



## Purchasing & Contracting Department

January 30, 2026

VIA EMAIL TO: carey.miller@clarivate.com

Ms. Carey Miller, Product Sales Manager  
Innovative Interfaces, Inc.  
120 2<sup>nd</sup> Street, 3<sup>rd</sup> Floor  
Ann Arbor, MI 481018

Reference: Request for Proposal (RFP) No. 10090131-25-D, Integrated Library System

Dear Ms. Miller:

Subject: Letter Agreeing to Exceptions

Exhibit A, paragraph A.2.2 of the subject RFP, states, in pertinent part: "Any exceptions to the Contract that have not been accepted by the City in writing are deemed rejected. The City, in its sole discretion, may accept some or all of bidder's exceptions, reject bidder's exceptions, and deem the bid non-responsive, or award the Contract without bidder's proposed exceptions."

This letter confirms our agreement to modify the terms of the Contract relating to the above-referenced solicitation. The Parties agree as follows:

1. Section 4.1 City's Right to Suspend for Convenience of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**4.1 City's Right to Suspend for Convenience.** As it pertains to any services to be provided by Contractor (except the software subscription service set forth in Exhibit B-2) until the time of final written acceptance by City, City may suspend all or any portion of Contractor's performance under this Contract at its sole option and for its convenience for a reasonable period of time not to exceed six (6) months. City must first give ten (10) days' written notice to Contractor of such suspension. City will pay to Contractor a sum equivalent to the reasonable value of the goods and/or services satisfactorily provided up to the date of suspension. City may rescind the suspension prior to or at six (6) months by providing Contractor with written notice of the rescission, at which time Contractor would be required to resume performance in compliance with the terms and provisions of this Contract. Contractor will be entitled to an extension of time to complete performance under the Contract equal to the length of the suspension unless otherwise agreed to in writing by the Parties. Notwithstanding the foregoing, City may suspend for convenience all services including the software subscription service set forth in Exhibit B-2 due to loss of funding.

2. Section 4.2 City's Right to Terminate for Convenience of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**4.2 City's Right to Terminate for Convenience.** As it pertains to any services to be provided by Contractor (except the software subscription service set forth in Exhibit B-2) until the time of final written acceptance by City, City may, at its sole option and for its convenience, terminate all or any portion of this Contract by giving thirty (30) days' written notice of such termination to Contractor. The termination of the Contract shall be effective upon receipt of the notice by Contractor. After termination of all or any portion of the Contract, Contractor shall: (1) immediately discontinue all affected performance (unless the notice directs otherwise); and (2) complete any and all additional work necessary for the orderly filing of documents and closing of Contractor's affected performance under the Contract. After filing of documents and completion of performance, Contractor shall deliver to City all data, drawings, specifications, reports, estimates, summaries, and such other information and materials created or received by Contractor in performing this Contract, whether completed or in process. By accepting payment for completion, filing, and delivering documents as called for in this section, Contractor discharges City of all of City's payment obligations and liabilities under this Contract with regard to the affected performance. Notwithstanding the foregoing, the City may terminate all services including the software subscription service set forth in Exhibit B-2 for convenience due to loss of funding.

3. Section 4.3 City's Right to Terminate for Default and Section 4.3.1 of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**4.3 Mutual Right to Terminate for Default.** Any failure by City or Contractor to satisfactorily perform any obligation required by this Contract constitutes a default. Examples of default include a determination by City that Contractor has: (1) failed to deliver goods and/or perform the services of the required quality or within the time specified; (2) failed to perform any of the obligations of this Contract; and (3) failed to make sufficient progress in performance which may jeopardize full performance.

**4.3.1.** If either party fails to satisfactorily cure a default within sixty (60) calendar days of receiving written notice from the other party specifying the nature of the default, the non-breaching party may immediately cancel and/or terminate this Contract, and terminate each and every right of the other party, and any person claiming any rights by or through Contractor under this Contract. Notwithstanding the foregoing, if the breaching party has in good faith commenced to remedy such failure and such remedy cannot reasonably be completed within such 60-day period, then the breaching party will have an additional thirty (30) days to complete such remedy, after which period the other party may terminate this Contract if such failure continues unremedied.

4. Section 5.7 Warranties of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**5.7 Warranties for Software Products and Software Implementation Services.** All

goods and/or services provided under the Contract must be warranted by Contractor or manufacturer for at least thirty (30) days after acceptance by City, with regard to the software implementation services and except automotive equipment. Automotive equipment must be warranted for a minimum of 12,000 miles or 12 months, whichever occurs first, unless otherwise stated in the Contract. Contractor is responsible to City for all warranty service, parts, and labor. Contractor is required to ensure that warranty work is performed at a facility acceptable to City and that services, parts, and labor are available and provided to meet City's schedules and deadlines. Contractor may establish a warranty service contract with an agency satisfactory to City instead of performing the warranty service itself. If Contractor is not an authorized service center and causes any damage to equipment being serviced, which results in the existing warranty being voided, Contractor will be liable for all costs of repairs to the equipment, or the costs of replacing the equipment with new equipment that meets City's operational needs.

As for any and all software products provided by Contractor, the following warranty shall apply with the terms "we", "us", and "our" below referring to Contractor and "you" and "your" referring to City:

- (a) LIMITED WARRANTY. WE WARRANT THAT (i) WE PROVIDE THE PRODUCTS USING COMMERCIAL REASONABLE SKILL AND CARE; (ii) OUR INSTALLED SOFTWARE WILL SUBSTANTIALLY CONFORM TO ITS DOCUMENTATION; AND (iii) OUR HOSTED SOFTWARE WILL SUBSTANTIALLY CONFORM TO ITS THEN-CURRENT DOCUMENTATION. WE DO NOT WARRANT UNINTERRUPTED OR ERROR-FREE OPERATION OR DELIVERY OF THE PRODUCTS. TO THE FULLEST EXTENT PERMITTED UNDER APPLICABLE LAWS, THESE WARRANTIES AND ANY PRODUCT-SPECIFIC WARRANTIES THAT MAY BE INCLUDED IN YOUR ORDER ARE THE EXCLUSIVE WARRANTIES FROM CONTRACTOR AND WE DISCLAIM ALL OTHER WARRANTIES, REPRESENTATIONS AND UNDERTAKINGS, EXPRESS OR IMPLIED, INCLUDING OF PERFORMANCE, MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, ACCURACY, COMPLETENESS AND CURRENTNESS.
- (b) SOFTWARE. IF WE CANNOT RECTIFY ANY VALID SOFTWARE WARRANTY CLAIM WITHIN A REASONABLE PERIOD YOU MAY CANCEL YOUR LICENSE OF THE AFFECTED SOFTWARE BY WRITTEN NOTICE TO US. WE WILL WITHOUT ANY FURTHER LIABILITY REFUND ALL APPLICABLE CHARGES BASED ON A FIVE (5) YEAR STRAIGHT-LINE DEPRECIATION FROM THE EFFECTIVE DATE OF THE APPLICABLE ORDER FOR THE SOFTWARE.
- (c) SOFTWARE IMPLEMENTATION SERVICES. WE WILL RECTIFY SOFTWARE IMPLEMENTATION SERVICES IF YOU GIVE US WRITTEN NOTICE OF A VALID WARRANTY CLAIM WITHIN 30 DAYS OF DELIVERY. IF WE CANNOT RECTIFY ANY VALID WARRANTY CLAIM WITHIN A REASONABLE PERIOD, WE WILL WITHOUT ANY FURTHER LIABILITY REFUND ALL APPLICABLE CHARGES RELATED TO THE DEFECTIVE SERVICE AND WE MAY TERMINATE THE AFFECTED SERVICES BY WRITTEN NOTICE TO YOU.
- (d) NO ADVICE. WE ARE PROVIDING THE PRODUCTS FOR INFORMATIONAL PURPOSES ONLY. WE ARE NOT PROVIDING ANY ADVICE (LEGAL, MEDICAL, CLINICAL, FINANCIAL OR OTHERWISE) BY ALLOWING YOU TO ACCESS AND USE THE PRODUCTS. YOU ARE FULLY RESPONSIBLE FOR YOUR INTERPRETATIONS OF THE PRODUCTS. IF YOU DESIRE ADVICE, WE ENCOURAGE YOU TO ENGAGE LEGAL, MEDICAL, CLINICAL OR FINANCIAL PROFESSIONALS TO HELP YOU INTERPRET THE PRODUCTS. YOU ACKNOWLEDGE THAT WE ARE NOT RESPONSIBLE FOR ANY ACTION OR DAMAGES RESULTING FROM ANY DECISIONS YOU (OR ANY OTHER PARTY ACCESSING THE PRODUCTS THROUGH YOU) MAKE IN RELIANCE ON THE PRODUCTS. WE ARE NOT A LAW FIRM OR PROFESSIONAL ADVISOR AND NO ATTORNEY/CLIENT, PHYSICIAN/PATIENT OR OTHER FIDUCIARY OR PROFESSIONAL RELATIONSHIP IS CREATED.
- (e) THIRD PARTY MATERIALS. WE DO NOT ACCEPT ANY RESPONSIBILITY FOR, AND WILL NOT BE LIABLE FOR CLAIMS ARISING FROM, THIRD PARTY TECHNOLOGY OR ANY THIRD PARTY MATERIALS ACCESSIBLE VIA LINKS IN THE PRODUCTS.

