality, and Privacy?)</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Electronic Protected Health Information (ePHI) -</td>
<td>Has the Vendor had a Risk Assessment performed in the past 5 years by an external auditor in conjunction with the HIPAA Security rule?</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Applicable only if Vendor has access to or will be hosting or storing County ePHI.</td>
<td>Does the Vendor maintain current HIPAA specific policies and procedures in conjunction with the HIPAA Security Rule?</td>
<td></td>
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<td>5</td>
<td></td>
<td>Does your organization have a designated HIPAA Security and Privacy Officer(s)?</td>
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<tr>
<td>6</td>
<td></td>
<td>Do you provide HIPAA Security training to your employees at time of hire and at least annually thereafter?</td>
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<tr>
<td>7</td>
<td>Roles &amp; Responsibilities</td>
<td>Has your organization appointed a central point of contact for security coordination?</td>
<td></td>
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<td>8</td>
<td></td>
<td>What is the expected timeframe to respond to initial contact for security related issues?</td>
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<tr>
<td>9</td>
<td></td>
<td>Does your company define the priority level of an issue (e.g., minor vs. major, 0-4 scale, etc.)? Please describe.</td>
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<tr>
<td>10</td>
<td></td>
<td>Does your company have an expected Service Level Agreement (SLA) to implement changes needed to fix security issues according to priority level? Please describe.</td>
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<tr>
<td>11</td>
<td>External Parties</td>
<td>Does your product use web services and/or data import/export functions? Please describe.</td>
<td></td>
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<tr>
<td>12</td>
<td></td>
<td>Will third parties, such as IT service providers, have access to the County's stored or transmitted information?</td>
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<tr>
<td>13</td>
<td></td>
<td>Are there contingencies where key third-party dependencies are concerned?</td>
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<td>14</td>
<td></td>
<td>Is the company outsourcing any aspect of the service to a third party?</td>
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<tr>
<td>15</td>
<td></td>
<td>Do you share customer data with, or enable direct access by, any third-party?</td>
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<tr>
<td>16</td>
<td></td>
<td>Which processors (vendors) access your customer’s information?</td>
<td></td>
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<tr>
<td>17</td>
<td></td>
<td>Do these processors (vendors) contractually comply with your security standards for data processing?</td>
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<tr>
<td>18</td>
<td></td>
<td>How do you regularly audit your critical vendors?</td>
<td></td>
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<tr>
<td>19</td>
<td>Information Security Policy &amp; Procedures</td>
<td>Do you have written, standard operation procedures for your security and compliance policies and procedures? If so, please provide copies of your IT Security Policies and Procedures for review (e.g., access, password, incident response, etc.) with this questionnaire.</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>Risk Assessment</td>
<td>Do you have a process that addresses: (a) the identification and measurement of potential risks with mitigating controls (measures taken to reduce risk), and (b) the acceptance or transfer (e.g., insurance policies, warranties, etc.) of the remaining (residual) risk after mitigation steps have been applied?</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Compliance with Legal Requirements - Identification of applicable legislation</td>
<td>Do you have a process to identify new laws and regulations with IT security implications? (e.g., FIPA, new state breach notification requirements, monitoring newsletters, webinars, security or regulatory forums, etc.)?</td>
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<tr>
<td>22</td>
<td></td>
<td>Has vendor experienced a legally reportable data breach within the past 7 years?</td>
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<td>23</td>
<td></td>
<td>Do you have procedures for preservation of electronic records and audit logs in case of litigation hold?</td>
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<td>24</td>
<td></td>
<td>In the event of a security incident, do you provide the consumer the ability to perform digital forensics?</td>
<td></td>
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<tr>
<td>25</td>
<td>During Employment – Training, Education &amp; Awareness</td>
<td>Have your employees received formal information security training (e.g., new employee orientation, annual training, posters in public areas, email reminders, etc.)?</td>
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<td>26</td>
<td></td>
<td>Have your security policies and procedures been communicated to your employees?</td>
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<td>27</td>
<td></td>
<td>Are periodic security reminders provided to your employees?</td>
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<tr>
<td>28</td>
<td>Background Checks</td>
<td>Does your organization perform background checks to examine and assess an employee’s or contractor’s work and criminal history? Identify the type of background check information and the agency performing background check (e.g., credential verification, criminal history, credit history, etc.).</td>
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<tr>
<td>29</td>
<td></td>
<td>Are individuals who would have access to the County’s data subjected to periodic follow-up background checks?</td>
<td></td>
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<tr>
<td>30</td>
<td>Prior to Employment - Terms and Conditions of Employment</td>
<td>Are your employees required to sign a non-disclosure agreement (e.g., non-disclosure and/or confidentiality form upon initial employment)?</td>
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<td>31</td>
<td>If so, are employees required to sign the non-disclosure agreement annually?</td>
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<tr>
<td>32</td>
<td>Termination or Change in Employment</td>
<td>Does your firm require that all equipment of any terminated employee is returned and that his/her user ID is disabled in all systems and badges and/or keys are returned? Upon transfer, is employee's existing access reviewed for relevance?</td>
<td></td>
</tr>
<tr>
<td>33</td>
<td>Secure Areas</td>
<td>Do you have effective physical access controls (e.g., door locks, badge/electronic key ID and access controls) in place that prevent unauthorized access to facilities and a facility security plan?</td>
<td></td>
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<tr>
<td>34</td>
<td></td>
<td>Do you have a contingency plan in place to handle emergency access to facilities?</td>
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<tr>
<td>35</td>
<td></td>
<td>How are physical access controls authorized? Who is responsible for managing and ensuring that only appropriate persons have keys or codes to the facility and to locations within the facility with secure data?</td>
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<tr>
<td>36</td>
<td></td>
<td>Are there written policies and procedures to document repairs and modifications to physical components of the facility that are related to security?</td>
<td></td>
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<tr>
<td>37</td>
<td></td>
<td>Are employees permitted access to customer environments from your physical locations only?</td>
<td></td>
</tr>
<tr>
<td>38</td>
<td>Application and Information Access Control - Sensitive System Isolation</td>
<td>Are systems and networks that host, process, and/or transfer sensitive information &quot;protected&quot; (i.e., isolated or separated) from other systems and/or networks? Provide supporting documentation.</td>
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<tr>
<td>39</td>
<td></td>
<td>Are internal and external networks separated by firewalls with access policies and rules? Provide supporting documentation.</td>
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<td>40</td>
<td></td>
<td>Is there a standard approach for protecting network devices to prevent unauthorized access/network related attacks and data-theft (e.g. firewall between public and private networks, internal VLAN, firewall separation, separate WLAN network, secure portal, multi-tenancy, virtualization, shared storage, etc.)?</td>
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<tr>
<td>41</td>
<td></td>
<td>Are employees allowed to connect to customer environments remotely (e.g., working from home, public wifi access)?</td>
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<td>42</td>
<td></td>
<td>Is there a remote access policy? If so, please provide documentation.</td>
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<tr>
<td>43</td>
<td></td>
<td>Do you have protections in place for ensuring secure remote access (i.e., up-to-date antivirus, posture assessment, VPN enforcement, split tunneling, etc.)?</td>
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<tr>
<td>44</td>
<td></td>
<td>Will Vendor restrict inbound and outbound traffic to the County network to a &quot;deny all, permit by exception&quot; configuration?</td>
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<td>45</td>
<td></td>
<td>Will County's data be co-mingled with any other Cloud customer?</td>
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<tr>
<td>46</td>
<td></td>
<td>Will County's data be stored, accessed by, or transmitted through an off shore environment (Outside continental U.S., Alaska, Hawaii)?</td>
<td></td>
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<tr>
<td>47</td>
<td>Encryption</td>
<td>Is or will County sensitive information be transferred to external third parties? If so, what controls are in place to protect sensitive information when transferred (e.g., encryption)?</td>
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<tr>
<td></td>
<td>Question</td>
<td>Answer</td>
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<tr>
<td>48</td>
<td>Do you use a secure VPN connection with third parties and/or IT vendors for email encryption?</td>
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<td>49</td>
<td>Does Vendor provide a means to encrypt data at rest (AES, etc.)?</td>
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<tr>
<td></td>
<td>Vulnerability Assessment and Remediation</td>
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<td>50</td>
<td>Do you perform periodic vulnerability scans on your IT systems, networks, and supporting security systems? How often?</td>
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<td>51</td>
<td>If no, do you provide proof of vulnerability scanning and penetration testing upon request?</td>
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<tr>
<td>52</td>
<td>Are internal or third party vulnerability assessments automated?</td>
<td></td>
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<td>53</td>
<td>Do you have a security patch management cycle in place to address identified vulnerabilities?</td>
<td></td>
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<td>54</td>
<td>Do you provide disclosure of vulnerabilities found in your environment and remediation timelines?</td>
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<td>55</td>
<td>Do you notify customer of applicable patches?</td>
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<tr>
<th></th>
<th>Security Monitoring</th>
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<tbody>
<tr>
<td>56</td>
<td>Are third party connections to your network monitored and reviewed to confirm only authorized access and appropriate usage (i.e. with VPN logs, server event logs, system, application and data access logging, automated alerts, regular/periodic review of logs or reports, etc.)?</td>
<td></td>
</tr>
<tr>
<td>57</td>
<td>Do you monitor your systems and networks for security events? If so, please describe this monitoring (e.g., are server and networking equipment logs, such as servers, routers, switches, wireless APs, monitored regularly, etc.)?</td>
<td></td>
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<tr>
<td>58</td>
<td>Does Vendor maintain a file integrity monitoring program to ensure critical file system changes are monitored and approved with respect to confidential County data?</td>
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<tr>
<td>59</td>
<td>Do you periodically review system activity (related to patient information systems)? If so, provide frequency.</td>
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<tr>
<td></td>
<td>Identity &amp; Access Management</td>
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<tr>
<td>60</td>
<td>Do you have a formal access authorization process based on “least privilege” (i.e. employees are granted the least amount of access possible to perform their assigned duties) and “need to know” (i.e., access permissions granted based upon the legitimate business need of the user to access the information, role-based permissions, limited access based on specific responsibilities, network access request form, etc.)?</td>
<td></td>
</tr>
<tr>
<td>61</td>
<td>Are systems and applications configured to restrict access only to authorized individuals (e.g. use of unique IDs and passwords, minimum password length, password complexity, log-in history, lockout, password change, etc.)?</td>
<td></td>
</tr>
<tr>
<td>62</td>
<td>Is there a list maintained of authorized users with general access and administrative access to operating systems (e.g., active directory user lists within a sensitive application, a spreadsheet of users, a human resources file, etc.)?</td>
<td></td>
</tr>
<tr>
<td>63</td>
<td>Does a list of &quot;accepted mobile devices&quot; (e.g., smart phones, cell phones, etc.) exist and are these devices asset tracked and managed (i.e., MDA)?</td>
<td></td>
</tr>
<tr>
<td>64</td>
<td>Are accepted mobile devices tested prior to production use?</td>
<td></td>
</tr>
<tr>
<td>65</td>
<td>Is a Data Loss Prevention (DLP) in place to prevent the unauthorized distribution of sensitive information?</td>
<td></td>
</tr>
<tr>
<td>66</td>
<td>Is software installation for desktops, laptops, and servers restricted to administrative users only?</td>
<td></td>
</tr>
<tr>
<td>67</td>
<td>Does your software or system have automatic logoff for inactivity?</td>
<td></td>
</tr>
<tr>
<td>68</td>
<td>Is access to source application code restricted? If so, how? Is a list of authorized users maintained and updated?</td>
<td></td>
</tr>
<tr>
<td>69</td>
<td>Are user IDs for your system uniquely identifiable?</td>
<td></td>
</tr>
<tr>
<td>70</td>
<td>Do you have any shared accounts?</td>
<td></td>
</tr>
<tr>
<td>71</td>
<td>Will Vendor activate remote access from vendors and business partners into the County network only when needed by vendors and partners, with immediate deactivation after use?</td>
<td></td>
</tr>
<tr>
<td>72</td>
<td>Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?</td>
<td></td>
</tr>
<tr>
<td>73</td>
<td>Is Multi-Factor Authentication (MFA) required for employees/contractors to log in to production systems?</td>
<td></td>
</tr>
<tr>
<td>74</td>
<td>Entitlement Reviews</td>
<td></td>
</tr>
<tr>
<td>75</td>
<td>Do you have a process to review user accounts and related access (e.g., manual process of reviewing system accounts to user accounts in AD for both users and privileged access, such as admins, developers, etc.)?</td>
<td></td>
</tr>
<tr>
<td>76</td>
<td>Antivirus</td>
<td></td>
</tr>
<tr>
<td>77</td>
<td>Is antivirus software installed and running on your computers and supporting systems (e.g., desktops, servers, gateways, etc.)?</td>
<td></td>
</tr>
<tr>
<td>78</td>
<td>Is this antivirus product centrally managed (e.g., is the antivirus monitored to verify all endpoints have functional agents, agents are up to date with the latest signatures, etc.)? Please explain your policies and procedures for management of antivirus software.</td>
<td></td>
</tr>
<tr>
<td>79</td>
<td>Do you have a process for detecting and reporting malicious software?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Media Handling</td>
<td>Do you have procedures to protect documents and computer media (e.g., tapes, disks, hard drives, etc.) from unauthorized disclosure, modification, removal, and destruction?</td>
</tr>
<tr>
<td>---</td>
<td>----------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>79</td>
<td></td>
<td>Is sensitive data encrypted (e.g., data at rest) when stored on laptop, desktop, and server hard drives, flash drives, backup tapes, etc.?</td>
</tr>
<tr>
<td>80</td>
<td>Secure Disposal</td>
<td>Are there security procedures (e.g., use of secure wiping, NIST 800-88, etc.) for the decommissioning (replacement) of IT equipment and IT storage devices which contain or process sensitive information?</td>
</tr>
<tr>
<td>81</td>
<td>Segregation of Computing Environment</td>
<td>Are development, test, and production environments separated from operational, IT environments to protect production (actively used) applications from inadvertent changes or disruption?</td>
</tr>
<tr>
<td>82</td>
<td>Segregation of Duties</td>
<td>Are duties separated (e.g., front desk duties separated from accounting, data analysts access separated from IT support, etc.), where appropriate, to reduce the opportunity for unauthorized modification, unintentional modification, or misuse of your IT assets?</td>
</tr>
<tr>
<td>83</td>
<td>Process &amp; Procedures</td>
<td>Do you identify, respond to, and mitigate suspected or known security incidents (e.g., is an incident form completed as a response to each incident, etc.)?</td>
</tr>
<tr>
<td>84</td>
<td></td>
<td>Do you have a formal incident response and data breach notification plan and team?</td>
</tr>
<tr>
<td>85</td>
<td></td>
<td>Is evidence properly collected and maintained during the investigation of a security incident (e.g., employing chain of custody and other computer forensic methodologies that are monitored by internal and/or external parties, etc.)?</td>
</tr>
<tr>
<td>86</td>
<td></td>
<td>Are incidents identified, investigated, and reported according to applicable legal requirements?</td>
</tr>
<tr>
<td>87</td>
<td></td>
<td>Are incidents escalated and communicated (e.g., what is your documented process for escalation to management and outside authorities, etc.)?</td>
</tr>
<tr>
<td>88</td>
<td></td>
<td>Do you have a contingency plan in place to handle emergency access to the software?</td>
</tr>
</tbody>
</table>
## SECTION 3: HARDWARE

**ALL VENDORS MUST COMPLETE THIS SECTION OF THE QUESTIONNAIRE.**

**Vendor Name:** CARL Corporation  
**Technical Contact Name / Email:** Paul Leppert / pleppert@tlcdelivers.com  
**Product Name / Description:** CARL•X SaaS Library Automation System

For each applicable section, complete the matrix by placing an "X" in the applicable YES/NO column for each Description. Use "Comments" section to provide as much explanation as possible to clearly support your response. Additional pages may be attached to provide further detail, but any attachments should be referenced in "Comments" section. If not applicable, mark "N/A" in "Comments" section.