5. Section 6.1 Rights in Data of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**6.1 Rights in Data.** All Intellectual Property Rights (defined below) in the software and also including, without limitation, all improvements, enhancements, modifications, client-specific upgrades, or updates to the software, developed by either party, solely or jointly (collectively, "Contractor Products"), will remain the exclusive, sole and absolute property of Contractor or the third parties from whom Contractor has obtained the right to use the Contractor Products. Intellectual property created by Contractor pursuant to this Contract, or any other party at the request or direction of Contractor, will be owned by Contractor. "Intellectual Property Rights" means any and all intellectual property rights existing from time to time under any law or regulation, including without limitation, patent law, copyright law, semiconductor chip protection law, moral rights law, trade secret law, trademark law, unfair competition law, publicity rights law, or privacy rights law, and any and all other proprietary rights, and any and all applications, renewals, extensions and restorations of any of the foregoing, now or hereafter in force and effect worldwide. This Contract does not convey to the City any interest in or to the Contractor Products or any associated Intellectual Property Rights, but only a limited right to use the software to the extent set forth in this Contract, which right is terminable in accordance with the terms of this Contract and is otherwise subject to the limitations, restrictions, and requirements contained herein. If City configures or otherwise modifies the software using an API licensed hereunder, City will also have a license to use such configurations or modifications as part of the software on the terms set forth herein. Rights not expressly granted to the City are hereby expressly reserved by Contractor.

6. Section 6.2 Intellectual Property Rights Assignment of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**6.2 Intellectual Property Rights Assignment.** For purpose of this Contract, as between Contractor and City, any Intellectual Property Rights in the Contractor Products to the extent owned by any third party will be and remain the exclusive property of such third party. The software may include third-party software and products, which are described in the documentation and/or specifications made available to City by Contractor.

7. Section 6.3 Contractor Works of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**6.3 Contractor Works.** Except as expressly stated herein, City will exclusively have and retain all right, title and interest, including all associated Intellectual Property Rights, in and to data that City enters into the software or disclosed by City to Contractor in its performance hereunder ("Client Data"), and, as between City and Contractor, such Client Data will remain the sole property of City. Provided that Contractor does not disclose or compromise any confidential or personally identifiable information of City or its end users in any of the following uses, City grants to Contractor a license to use Client Data: (i) to process the Client Data pursuant to City's business requirements, (ii) for maintenance and support of the software, (iii) to collect and use aggregate, non-identifying and anonymized data for software research and development purposes. City acknowledges and agrees that it will have no rights in any products or services created or sold by Contractor or its affiliates



that use any of the Client Data in the manner set forth in (iii) of the preceding sentence. To the extent that applicable law requires any permissions or authorizations to have been obtained prior to submission of Client Data to Contractor (including without limitation from individuals to whom the data pertains), City warrants and covenants that it (and its Authorized Users, as applicable) will have first obtained the same permissions or authorizations prior to transmitting such data to Contractor.

8. Section 6.4 Subcontracting of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**6.4 [Reserved]**

9. Section 7.1 Indemnification of Exhibit C, General Contract Terms and Provisions, shall be deleted in its entirety and replaced with the following:

**7.1 Indemnification.** To the fullest extent permitted by law, Contractor shall indemnify and hold the City and its elected officials, officers, employees, agents and representatives (Indemnified Parties) harmless from any and all liability, expense, judgment, suit, or cause of action for personal injury, death or direct damage to tangible property which may accrue against the City and the Indemnified Parties to the extent it is caused by the negligence of Contractor, its sub-consultants, or their employees or agents, while performing duties under this Contract. The City shall give prompt, written notice of any such claim or suit and shall cooperate with Contractor in its defense or settlement of such claim or suit. This section sets forth the full extent of Contractor's general indemnification of the City that are in any way related to Contractor's performance under this Contract.

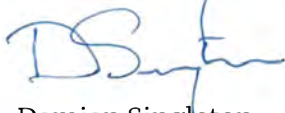
Data Privacy Indemnity. Subject to the maximum Limitation on Liability cap as set forth in Clause 7.10 herein, Contractor agrees to indemnify, defend and save City, its officials, agents or employees, harmless from and against any third party claim, loss, damage, cost, and expense, including reasonable attorney's fees, relating to breaches of Contractor's data privacy obligations, to the extent such damages are caused by the negligent or wrongful act or omission or willful misconduct of the Contractor, or its employees, suppliers, materialmen, invitees, licensees, and guests. The indemnified Party shall provide timely notification to the indemnifying Party of any assertion against it of any such claims or demands. Each Party shall cooperate in good faith with the other to facilitate the defense and/or settlement of such a claim.

10. Section 7.10 Limitation on Liability has been added to Exhibit C, General Terms and Provisions, with the following:

**7.10 Limitation on Liability.** The aggregate liability of Contractor (and of any of Contractor's third party providers) for all claims arising out of or in connection with the Contractor, including for breach of statutory duty, in tort or in negligence, will not exceed the amount of any actual direct damages up to the amounts payable under the Contract in the 36 months prior to the first incident under which liability arose (or where the claim arose in the first 36 months of the Contract, the amounts that would have been payable in the first 36 months).

Please indicate your agreement with the above by signing the bottom of this letter. Thank you for your assistance.

Sincerely,



Damian Singleton  
Senior Procurement Contracting Officer

This Letter is executed by the City and Contractor acting by and through their authorized officers.

INNOVATIVE INTERFACES, INC

By: Tim McGee  
Tim McGee (Jan 30, 2026 10:50:16 EST)

Name: Tim McGee

Title: VP, Sales Operations

Date: 01/30/2026

THE CITY OF SAN DIEGO

By: C. Abarca

Name: Claudia Abarca

Title: Director, Purchasing & Contracting

Date: 01/30/2026

# 10090131-25-D\_Exceptions Letter

Final Audit Report

2026-01-30

|                 |                                              |
|-----------------|----------------------------------------------|
| Created:        | 2026-01-30                                   |
| By:             | Damian Singleton (dsingleton@sandiego.gov)   |
| Status:         | Signed                                       |
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## "10090131-25-D\_Exceptions Letter" History

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-  Agreement completed.  
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**CONTRACT RESULTING FROM REQUEST FOR PROPOSAL NUMBER 10090131-25-D,  
Integrated Library System (ILS) for the Library Department**

This Contract (Contract) is entered into by and between the City of San Diego, a municipal corporation (City), and Innovative Interfaces Incorporated, the successful proposer to Request for Proposal (RFP) # 10090131-25-D, Integrated Library System (ILS) for the Library Department (Contractor).

**RECITALS**

On or about December 13, 2024, City issued an RFP to prospective proposers on services to be provided to the City. The RFP and any addenda and exhibits thereto are collectively referred to as the "RFP." The RFP is attached hereto as Exhibit A.

City has determined that Contractor has the expertise, experience, and personnel necessary to provide the services.

City wishes to retain Contractor to provide an Integrated Library System (ILS) using the Software as a Service (SaaS) distribution model as further described in the Scope of Work, attached hereto as Exhibit B-1 (City's Required Scope of Services), Exhibit B-2 (Essential Services) and B-3 (As-Needed Services). The services set forth in Exhibits B-1 through B-3 will be comprehensively referred to as "Services."

Contractor has offered revised pricing reflected in Exhibit D-2, which is even more beneficial to City than what was originally included in their proposal as reflected in Exhibit D-1. Exhibits D-1 and Exhibit D-2 are comprehensively referred to as Exhibit D.

Upon execution of this Contract, the prior contract effective March 1, 2019, which was issued pursuant to Request for Proposal Number 10089320-19-L, including any and all amendments, will terminate as of the effective date of this Contract.

For good and valuable consideration, the sufficiency of which is acknowledged, City and Contractor agree as follows:

**ARTICLE I  
CONTRACTOR SERVICES**

**1.1 Scope of Work.** Contractor shall provide Essential Services in Exhibit B-2 and As-Needed Services in Exhibit B-3 upon request by City and consistent with City's Required Scope of Services in Exhibit B-1, which are all incorporated herein by reference. Contractor will submit all required forms and information described in Exhibit A to the Purchasing Agent before providing City's Required Scope of Services.

**1.2 General Contract Terms and Provisions.** This Contract incorporates by reference the General Contract Terms and Provisions, attached hereto as Exhibit C.

**1.3 Contract Administrator.** The Library Department (Department) is the Contract Administrator for this Agreement. Contractor shall provide the Services under the direction of a designated representative of the Department as follows:

Curtis Williams, Technology Resource Manager  
Library Department

330 Park Blvd  
San Diego, CA 92101  
(619) 238-6635  
[clwilliams@sandiego.gov](mailto:clwilliams@sandiego.gov)

## **ARTICLE II DURATION OF CONTRACT**

**2.1 Term.** This Contract shall be for a period of five (5) years beginning on the Effective Date. The City may, in its sole discretion, exercise options to extend this Contract for five (5) additional one (1) year period(s). The term of this Contract shall not exceed five (5) years unless approved by the City Council by ordinance.

Upon execution of this Contract, the prior contract effective March 1, 2019, which was issued pursuant to Request for Proposal Number 10089320-19-L, including any and all amendments, will terminate effective as of January 1, 2026

**2.2 Effective Date.** This Contract shall be effective on January 1, 2026, after it is executed by the last Party to sign the Contract and approved by the City Attorney in accordance with San Diego Charter Section 40.

## **ARTICLE III COMPENSATION**

**3.1 Amount of Compensation.** City shall pay Contractor for performance of all Services rendered in accordance with this Contract in an amount not to exceed \$1,688,903.00. The pricing set forth in Exhibit D-2 Revised Pricing Schedule shall control over Exhibit D-1.

## **ARTICLE IV WAGE REQUIREMENTS**

**4.1 Reserved.**

## **ARTICLE V CONTRACT DOCUMENTS**

**5.1 Contract Documents.** The following documents comprise the Contract between the City and Contractor: this Contract and all exhibits thereto, the RFP; the Notice to Proceed; and the City's written acceptance of exceptions or clarifications to the RFP, if any.

**5.2 Contract Interpretation.** The Contract Documents completely describe the City's Required Scope of Services to be provided. Contractor will provide any City's Required Scope of Services that may reasonably be inferred from the Contract Documents or from prevailing custom or trade usage as being required to produce the intended result whether or not specifically called for or identified in the Contract Documents. Words or phrases which have a well-known technical or construction industry or trade meaning and are used to describe City's Required Scope of Services will be interpreted in accordance with that meaning unless a definition has been provided in the Contract Documents.

**5.3 Precedence.** In resolving conflicts resulting from errors or discrepancies in any of the Contract Documents, the Parties will use the order of precedence as set forth below. The 1<sup>st</sup>

document has the highest priority. Inconsistent provisions in the Contract Documents that address the same subject, are consistent, and have different degrees of specificity, are not in conflict and the more specific language will control. The order of precedence from highest to lowest is as follows:

- 1<sup>st</sup> Any properly executed written amendment to the Contract
- 2<sup>nd</sup> The Contract (With the exception of the agreed software specifications and functionality as per Contractor's RFP proposal and any expressly agreed Contract revised (as from original RFP solicitation) contract terms as set out in Exhibit C, if there are any internal conflicts within the Contract, including between the exhibits and Contractor's RFP proposal, the terms most favorable to City will apply. For the avoidance of doubt, 'Required Functionality' in Section C of Exhibit B-1 should be interpreted in tandem with Contractor's RFP proposal, with the RFP proposal prevailing in the event of a conflict.)
- 3<sup>rd</sup> The RFP and the City's written acceptance of any exceptions or clarifications to the RFP including any forms, leases, license agreements, contractual terms, or other confirming documents submitted by Contractor for City's signature, if any
- 4<sup>th</sup> Contractor's Pricing

**5.4 Counterparts.** This Contract may be executed in counterparts which, when taken together, shall constitute a single signed original as though all Parties had executed the same page.

**5.5 Public Agencies.** Other public agencies, as defined by California Government Code section 6500, may choose to use the terms of this Contract, subject to Contractor's acceptance. The City is not liable or responsible for any obligations related to a subsequent Contract between Contractor and another public agency.

IN WITNESS WHEREOF, this Contract is executed by City and Contractor acting by and through their authorized officers.