<table>
<thead>
<tr>
<th>No.</th>
<th>Area</th>
<th>Description</th>
<th>Yes</th>
<th>No</th>
<th>Vendor Response</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Secure Design</td>
<td>Are there physical security features used to prevent tampering of the hardware? If so, please identify.</td>
<td>X</td>
<td></td>
<td>This is a standard HP DL380 (or equivalent model) Server</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Secure Design</td>
<td>Do you take security measures during the manufacturing of the hardware? If so, please describe.</td>
<td>X</td>
<td></td>
<td>This is a standard HP DL380 (or equivalent model) Server</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Security Updates/Patching</td>
<td>Is your hardware scanned to detect any vulnerabilities or backdoors within the firmware?</td>
<td>X</td>
<td></td>
<td>Windows Server 2013 (or equivalent version)</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Security Updates/Patching</td>
<td>Has the operating system installed on the hardware been scanned for vulnerabilities?</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Security Updates/Patching</td>
<td>Is your firmware upgraded to remediate vulnerabilities? If so, provide frequency.</td>
<td>X</td>
<td></td>
<td>Generally within 4 weeks of vulnerability remediation by the vendor (1 week CARL testing, 1 - 3 weeks for scheduling to customer site; dependent upon customer schedule)</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Security Updates/Patching</td>
<td>If a new vulnerability is identified, is there a documented timeframe for updates/releases? Please provide frequency.</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Identity &amp; Access Management</td>
<td>Are remote control features embedded for the manufacturer’s support or ability to remotely access? If so, describe.</td>
<td>This is a standard HP DL380 (or equivalent model) Server</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>8</td>
<td>Do backdoors exist that can lead to unauthorized access? If so, describe.</td>
<td>x</td>
<td>This is a standard HP DL380 (or equivalent model) Server</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Do default accounts exist? If so, list all default accounts.</td>
<td>x</td>
<td>Windows Server 2013 (or equivalent version)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Can default accounts and passwords be changed by Broward County?</td>
<td>x</td>
<td>Not Applicable</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Product Security Development Lifecycle</td>
<td>Is an end-of-life schedule maintained for the hardware?</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Is product or service within 3 year end of life?</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Media Handling</td>
<td>Does vendor have a secure data wipe and data destruction program for proper drive disposal (i.e., Certificate of destruction, electronic media purging, etc.)?</td>
<td>Not Applicable. Customer-owns hardware and is responsible for disposal.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Compliance with Legal Requirements - Identification of applicable legislation</td>
<td>Is the hardware currently certified by any security standards? (i.e., PCI-DSS). If so, please identify.</td>
<td>x</td>
<td>This is a standard HP DL380 (or equivalent model) Server</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Do you have a process to identify new laws and regulations with IT security implications?</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Upon County’s request, will Vendor make available to the County proof of Vendor’s compliance with all applicable federal, state, and local laws, codes, ordinances, rules, and regulations in performing under this Agreement, including but not limited to: HIPAA compliance; Vendor’s latest compliance reports (e.g., PCI-DSS PTS, P2PE validation) and any other proof of compliance as may be required?</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## SECTION 4: SOFTWARE

**VENDORS MUST COMPLETE THIS SECTION OF THE QUESTIONNAIRE.**

<table>
<thead>
<tr>
<th>No.</th>
<th>Area</th>
<th>Description</th>
<th>Vendor Response</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Applicability</strong></td>
<td><strong>REQUIRED RESPONSE:</strong> Does your response involve providing SOFTWARE? If YES, indicate response and complete Section 4. If No, indicate NO and skip Section 4.</td>
<td>X</td>
</tr>
<tr>
<td>1</td>
<td>Supporting Documentation</td>
<td>Please provide the following:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>a) Hardware and Software requirements (i.e. Operating System, CPUs, RAM)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>b) Network connectivity requirements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Software Installation Requirements</td>
<td>Can the software be installed as a regular user account with least privilege?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Describe the level of administrative access the software will need on the County domain.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Software Installation Requirements</td>
<td>Is remote access required for installation and support? If so, describe.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Software Installation Requirements</td>
<td>Can the software be installed on and operated in a virtualized environment?</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Third Party Software Requirements</td>
<td>Is third party software (i.e. Java, Adobe) required to be installed for your software to work? If so, provide software and minimum version.</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Third Party Software Requirements</td>
<td>Will your software remain compatible with all updates and new releases of required third party software?</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Third Party Software Requirements</td>
<td>Are there contingencies where key third-party dependencies are concerned?</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Secure Software Design</td>
<td>Is the software currently certified by any security standards? (i.e. PCI-DSS). If so, identify.</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Secure Software Design</td>
<td>Has the software been developed following secure programming standards like those in the OWASP Developer Guide?</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Secure Software Design</td>
<td>Is the company outsourcing any aspect of the service to a third party?</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Secure Software Design</td>
<td>Is the product engineered as a multi-tier architecture design?</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Secure Software Design</td>
<td>Does Vendor have capability to respond to and update product for any unforeseen new regulatory requirements?</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Audit Logging</td>
<td>Does the software or solution perform audit logging? Please describe.</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Audit Logging</td>
<td>Does the software have audit reporting capabilities (i.e. user activity, privileged access, etc.)? Please describe.</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Security Updates/Patching</td>
<td>Does the software have a security patch process? Please describe your software security patch process, frequency of security patch releases, and how security vulnerabilities are identified.</td>
<td></td>
</tr>
</tbody>
</table>

Vendor Name: CARL Corporation

Technical Contact Name / Email: Paul Leppert / pleppert@ticdelivers.com

Product Name / Description: CARL•X SaaS Library Automation System
<p>| 17 | Does Vendor support electronic delivery of digitally signed upgrades? |   |   |   |</p>
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>18 Secure Configuration / Installation (i.e. PA-DSS configuration)</td>
<td>Does the software allow for secure configuration and installation? Please identify those cycles.</td>
</tr>
<tr>
<td>19 Software Upgrade Cycles</td>
<td>Does the software have upgrade cycles? Please identify those cycles.</td>
</tr>
<tr>
<td>20 Confidential Data</td>
<td>Does the software restrict confidential data (i.e., Social Security Number or Date of Birth, etc.) from being used as a primary identifier?</td>
</tr>
<tr>
<td>21 Confidential Data</td>
<td>Does the software have documentation showing where all confidential data is stored in the application?</td>
</tr>
<tr>
<td>22 Encryption</td>
<td>Does the software support encryption of data in motion (e.g., SSL, etc.)?</td>
</tr>
<tr>
<td>23 Encryption</td>
<td>Does the software support encryption of data at rest (e.g., column-level encryption, etc.)?</td>
</tr>
<tr>
<td>24 Confidential Data</td>
<td>Does the software have built-in encryption controls? Please list.</td>
</tr>
<tr>
<td>25 Authentication</td>
<td>Does your product have Single Sign-on (SSO) and Federated Identity Enablement integration options (e.g., support for standards like SAML v2 and OAuth 2.0, active directory, etc.)? Please describe.</td>
</tr>
<tr>
<td>26 Roles and Responsibilities</td>
<td>Does the software provide role-based access control?</td>
</tr>
<tr>
<td>27 Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?</td>
<td></td>
</tr>
<tr>
<td>28 Product Security Development Lifecycle</td>
<td>Do you have any product pre-release security threat modeling in place (e.g., secure coding practice, security architecture review, penetration testing, etc.)?</td>
</tr>
<tr>
<td>29 Does Vendor maintain end-of-life schedule for the software product?</td>
<td></td>
</tr>
<tr>
<td>30 Is product or service within 3 year end of life?</td>
<td></td>
</tr>
</tbody>
</table>
I possess the authority to sign and act as an agent on behalf of this company. I have read the above questionnaire in its entirety and responded in a truthful manner to the best of my ability.

<table>
<thead>
<tr>
<th>Vendor Name</th>
<th>The Library Corporation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printed Representative Name</td>
<td>Annette H. Murphy</td>
</tr>
<tr>
<td>Printed Representative Title</td>
<td>CEO</td>
</tr>
<tr>
<td>Signature</td>
<td>![Signature Image]</td>
</tr>
</tbody>
</table>
Responses for Vendor Security Questionnaire (VSQ)

We have responded to the VSQ for Broward County’s anticipated SaaS CARL•X Implementation at CARL’s third-party Hosting Provider (Section 1). We are not proposing any Professional Services aside from the SaaS, so we do not believe Section 2 is applicable. For Section 3, we have responded to the VSQ for a single Talking Tech i-tiva server that would be installed on-site at Broward County (this is a replacement for the existing Talking Tech i-tiva server that is installed on-site today). We are not proposing additional CARL software aside from the SaaS, so we do not believe Section 4 is applicable.

Section 1: Software-as-a-Service / Hosted / Cloud Services

The numbers in the response below correspond to the VSQ Spreadsheet numbers (Column A) for Section 1.

1. Workflow Diagram
   a. Data is stored in an Oracle Enterprise Edition database on the database server. This server is dedicated to Oracle and has no vendor-created software components.
   b. Library staff access the application through either the Windows Client or the CARL•Connect web-based application. In the former case, the Windows Client connects to the Application Server via an RPC connection. In the latter case, the staff browser connects via an encrypted SSL connection to the Web Server. The Web server utilizes API calls to the Application Server.
   c. Only the Application Server connects to the Database Server.
   d. All servers reside at CARL’s third-party hosting provider.
   e. All access to the hosted solution is from Broward over a VPN connection or from CARL, over a separate VPN connection.
   f. Broward County controls access to the servers from non-CARL entities (Patrons, Staff, Third Parties) through the County’s firewall.
      i. The servers at the hosted facility are only accessible from Broward and CARL. CARL does not allow third-party access from our facility. Broward controls all (non-CARL) access to the hosted servers. (See Architecture Diagram)

2. Security / Network Architecture Diagram
   a. See Appendix A – Hosted Network Diagram

11. Issue Priority
   a. See Appendix B – Severity Levels and SLAs

12. Issue Resolution SLA
   a. See Appendix B – Severity Levels and SLAs

13. Single Sign-on (SSO)
   a. Active Directory Integration is Available.
14. External Parties
   a. Our CARL•X Product Uses Web Service APIs on the Application Server to support application function.
   b. The Application allows reporting as well as data import and data export. Access by the end user to these application functions is security controlled within the CARL•X application.

15. External Parties
   a. Servers will be hosted at CARL’s third-party hosting facility in Denver, Colorado managed by Zayo. Zayo provides and maintains the VMWare host servers, and ultimately has “access” to the information that is in their facility. However, they do not have credentialed access to the VM servers or the Oracle database within the Database Server VM.

17. External Parties
   a. Servers will be hosted at CARL’s third-party hosting facility in Denver, Colorado managed by Zayo. Zayo provides and maintains the VMWare host servers, and ultimately has “access” to the information that is in their facility. However, they do not have credentialed access to the VM servers or the Oracle database within the Database Server VM.

22. Information Security Policies & Procedures
   a. TLC’s Security and Privacy policy contains the information requested. However, as proposal responses are subject to Freedom of Information Act requests, our policy document is not provided in our response. We only provide this document under a separate Non-disclosure Agreement (NDA) for the protection of our current and future customers. We hope Broward can appreciate the need for added protection around this document.

31. Information Security Policies & Procedures
   a. Background Checks are performed on all new employees. Background checks are performed by BackTrack and consists of a Standard Criminal Search Package consisting of County and/or Statewide Criminal Checks on all names and addresses for the past 7 years per the SSN; CrimeTrack Criminal Database Search; 50 State Sex Offender List; SSN / Name / Address Search.

38. Secure Areas
   a. The data center is a secure facility with 24x7 monitoring and security, multi-level access authorization with mantrap, biometric verification, and security controlled access level assignment.
   b. CARL access to the data center is limited to essential personnel with authorization from CARL executive management.

40. Secure Areas
   a. Support Staff are allowed access to customer environments remotely to provide customer and operational support outside normal business hours. However, remote access is only allowed via authenticated VPN to the Denver office and then via the dedicated VPN access from Denver to the Hosted Facility.
a. Please see Appendix A for the separation of the ILS servers from other customers within the hosted facility and use of the VPN connections to the Library and to CARL.

44. Application and Information Access Control – Sensitive System Isolation
   a. Support Staff are allowed access to customer environments remotely to provide customer and operational support outside normal business hours. However, remote access is only allowed via authenticated VPN to the Denver office and then via the dedicated VPN access from Denver to the Hosted Facility.

50. Encryption
   a. The library controls which third parties have access to the application. For SaaS, the library controls whether that access is over a VPN connection or other secure transport (e.g., SSL) from the vendor to Broward County. Connectivity between Broward and the Hosted facility is via a dedicated VPN (encrypted) connection. CARL does not provide third-party access to the application or data directly (third party access is only allowed through the library).

53. Vulnerability Assessment and Remediation
   a. Intrusion protection is provided by the hosting provider via their managed firewall services. Note the only traffic entering the hosted solution will be from the customer (Broward) and CARL, each through our own VPN firewall.

59. Security Monitoring
   a. Nightly reports are produced from the managed firewall and each individual server (via logwatch). These logs are reviewed daily.

71. Identity & Access Management
   a. Access to the company’s source code repository is restricted to authorized personnel via the repository itself. Additionally, the repository is hosted on company servers and requires valid Active Directory access to reach the server as well.

73. Identity & Access Management
   a. We generally utilize individual accounts where feasible. However, for customer environments, there are a number of “shared” accounts that are utilized (such as the web user or the application user). The root user account on the servers is never used, however, instead root access is provided to only required staff and those staff members use their individual accounts.

74. Identity & Access Management
   a. The only connectivity to Broward’s environment at the Hosted Facility is from Broward County and from CARL Corporation. CARL Corporation does not allow any vendors or business partners to access a customer’s environment. Broward County has sole control over allowing access to the environment to vendors or its’ business partners.

84. Media Handling
   a. Neither data on the servers nor the backups is encrypted at rest. Data is stored within customer’s hosted environment and is not co-mingled with other customers’ data or backups.
Appendix A
Hosted Network Diagram

CARL•X Hosted Solution Diagram

Customer A
VPN Tunnels to Hosted Facility

Virtual Machines

Virtual Machines can reside on either ESXi host at any given time

Zayo Hosting Facility

Physical Servers
ESXi Host #1
ESXi Host #2

Customer B
VPN Tunnels to Hosted Facility

Patrons And 3rd Parties

CARL Denver

CARL Denver VPN Firewall

CARL Application Server VM
Database Server VM
Web Server VM
NetApp Server VM

Customer A Environment

CARL Application Server VM
Database Server VM
Web Server VM
NetApp Server VM

Customer B Environment

Physical Servers
ESXi Host #1
ESXi Host #2

Storage SAN
Appendix B
Severity Levels and SLAs

I. DEFINITIONS.

Terms used herein with initial capital letters shall have the respective meanings set forth herein.