CONTRACTOR

Innovative Interfaces Incorporated

Proposer

789, E. Eisenhower Parkway

Street Address

Ann Arbor, MI 48108

City/State/Zip

2673099500

Telephone No.

timothy.mcgee@clarivate.com

E-Mail

CITY OF SAN DIEGO  
A Municipal Corporation

BY:



Print Name:

Claudia Abarca

Director, Purchasing & Contracting Department

01/30/2026

Date Signed

BY:

Tim McGee

Tim McGee (Jan 30, 2026 11:05:36 EST)

Signature of  
Proposer's Authorized  
Representative

Tim McGee

Print Name

VP, Sales Operations

Title

01/30/2026

Date

Approved as to form this 30th day of  
January \_\_\_\_\_, 2026.  
HEATHER FERBERT, City Attorney

BY: Kenneth So

Kenneth So (Jan 30, 2026 10:04:50 PST)

Deputy City Attorney



# Contact No. 10090131-25-D\_Pages 1-4

Final Audit Report

2026-01-30

|                 |                                              |
|-----------------|----------------------------------------------|
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| By:             | Damian Singleton (dsingleton@sandiego.gov)   |
| Status:         | Signed                                       |
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## "Contact No. 10090131-25-D\_Pages 1-4" History

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-  Signer kso@sandiego.gov entered name at signing as Kenneth So  
2026-01-30 - 6:04:48 PM GMT- IP address: 130.41.194.94



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Document e-signed by Kenneth So (kso@sandiego.gov)

Signature Date: 2026-01-30 - 6:04:50 PM GMT - Time Source: server- IP address: 130.41.194.94



Agreement completed.

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**EXHIBIT A**  
**PROPOSAL SUBMISSION AND REQUIREMENTS**

**A. PROPOSAL SUBMISSION**

**1. Timely Proposal Submittal.** Proposals must be submitted as described herein to the Purchasing & Contracting Department (P&C).

**1.1 Reserved.**

**1.2 Paper Proposals.** The City will accept paper proposals in lieu of eProposals. Paper proposals must be submitted in a sealed envelope to the Purchasing & Contracting Department (P&C) located at 1200 Third Avenue, Suite 200, San Diego, CA 92101. The Solicitation Number and Closing Date must be referenced in the lower left-hand corner of the outside of the envelope. Faxed proposals will not be accepted.

**1.3 Proposal Due Date.** Proposals must be submitted prior to the Closing Date indicated on the eBidding System. E-mailed and/or faxed proposals will not be accepted.

**1.4 Pre-Proposal Conference.** No pre-proposal conference will be held for RFP.

**1.4.1 Reserved.**

**1.5 Questions and Comments.** Written questions and comments must be submitted electronically via the eBidding System no later than the date specified on the eBidding System. Only written communications relative to the procurement shall be considered. The City's eBidding System is the only acceptable method for submission of questions. All questions will be answered in writing. The City will distribute questions and answers without identification of the inquirer(s) to all proposers who are on record as having received this RFP, via its eBidding System. No oral communications can be relied upon for this RFP. Addenda will be issued addressing questions or comments that are determined by the City to cause a change to any part of this RFP.

**1.6 Contact with City Staff.** Unless otherwise authorized herein, proposers who are considering submitting a proposal in response to this RFP, or who submit a proposal in response to this RFP, are prohibited from communicating with City staff about this RFP from the date this RFP is issued until a contract is awarded.

**2. Proposal Format and Organization.** Unless electronically submitted, all proposals should be securely bound and must include the following completed and executed forms and information presented in the manner indicated below:

**Tab A – Submission of Information and Forms.**

**2.1 Completed and signed Contract Signature Page.** If any addenda are issued, the latest Addendum Contract Signature Page is required.

**2.2 Exceptions requested by proposer, if any.** Proposer must indicate whether or not they have exceptions. If the proposer has exceptions, they must present written factual or legal justification for any exception requested to the Scope of Work, the Agreement, or the Exhibits thereto. Proposer must include any additional forms, leases, license agreements,

contractual terms, or other confirming documents that are deemed necessary to fulfill the contract as an exception. Any exceptions to the Agreement that have not been accepted by the City in writing are deemed rejected. Any later proposed forms, contracts, terms, or agreements that are not explicitly agreed to by the City, in a writing signed by an authorized City representative, shall be deemed rejected and invalid. The City, in its sole discretion, may accept some or all of proposer's exceptions, reject proposer's exceptions, and deem the proposal non-responsive, or award the Agreement without proposer's proposed exceptions. **The City will not consider exceptions addressed elsewhere in the proposal and presumptively rejects any exceptions proposed later in the process.**

**2.3 The Contractor Standards Pledge of Compliance Form.**

**2.4 Equal Opportunity Contracting forms including the Work Force Report and Contractors Certification of Pending Actions.**

**2.5 Exhibit D – Pricing Schedule**

**2.6 Exhibit E – IT Standards and Technical Alignment**

**2.7 Exhibit F – Functional Requirements**

**2.8 Exhibit G – AR 90.64 Protection of Sensitive Information and Data**

**2.9 Exhibit H – Referral File Layout**

**2.10 Exhibit I – Library Update File Layout**

**2.11 Exhibit J – Library Payment File Layout**

**2.12 Additional Information as required in Exhibits B**

**2.13 Reserved.**

**Tab B – Executive Summary and Responses to Specifications.**

**2.14 A title page.**

**2.15 A table of contents.**

**2.16 An executive summary, limited to one typewritten page, that provides a high-level description of the proposer's ability to meet the requirements of the RFP and the reasons the proposer believes itself to be best qualified to provide the identified services.**

**2.17 Proposer's response to the RFP.**

**Tab C – Cost/Price Proposal.** Proposers shall submit a cost proposal in the form and format described herein. Failure to provide cost(s) in the form and format requested may result in proposal being declared non-responsive and rejected.

**3. Proposal Review.** Proposers are responsible for carefully examining the RFP, the Specifications, this Contract, and all documents incorporated into the Contract by reference

before submitting a proposal. If selected for award of contract, proposer shall be bound by same unless the City has accepted proposer's exceptions, if any, in writing.

**4. Addenda.** The City may issue addenda to this RFP as necessary. All addenda are incorporated into the Contract. The proposer is responsible for determining whether addenda were issued prior to a proposal submission. Failure to respond to or properly address addenda may result in rejection of a proposal.

**5. Quantities.** The estimated quantities provided by the City are not guaranteed. These quantities are listed for informational purposes only. Quantities vary depending on the demands of the City. Any variations from the estimated quantities shall not entitle the proposer to an adjustment in the unit price or any additional compensation.

**6. Quality.** Unless otherwise required, all goods furnished shall be new and the best of their kind.

**6.1 Items Offered.** Proposer shall state the applicable trade name, brand, catalog, manufacturer, and/or product number of the required good, if any, in the proposal.

**6.2 Brand Names.** Any reference to a specific brand name in a solicitation is illustrative only and describes a component best meeting the specific operational, design, performance, maintenance, quality, or reliability standards and requirements of the City. Proposer may offer an equivalent or equal in response to a brand name referenced (Proposed Equivalent). The City may consider the Proposed Equivalent after it is subjected to testing and evaluation which must be completed prior to the award of contract. If the proposer offers an item of a manufacturer or vendor other than that specified, the proposer must identify the maker, brand, quality, manufacturer number, product number, catalog number, or other trade designation. The City has complete discretion in determining if a Proposed Equivalent will satisfy its requirements. It is the proposer's responsibility to provide, at their expense, any product information, test data, or other information or documents the City requests to properly evaluate or demonstrate the acceptability of the Proposed Equivalent, including independent testing, evaluation at qualified test facilities, or destructive testing.

**7. Modifications, Withdrawals, or Mistakes.** Proposer is responsible for verifying all prices and extensions before submitting a proposal.

**7.1 Modification or Withdrawal of Proposal Before Proposal Opening.** Prior to the Closing Date, the proposer or proposer's authorized representative may modify or withdraw the proposal by providing written notice of the proposal modification or withdrawal to the City Contact via the eBidding System. E-mail or telephonic withdrawals or modifications are not permissible.