“Core Functions” means any Patron function, Public Service function, Staff function, or System function of the ILS, excluding any functions provided on the test server and any other functions mutually agreed by the parties in writing as excluded from the Core Functions.

“Patron function” means any function in which patrons interact with system data of the system, through the following means including but not limited to SIP2, database calls, APIs, http and https calls to retrieve, view, authenticate, modify and/or add information to data in the system including but not limited to patron data, bibliographic information, item availability, online holds, and online renewals.

“Public Service function” means any function in which library staff are the primary users for the direct benefit of patrons, including, but not limited to, circulation functions such as patron records management, fines, holds, etc.; bibliographic functions such as searching the bibliographic database to find items in the collection; and financial transactions such as fine payment.

“Staff Service function” means any function in which library staff are the primary users other than Public Service functions, including, but not limited to, selection, cataloging, and acquisitions.

“System function” means any function that relates to background processing such as overnight processes including but not limited to database cleanups, system backups, data backups, data transfers to third party systems, etc.

II. SEVERITY LEVELS

All requests will be categorized into one of four categories: Critical, High, Medium and Low. Categories dictate time to respond to the request and the time to resolve the request during normal business hours.

1. “Critical” the problem results in extremely serious interruptions to some or all critical Core Functions. Tasks that are part of the Core Functions that should be executed according to an expected performance level cannot be executed because a complete unavailability of part, some or all of the production systems related to the System. This also applies when the data or system integrity is compromised and the issue can result in an imminent data breach, corruption of data or failure of system.
2. “High” the problem results in intermittent access to Core Functions that result in a negative impact on Core Functions hindering the ability to serve patrons at the point of need either virtually or in person. While Core Function processes still continue to work they respond in a restricted manner or do not respond on a consistent basis seriously impeding the ability to serve patrons at point of need in a timely manner.

3. “Medium” the problem results in the degradation of Core Functions causing the System to run below agreed upon service levels. If left untreated, problem will most likely escalate resulting in a High or Critical response within 24-48 hours of the issue arising. This also occurs when a problem results in serious interruptions to Staff Service Functions or other non-Core Functions.

4. “Low” not be responding at expected performance level.
VOLUME OF PREVIOUS WORK ATTESTATION FORM

The completed and signed form should be returned with the Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to provide timely may affect the Vendor's evaluation. This completed form must be included with the Vendor's submittal at the time of the opening deadline to be considered for a Tie Breaker criterion (if applicable).

The calculation for Volume of Previous Work is all amounts paid to the prime Vendor by Broward County Board of County Commissioners at the time of the solicitation opening date within a five-year timeframe. The calculation of Volume of Previous Work for a prime Vendor previously awarded a contract as a member of a Joint Venture firm is based on the actual equity ownership of the Joint Venture firm.

In accordance with Section 21.31.d. of the Broward County Procurement Code, the Vendor with the lowest dollar volume of work previously paid by the County over a five-year period from the date of the submittal opening will receive the Tie Breaker.

Vendor must list all projects it received payment from Broward County Board of County Commissioners during the past five years. If the Vendor is submitting as a joint venture, the information provided should encompass the joint venture and each of the entities forming the joint venture. The Vendor attests to the following:

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Project Title</th>
<th>Solicitation/Contract Number</th>
<th>Department or Division</th>
<th>Date Awarded</th>
<th>Paid to Date Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>5</td>
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</tbody>
</table>

Grand Total

Has the Vendor been a member/partner of a Joint Venture firm that was awarded a contract by the County?  
Yes [ ] No [ ]

If Yes, Vendor must submit a Joint Vendor Volume of Work Attestation Form.

Vendor Name: ___________ The Library Corporation

[Signature]

Authorized Signature/Name

CEO

Title

Date 4/16/2018

3/23/2018 1:51 PM

4/25/2018 BidSync
LOCAL VENDOR CERTIFICATION FORM (PREFERENCE AND TIEBREAKER)

The completed and signed form should be returned with the Vendor’s submittal to qualify for Local Preference, however it must be returned at time of solicitation submittal to qualify for the Tie Break criteria. If not provided with submittal, the Vendor must submit within three business days of County’s request for evaluation of Local Preference. Proof of a local business tax must be returned at time of solicitation submittal to qualify for the Tie Break criteria. Failure to timely submit this form or local business tax receipt may render the business ineligible for application of the Local Preference. Failure to timely submit this form and local business tax receipt at time of submittal will disqualify the Vendor for this Tie Breaker.

In accordance with Section 21.31.d. of the Broward County Procurement Code, to qualify for the Tie Break Criteria, the undersigned Vendor hereby certifies that (check box if applicable):

☐ The Vendor is a local Vendor in Broward County and:
  a. has a valid Broward County local business tax receipt;
  b. has been in existence for at least six-months prior to the solicitation opening;
  c. provides services on a day-to-day basis, at a business address physically located within the limits of Broward County and in an area zoned for such business; and
  d. services provided from this location are a substantial component of the services offered in the Vendor’s proposal.

In accordance with Local Preference, Section 1-74. et. seq., Broward County Code of Ordinances, and Broward County’s Interlocal Reciprocity Agreement with Miami-Dade County, a local business meeting the below requirements is eligible for Local Preference. To qualify for the Tie Break Criteria, the undersigned Vendor hereby certifies that (check box if applicable):

☐ The Vendor is a local Vendor in Broward or Miami-Dade County and:
  a. has a valid corresponding County local business tax receipt;
  b. has been in existence for at least one-year prior to the solicitation opening;
  c. provides services on a day-to-day basis, at a business address physically located within the limits of Broward or Miami-Dade County and in an area zoned for such business; and
  d. the services provided from this location are a substantial component of the services offered in the Vendor’s proposal.

☒ Vendor does not qualify for Tie Break Criteria or Local Preference, in accordance with the above requirements.

[Signature]
Authorized Signature/Name

CEO
Title

The Library Corporation
Vendor Name

4/18/2018
Date
the part of the Vendor, the County may, on that basis exercise any contractual right to terminate the contract. Further any misleading, inaccurate, false information or documentation submitted by any party affiliated with this procurement may lead to suspension and/or debarment from doing business with Broward County as outlined in the Procurement Code, Section 21.119.

If the Vendor is submitting a response as a Joint Venture, the following information is required to be submitted:

a. Name of the Joint Venture Partnership
b. Percentage of Equity for all Joint Venture Partners
c. A copy of the executed Agreement(s) between the Joint Venture Partners

☐ Vendor does not have a principal place of business location (also known as the nerve center) within Broward County.

Vendor Information:

Vendor Name: [The Library Corporation]

Vendor’s address listed in its submittal is:

1355 S Colorado Blvd
Suite C800
Denver, CO 80222

The signature below must be by an individual authorized to bind the Vendor. The signature below is an attestation that all information listed above and provided to Broward County is true and accurate.

[Signature]
CEO
The Library Corporation

Authorized Signature/Name

Date: 4/16/2018

3/23/2018 1:51 PM
The Vendor hereby certifies that: (check box)

☒ The Vendor certifies that no person or affiliates of the Vendor are currently on the convicted vendor list and/or has not been found to commit a public entity crime, as described in the statutes.

**Scrutinized Companies List Certification:**
Any company, principals, or owners on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List is prohibited from submitting a response to a solicitation for goods or services in an amount equal to or greater than $1 million.

The Vendor hereby certifies that: (check each box)

☒ The Vendor, owners, or principals are aware of the requirements of Sections 287.135, 215.473, and 215.4275, Florida Statutes, regarding Companies on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List; and

☒ The Vendor, owners, or principals, are eligible to participate in this solicitation and are not listed on either the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List; and

☒ If awarded the Contract, the Vendor, owners, or principals will immediately notify the County in writing if any of its principals are placed on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List.

I hereby certify the information provided in the Vendor Questionnaire and Standard Certifications:

[Signature]

**AUTHORIZED SIGNATURE/NAME**

CEO

**TITLE**

4/16/2018

**DATE**

Vendor Name: The Library Corporation

* I certify that I am authorized to sign this solicitation response on behalf of the Vendor as indicated in Certificate as to Corporate Principal, designation letter by Director/Corporate Officer, or other business authorization to bind on behalf of the Vendor. As the Vendor's authorized representative, I attest that any and all statements, oral, written or otherwise, made in support of the Vendor's response, are accurate, true and correct. I also acknowledge that inaccurate, untruthful, or incorrect statements made in support of the Vendor's response may be used by the County as a basis for rejection, rescission of the award, or termination of the contract and may also serve as the basis for debarment of Vendor pursuant to Section 21.119 of the Broward County Procurement Code. I certify that the Vendor's response is made without prior understanding, agreement, or connection with any corporation, firm or person submitting a response for the same items/services, and is in all respects fair and without collusion or fraud. I also certify that the Vendor agrees to abide by all terms and conditions of this solicitation, acknowledge and accept all of the solicitation pages as well as any special instructions sheet(s).
The completed form should be submitted with the solicitation response but must be submitted within three business days of County’s request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

The Vendor certifies that it understands if it has retained a lobbyist(s) to lobby in connection with a competitive solicitation, it shall be deemed non-responsive unless the firm, in responding to the competitive solicitation, certifies that each lobbyist retained has timely filed the registration or amended registration required under Broward County Lobbyist Registration Act, Section 1-262, Broward County Code of Ordinances; and it understands that if, after awarding a contract in connection with the solicitation, the County learns that the certification was erroneous, and upon investigation determines that the error was willful or intentional on the part of the Vendor, the County may, on that basis, exercise any contractual right to terminate the contract for convenience.

The Vendor hereby certifies that: (select one)

- [X] It has not retained a lobbyist(s) to lobby in connection with this competitive solicitation; however, if retained after the solicitation, the County will be notified.

- [ ] It has retained a lobbyist(s) to lobby in connection with this competitive solicitation and certified that each lobbyist retained has timely filed the registration or amended registration required under Broward County Lobbyist Registration Act, Section 1-262, Broward County Code of Ordinances.

It is a requirement of this solicitation that the names of any and all lobbyists retained to lobby in connection with this solicitation be listed below:

Name of Lobbyist: __________________________
Lobbyist’s Firm: __________________________
Phone: __________________________
E-mail: __________________________

Name of Lobbyist: __________________________
Lobbyist’s Firm: __________________________
Phone: __________________________
E-mail: __________________________

Authorized Signature/Name: __________________________ Date: __________________________
4/16/2018

Title: CEO

Vendor Name: The Library Corporation
DOMESTIC PARTNERSHIP ACT CERTIFICATION FORM (REQUIREMENT AND TIEBREAKER)

Refer to Special Instructions to identify if Domestic Partnership Act is a requirement of the solicitation or acts only as a tiebreaker. If Domestic Partnership is a requirement of the solicitation, the completed and signed form should be returned with the Vendor's submittal. If the form is not provided with submittal, the Vendor must submit within three business days of County's request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes. To qualify for the Domestic Partnership tiebreaker criterion, the Vendor must currently offer the Domestic Partnership benefit and the completed and signed form must be returned at time of solicitation submittal.

The Domestic Partnership Act, Section 16 ½ -157, Broward County Code of Ordinances, requires all Vendors contracting with the County, in an amount over $100,000 provide benefits to Domestic Partners of its employees, on the same basis as it provides benefits to employees' spouses, with certain exceptions as provided by the Ordinance.

For all submittals over $100,000.00, the Vendor, by virtue of the signature below, certifies that it is aware of the requirements of Broward County’s Domestic Partnership Act, Section 16-½ -157, Broward County Code of Ordinances; and certifies the following: (check only one below).

- [ ] 1. The Vendor currently complies with the requirements of the County’s Domestic Partnership Act and provides benefits to Domestic Partners of its employees on the same basis as it provides benefits to employees’ spouses.
- [ ] 2. The Vendor will comply with the requirements of the County’s Domestic Partnership Act at time of contract award and provide benefits to Domestic Partners of its employees on the same basis as it provides benefits to employees’ spouses.
- [ ] 3. The Vendor will not comply with the requirements of the County’s Domestic Partnership Act at time of award.
- [ ] 4. The Vendor does not need to comply with the requirements of the County’s Domestic Partnership Act at time of award because the following exception(s) applies: (check only one below).
  - [ ] The Vendor is a governmental entity, not-for-profit corporation, or charitable organization.
  - [ ] The Vendor is a religious organization, association, society, or non-profit charitable or educational institution.
  - [ ] The Vendor provides an employee the cash equivalent of benefits. (Attach an affidavit in compliance with the Act stating the efforts taken to provide such benefits and the amount of the cash equivalent).
  - [ ] The Vendor cannot comply with the provisions of the Domestic Partnership Act because it would violate the laws, rules or regulations of federal or state law or would violate or be inconsistent with the terms or conditions of a grant or contract with the United States or State of Florida. Indicate the law, statute or regulation (State the law, statute or regulation and attach explanation of its applicability).

Authorized Signature/Name: [Signature]
Title: [Title]
Vendor Name: [Vendor Name]
Date: 4/16/2018
LETTER OF INTENT BETWEEN BIDDER/OFFEROR AND COUNTY BUSINESS ENTERPRISE (CBE) SUBCONTRACTOR/SUPPLIER

This form(s) should be returned with the Vendor's submittal. If not provided with solicitation submittal, the Vendor must supply information within three business days of County's request. This form is to be completed and signed for each CBE firm. Vendor should scan and upload the completed, signed form(s) in BidSync.

Solicitation Number: TEC2115735P1
Project Title: Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

Bidder/Offeror Name: The Library Corporation
Address: 1355 S Colorado Blvd City: Denver State: CO Zip: 80222
Authorized Representative: Annette H. Murphy Phone: 303.758.3030

CBE Subcontractor/Supplier Name: 
Address: 
City: State: Zip: 
Authorized Representative: 
Phone: 

A. This is a letter of intent between the bidder/offeror on this project and a CBE firm for the CBE to perform subcontracting work on this project.
B. By signing below, the bidder/offeror is committing to utilize the above-named CBE to perform the work described below.
C. By signing below, the above-named CBE is committing to perform the work described below.
D. By signing below, the bidder/offeror and CBE affirm that if the CBE subcontracts any of the work described below, it may only subcontract that work to another CBE.

<table>
<thead>
<tr>
<th>Work to be performed by CBE Firm</th>
<th>Description</th>
<th>NAICS</th>
<th>CBE Contract Amount</th>
<th>CBE Percentage of Total Project Value</th>
</tr>
</thead>
</table>

AFFIRMATION: I hereby affirm that the information above is true and correct.

CBE Subcontractor/Supplier Authorized Representative
(Signature) (Title) (Date)

Bidder/Offeror Authorized Representative
(Signature) (Title) (Date)

* Visit http://www.census.gov/esc/www/naics/ to search. Match type of work with NAICS code as closely as possible.
† To be provided only when the solicitation requires that bidder/offer include a dollar amount in its bid-offer.

In the event the bidder/offeror does not receive award of the prime contract, any and all representations in this Letter of Intent and Affirmation shall be null and void.
Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

Attestation Form

This form is a requirement of the RFP. The completed and signed form should be returned with the Vendor's submittal. If the form is not provided with submittal, the Vendor must submit within three business days of County's request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

1. As a business decision, Broward County Libraries will not consider open source solutions for an ILS/DS.

2. Vendor affirms that vendor did not propose an open source solution.

Vendor, by virtue of the signature below, certifies that:

The Vendor acknowledges and accepts items 1 and 2 above.

I, Annette H. Murphy , CEO , of The Library Corporation hereby attest that I have the authority to sign this certification and certify that the above is true, complete and correct.

Dated: 4/16/2018

By: 

(Signature)
AFFILIATED ENTITIES OF THE PRINCIPAL(S) CERTIFICATION FORM

The completed form should be submitted with the solicitation response but must be submitted within three business days of County's request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

a. All Vendors are required to disclose the names and addresses of "affiliated entities" of the Vendor's principal(s) over the last five (5) years (from the solicitation opening deadline) that have acted as a prime Vendor with the County.

b. The County will review all affiliated entities of the Vendor's principal(s) for contract performance evaluations and the compliance history with the County's Small Business Program, including CBE, DBE and SBE goal attainment requirements. "Affiliated entities" of the principal(s) are those entities related to the Vendor by the sharing of stock or other means of control, including but not limited to a subsidiary, parent or sibling entity.

c. The County will consider the contract performance evaluations and the compliance history of the affiliated entities of the Vendor's principals in its review and determination of responsibility.

The Vendor hereby certifies that: (select one)

☑ No principal of the proposing Vendor has prior affiliations that meet the criteria defined as "Affiliated entities"

☐ Principal(s) listed below have prior affiliations that meet the criteria defined as "Affiliated entities"

Principal's Name:  
Names of Affiliated Entities:  

Principal's Name:  
Names of Affiliated Entities:  

Principal's Name:  
Names of Affiliated Entities:  

Authorized Signature Name:  
Title: CEO  
Vendor Name: The Library Corporation  
Date: 4/16/2018
APPLICATION FOR EVALUATION OF GOOD FAITH EFFORT
PURSUANT TO BUSINESS OPPORTUNITY ACT OF 2012, Sec. 1-81.5(e)

If applicable, this form and supporting documentation should be returned with the Vendor's submittal. If not provided with solicitation submittal, the Vendor must supply information within three business days of County's request. Vendor should scan and upload the supporting documentation in BidSync.

SOLICITATION NO.: TEC2115735P1  PROJECT NAME: Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

The undersigned representative of the prime contractor represents that his/her firm has contacted County Business Enterprise (CBE) certified firms in a good faith effort to meet the CBE goal for this solicitation but has not been able to meet the goal. Consistent with the requirements of the Business Opportunity Act of 2012 (the Act), the prime contractor hereby submits documentation (attached to this form) of good faith efforts made and requests to be evaluated under Section 1-81.5(e) of the Act.

The prime contractor understands that a determination of good faith effort to meet the CBE contract participation goal is contingent on both the information provided by the prime contractor as an attachment to this application and the other factors listed in Section 1-81.5 (e) of the CBE Act, as those factors are applicable with respect to this solicitation. The prime contractor acknowledges that the determination of good faith effort is made by the Director of the Office of Economic and Small Business Development, and is not subject to appeal.

SIGNATURE: 

PRINT NAME / TITLE: Annette H. Murphy /CEO

DATE: 4/16/2018
Broward County Solicitation No. and Title:  
RFP No. TEC2115735P1, Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

Reference for: The Library Corporation (TLC)

Organization/Firm Name providing reference:  
Brevard County Public Libraries

Contact Name: Tina Hare  
Title: I.T. Engineer II  
Reference date: 04/17/2018

Contact Email: thare@brev.org  
Contact Phone: 321-633-1786

Name of Referenced Project: ILS RFP

Vendor's role in Project:  
Prime Vendor  
Subconsultant/Subcontractor

Would you use this vendor again?  
Yes  
No  
If No, please specify in Additional Comments (below).

Description of services provided by Vendor:  
Provides ILS hosted services (CARLX, Carl.Connect, Carl.Connect Discovery, iTiva, etc) for Brevard County Public Libraries

Please rate your experience with the referenced Vendor:

<table>
<thead>
<tr>
<th>Needs Improvement</th>
<th>Satisfactory</th>
<th>Excellent</th>
<th>Not Applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Vendor’s Quality of Service</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>a. Responsive</td>
<td></td>
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<tr>
<td>b. Accuracy</td>
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<td></td>
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<tr>
<td>c. Deliverables</td>
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<tr>
<td>2. Vendor’s Organization:</td>
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<tr>
<td>a. Staff expertise</td>
<td></td>
<td></td>
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<tr>
<td>b. Professionalism</td>
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<tr>
<td>c. Turnover</td>
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<td>3. Timeliness of:</td>
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<tr>
<td>a. Project</td>
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<tr>
<td>b. Deliverables</td>
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<tr>
<td>4. Project completed within budget</td>
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<tr>
<td>5. Cooperation with:</td>
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<td></td>
<td></td>
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<tr>
<td>a. Your Firm</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>b. Subcontractor(s)/Subconsultant(s)</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>c. Regulatory Agency(ies)</td>
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<td></td>
</tr>
</tbody>
</table>

Additional Comments: (provide on additional sheet if needed)

***THIS SECTION FOR COUNTY USE ONLY***

Verified via: EMAIL  VERBAL  
Verified by:  
Division:  
Date:  

All information provided to Broward County is subject to verification. Vendor acknowledges that inaccurate, untruthful, or incorrect statements made in support of this response may be used by the County in the process of rejection, rescission of the award, or termination of the contract and may also serve as the basis for debarment of Vendor pursuant to Section 21.119 of the Broward County Procurement Code.
MEMO

Date: April 18, 2018

To: Broward County, Florida / Broward County Library

From: Lynn Hoffman, Director of Operations
Somerset County Library System of New Jersey

Re: Vendor Reference for TLC

We have been extremely satisfied with the products and services provided by The Library Corporation (TLC) to the Somerset County Library System of New Jersey (SCLSNJ).

SCLSNJ issued an RFP for an Integrated Library System (ILS) and associated migration services in early 2017. TLC was awarded the contract based on the RFP evaluation criteria, which included cost, but also gave weight to several strategic factors including access by the library to ILS data via open standards, and ongoing and future development.

TLC’s migration process was exceedingly smooth, due in large part to the vendor’s project management approach. We cut over from our old ILS product to CARL in December 2017, on time and on budget.

In the time we have been live with CARL, TLC has continued to provide exceptional customer service, both with regard to helping to smooth out some of the bumps inherent in a data migration project of this scope, and in terms of helping SCLSNJ make the most of the new ILS product. The staff at TLC are top notch and easily accessible to us when we have problems or questions.

The product itself is very strong, and TLC’s development roadmap shows a consistent to improving the customer experience, both SCLSNJ as TLC’s customer, and our patrons as end users of the catalog product. We are very pleased with our decision to work with TLC and have no reservations recommending the vendor or their products.
Broward County Solicitation No. and Title:
RFP No. TEC2115735P1, Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

Reference for: TLC

Organization/Firm Name providing reference:
Los Angeles Public Library

Contact Name: Matthew Mattson  Title: Web Technologies  Reference date: 04/20/2018
Contact Email: mmattson@lapl.org  Contact Phone: 213-228-7404

Name of Referenced Project: ILS Services

Contract No. Date Services Provided: 10/23/1993 to 07/01/2020

Vendor’s role in Project:  ✔ Prime Vendor  ☐ Subconsultant/Subcontractor

Would you use this vendor again?  ✔ Yes  ☐ No  If No, please specify in Additional Comments (below).

Description of services provided by Vendor:
On-Premise complete ILS system.

Please rate your experience with the referenced Vendor:

<table>
<thead>
<tr>
<th>Needs Improvement</th>
<th>Satisfactory</th>
<th>Excellent</th>
<th>Not Applicable</th>
</tr>
</thead>
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<td>Vendor’s Quality of Service</td>
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</tr>
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<td>a. Responsive</td>
<td>☐</td>
<td>☐</td>
<td>✔</td>
</tr>
<tr>
<td>b. Accuracy</td>
<td>☐</td>
<td>☐</td>
<td>✔</td>
</tr>
<tr>
<td>c. Deliverables</td>
<td>☐</td>
<td>☐</td>
<td>✔</td>
</tr>
</tbody>
</table>

| Vendor’s Organization: | | | |
| a. Staff expertise | ☐ | ☐ |  ✔ | ☐ |
| b. Professionalism | ☐ | ☐ |  ✔ | ☐ |
| c. Turnover | ☐ | ☐ |  ✔ | ☐ |

| Timeliness of: | | | |
| a. Project | ☐ | ☐ |  ✔ | ☐ |
| b. Deliverables | ☐ | ☐ |  ✔ | ☐ |

4. Project completed within budget | ☐ | ☐ |  ✔ | ☐ |

5. Cooperation with:
   a. Your Firm | ☐ | ☐ |  ✔ | ☐ |
   b. Subcontractor(s)/Subconsultant(s) | ☐ | ☐ |  ✔ | ☐ |
   c. Regulatory Agency(ies) | ☐ | ☐ |  ✔ | ☐ |

Additional Comments: (provide on additional sheet if needed)

We will be moving to the hosted solution later this year.

***THIS SECTION FOR COUNTY USE ONLY***

Verified via: EMAIL  VERBAL  Verified by: ____________________________  Division: ____________________  Date: ____________

All information provided to Broward County is subject to verification. Vendor acknowledges that inaccurate, untruthful, or incorrect statements made in support of this response may be used by the County as a basis for rejection, rescission of the award, or termination of the contract and may also serve as the basis for debarment of Vendor pursuant to Section 21.119 of the Broward County Procurement Code.
Vendor Reference Verification Form

Broward County Solicitation No. and Title:
RFP No. TEC2115735P1, Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

Reference for: The Library Corporation (TLC) - CARL.X

Organization/Firm Name providing reference:
Somerset County Library System of New Jersey

Contact Name: Lynn Hoffman  Title: Operations Director  Reference date: 04/18/2018
Contact Email: lhoffman@sclibnj.org  Contact Phone: 908-458-4940

Contract No.  Date Services Provided:  Project  Amount:
06/01/2017 to present

Vendor’s role in Project:  ✔ Prime Vendor  ☐ Subconsultant/Subcontractor

Would you use this vendor again?  ✔ Yes  ☐ No

If No, please specify in Additional Comments (below).

Description of services provided by Vendor:
Migration services, plus licensing and hosting for CARL ILS

Please rate your experience with the referenced Vendor:

<table>
<thead>
<tr>
<th>Needs Improvement</th>
<th>Satisfactory</th>
<th>Excellent</th>
<th>Not Applicable</th>
</tr>
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<tbody>
<tr>
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<tr>
<td>1. Vendor’s Quality of Service</td>
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<tr>
<td>a. Responsive</td>
<td>☐</td>
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<tr>
<td>b. Accuracy</td>
<td>☐</td>
<td>☑</td>
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<tr>
<td>c. Deliverables</td>
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<td>2. Vendor’s Organization:</td>
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<tr>
<td>a. Staff expertise</td>
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<td>☑</td>
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<tr>
<td>b. Professionalism</td>
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<td>a. Project</td>
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<td>b. Deliverables</td>
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<td>4. Project completed within budget</td>
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<td>5. Cooperation with:</td>
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<td>c. Regulatory Agency(ies)</td>
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Additional Comments: (provide on additional sheet if needed)
see "TLC - Somerset comments.pdf"

***THIS SECTION FOR COUNTY USE ONLY***

Verified via:  EMAIL  VERBAL  Verified by:  Division:  Date:  

All information provided to Broward County is subject to verification. Vendor acknowledges that inaccurate, untruthful, or incorrect statements made in support of this response may be used by the County in the decision for rejection, rescission of the award, or termination of the contract and may also serve as the basis for debarment of Vendor pursuant to Section 21.119 of the Broward County

Broward County Board of County Commissioners
Bid TEC2115735P1

9/20/2018 11:55 PM
The Library Corporation

<table>
<thead>
<tr>
<th>Item: Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): System Software Licenses</th>
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**Attachments**

- Broward Software - BidSync.xlsx
### Software

<table>
<thead>
<tr>
<th>CARLX Software (all modules)</th>
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</thead>
<tbody>
<tr>
<td>- Circulation</td>
</tr>
<tr>
<td>- Serials</td>
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<tr>
<td>- Cataloging (ITSiX site license)</td>
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<td>- Online Library Catalogs (LS2 PAC, LS2 Mobile and LS2 Kids)</td>
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<td>- Multilingual LS2 PAC (up to two non-English interfaces)</td>
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<tr>
<td>- Online Selection and Acquisitions</td>
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<tr>
<td>- Patron Authentication</td>
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<tr>
<td>- Loaders (Based on Broward’s current usage)</td>
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<td>- SIP connections to TLC products (unlimited)</td>
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<tr>
<td>- SIP Server and SIP connections to non-TLC products (Based on Broward’s current usage)</td>
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<tr>
<td>- EDI Interface (Based on Broward’s current usage)</td>
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<tr>
<td>- Unique Management Interface</td>
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<tr>
<td>- Test Database Refresh (one data refresh per year)</td>
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**Additional SSL License**
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<tr>
<td><strong>Item:</strong> Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Implementation Services</td>
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<tbody>
<tr>
<td>Broward Implementation - BidSync.xlsx</td>
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</table>
Implementation

Migration of an existing customer to a Hosted environment
## The Library Corporation

**Item:** Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Training - System Hardware and Software

## Attachments

- Broward Training - BidSync.xlsx
<table>
<thead>
<tr>
<th>Training</th>
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<tbody>
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<td>No new training required for an existing customer</td>
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<tr>
<td>Item:  Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Third-Party Software Licenses and Support - SwyerPOS</td>
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<td>Broward 3rd Party - SwyerPOS.xlsx</td>
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<tr>
<td>3rd Party - SwyerPOS</td>
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### The Library Corporation

**Item:** Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Third-Party Software Licenses and Support - OPAC Content Enrichment

### Attachments

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<td>Broward 3rd Party - OPAC Content Enrichment.xlsx</td>
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<td>3rd Party - OPAC Content Enrichment</td>
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<td>Syndetics Content Subscription</td>
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</table>
## The Library Corporation

**Item:** Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS): Third-Party Software Licenses and Support - Phone/SMS Messaging System

### Attachments

- Broward 3rd Party - Phone Notification.xlsx
### 3rd Party - Phone Notification

Talking Tech iTiva Analog or VoIP (Server, Dialogic Card, Phone Message and Connect Software, Express Reporting, and Maintenance) - 12 Phone Lines
### The Library Corporation


### Attachments

<table>
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<th>Attachment Name</th>
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<tr>
<td>Broward Year 1 - BidSync.xlsx</td>
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Year 1 Maintenance
$0.00 - Included in Software section.
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<tbody>
<tr>
<td>Broward Year 2 - BidSync.xlsx</td>
</tr>
</tbody>
</table>
### Year 2 Maintenance

#### Hardware

Internet Connectivity (Per Mbps burstable to 50 Mbps). Overage charges apply.