**7.2 Proposal Modification or Withdrawal of Proposal After Proposal Opening.** Any proposer who seeks to modify or withdraw a proposal because of the proposer's inadvertent computational error affecting the proposal price shall notify the City Contact identified on the eBidding System no later than three working days following the Closing Date. The proposer shall provide worksheets and such other information as may be required by the City to substantiate the claim of inadvertent error. Failure to do so may bar relief and allow the City recourse from the bid surety. The burden is upon the proposer to prove the inadvertent error. If, as a result of a proposal modification, the proposer is no longer the apparent

successful proposer, the City will award to the newly established apparent successful proposer. The City's decision is final.

**8. Incurred Expenses.** The City is not responsible for any expenses incurred by proposers in participating in this solicitation process.

**9. Public Records.** By submitting a proposal, the proposer acknowledges that any information submitted in response to this RFP is a public record subject to disclosure unless the City determines that a specific exemption in the California Public Records Act (CPRA) applies. If the proposer submits information clearly marked confidential or proprietary, the City may protect such information and treat it with confidentiality to the extent permitted by law. However, it will be the responsibility of the proposer to provide to the City the specific legal grounds on which the City can rely in withholding information requested under the CPRA should the City choose to withhold such information. General references to sections of the CPRA will not suffice. Rather, the proposer must provide a specific and detailed legal basis, including applicable case law, that clearly establishes the requested information is exempt from the disclosure under the CPRA. If the proposer does not provide a specific and detailed legal basis for requesting the City to withhold proposer's confidential or proprietary information at the time of proposal submittal, City will release the information as required by the CPRA and proposer will hold the City, its elected officials, officers, and employees harmless for release of this information. It will be the proposer's obligation to defend, at proposer's expense, any legal actions or challenges seeking to obtain from the City any information requested under the CPRA withheld by the City at the proposer's request. Furthermore, the proposer shall indemnify and hold harmless the City, its elected officials, officers, and employees from and against any claim or liability, and defend any action brought against the City, resulting from the City's refusal to release information requested under the CPRA which was withheld at proposer's request. Nothing in the Contract resulting from this proposal creates any obligation on the part of the City to notify the proposer or obtain the proposer's approval or consent before releasing information subject to disclosure under the CPRA.

**10. Right to Audit.** The City Auditor may access proposer's records as described in San Diego Charter section 39.2 to confirm contract compliance.

## **B. PRICING**

**1. Fixed Price.** All prices shall be firm, fixed, fully burdened, FOB destination, and include any applicable delivery or freight charges, and any other costs required to provide the requirements as specified in this RFP. The lowest total estimated contract price of all the proposals that meet the requirements of this RFP will receive the maximum assigned points to this category as set forth in this RFP. The other price schedules will be scored based on how much higher their total estimated contract prices compare with the lowest:

$$(1 - \frac{(\text{contract price} - \text{lowest price})}{\text{lowest price}}) \times \text{maximum points} = \text{points received}$$

For example, if the lowest total estimated contract price of all proposals is \$100, that proposal would receive the maximum allowable points for the price category. If the total estimated contract price of another proposal is \$105 and the maximum allowable points is 60 points, then that proposal would receive  $(1 - ((105 - 100) / 100) \times 60 = 57$  points, or 95% of the maximum points. The lowest score a proposal can receive for this category is zero points

(the score cannot be a negative number). The City will perform this calculation for each Proposal.

**2. Taxes and Fees.** Taxes and applicable local, state, and federal regulatory fees should not be included in the price proposal. Applicable taxes and regulatory fees will be added to the net amount invoiced. The City is liable for state, city, and county sales taxes but is exempt from Federal Excise Tax and will furnish exemption certificates upon request. All or any portion of the City sales tax returned to the City will be considered in the evaluation of proposals.

**3. Escalation.** An escalation factor is not allowed unless called for in this RFP. If escalation is allowed, proposer must notify the City in writing in the event of a decline in market price(s) below the proposal price. At that time, the City will make an adjustment in the Contract or may elect to re-solicit.

**4. Unit Price.** Unless the proposer clearly indicates that the price is based on consideration of being awarded the entire lot and that an adjustment to the price was made based on receiving the entire proposal, any difference between the unit price correctly extended and the total price shown for all items shall be resolved in favor of the unit price.

## **C. EVALUATION OF PROPOSALS**

**1. Award.** The City shall evaluate each responsive proposal to determine which proposal offers the City the best value consistent with the evaluation criteria set forth herein. The proposer offering the lowest overall price will not necessarily be awarded a contract.

**2. Sustainable Materials.** Consistent with Council Policy 100-14, the City encourages use of readily recyclable submittal materials that contain post-consumer recycled content.

### **3. Evaluation Process.**

**3.1 Process for Award.** A City-designated evaluation committee (Evaluation Committee) will evaluate and score all responsive proposals. The Evaluation Committee may require proposer to provide additional written or oral information to clarify responses. Upon completion of the evaluation process, the Evaluation Committee will recommend to the Purchasing Agent that award be made to the proposer with the highest scoring proposal.

### **3.2 Reserved.**

**3.3 Mandatory Interview/Oral Presentation.** The City will require proposers to interview and/or make an oral presentation if one or more proposals score within ten (10) points or less of the proposal with the highest score. Only the proposer with the highest scoring proposal and those proposers scoring within ten (10) points or less of the highest scoring proposal will be asked to interview and/or make an oral presentation. Interviews and/or oral presentations will be made to the Evaluation Committee in order to clarify the proposals and to answer any questions. The interviews and/or oral presentations will be scored as part of the selection process. The City will complete all reference checks prior to any oral interview. Additionally, the Evaluation Committee may require proposer's key personnel to interview. Interviews may be by telephone and/or in person. Multiple interviews may be required. Proposers are required to complete their oral presentation and/or interviews within seven (7) workdays after the City's request. Proposers should be prepared to discuss and

substantiate any of the areas of the proposal submitted, as well as proposer's qualifications to furnish the subject goods and services. Proposer is responsible for any costs incurred for the oral presentation and interview of the key personnel.

**3.4 Discussions/Negotiations.** The City has the right to accept the proposal that serves the best interest of the City, as submitted, without discussion or negotiation. Contractors should, therefore, not rely on having a chance to discuss, negotiate, and adjust their proposals. The City may negotiate the terms of a contract with the winning proposer based on the RFP and the proposer's proposal or award the contract without further negotiation.

**3.5 Inspection.** The City reserves the right to inspect the proposer's equipment and facilities to determine if the proposer is capable of fulfilling this Contract. Inspection will include, but not limited to, survey of proposer's physical assets and financial capability. Proposer, by signing the proposal agrees to the City's right of access to physical assets and financial records for the sole purpose of determining proposer's capability to perform the Contract. Should the City conduct this inspection, the City reserves the right to disqualify a proposer who does not, in the City's judgment, exhibit the sufficient physical and financial resources to perform this Contract.