**Network Infrastructure**

- Firewall (Firewall, Intrusion Prevention, Anti-Virus, Anti-Spyware, and Site VPN)
- CARL.X Core Services (SaaS)
- SSL Certificates for CARL•Connect Discovery, Staff, and SMARTPages

#### Data Backup Services

#### Software

CARLX Software (all modules)

- Circulation
- Serials
- Cataloging (ITSIX site license)
- Inventory Control
- Reports (includes Ad Hoc report options)
- Offline Circulation
- Online Library Catalogs (LS2 PAC, LS2 Mobile and LS2 Kids)
- E•Commerce via Online Library Catalog
- Multilingual LS2 PAC (up to two non-English interfaces)
- Online Selection and Acquisitions
- Outreach
- Patron Authentication
- Loaders (Based on Broward’s current usage)
- SIP connections to TLC products (unlimited)
- SIP Server and SIP connections to non-TLC products (Based on Broward’s current usage)
- EDI Interface (Based on Broward’s current usage)
- Unique Management Interface
- Test Database Refresh (one data refresh per year)

#### Software - 3d Party

Talking Tech iTiva Analog or VoIP (Server, Dialogic Card, Phone Message and Connect Software, Express Reporting, and Maintenance) - Quantity 12 Phone Lines

Syndetics Content Subscription

Swyer Payment.Solutions Subscription
The Library Corporation


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<tbody>
<tr>
<td>Broward Year 3 - BidSync.xlsx</td>
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</table>
# Year 3 Maintenance

## Hardware

Internet Connectivity (Per Mbps burstable to 50 Mbps). Overage charges apply.

Network Infrastructure

Firewall (Firewall, Intrusion Prevention, Anti-Virus, Anti-Spyware, and Site VPN)

CARL.X Core Services (SaaS)

SSL Certificates for CARL•Connect Discovery, Staff, and SMARTPages

## Data Backup Services

## Software

CARLX Software (all modules)

- Circulation
- Serials
- Cataloging (ITSIX site license)
- Inventory Control
- Reports (includes Ad Hoc report options)
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- Online Library Catalogs (LS2 PAC, LS2 Mobile and LS2 Kids)
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- SIP Server and SIP connections to non-TLC products (Based on Broward’s current usage)
- EDI Interface (Based on Broward’s current usage)
- Unique Management Interface
- Test Database Refresh (one data refresh per year)

## Software - 3d Party

Talking Tech iTiva Analog or VoIP (Server, Dialogic Card, Phone Message and Connect Software, Express Reporting, and Maintenance) - Quantity 12 Phone Lines

Syndetics Content Subscription

Swyer Payment.Solutions Subscription
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<tbody>
<tr>
<td>Attachments</td>
<td>Broward Year 4 - BidSync.xlsx</td>
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</tbody>
</table>
### Year 4 Maintenance

#### Hardware

- Internet Connectivity (Per Mbps burstable to 50 Mbps). Overage charges apply.

#### Network Infrastructure

- Firewall (Firewall, Intrusion Prevention, Anti-Virus, Anti-Spyware, and Site VPN)

#### CARL.X Core Services (SaaS)

- SSL Certificates for CARL•Connect Discovery, Staff, and SMARTPages

#### Data Backup Services

### Software

- CARLX Software (all modules)
  - Circulation
  - Serials
  - Cataloging (ITSIX site license)
  - Inventory Control
  - Reports (includes Ad Hoc report options)
  - Offline Circulation
  - Online Library Catalogs (LS2 PAC, LS2 Mobile and LS2 Kids)
  - E•Commerce via Online Library Catalog
  - Multilingual LS2 PAC (up to two non-English interfaces)
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  - Loaders (Based on Broward’s current usage)
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  - EDI Interface (Based on Broward’s current usage)
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### Software - 3d Party

- Talking Tech iTiva Analog or VoIP (Server, Dialogic Card, Phone Message and Connect Software, Express Reporting, and Maintenance) - Quantity 12 Phone Lines
- Syndetics Content Subscription
- Swyer Payment.Solutions Subscription
The Library Corporation


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<th>Attachments</th>
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<tbody>
<tr>
<td>Broward Year 5 - BidSync.xlsx</td>
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</table>
### Year 5 Maintenance

#### Hardware

Internet Connectivity (Per Mbps burstable to 50 Mbps). Overage charges apply.

Network Infrastructure

Firewall (Firewall, Intrusion Prevention, Anti-Virus, Anti-Spyware, and Site VPN)

CARL.X Core Services (SaaS)

SSL Certificates for CARL•Connect Discovery, Staff, and SMARTPages

Data Backup Services

#### Software

CARLX Software (all modules)

- Circulation
- Serials
- Cataloging (ITSIX site license)
- Inventory Control
- Reports (includes Ad Hoc report options)
- Offline Circulation
- Online Library Catalogs (LS2 PAC, LS2 Mobile and LS2 Kids)
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- EDI Interface (Based on Broward’s current usage)
- Unique Management Interface
- Test Database Refresh (one data refresh per year)

#### Software - 3d Party

Talking Tech iTiva Analog or VoIP (Server, Dialogic Card, Phone Message and Connect Software, Express Reporting, and Maintenance) - Quantity 12 Phone Lines

Syndetics Content Subscription

Swyer Payment.Solutions Subscription
Vendors are instructed to read and follow the instructions carefully, as any misinterpretation or failure to comply with instructions may lead to a Vendor’s submittal being rejected.

**Vendor MUST submit its solicitation response electronically and MUST confirm its submittal in order for the County to receive a valid response through BidSync. Refer to the Purchasing Division website or contact BidSync for submittal instructions.**

**A. Responsiveness Criteria:**

In accordance with Broward County Procurement Code Section 21.8.b.65, a Responsive Bidder [Vendor] means a person who has submitted a proposal which conforms in all material respects to a solicitation. The solicitation submittal of a responsive Vendor must be submitted on the required forms, which contain all required information, signatures, notarizations, insurance, bonding, security, or other mandated requirements required by the solicitation documents to be submitted at the time of proposal opening.

Failure to provide the information required below at the time of submittal opening may result in a recommendation Vendor is non-responsive by the Director of Purchasing. The Selection or Evaluation Committee will determine whether the firm is responsive to the requirements specified herein. The County reserves the right to waive minor technicalities or irregularities as is in the best interest of the County in accordance with Section 21.30.f.1(c) of the Broward County Procurement Code.

Below are standard responsiveness criteria; refer to **Special Instructions to Vendors**, for Additional Responsiveness Criteria requirement(s).

1. **Lobbyist Registration Requirement Certification**
   Refer to **Lobbyist Registration Requirement Certification**. The completed form should be submitted with the solicitation response but must be submitted within three business days of County’s request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

2. **Addenda**
   The County reserves the right to amend this solicitation prior to the due date. Any change(s) to this solicitation will be conveyed through the written addenda process. Only written addenda will be binding. If a “must” addendum is issued, Vendor must follow instructions and submit required information, forms, or acknowledge addendum, as instructed therein. It is the responsibility of all potential Vendors to monitor the solicitation for any changing information, prior to submitting their response.

**B. Responsibility Criteria:**

Definition of a Responsible Vendor: In accordance with Section 21.8.b.64 of the Broward County Procurement Code, a Responsible Vendor means a Vendor who has the capability in all respects to perform the contract requirements, and the integrity and reliability which will assure good faith performance.

The Selection or Evaluation Committee will recommend to the awarding authority a determination of a Vendor’s responsibility. At any time prior to award, the awarding authority may find that a Vendor is
not responsible to receive a particular award.

Failure to provide any of this required information and in the manner required may result in a recommendation by the Director of Purchasing that the Vendor is non-responsive.

Below are standard responsibility criteria; refer to Special Instructions to Vendors, for Additional Responsibility Criteria requirement(s).

1. **Litigation History**

   a. All Vendors are required to disclose to the County all "material" cases filed, pending, or resolved during the last three (3) years prior to the solicitation response due date, whether such cases were brought by or against the Vendor, any parent or subsidiary of the Vendor, or any predecessor organization. A case is considered to be "material" if it relates, in whole or in part, to any of the following:

      i. A similar type of work that the vendor is seeking to perform for the County under the current solicitation;
      ii. An allegation of negligence, error or omissions, or malpractice against the vendor or any of its principals or agents who would be performing work under the current solicitation;
      iii. A vendor's default, termination, suspension, failure to perform, or improper performance in connection with any contract;
      iv. The financial condition of the vendor, including any bankruptcy petition (voluntary and involuntary) or receivership; or
      v. A criminal proceeding or hearing concerning business-related offenses in which the vendor or its principals (including officers) were/are defendants.

   b. For each material case, the Vendor is required to provide all information identified on the **Litigation History Form**.

   c. The County will consider a Vendor’s litigation history information in its review and determination of responsibility.

   d. If the Vendor is a joint venture, the information provided should encompass the joint venture and each of the entities forming the joint venture.

   e. A Vendor is also required to disclose to the County any and all case(s) that exist between the County and any of the Vendor's subcontractors/subconsultants proposed to work on this project.

   f. Failure to disclose any material case, or to provide all requested information in connection with each such case, may result in the Vendor being deemed non-responsive.

2. **Financial Information**

   a. All Vendors are required to provide the Vendor's financial statements at the time of submittal in order to demonstrate the Vendor's financial capabilities.

   b. Each Vendor shall submit its most recent two years of financial statements for review. The financial statements are not required to be audited financial statements. The annual financial statements will be in the form of:

      i. Balance sheets, income statements and annual reports; or
      ii. Tax returns; or
      iii. SEC filings.
If tax returns are submitted, ensure it does not include any personal information (as defined under Florida Statutes Section 501.171, Florida Statutes), such as social security numbers, bank account or credit card numbers, or any personal pin numbers. If any personal information data is part of financial statements, redact information prior to submitting a response the County.

c. If a Vendor has been in business for less than the number of years of required financial statements, then the Vendor must disclose all years that the Vendor has been in business, including any partial year-to-date financial statements.

d. The County may consider the unavailability of the most recent year’s financial statements and whether the Vendor acted in good faith in disclosing the financial documents in its evaluation.

e. Any claim of confidentiality on financial statements should be asserted at the time of submittal. Refer to Standard Instructions to Vendors, Confidential Material/ Public Records and Exemptions for instructions on submitting confidential financial statements. The Vendor’s failure to provide the information as instructed may lead to the information becoming public.

f. Although the review of a Vendor's financial information is an issue of responsibility, the failure to either provide the financial documentation or correctly assert a confidentiality claim pursuant the Florida Public Records Law and the solicitation requirements (Confidential Material/ Public Records and Exemptions section) may result in a recommendation of non-responsiveness by the Director of Purchasing.

3. Authority to Conduct Business in Florida

a. A Vendor must have the authority to transact business in the State of Florida and be in good standing with the Florida Secretary of State. For further information, contact the Florida Department of State, Division of Corporations.

b. The County will review the Vendor’s business status based on the information provided in response to this solicitation.

c. It is the Vendor’s responsibility to comply with all state and local business requirements.

d. Vendor should list its active Florida Department of State Division of Corporations Document Number (or Registration No. for fictitious names) in the Vendor Questionnaire, Question No. 10.

e. If a Vendor is an out-of-state or foreign corporation or partnership, the Vendor must obtain the authority to transact business in the State of Florida or show evidence of application for the authority to transact business in the State of Florida, upon request of the County.

f. A Vendor that is not in good standing with the Florida Secretary of State at the time of a submission to this solicitation may be deemed non-responsible.

g. If successful in obtaining a contract award under this solicitation, the Vendor must remain in good standing throughout the contractual period of performance.

4. Affiliated Entities of the Principal(s)

a. All Vendors are required to disclose the names and addresses of “affiliated entities” of the Vendor’s principal(s) over the last five (5) years (from the solicitation opening deadline) that have acted as a prime Vendor with the County. The Vendor is required to provide all
information required on the **Affiliated Entities of the Principal(s) Certification Form**.

b. The County will review all affiliated entities of the Vendor’s principal(s) for contract performance evaluations and the compliance history with the County’s Small Business Program, including CBE, DBE and SBE goal attainment requirements. “Affiliated entities” of the principal(s) are those entities related to the Vendor by the sharing of stock or other means of control, including but not limited to a subsidiary, parent or sibling entity.

c. The County will consider the contract performance evaluations and the compliance history of the affiliated entities of the Vendor's principals in its review and determination of responsibility.

5. Insurance Requirements

The **Insurance Requirement Form** reflects the insurance requirements deemed necessary for this project. It is not necessary to have this level of insurance in effect at the time of submittal, but it is necessary to submit certificates indicating that the Vendor currently carries the insurance or to submit a letter from the carrier indicating it can provide insurance coverages.

C. Additional Information and Certifications

The following forms and supporting information (if applicable) should be returned with Vendor’s submittal. If not provided with submittal, the Vendor must submit within three business days of County’s request. Failure to timely submit may affect Vendor’s evaluation.

1. **Vendor Questionnaire**

   Vendor is required to submit detailed information on their firm. Refer to the **Vendor Questionnaire** and submit as instructed.

2. **Standard Certifications**

   Vendor is required to certify to the below requirements. Refer to the **Standard Certifications** and submit as instructed.

   a. **Cone of Silence Requirement Certification**
   b. **Drug-Free Workplace Certification**
   c. **Non-Collusion Certification**
   d. **Public Entities Crimes Certification**
   e. **Scrutinized Companies List Certification**

3. **Subcontractors/Subconsultants/Suppliers Requirement**

   The Vendor shall submit a listing of all subcontractors, subconsultants, and major material suppliers, if any, and the portion of the contract they will perform. Vendors must follow the instructions included on the **Subcontractors/Subconsultants/Suppliers Information Form** and submit as instructed.

D. **Standard Agreement Language Requirements**

1. The acceptance of or any exceptions taken to the terms and conditions of the County’s Agreement shall be considered a part of a Vendor’s submittal and will be considered by the Selection or Evaluation Committee.

2. The applicable Agreement terms and conditions for this solicitation are indicated in the **Special Instructions to Vendors**.

3. Vendors are required to review the applicable terms and conditions and submit the **Agreement Exception Form**. If the **Agreement Exception Form** is not provided with the submittal, it shall
be deemed an affirmation by the Vendor that it accepts the Agreement terms and conditions as disclosed in the solicitation.

4. If exceptions are taken, the Vendor must specifically identify each term and condition with which it is taking an exception. Any exception not specifically listed is deemed waived. Simply identifying a section or article number is not sufficient to state an exception. Provide either a redlined version of the specific change(s) or specific proposed alternative language. Additionally, a brief justification specifically addressing each provision to which an exception is taken should be provided.

5. Submission of any exceptions to the Agreement does not denote acceptance by the County. Furthermore, taking exceptions to the County’s terms and conditions may be viewed unfavorably by the Selection or Evaluation Committee and ultimately may impact the overall evaluation of a Vendor’s submittal.

E. Evaluation Criteria

1. The Selection or Evaluation Committee will evaluate Vendors as per the Evaluation Criteria. The County reserves the right to obtain additional information from a Vendor.

2. Vendor has a continuing obligation to inform the County in writing of any material changes to the information it has previously submitted. The County reserves the right to request additional information from Vendor at any time.

3. For Request for Proposals, the following shall apply:
   a. The Director of Purchasing may recommend to the Evaluation Committee to short list the most qualified firms prior to the Final Evaluation.
   b. The Evaluation Criteria identifies points available; a total of 100 points is available.
   c. If the Evaluation Criteria includes a request for pricing, the total points awarded for price is determined by applying the following formula:

      \[
      \text{Price Score} = \left( \frac{\text{Lowest Proposed Price}}{\text{Vendor's Price}} \right) \times \left( \text{Maximum Number of Points for Price} \right)
      \]

   d. After completion of scoring, the County may negotiate pricing as in its best interest.

4. For Requests for Letters of Interest or Request for Qualifications, the following shall apply:
   a. The Selection or Evaluation Committee will create a short list of the most qualified firms.
   b. The Selection or Evaluation Committee will either:
      i. Rank shortlisted firms; or
      ii. If the solicitation is part of a two-step procurement, shortlisted firms will be requested to submit a response to the Step Two procurement.

F. Demonstrations

If applicable, as indicated in Special Instructions to Vendors, Vendors will be required to demonstrate the nature of their offered solution. After receipt of submittals, all Vendors will receive a description of, and arrangements for, the desired demonstration. A copy of the demonstration (hard copy, DVD, CD, flash drive or a combination of both) should be given to the Purchasing Agent at the demonstration meeting to retain in the Purchasing files.
G. Presentations

Vendors that are found to be both responsive and responsible to the requirements of the solicitation and/or shortlisted (if applicable) will have an opportunity to make an oral presentation to the Selection or Evaluation Committee on the Vendor’s approach to this project and the Vendor’s ability to perform. The committee may provide a list of subject matter for the discussion. All Vendor’s will have equal time to present but the question-and-answer time may vary.

H. Public Art and Design Program

If indicated in Special Instructions to Vendors, Public Art and Design Program, Section 1-88, Broward County Code of Ordinances, applies to this project. It is the intent of the County to functionally integrate art, when applicable, into capital projects and integrate artists’ design concepts into this improvement project. The Vendor may be required to collaborate with the artist(s) on design development within the scope of this request. Artist(s) shall be selected by Broward County through an independent process. For additional information, contact the Broward County Cultural Division.

I. Committee Appointment

The Cone of Silence shall be in effect for County staff at the time of the Selection or Evaluation Committee appointment and for County Commissioners and Commission staff at the time of the Shortlist Meeting of the Selection Committee or the Initial Evaluation Meeting of the Evaluation Committee. The committee members appointed for this solicitation are available on the Purchasing Division’s website under Committee Appointment.

J. Committee Questions, Request for Clarifications, Additional Information

At any committee meeting, the Selection or Evaluation Committee members may ask questions, request clarification, or require additional information of any Vendor’s submittal or proposal. It is highly recommended Vendors attend to answer any committee questions (if requested), including a Vendor representative that has the authority to bind.

Vendor’s answers may impact evaluation (and scoring, if applicable). Upon written request to the Purchasing Agent prior to the meeting, a conference call number will be made available for Vendor participation via teleconference. Only Vendors that are found to be both responsive and responsible to the requirements of the solicitation and/or shortlisted (if applicable) are requested to participate in a final (or presentation) Selection or Evaluation committee meeting.

K. Vendor Questions

The County provides a specified time for Vendors to ask questions and seek clarification regarding solicitation requirements. All questions or clarification inquiries must be submitted through BidSync by the date and time referenced in the solicitation document (including any addenda). The County will respond to questions via Bid Sync.

L. Confidential Material/ Public Records and Exemptions

1. Broward County is a public agency subject to Chapter 119, Florida Statutes. Upon receipt, all submittals become “public records” and shall be subject to public disclosure consistent with Chapter 119, Florida Statutes. Submittals may be posted on the County’s public website or included in a public records request response, unless there is a declaration of “confidentiality” pursuant to the public records law and in accordance with the procedures in this section.

2. Any confidential material(s) the Vendor asserts is exempt from public disclosure under Florida Statutes must be labeled as “Confidential”, and marked with the specific statute and subsection...
asserting exemption from Public Records.

3. To submit confidential material, three hardcopies must be submitted in a sealed envelope, labeled with the solicitation number, title, date and the time of solicitation opening to:

   Broward County Purchasing Division
   115 South Andrews Avenue, Room 212
   Fort Lauderdale, FL 33301

4. Material will not be treated as confidential if the Vendor does not cite the applicable Florida Statute(s) allowing the document to be treated as confidential.

5. Any materials that the Vendor claims to be confidential and exempt from public records must be marked and separated from the submittal. If the Vendor does not comply with these instructions, the Vendor’s claim for confidentiality will be deemed as waived.

6. Submitting confidential material may impact full discussion of your submittal by the Selection or Evaluation Committee because the Committee will be unable to discuss the details contained in the documents cloaked as confidential at the publicly noticed Committee meeting.

M. Copyrighted Materials

Copyrighted material is not exempt from the Public Records Law, Chapter 119, Florida Statutes. Submission of copyrighted material in response to any solicitation will constitute a license and permission for the County to make copies (including electronic copies) as reasonably necessary for the use by County staff and agents, as well as to make the materials available for inspection or production pursuant to Public Records Law, Chapter 119, Florida Statutes.

N. State and Local Preferences

If the solicitation involves a federally funded project where the fund requirements prohibit the use of state and/or local preferences, such preferences contained in the Local Preference Ordinance and Broward County Procurement Code will not be applied in the procurement process.

O. Local Preference

Except where otherwise prohibited by federal or state law or other funding source restrictions, a local Vendor whose submittal is within 5% of the highest total ranked Vendor outside of the preference area will become the Vendor with whom the County will proceed with negotiations for a final contract. Refer to Local Vendor Certification Form (Preference and Tiebreaker) for further information.

P. Tiebreaker Criteria

In accordance with Section 21.31.d of the Broward County Procurement Code, the tiebreaker criteria shall be applied based upon the information provided in the Vendor's response to the solicitation. In order to receive credit for any tiebreaker criterion, complete and accurate information must be contained in the Vendor’s submittal.

1. Local Vendor Certification Form (Preference and Tiebreaker);
2. Domestic Partnership Act Certification (Requirement and Tiebreaker);
3. Tiebreaker Criteria Form: Volume of Work Over Five Years

Q. Posting of Solicitation Results and Recommendations

The Broward County Purchasing Division’s website is the location for the County's posting of all
solicitations and contract award results. It is the obligation of each Vendor to monitor the website in order to obtain complete and timely information.

**R. Review and Evaluation of Responses**

A Selection or Evaluation Committee is responsible for recommending the most qualified Vendor(s). The process for this procurement may proceed in the following manner:

1. The Purchasing Division delivers the solicitation submittals to agency staff for summarization for the committee members. Agency staff prepares a report, including a matrix of responses submitted by the Vendors. This may include a technical review, if applicable.

2. Staff identifies any incomplete responses. The Director of Purchasing reviews the information and makes a recommendation to the Selection or Evaluation Committee as to each Vendor’s responsiveness to the requirements of the solicitation. The final determination of responsiveness rests solely on the decision of the committee.

3. At any time prior to award, the awarding authority may find that a Vendor is not responsible to receive a particular award. The awarding authority may consider the following factors, without limitation: debarment or removal from the authorized Vendors list or a final decree, declaration or order by a court or administrative hearing officer or tribunal of competent jurisdiction that the Vendor has breached or failed to perform a contract, claims history of the Vendor, performance history on a County contract(s), an unresolved concern, or any other cause under this code and Florida law for evaluating the responsibility of a Vendor.

**S. Vendor Protest**

Sections 21.118 and 21.120 of the Broward County Procurement Code set forth procedural requirements that apply if a Vendor intends to protest a solicitation or proposed award of a contract and state in part the following:

1. Any protest concerning the solicitation or other solicitation specifications or requirements must be made and received by the County within seven business days from the posting of the solicitation or addendum on the Purchasing Division’s website. Such protest must be made in writing to the Director of Purchasing. Failure to timely protest solicitation specifications or requirements is a waiver of the ability to protest the specifications or requirements.

2. Any protest concerning a solicitation or proposed award above the award authority of the Director of Purchasing, after the RLI or RFP opening, shall be submitted in writing and received by the Director of Purchasing within five business days from the posting of the recommendation of award for Invitation to Bids or the final recommendation of ranking for Request for Letters of Interest and Request for Proposals on the Purchasing Division’s website.

3. Any actual or prospective Vendor who has a substantial interest in and is aggrieved in connection with the proposed award of a contract which does not exceed the amount of the award authority of the Director of Purchasing, may protest to the Director of Purchasing. The protest shall be submitted in writing and received within three (3) business days from the posting of the recommendation of award for Invitation to Bids or the final recommendation of ranking for Request for Letters of Interest and Request for Proposals on the Purchasing Division’s website.

4. For purposes of this section, a business day is defined as Monday through Friday between 8:30 a.m. and 5:00 p.m. Failure to timely file a protest within the time prescribed for a proposed contract award shall be a waiver of the Vendor’s right to protest.
5. Protests arising from the decisions and votes of a Selection or Evaluation Committee shall be limited to protests based upon the alleged deviations from established committee procedures set forth in the Broward County Procurement Code and existing written guidelines. Any allegations of misconduct or misrepresentation on the part of a competing Vendor shall not be considered a protest.

6. As a condition of initiating any protest, the protestor shall present the Director of Purchasing a nonrefundable filing fee in accordance with the table below.

<table>
<thead>
<tr>
<th>Estimated Contract Amount</th>
<th>Filing Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>$30,000 - $250,000</td>
<td>$500</td>
</tr>
<tr>
<td>$250,001 - $500,000</td>
<td>$1,000</td>
</tr>
<tr>
<td>$500,001 - $5 million</td>
<td>$3,000</td>
</tr>
<tr>
<td>Over $5 million</td>
<td>$5,000</td>
</tr>
</tbody>
</table>

If no contract proposal amount was submitted, the estimated contract amount shall be the County’s estimated contract price for the project. The County may accept cash, money order, certified check, or cashier’s check, payable to Broward County Board of Commissioners.

T. Right of Appeal

Pursuant to Section 21.83.d of the Broward County Procurement Code, any Vendor that has a substantial interest in the matter and is dissatisfied or aggrieved in connection with the Selection or Evaluation Committee’s determination of responsiveness may appeal the determination pursuant to Section 21.120 of the Broward County Procurement Code.

1. The appeal must be in writing and sent to the Director of Purchasing within ten (10) calendar days of the determination by the Selection or Evaluation Committee to be deemed timely.

2. As required by Section 21.120, the appeal must be accompanied by an appeal bond by a Vendor having standing to protest and must comply with all other requirements of this section.

3. The institution and filing of an appeal is an administrative remedy to be employed prior to the institution and filing of any civil action against the County concerning the subject matter of the appeal.

U. Rejection of Responses

The Selection or Evaluation Committee may recommend rejecting all submittals as in the best interests of the County. The rejection shall be made by the Director of Purchasing, except when a solicitation was approved by the Board, in which case the rejection shall be made by the Board.

V. Negotiations

The County intends to conduct the first negotiation meeting no later than two weeks after approval of the final ranking as recommended by the Selection or Evaluation Committee. At least one of the representatives for the Vendor participating in negotiations with the County must be authorized to bind the Vendor. In the event that the negotiations are not successful within a reasonable timeframe (notification will be provided to the Vendor) an impasse will be declared and negotiations with the first-ranked Vendor will cease. Negotiations will begin with the next ranked Vendor, etc. until such time that all requirements of Broward County Procurement Code have been met.

W. Submittal Instructions:
1. Broward County does not require any personal information (as defined under Section 501.171, Florida Statutes), such as social security numbers, driver license numbers, passport, military ID, bank account or credit card numbers, or any personal pin numbers, in order to submit a response for ANY Broward County solicitation. DO NOT INCLUDE any personal information data in any document submitted to the County. If any personal information data is part of a submittal, this information must be redacted prior to submitting a response to the County.

2. **Vendor MUST submit its solicitation response electronically and MUST confirm its submittal in order for the County to receive a valid response through BidSync.** It is the Vendor’s sole responsibility to assure its response is submitted and received through BidSync by the date and time specified in the solicitation.

3. The County will not consider solicitation responses received by other means. Vendors are encouraged to submit their responses in advance of the due date and time specified in the solicitation document. In the event that the Vendor is having difficulty submitting the solicitation document through Bid Sync, immediately notify the Purchasing Agent and then contact BidSync for technical assistance.

4. Vendor must view, submit, and/or accept each of the documents in BidSync. Web-fillable forms can be filled out and submitted through BidSync.

5. After all documents are viewed, submitted, and/or accepted in BidSync, the Vendor must upload additional information requested by the solicitation (i.e. Evaluation Criteria and Financials Statements) in the Item Response Form in BidSync, under line one (regardless if pricing requested).

6. Vendor should upload responses to Evaluation Criteria in Microsoft Word or Excel format.

7. If the Vendor is declaring any material confidential and exempt from Public Records, refer to Confidential Material/ Public Records and Exemptions for instructions on submitting confidential material.

8. After all files are uploaded, Vendor must submit and **CONFIRM** its offer (by entering password) for offer to be received through BidSync.

9. If a solicitation requires an original Proposal Bond (per Special Instructions to Vendors), Vendor must submit in a sealed envelope, labeled with the solicitation number, title, date and the time of solicitation opening to:

   Broward County Purchasing Division  
   115 South Andrews Avenue, Room 212  
   Fort Lauderdale, FL 33301

   A copy of the Proposal Bond should also be uploaded into Bid Sync; this does not replace the requirement to have an original proposal bond. Vendors must submit the original Proposal Bond, by the solicitation due date and time.
**Office of Economic and Small Business Requirements: CBE Goal Participation**

A. In accordance with Broward County Business Opportunity Act of 2012, Ordinance No. 2012-33, Broward County Code of Ordinances, the County Business Enterprise (CBE) Program is applicable to this contract. All Vendors responding to this solicitation should utilize, or attempt to utilize, CBE firms to perform at least the assigned participation goal for this contract.

B. CBE Program Requirements: Compliance with CBE participation goal requirements is a matter of responsibility; required forms and information should be submitted with solicitation submittal. If not provided with solicitation submittal, the Vendor must supply information within three business days of the Office of Economic and Small Business Development’s (OESBD) request. Vendor may be deemed non-responsible for failure to fully comply within stated timeframes.

   1. Vendor should include in its solicitation submittal a **Letter Of Intent Between Bidder/Offeror and County Business Enterprise (CBE) Subcontractor/Supplier**, for each certified CBE firm the Vendor intends to use to achieve the assigned CBE participation goal.

   2. If a Vendor is unable to attain the CBE participation goal, the Vendor should include in its solicitation submittal **Application for Evaluation of Good Faith Effort** and all of the required supporting information.

C. The Vendor shall only address the base solicitation amount for CBE goal participation. No alternate/optional item(s) shall be addressed. If the County chooses to exercise the right to award alternate/optional solicitation item(s), the CBE participation goal for this solicitation shall apply to the alternate/optional item(s) recommended to be awarded. The County shall issue a notice to the apparent successful Vendor requiring the Vendor to comply with the CBE participation goal for the alternate/optional item(s); Vendor shall submit all required forms prior to award. Failure to submit the required forms may result in rejection of the solicitation.