**3.6 Evaluation Criteria.** The following elements represent the evaluation criteria that will be considered during the evaluation process:

|                                                                                                                     | MAXIMUM<br>EVALUATION<br>POINTS |
|---------------------------------------------------------------------------------------------------------------------|---------------------------------|
| <b>A. Responsiveness to the RFP.</b>                                                                                | <b>10</b>                       |
| 1. Requested information included and thoroughness of response.                                                     |                                 |
| 2. Understanding of the project and ability to deliver as exhibited in the Executive Summary.                       |                                 |
| 3. Exceptions to the RFP.                                                                                           |                                 |
| <b>B. Responses to Specifications.</b>                                                                              | <b>25</b>                       |
| 1. Qualifications of personnel adequate for requirement.                                                            |                                 |
| 2. Satisfaction of Technical Requirements.                                                                          |                                 |
| 3. Clearly defined Roles/Responsibilities of personnel.                                                             |                                 |
| 4. Implementation plan, including:                                                                                  |                                 |
| a. Library staff training                                                                                           |                                 |
| b. Project timeline                                                                                                 |                                 |
| c. User acceptance testing                                                                                          |                                 |
| d. Project support                                                                                                  |                                 |
| e. Data migration                                                                                                   |                                 |
| <b>C. Qualifications and Experience.</b>                                                                            | <b>30</b>                       |
| 1. Experience successfully implementing SaaS Integrated Library System environments for comparable sized libraries. |                                 |
| 2. Organizational capability.                                                                                       |                                 |
| 3. Capacity/Capability to meet The City of San Diego needs in a timely manner.                                      |                                 |
| 4. Reference checks.                                                                                                |                                 |



|                                                                                                                       | MAXIMUM<br>EVALUATION<br>POINTS |
|-----------------------------------------------------------------------------------------------------------------------|---------------------------------|
| <b>D. Additional Services and Enhancements.</b>                                                                       | <b>15</b>                       |
| 1. Discovery layer allow promote Library collection.                                                                  |                                 |
| 2. Discover layer allow enriched content.                                                                             |                                 |
| 3. Cataloging functions web based.                                                                                    |                                 |
| 4. Patron services & circulation services web-based.                                                                  |                                 |
| 5. Customizable notices.                                                                                              |                                 |
| 6. Other related features/functions.                                                                                  |                                 |
| <b>E. Price.</b>                                                                                                      | <b>5</b>                        |
| 1. Licenses, training, support, and maintenance fees.                                                                 |                                 |
| <b>F. Mandatory Demonstration/Presentation.</b>                                                                       | <b>15</b>                       |
| 1. Thoroughness and clarity of presentation within allotted time.                                                     |                                 |
| 2. Real Time Operation                                                                                                |                                 |
| 3. Ease of use.                                                                                                       |                                 |
| 4. Thoroughness and Clarity of Presentation.                                                                          |                                 |
| <b>SUB TOTAL MAXIMUM EVALUATION POINTS:</b>                                                                           | <b>100</b>                      |
| <b>G. Participation by Small Local Business Enterprise (SLBE) or Emerging Local Business Enterprise (ELBE) Firms*</b> | <b>12</b>                       |
| <b>FINAL MAXIMUM EVALUATION POINTS INCLUDING SLBE/ELBE:</b>                                                           | <b>112</b>                      |

\*The City shall apply a maximum of an additional 12 points to the proposer's final score for SLBE OR ELBE participation. Refer to Equal Opportunity Contracting Form, Section V.

**4. Rejection of All Proposals.** The City may reject any and all proposals when to do so is in the City's best interests.

#### **D. ANNOUNCEMENT OF AWARD**

**1. Award of Contract.** The City will inform all proposers of its intent to award a Contract in writing.

**2. Obtaining Proposal Results.** No solicitation results can be obtained until the City announces the proposal or proposals best meeting the City's requirements. Proposal results may be obtained by: (1) e-mailing a request to the City Contact identified on the eBidding System or (2) visiting the P&C eBidding System to review the proposal results. To ensure an accurate response, requests should reference the Solicitation Number. Proposal results will not be released over the phone.

**3. Reserved.**

**E. PROTESTS.** The City's protest procedures are codified in Chapter 2, Article 2, Division 30 of the San Diego Municipal Code (SDMC). These procedures provide unsuccessful proposers with

the opportunity to challenge the City's determination on legal and factual grounds. The City will not consider or otherwise act upon an untimely protest.

**F. SUBMITTALS REQUIRED UPON NOTICE TO PROCEED.** The successful proposer is required to submit the following documents to P&C **within ten (10) business days** from the date on the Notice to Proceed letter:

**1. Insurance Documents.** Evidence of all required insurance, including all required endorsements, as specified in Article VII of the General Contract Terms and Provisions.

**2. Taxpayer Identification Number.** Internal Revenue Service (IRS) regulations require the City to have the correct name, address, and Taxpayer Identification Number (TIN) or Social Security Number (SSN) on file for businesses or persons who provide goods or services to the City. This information is necessary to complete Form 1099 at the end of each tax year. To comply with IRS regulations, the City requires each Contractor to provide a Form W-9 prior to the award of a Contract.

**3. Business Tax Certificate.** Unless the City Treasurer determines a business is exempt, all businesses that contract with the City must have a current business tax certificate.

**4. Reserved.**

**5. Reserved**

The City may find the proposer to be non-responsive and award the Contract to the next highest scoring responsible and responsive proposer if the apparent successful proposer fails to timely provide the required information or documents.

**EXHIBIT B-1**  
**CITY'S REQUIRED SCOPE OF WORK**

**A. BACKGROUND.** The San Diego Public Library (SDPL), a municipal government agency administered as a department within the City of San Diego, is seeking proposals for an Integrated Library System (ILS) from qualified Contractors.

SDPL serves the residents of the City of San Diego which encompasses an area of 342 square miles. SDPL consists of the Central Library, thirty-six (36) branch libraries, and the adult literacy program office (READ/San Diego). As of the 2020 Census, SDPL serves the City of San Diego's population of 1,386,932. SDPL has 645,287 registered card holders. SDPL's service area includes more than 113 elementary schools, 23 middle schools, 27 high schools, and 25 charter schools. In fact, a charter high school—E3 Civic High—occupies two floors of the Central Library building in downtown San Diego. The primary public school district serving the library's geographic area includes more than 121,000 students and more than 6,000 teachers.

Structurally, SDPL consists of a Central Library site, thirty-six (36) branch libraries and two (2) additional outlets: READ/San Diego Literacy Program (housed in the Central Library) and a performance annex theater. Approximately 484 Full Time Equivalent positions were budgeted for Fiscal Year 2025. The Branch System consists of five (5) areas: Area I, Area II, Area III, Area IV and Area V. SDPL serves the educational, cultural, business and recreational needs of San Diego's diverse communities through its collection of more than 2.5 million books and audio-visual materials, 3,236 periodical subscriptions, nearly 1.2 million government documents, and over 134,223 books and A-V items in 246 languages other than English.

SDPL is committed to providing an exceptional customer experience that fosters learning, growth, and connection. Our mission is to be the place for opportunity, discovery, and inspiration in a traditional or digital environment that is accessible and inclusive. We strive to offer reliable personalized service, ensuring every customer feels valued and supported.

SDPL is leveraging available technology to improve customer service. Customers can browse the catalog via the Internet and mobile devices, enabling them to request items, view their library account, renew items checked out, and pay bills online. SDPL's catalog and collection of premium online information services and full-text databases can be accessed electronically in all SDPL facilities and remotely via the Internet. All library sites offer free Wi-Fi access and express checkout (self-check) machines that allow customers to check out items themselves.

The Central Library was opened in the fall of 2013, resulting in a large increase in patron visits and circulation of materials. In summer 2017, the Library Department completed the conversion of its collection to RFID-based technology for circulation and collection management.