D. The Office of Economic and Small Business Development maintains an on-line directory of CBE firms. **The on-line directory is available for use by Vendors at https://webapps4.broward.org/smallbusiness/sbdirectory.aspx**

E. For detailed information regarding the County Business Enterprise Program contact the Office of Economic and Small Business Development at (954) 357-6400 or visit the website at: **http://www.broward.org/EconDev/SmallBusiness/**

F. **Requirements for Contracts with CBE Goals:** if awarded the contract, the Vendor agrees to and shall comply with all applicable requirements of the CBE Program in the award and administration of the contract.

   1. No party to this contract may discriminate on the basis of race, color, sex, religion, national origin, disability, age, marital status, political affiliation, sexual orientation, pregnancy, or gender identity and expression in the performance of this contract.

   2. Vendor shall comply with all applicable requirements of the Broward County Small Business Development Program in the award and administration of this contract. Failure by Vendor to carry out any of these requirements shall constitute a material breach of this contract, which shall permit County to terminate this contract or to exercise any other remedy provided under this contract, under the Broward County Code of Ordinances, or Administrative Code, or under applicable law, with all of such remedies being cumulative.
3. Vendor shall pay its CBE subcontractors and suppliers, within fifteen (15) days following receipt of payment from County for such subcontracted work and pay all other subcontractors and suppliers within thirty (30) days following receipt of payment from County for such subcontracted work or supplies. If Vendor withholds an amount from CBE subcontractors or suppliers as retainage, such retainage shall be released and paid within fifteen (15) days following receipt of payment of retained amounts from County. For all other subcontractors or suppliers, if Vendor withholds an amount as retainage, such retainage shall be released and paid within thirty (30) days following receipt of payment of retained amounts from County.

4. Vendor understands that the County will monitor compliance with the CBE requirements. Vendor must report monthly on its CBE participation commitment with its pay requests and is required as a condition of payment.
LETTER OF INTENT BETWEEN BIDDER/OFFEROR AND COUNTY BUSINESS
ENTERPRISE (CBE) SUBCONTRACTOR/SUPPLIER

This form(s) should be returned with the Vendor’s submittal. If not provided with solicitation submittal, the Vendor must supply information within three business days of County’s request. This form is to be completed and signed for each CBE firm. Vendor should scan and upload the completed, signed form(s) in BidSync.

Solicitation Number: TEC2115735P1  Project Title: Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

Bidder/Offeror  The Library Corporation
Name:
Address:  1355 S Colorado Blvd  City: Denver  State: CO  Zip: 80222
Authorized Representative:  Annette H. Murphy  Phone: 303.758.3030

CBE Subcontractor/Supplier
Name:
Address:  
City:  
State:  
Zip:  
Authorized Representative:  
Phone:  

A. This is a letter of intent between the bidder/offeror on this project and a CBE firm for the CBE to perform subcontracting work on this project.
B. By signing below, the bidder/offeror is committing to utilize the above-named CBE to perform the work described below.
C. By signing below, the above-named CBE is committing to perform the work described below.
D. By signing below, the bidder/offeror and CBE affirm that if the CBE subcontracts any of the work described below, it may only subcontract that work to another CBE.

<table>
<thead>
<tr>
<th>Work to be performed by CBE Firm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description</td>
</tr>
</tbody>
</table>

AFFIRMATION: I hereby affirm that the information above is true and correct.

CBE Subcontractor/Supplier Authorized Representative
Annette H. Murphy  CEO  4/16/2018
(Signature)  (Title)  (Date)

Bidder/Offeror Authorized Representative
bidopp@tlcdelivers.com
(Signature)  (Title)  (Date)

* Visit http://www.census.gov/eos/www/naics/ to search. Match type of work with NAICS code as
closely as possible. † To be provided only when the solicitation requires that bidder/offer include a dollar amount in its bid-offer.

† In the event the bidder/offeror does not receive award of the prime contract, any and all representations in this Letter of Intent and Affirmation shall be null and void.
APPLICATION FOR EVALUATION OF GOOD FAITH EFFORT
PURSUANT TO BUSINESS OPPORTUNITY ACT OF 2012, Sec. 1-81.5(e)

If applicable, this form and supporting documentation should be returned with the Vendor’s submittal. If not provided with solicitation submittal, the Vendor must supply information within three business days of County’s request. Vendor should scan and upload the supporting documentation in BidSync.

SOLICITATION NO.: TEC2115735P1 PROJECT NAME: Next Generation Integrated Library System (NGS/ILS) and Discovery Services (DS)

The Library Corporation
PRIME CONTRACTOR

1355 S Colorado Blvd Suite C800 Denver CO 80222 303.758.3030
ADDRESS TELEPHONE

The undersigned representative of the prime contractor represents that his/her firm has contacted County Business Enterprise (CBE) certified firms in a good faith effort to meet the CBE goal for this solicitation but has not been able to meet the goal. Consistent with the requirements of the Business Opportunity Act of 2012 (the Act), the prime contractor hereby submits documentation (attached to this form) of good faith efforts made and requests to be evaluated under Section 1-81.5(e) of the Act.

The prime contractor understands that a determination of good faith effort to meet the CBE contract participation goal is contingent on both the information provided by the prime contractor as an attachment to this application and the other factors listed in Section 1-81.5(e) of the CBE Act, as those factors are applicable with respect to this solicitation. The prime contractor acknowledges that the determination of good faith effort is made by the Director of the Office of Economic and Small Business Development, and is not subject to appeal.

SIGNATURE: Annette H. Murphy
PRINT NAME / TITLE: Annette H. Murphy CEO
DATE: 4/16/2018
Supplier: The Library Corporation

LOCAL VENDOR CERTIFICATION FORM (PREFERENCE AND TIEBREAKER)

The completed and signed form should be returned with the Vendor’s submittal to qualify for Local Preference, however it must be returned at time of solicitation submittal to qualify for the Tie Break criteria. If not provided with submittal, the Vendor must submit within three business days of County’s request for evaluation of Local Preference. Proof of a local business tax must be returned at time of solicitation submittal to qualify for the Tie Break criteria. Failure to timely submit this form or local business tax receipt may render the business ineligible for application of the Local Preference. Failure to timely submit this form and local business tax receipt at time of submittal will disqualify the Vendor for this Tie Breaker.

In accordance with Section 21.31.d. of the Broward County Procurement Code, to qualify for the Tie Break Criteria, the undersigned Vendor hereby certifies that (check box if applicable):

☐ The Vendor is a local Vendor in Broward County and:
   a. has a valid Broward County local business tax receipt;
   b. has been in existence for at least six-months prior to the solicitation opening;
   c. provides services on a day-to-day basis, at a business address physically located within the limits of Broward County and in an area zoned for such business; and
   d. services provided from this location are a substantial component of the services offered in the Vendor's proposal.

In accordance with Local Preference, Section 1-74, et. seq., Broward County Code of Ordinances, and Broward County’s Interlocal Reciprocity Agreement with Miami-Dade County, a local business meeting the below requirements is eligible for Local Preference. To qualify for the Local Preference, the undersigned Vendor hereby certifies that (check box if applicable):

☐ The Vendor is a local Vendor in Broward or Miami-Dade County and:
   a. has a valid corresponding County local business tax receipt;
   b. has been in existence for at least one-year prior to the solicitation opening;
   c. provides services on a day-to-day basis, at a business address physically located within the limits of Broward or Miami-Dade County and in an area zoned for such business; and
   d. the services provided from this location are a substantial component of the services offered in the Vendor's proposal.

☑ Vendor does not qualify for Tie Break Criteria or Local Preference, in accordance with the above requirements.

Annette H. Murphy
CEO
The Library Corporation

Authorized
Signature/Name

Date

4/16/2018
RFP-RFQ-RLI LOCATION ATTESTATION FORM (EVALUATION CRITERIA)

The completed and signed form and supporting information (if applicable, for Joint Ventures) should be returned with the Vendor’s submittal. If not provided with submittal, the Vendor must submit within three business days of County’s request. Failure to timely submit this form and supporting information may affect the Vendor’s evaluation. Provided information is subject to verification by the County.

A Vendor’s principal place of business location (also known as the nerve center) within Broward County is considered in accordance with Evaluation Criteria. The County’s definition of a principal place of business is:

1. As defined by the Broward County Local Preference Ordinance, “Principal place of business means the nerve center or center of overall direction, control and coordination of the activities of the bidder [Vendor]. If the bidder has only one (1) business location, such business location shall be considered its principal place of business.”

2. A principal place of business refers to the place where a corporation's officers direct, control, and coordinate the corporation's day-to-day activities. It is the corporation's ‘nerve center’ and in practice it should normally be the place where the corporation maintains its headquarters; provided that the headquarters is the actual center of direction, control, and coordination, i.e., the ‘nerve center’, and not simply an office where the corporation holds its board meetings (for example, attended by directors and officers who have traveled there for the occasion).

The Vendor’s principal place of business in Broward County shall be the Vendor’s “Principal Address” as indicated with the Florida Department of State Division of Corporations, for at least six months prior to the solicitation’s due date.

Check one of the following:

☑ The Vendor certifies that it has a principal place of business location (also known as the nerve center) within Broward County, as documented in Florida Department of State Division of Corporations (Sunbiz), and attests to the following statements:

1. Vendor’s address listed in its submittal is its principal place of business as defined by Broward County;

2. Vendor’s “Principal Address” listed with the Florida Department of State Division of Corporations is the same as the address listed in its submittal and the address was listed for at least six months prior to the solicitation’s opening date. A copy of Florida Department of State Division of Corporations (Sunbiz) is attached as verification.

3. Vendor must be located at the listed “nerve center” address (“Principal Address”) for at least six (6) months prior to the solicitation’s opening date;

4. Vendor has not merged with another firm within the last six months that is not headquartered in Broward County and is not a wholly owned subsidiary or a holding company of another firm that is not headquartered in Broward County;

5. If awarded a contract, it is the intent of the Vendor to remain at the referenced address for the duration of the contract term, including any renewals, extensions or any approved
interim contracts for the services provided under this contract; and

6. The Vendor understands that if after contract award, the County learns that the attestation was erroneous, and upon investigation determines that the error was willful or intentional on the part of the Vendor, the County may, on that basis exercise any contractual right to terminate the contract. Further any misleading, inaccurate, false information or documentation submitted by any party affiliated with this procurement may lead to suspension and/or debarment from doing business with Broward County as outlined in the Procurement Code, Section 21.119.

If the Vendor is submitting a response as a Joint Venture, the following information is required to be submitted:

a. Name of the Joint Venture Partnership
b. Percentage of Equity for all Joint Venture Partners
c. A copy of the executed Agreement(s) between the Joint Venture Partners

☐ Vendor does not have a principal place of business location (also known as the nerve center) within Broward County.

Vendor Information:

Vendor Name: The Library Corporation

Vendor’s address listed in its submittal is:

1355 S Colorado
Suite C800
Denver, CO 80222

The signature below must be by an individual authorized to bind the Vendor. The signature below is an attestation that all information listed above and provided to Broward County is true and accurate.

<table>
<thead>
<tr>
<th>Annette H. Murphy</th>
<th>CEO</th>
<th>The Library Corporation</th>
<th>4/16/2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorized Signature/Name</td>
<td>Title</td>
<td>Vendor Name</td>
<td>Date</td>
</tr>
</tbody>
</table>
DOMESTIC PARTNERSHIP ACT CERTIFICATION FORM (REQUIREMENT AND TIEBREAKER)

Refer to Special Instructions to identify if Domestic Partnership Act is a requirement of the solicitation or acts only as a tiebreaker. If Domestic Partnership is a requirement of the solicitation, the completed and signed form should be returned with the Vendor’s submittal. If the form is not provided with submittal, the Vendor must submit within three business days of County’s request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes. To qualify for the Domestic Partnership tiebreaker criterion, the Vendor must currently offer the Domestic Partnership benefit and the completed and signed form must be returned at time of solicitation submittal.

The Domestic Partnership Act, Section 16 ½ -157, Broward County Code of Ordinances, requires all Vendors contracting with the County, in an amount over $100,000 provide benefits to Domestic Partners of its employees, on the same basis as it provides benefits to employees’ spouses, with certain exceptions as provided by the Ordinance.

For all submittals over $100,000.00, the Vendor, by virtue of the signature below, certifies that it is aware of the requirements of Broward County’s Domestic Partnership Act, Section 16-½ -157, Broward County Code of Ordinances; and certifies the following: (check only one below).

- 1. The Vendor currently complies with the requirements of the County’s Domestic Partnership Act and provides benefits to Domestic Partners of its employees on the same basis as it provides benefits to employees’ spouses

- 2. The Vendor will comply with the requirements of the County’s Domestic Partnership Act at time of contract award and provide benefits to Domestic Partners of its employees on the same basis as it provides benefits to employees’ spouses.

- 3. The Vendor will not comply with the requirements of the County’s Domestic Partnership Act at time of award.

- 4. The Vendor does not need to comply with the requirements of the County’s Domestic Partnership Act at time of award because the following exception(s) applies: (check only one below).

- The Vendor is a governmental entity, not-for-profit corporation, or charitable organization.
- The Vendor is a religious organization, association, society, or non-profit charitable or educational institution.
- The Vendor provides an employee the cash equivalent of benefits. (Attach an affidavit in compliance with the Act stating the efforts taken to provide such benefits and the amount of the cash equivalent).
- The Vendor cannot comply with the provisions of the Domestic Partnership Act because it would violate the laws, rules or regulations of federal or state law or would violate or be inconsistent with the terms or conditions of a grant or contract with the United States or State of Florida. Indicate the law, statute or regulation (State the law, statute or regulation and attach explanation of its applicability).

---

Annette H. Murphy
CEO
The Library Corporation
Vendor Name
4/16/2018

Authorized Signature/Name
Title
4/25/2018

BidSync
Supplier: The Library Corporation

AGREEMENT EXCEPTION FORM

The completed form(s) should be returned with the Vendor’s submittal. If not provided with submittal, it shall be deemed an affirmation by the Vendor that it accepts the terms and conditions of the County’s Agreement as disclosed in the solicitation.

The Vendor must either provide specific proposed alternative language on the form below. Additionally, a brief justification specifically addressing each provision to which an exception is taken should be provided.

- [ ] There are no exceptions to the terms and conditions of the County Agreement as referenced in the solicitation; or
- [ ] The following exceptions are disclosed below: (use additional forms as needed; separate each Article/Section number)

<table>
<thead>
<tr>
<th>Term or Condition Article / Section</th>
<th>Insert version of exception or specific proposed alternative language</th>
<th>Provide brief justification for change</th>
</tr>
</thead>
</table>

Vendor Name: The Library Corporation
Supplier: The Library Corporation

LITIGATION HISTORY FORM

The completed form(s) should be returned with the Vendor’s submittal. If not provided with submittal, the Vendor must submit within three business days of County’s request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

- There are no material cases for this Vendor; or
- Material Case(s) are disclosed below:

<table>
<thead>
<tr>
<th>Is this for a: (check type)</th>
<th>If Yes, name of Parent/Subsidiary/Predecessor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Parent, ☑ Subsidiary, or ☑ Predecessor Firm?</td>
<td>Or No ☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Party</th>
<th>Case Number, Name, and Date Filed</th>
</tr>
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<table>
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<tr>
<th>Name of Court or other tribunal</th>
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<table>
<thead>
<tr>
<th>Type of Case</th>
<th>Bankruptcy ☐</th>
<th>Civil ☐</th>
<th>Criminal ☐</th>
<th>Administrative/Regulatory ☐</th>
</tr>
</thead>
</table>

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<tr>
<th>Claim or Cause of Action and Brief description of each Count</th>
<th>Disposition of Case</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Pending ☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Brief description of the Subject Matter and Project Involved</th>
<th>Judgment Vendor’s Favor ☐</th>
<th>Judgment Against Vendor ☐</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Disposition of Case (Attach copy of any applicable Judgment, Settlement Agreement and Satisfaction of Judgment.)</th>
<th>If Judgment Against, is Judgment Satisfied? ☐ Yes ☐ No</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Opposing Counsel Name: Annette H. Murphy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Email: T1CBID</td>
</tr>
<tr>
<td>Telephone Number: 303.758.3030</td>
</tr>
</tbody>
</table>

Vendor Name: The Library Corporation
Supplier: The Library Corporation

SUBCONTRACTORS/SUBCONSULTANTS/SUPPLIERS REQUIREMENT FORM
Request for Proposals, Request for Qualifications, or Request for Letters of Interest

The following forms and supporting information (if applicable) should be returned with Vendor’s submittal. If not provided with submittal, the Vendor must submit within three business days of County’s request. Failure to timely submit may affect Vendor’s evaluation.