The Central Library houses an automated materials handling system that leverages RFID technology to sort returned materials into appropriate bins for subsequent re-shelving or dispatching to other library sites. A second automated materials handling system is being purchased to augment sorting and distribution of library materials.

SDPL supplies information services for citizens, including reference, inter-library loan and document delivery. Additionally, access to digital information is provided through the SDPL's LAN/WAN, and Internet access to SDPL resources and catalog.

In 2013, SDPL became an active member in the San Diego Circuit, a consortium of regional libraries that have opted to share their collections. San Diego Circuit member libraries are: California State University, San Marcos; San Diego County Library; San Diego Public Library; San Diego State University; University of California, San Diego; and University of San Diego.

In fiscal year 2023, the library loaned 5,902,685 items. More than 6.5 million people visited the library in 2023.

SDPL's bibliographic database consists of 1.25 million titles, 3.3 million call numbers, and 2.5 million barcoded items. Today, SDPL continues to add new records to its bibliographic database from Online Computer Library Center (OCLC), Library of Congress Machine Readable Cataloging (LCMARC), California State Library, MARCIVE (provides bibliographic records for government documents), Bibliotheca cloudLibrary, and Gale (e-research and educational publishing) using records provided via ftp and 9xx bibliographic data loads.

SDPL's authority database consists of 813,277 authority records from Library of Congress Subject Authority (LCAUTH) that are updated monthly. Authority control provides consistent use and maintenance of the forms of names, subjects, and uniform titles used as headings in a catalog. Authority records create a link between the names and subjects in bibliographic records and the authority file standardizing names and subjects for staff and patron use.

Items are added to the bibliographic record manually or are loaded through the electronic ordering process. Item database maintenance privileges are granted based on username and a system security profile.

The following table provides a brief snapshot of SDPL's Integrated Library System.

|                                  |           |
|----------------------------------|-----------|
| Registered Cardholders           | 645,287   |
| Library Sites                    | 36        |
| FY 2023 Circulation              | 5,902,685 |
| FY 2023 Site Visits by Patrons   | 6,591,169 |
| Titles in Bibliographic Database | 1,254,001 |
| Call Numbers in Database         | 2,800,497 |
| Bar coded Items in Database      | 2,574,785 |
| Authority Database Records       | 813,277   |

|                                     |                                                                                               |
|-------------------------------------|-----------------------------------------------------------------------------------------------|
| Serial Records                      | 29,326                                                                                        |
| Government Publications             | 1,191,995                                                                                     |
| Languages Represented in Collection | 246                                                                                           |
| Self-check Machines                 | 125 (Bibliotheca)                                                                             |
| <b>Public Workstations/OPACs</b>    | 1,083                                                                                         |
| Staff Workstations                  | 669                                                                                           |
| Library Website                     | <a href="http://www.sandiego.gov/public-library/">http://www.sandiego.gov/public-library/</a> |
| Materials Handling System           | Lyngsoe, 23 chutes + 1 dump                                                                   |
| PC & Print Management               | Princh                                                                                        |
| PC Reservation                      | EnvisionWare                                                                                  |
| Databases                           | 75                                                                                            |
| Patron Authentication               | EZProxy (hosted)                                                                              |
| Digital Asset Management Platform   | CONTENTdm (OCLC)                                                                              |
| eBook/eAudiobook Vendors            | cloudLibrary, enki                                                                            |
| Acquisitions (FY 2017)              |                                                                                               |
| Vendors                             | 821                                                                                           |
| Orders                              | 1,616                                                                                         |
| Funds                               | 92                                                                                            |
| SIP2 Connections                    | 38                                                                                            |
| RFID Tagged Materials               | 2,574,785                                                                                     |
| Item Barcode Information            | Codabar, 14 digits (prefix: 31336)                                                            |
| Patron Barcode Information          | Codabar, 14 digits (prefix: 01336)                                                            |

**B. OBJECTIVE.** The San Diego Public Library (SDPL) is seeking proposals for an Integrated Library System (ILS) using the Software as a Service (SaaS) distribution model from qualified contractors.

The objective of this RFP is to make an award to one Contractor that will provide all aspects of Integrated Library System software used to manage library collections (holdings, materials acquisitions, cataloging), store patron information (name, address, borrowing privileges, account profile, bills), conduct transactions (check-in/check-out, assess fines, receive payments, place holds), generate statistical reporting on system operations for strategic decision-making, enable self-service checkout machines, automate sorting of library materials, and provide remote patron access to electronic resources, such as downloadable eBooks and audiobooks.

**C. REQUIRED FUNCTIONALITY.** Contractors shall fill out and submit Exhibit F – Functional Requirements, which mirrors items 1-18 below and further enumerates specific requirements and specifies their priority for the City, Mandatory (M), Desirable (D), or Highly Desirable (H). All responses on Exhibit F shall be based on the pricing listed by the Contractor on the Pricing Schedule (Exhibit D) and shall not be contingent on purchase of additional or “optional” products or services.

A response of “Yes” to any of the mandatory items shall be assumed to be available in an “Out-of-the-Box” format at the time of RFP submittal and Proposer should be prepared to possibly demonstrate this feature if required during the Mandatory Demonstration/Presentation.

A response of “No” to any of the mandatory items will disqualify the entire proposal from further consideration and will cause the proposal to be deemed non-responsive. All requirements identified with a “No” response shall be assumed to mean that the Proposer cannot or will not be able to meet this requirement without further customization or development of their product.

Contractors shall use the “Narrative Description” column of Exhibit F to direct the City’s evaluators to portions of the Contractor’s narrative description that address the requirement(s) in further detail. Contractors shall enter “N/A” in the “Narrative Description” column if no additional detail is provided in the narrative proposal.

Proposers shall provide a narrative description of how their ILS satisfies each of the requirements listed in items 1-18 below; the narrative description shall be divided into sections that are responsive to each of the requirements.

**1. General Systems and IT.** This section covers functional requirements that apply to all aspects of the proposed ILS. Contractor shall provide a narrative overview of the technical requirements and service delivery options available for the ILS. This shall at a minimum include a description of the ILS’s database architecture; a description of the library’s ILS maintenance obligations to keep the ILS functioning properly in the context of a contractor-hosted or SaaS computing environment; a description of the minimum hardware and software requirements to run the ILS on library staff computers; a description of any data

storage limits inherent to the ILS (maximum number of patron records, maximum number of bibliographic records, etc.); a description of the general architecture of the proposed application (e.g. Web, 2-tier, etc.); confirmation as to whether the application requires access to the City's internal systems for development or operational use of system, whether a connection is required inside a City firewall, whether a desktop client or component is also required, and how many IPs might be required for both outbound connections and authentication to the application via City's Lightweight Directory Access Protocol (LDAP). Contractor will also confirm if LDAP/Security Assertion Markup Language (SAML) needs to traverse the entire directory and have access to City's entire Active Directory (AD), or whether there is a particular group of user accounts that may be specified that Contractor's SAML.

**2. Service Level Requirements.** Contractor shall warrant and maintain an acceptable standard of Service Levels to be provided to SDPL throughout the duration of any resulting Contract. Contractor shall describe the controls it has implemented to ensure these standards are met, including, but not limited to, service availability (uptime), incident management and prioritized ticket handling processes, ongoing backup schedules and regime, infrastructure redundancy and disaster recovery provisions, commensurate credits for failure to attain Service Level standards, and Service Level customer reporting standards.