A. The Vendor shall submit a listing of all subcontractors, subconsultants and major material suppliers (firms), if any, and the portion of the contract they will perform. A major material supplier is considered any firm that provides construction material for construction contracts, or commodities for service contracts in excess of $50,000, to the Vendor.

B. If participation goals apply to the contract, only non-certified firms shall be identified on the form. A non-certified firm is a firm that is not listed as a firm for attainment of participation goals (ex. County Business Enterprise or Disadvantaged Business Enterprise), if applicable to the solicitation.

C. This list shall be kept up-to-date for the duration of the contract. If subcontractors, subconsultants or suppliers are stated, this does not relieve the Vendor from the prime responsibility of full and complete satisfactory performance under any awarded contract.

D. After completion of the contract/final payment, the Vendor shall certify the final list of non-certified subcontractors, subconsultants, and suppliers that performed or provided services to the County for the referenced contract.

E. The Vendor has confirmed that none of the recommended subcontractors, subconsultants, or suppliers’ principal(s), officer(s), affiliate(s) or any other related companies have been debarred from doing business with Broward County or any other governmental agency.

If none, state “none” on this form. Use additional sheets as needed. Vendor should scan and upload any additional form(s) in BidSync.

1. Subcontracted Firm’s Name:
   
   Subcontracted Firm’s Address:

   Subcontracted Firm’s Telephone Number:

   Contact Person’s Name and Position:

   Contact Person’s E-Mail Address:

   Estimated Subcontract/Supplies Contract Amount:

   Type of Work/Supplies Provided:

2. Subcontracted Firm’s Name:

   Subcontracted Firm’s Address:

   Subcontracted Firm’s Telephone Number:

   Contact Person’s Name and Position:

   Contact Person’s E-Mail Address:
Supplier: The Library Corporation

VOLUME OF PREVIOUS WORK ATTESTATION FORM

The completed and signed form should be returned with the Vendor’s submittal. If not provided with submittal, the Vendor must submit within three business days of County’s request. Failure to provide timely may affect the Vendor’s evaluation. This completed form must be included with the Vendor’s submittal at the time of the opening deadline to be considered for a Tie Breaker criterion (if applicable).

The calculation for Volume of Previous Work is all amounts paid to the prime Vendor by Broward County Board of County Commissioners at the time of the solicitation opening date within a five-year timeframe. The calculation of Volume of Previous Work for a prime Vendor previously awarded a contract as a member of a Joint Venture firm is based on the actual equity ownership of the Joint Venture firm.

In accordance with Section 21.31.d. of the Broward County Procurement Code, the Vendor with the lowest dollar volume of work previously paid by the County over a five-year period from the date of the submittal opening will receive the Tie Breaker.

Vendor must list all projects it received payment from Broward County Board of County Commissioners during the past five years. If the Vendor is submitting as a joint venture, the information provided should encompass the joint venture and each of the entities forming the joint venture. The Vendor attests to the following:

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Project Title</th>
<th>Solicitation/Contract Number:</th>
<th>Department or Division</th>
<th>Date Awarded</th>
<th>Paid to Date Dollar Amount</th>
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<tbody>
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</table>

Grand Total

Has the Vendor been a member/partner of a Joint Venture firm that was awarded a contract by the County?  Yes ☐ No ☐

If Yes, Vendor must submit a Joint Vendor Volume of Work Attestation Form.

Vendor Name:

Authorized Signature/ Name         Title         Date
VOLUME OF PREVIOUS WORK ATTESTATION JOINT VENTURE FORM

If applicable, this form and additional required documentation should be submitted with the Vendor’s submittal. If not provided with submittal, the Vendor must submit within three business days of County’s request. Failure to timely submit this form and supporting documentation may affect the Vendor’s evaluation.

The calculation of Volume of Previous Work for a prime Vendor previously awarded a contract as a member of a Joint Venture firm is based on the actual equity ownership of the Joint Venture firm. Volume of Previous Work is not based on the total payments to the Joint Venture firm.

Vendor must list all projects it received payment from Broward County Board of County Commissioners during the past five years as a member of a Joint Venture. The Vendor attests to the following:

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Project Title</th>
<th>Solicitation/Contract Number:</th>
<th>Department or Division</th>
<th>Date Awarded</th>
<th>JV Equity %</th>
<th>Paid to Date Dollar Amount</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

Grand Total

Vendor is required to submit an executed Joint Venture agreement(s) and any amendments for each project listed above. Each agreement must be executed prior to the opening date of this solicitation.

Vendor Name:

A11tlc

Authorized Signature/ Name               Title               Date
AFFILIATED ENTITIES OF THE PRINCIPAL(S) CERTIFICATION FORM

The completed form should be submitted with the solicitation response but must be submitted within three business days of County’s request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

a. All Vendors are required to disclose the names and addresses of “affiliated entities” of the Vendor’s principal(s) over the last five (5) years (from the solicitation opening deadline) that have acted as a prime Vendor with the County.

b. The County will review all affiliated entities of the Vendor’s principal(s) for contract performance evaluations and the compliance history with the County’s Small Business Program, including CBE, DBE and SBE goal attainment requirements. “Affiliated entities” of the principal(s) are those entities related to the Vendor by the sharing of stock or other means of control, including but not limited to a subsidiary, parent or sibling entity.

c. The County will consider the contract performance evaluations and the compliance history of the affiliated entities of the Vendor’s principals in its review and determination of responsibility.

The Vendor hereby certifies that: (select one)

☐ No principal of the proposing Vendor has prior affiliations that meet the criteria defined as “Affiliated entities”

☐ Principal(s) listed below have prior affiliations that meet the criteria defined as “Affiliated entities”

Principal’s Name:

Names of Affiliated Entities:

Principal’s Name:

Names of Affiliated Entities:

Principal’s Name:

Names of Affiliated Entities:

Authorized Signature Name:

Title:

Vendor Name:

Date:
Supplier: The Library Corporation

LOBBYIST REGISTRATION REQUIREMENT CERTIFICATION FORM

The completed form should be submitted with the solicitation response but must be submitted within three business days of County’s request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

The Vendor certifies that it understands if it has retained a lobbyist(s) to lobby in connection with a competitive solicitation, it shall be deemed non-responsive unless the firm, in responding to the competitive solicitation, certifies that each lobbyist retained has timely filed the registration or amended registration required under Broward County Lobbyist Registration Act, Section 1-262, Broward County Code of Ordinances; and it understands that if, after awarding a contract in connection with the solicitation, the County learns that the certification was erroneous, and upon investigation determines that the error was willful or intentional on the part of the Vendor, the County may, on that basis, exercise any contractual right to terminate the contract for convenience.

The Vendor hereby certifies that: (select one)

☑️ It has not retained a lobbyist(s) to lobby in connection with this competitive solicitation; however, if retained after the solicitation, the County will be notified.

☐ It has retained a lobbyist(s) to lobby in connection with this competitive solicitation and certified that each lobbyist retained has timely filed the registration or amended registration required under Broward County Lobbyist Registration Act, Section 1-262, Broward County Code of Ordinances.

It is a requirement of this solicitation that the names of any and all lobbyists retained to lobby in connection with this solicitation be listed below:

Name of Lobbyist:
Lobbyist’s Firm:
Phone:
E-mail:

Name of Lobbyist:
Lobbyist’s Firm:
Phone:
E-mail:

Authorized Signature/Name: Date:
Title:

Vendor Name:
Supplier: The Library Corporation

STANDARD CERTIFICATIONS
Request for Proposals, Request for Qualifications, or Request for Letters of Interest

Vendor should complete and acknowledge the standard certifications and submit with the solicitation response. If not submitted with solicitation response, it must be submitted within three business days of County’s request. Failure to timely submit may affect Vendor’s evaluation. It is imperative that the person completing the standard certifications be knowledgeable about the proposing Vendor’s business and operations.

Cone of Silence Requirement Certification:
The Cone of Silence Ordinance, Section 1-266, Broward County Code of Ordinances prohibits certain communications among Vendors, Commissioners, County staff, and Selection or Evaluation Committee members. Identify on a separate sheet any violations of this Ordinance by any members of the responding firm or its joint ventures. After the application of the Cone of Silence, inquiries regarding this solicitation should be directed to the Director of Purchasing or designee. The Cone of Silence terminates when the County Commission or other awarding authority takes action which ends the solicitation.

The Vendor hereby certifies that: (check each box)

- The Vendor has read Cone of Silence Ordinance, Section 1-266, Broward County Code of Ordinances; and

- The Vendor understands that the Cone of Silence for this competitive solicitation shall be in effect beginning upon the appointment of the Selection or Evaluation Committee, for communication regarding this solicitation with the County Administrator, Deputy County Administrator, Assistant County Administrators, and Assistants to the County Administrator and their respective support staff or any person, including Evaluation or Selection Committee members, appointed to evaluate or recommend selection in this RFP/RLI process. For Communication with County Commissioners and Commission staff, the Cone of Silence allows communication until the initial Evaluation or Selection Committee Meeting.

- The Vendor agrees to comply with the requirements of the Cone of Silence Ordinance.

Drug-Free Workplace Requirements Certification:
Section 21.31.a. of the Broward County Procurement Code requires awards of all competitive solicitations requiring Board award be made only to firms certifying the establishment of a drug free workplace program. The program must consist of:

1. Publishing a statement notifying its employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the offeror’s workplace, and specifying the actions that will be taken against employees for violations of such prohibition;

2. Establishing a continuing drug-free awareness program to inform its employees about:
   a. The dangers of drug abuse in the workplace;
   b. The offeror’s policy of maintaining a drug-free workplace;
   c. Any available drug counseling, rehabilitation, and employee assistance programs; and
   d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

3. Giving all employees engaged in performance of the contract a copy of the statement
4. Notifying all employees, in writing, of the statement required by subparagraph 1, that as a condition of employment on a covered contract, the employee shall:
   a. Abide by the terms of the statement; and
   b. Notify the employer in writing of the employee's conviction of, or plea of guilty or nolo contendere to, any violation of Chapter 893 or of any controlled substance law of the United States or of any state, for a violation occurring in the workplace NO later than five days after such conviction.

5. Notifying Broward County government in writing within 10 calendar days after receiving notice under subdivision 4.b above, from an employee or otherwise receiving actual notice of such conviction. The notice shall include the position title of the employee;

6. Within 30 calendar days after receiving notice under subparagraph 4 of a conviction, taking one of the following actions with respect to an employee who is convicted of a drug abuse violation occurring in the workplace:
   a. Taking appropriate personnel action against such employee, up to and including termination; or
   b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency; and

7. Making a good faith effort to maintain a drug-free workplace program through implementation of subparagraphs 1 through 6.

The Vendor hereby certifies that: (check box)

☑ The Vendor certifies that it has established a drug free workplace program in accordance with the above requirements.

**Non-Collusion Certification:**
Vendor shall disclose, to their best knowledge, any Broward County officer or employee, or any relative of any such officer or employee as defined in Section 112.3135 (1) (c), Florida Statutes, who is an officer or director of, or has a material interest in, the Vendor's business, who is in a position to influence this procurement. Any Broward County officer or employee who has any input into the writing of specifications or requirements, solicitation of offers, decision to award, evaluation of offers, or any other activity pertinent to this procurement is presumed, for purposes hereof, to be in a position to influence this procurement. Failure of a Vendor to disclose any relationship described herein shall be reason for debarment in accordance with the provisions of the Broward County Procurement Code.

The Vendor hereby certifies that: (select one)

☑ The Vendor certifies that this offer is made independently and free from collusion; or

☐ The Vendor is disclosing names of officers or employees who have a material interest in this procurement and is in a position to influence this procurement. Vendor must include a list of name(s), and relationship(s) with its submittal.
Public Entities Crimes Certification:
In accordance with Public Entity Crimes, Section 287.133, Florida Statutes, a person or affiliate placed on the convicted vendor list following a conviction for a public entity crime may not submit on a contract: to provide any goods or services; for construction or repair of a public building or public work; for leases of real property to a public entity; and may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity; and may not transact business with any public entity in excess of the threshold amount provided in s. 287.017 for Category Two for a period of 36 months following the date of being placed on the convicted vendor list.

The Vendor hereby certifies that: (check box)

☑️ The Vendor certifies that no person or affiliates of the Vendor are currently on the convicted vendor list and/or has not been found to commit a public entity crime, as described in the statutes.

Scrutinized Companies List Certification:
Any company, principals, or owners on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List is prohibited from submitting a response to a solicitation for goods or services in an amount equal to or greater than $1 million.

The Vendor hereby certifies that: (check each box)

☑️ The Vendor, owners, or principals are aware of the requirements of Sections 287.135, 215.473, and 215.4275, Florida Statutes, regarding Companies on the Scrutinized Companies with Activities in Sudan List the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List; and

☑️ The Vendor, owners, or principals, are eligible to participate in this solicitation and are not listed on either the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List; and

☑️ If awarded the Contract, the Vendor, owners, or principals will immediately notify the County in writing if any of its principals are placed on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List.

I hereby certify the information provided in the Vendor Questionnaire and Standard Certifications:

Annette H. Murphy  CEO  4/16/2018

*AUTHORIZED SIGNATURE/NAME TITLE DATE

Vendor Name: The Library Corporation

* I certify that I am authorized to sign this solicitation response on behalf of the Vendor as indicated in Certificate as to Corporate Principal, designation letter by Director/Corporate Officer, or other business authorization to bind on behalf of the Vendor. As the Vendor’s authorized representative, I attest that any and all statements, oral, written or otherwise, made in support of the Vendor’s response, are accurate, true and correct. I also acknowledge that inaccurate, untruthful, or incorrect statements made in support of the Vendor’s response may be used by the County as a basis for rejection, rescission of the award, or termination of the contract and may also serve as the basis for debarment of Vendor pursuant to Section 21.119 of the Broward County Procurement Code. I certify that the Vendor’s response is made without prior understanding, agreement, or connection with any corporation, firm or person submitting a response for the same items/services, and is in all respects fair and without collusion or fraud. I also certify that the Vendor agrees to abide by all terms and
conditions of this solicitation, acknowledge and accept all of the solicitation pages as well as any special instructions sheet(s).