**3. Staff Client Application.** Contractor shall describe how a library staff member would use the staff client application to accomplish the following tasks: check out an item to a library patron; place a hold on a specific volume in a multivolume set on behalf of a library patron; place an item in transit; receive an item from transit that has holds; process a cash or check bill payment for a library patron.

**4. Online Public Access Catalog (OPAC).** In the online environment, patrons interact with SDPL via the OPAC, the library website, and Contractor-provided applications (e.g., Biblioteka's cloudLibrary). Contractor shall provide a narrative overview of all public interfaces that are included in the ILS proposal. This can include the traditional OPAC, discovery layers, mobile apps, and any other tools that facilitate public access to library collections and services. Contractor shall highlight features that set the proposed interface(s) apart from those of your competition.

**5. Search Capabilities.** The proposed solution shall provide a public search interface that is intuitive and powerful. The search algorithms responsible for search results must be optimized to provide both high precision and high recall. The Contractor shall provide a narrative description of the search tool's features and unique capabilities, including which fields are indexed for searching by default.

**6. Cataloging.** The cataloging module must fully support both original and copy cataloging. Contractor shall describe the general processes by which bibliographic records are created from scratch, imported into the ILS (via vendor provided records, Z39.50 sources, etc.), and modified by trained catalogers. Contractor shall describe size limitations, if any, on bibliographic records. Contractor shall describe how electronic resources (such as eBooks) are added to the ILS.

**7. Authority Control.** Contractor shall provide a description of authority file-related services included in the proposal.

**8. Item Records.** Contractor shall describe what kind of item information is tracked in the ILS (date created, last checkout date, total charges, etc.) and how that information is linked to bibliographic records. Contractor shall describe any limits on the number of items that may be attached to a single bibliographic record. Contractor shall describe when deleting a last copy, what happens to the bibliographic record.

**9. Circulation, Holds, and Inventory.** The circulation module must provide an efficient means for library staff to: charge and discharge materials using barcode scanners and RFID pads; process patron fines; place holds on behalf of patrons; receive holds from delivery; place holds in transit to other library locations.

The proposed ILS platform must provide a notification system that alerts patrons via email or regular mail about the status of their account, holds, and checkouts. Contractor shall list and describe the types of notices that can be automatically generated and sent to patrons (overdue notices, courtesy reminders, hold pick up notices, billing notices, etc.). Contractor shall describe text formatting options available in the system.

The library must maintain accurate records of monies owed by patrons as well as payments made by patrons. Contractor shall describe the ILS's ability to retain patron-related financial information (such as fines paid/owed) for a period of time specified by the library.

The SDPL periodically inventories its holdings. Contractor shall provide a description of how an inventory of the library system's holdings would be accomplished using the proposed ILS. With few exceptions, library materials are barcoded, and RFID tagged.

**10. Interlibrary Loan.** The SDPL provides interlibrary loan services to its patrons and lends its materials to other institutions via WorldShare. Contractor shall provide a narrative description of how a patron-initiated interlibrary loan request would be processed in the proposed ILS. Contractor shall describe how a loan to a requesting institution would be processed in the proposed ILS.

**11. Acquisitions.** Contractor shall provide an overview of how orders are created, managed, and tracked by staff.

11.1 Contractor shall describe how materials distribution is managed in the Acquisitions module.

11.2 Contractor shall describe what, if any, limits there are on the number of purchase order records that may be created and the number of invoice records that may be created.

11.3 Contractor shall describe the ways in which staff could search the ILS for vendor invoices.

11.4 Contractor shall describe what limits, if any, there are on the number of funds permitted in the ILS.



**12. Serials.** Contractor shall describe how serial records are created and modified in the proposed ILS. Contractor shall briefly list and describe the search terms available in the serials staff interface, how serials are received in the ILS, and briefly list the types of media that may be treated as serials in the ILS.

**13. Reports.** The proposed ILS must be able to provide detailed reports on all aspects of the ILS (acquisitions, circulation, cataloging, service levels, etc.). This includes reports that provide statistical information as well as reports that modify records in batches. A high-level library system analysis tool that can be used by executive and administrative staff for decision-making purposes shall also be included in the proposal.

**14. Support, Maintenance, and Updates.** Contractor shall provide an overview of customer support services that are included in the proposal, and what level of technical support is provided as part of the annual ILS maintenance fees. Contractor shall describe how reported problems are handled from intake to resolution, what is the maximum guaranteed response and resolution time for reported incidents, commensurate service credits for failure to meet incident response and resolution times, how often ILS updates are scheduled, and if there are there any procedures library staff must follow to complete routine updates. Contractor shall describe the make-up and governance of the ILS user group, including any email or listerv provided through this group. Contractor must provide the minimum advance notice provided to the library when scheduled ILS maintenance or upgrades will impact library operations.

**15. Data Migration and ILS Implementation.** Contractor shall provide an overview—with timeline and notable milestones—of the process by which the data in the current ILS will be extracted, processed as necessary, and migrated to the proposed ILS solution with minimal impacts on library operations and patron services. Contractor shall describe the User Acceptance Testing process that will determine the satisfactoriness of the newly implemented ILS. Factors to be evaluated will include: transaction speed under normal conditions, module functionality, data integrity, and ILS reliability.

**16. Training.** Integrated Library Systems are complex applications. Contractor shall describe what ILS training will be provided to library staff on an ongoing basis as part of their proposal.

**17. Interoperability/APIs.** Contractor shall describe the ways in which the proposed ILS supports data interchange with other information systems. If an Application Programming Interface (API) is available, Contractor shall describe it and indicate if it is provided as part of the proposal or would require additional payment. Describe additional fees, if any, associated with interchange protocols (NCIP, SIP2, etc.) supported by the proposed ILS.

**18. Customer Experience.** Contractor shall describe how their proposed ILS provides a comprehensive patron engagement ecosystem that provides and promotes communication, event management, resource discovery, and personalized customer experiences. Contractor shall describe how the proposed ILS supports a unified approach to marketing, event management, and content discovery, all while promoting community engagement and data-driven decision making for library staff.

**19. Data Export.** All Contractors must agree to the following conditions: Upon contract expiration or termination of the contract, Contractor shall immediately provide City with electronic copies of the data collected and recorded (if any). Data format will be agreed upon by both City and Contractor, but at a minimum, data records will be provided in ASCII comma separated value (CSV) format, with binary images in TIFF, JPG or PDF format.

**20. Data Ownership.** City retains for itself ownership and rights of ownership to all data entered into the ILS. Contractor acknowledges that City retains ownership and rights of ownership to all of its data. Contractor shall not, without the written consent of the City, copy or use such records, except to carry out contracted work, and will not transfer such records to any other party not involved in the performance of the contract.

**21. Licensing Model and Pricing Conditions.** Contractor shall clearly indicate the nature of the ILS solution's licensing model (e.g. Named User, Concurrent User, Flat Subscription, or some other volume-base volumetric, e.g. transactions, or unlimited 'enterprise' style licensing). All potential chargeable costs and additional payment triggers should be described. Contractors should also clearly describe the circumstances and thresholds (if any) under which the City may become liable for overage costs (e.g. exceeding bandwidth, storage, transactions, volume of data in bytes, number of files, or number of characters). Contractor must also confirm the process for transferring licensing to other City Users (e.g. in the event that a City User leaves the organization).

**D. STAFFING AND EXPERIENCE.** To enable the City to evaluate the responsibility, experience, skill, qualifications, and business standing of the Contractor, the following information shall be included with the proposal:

1. Provide an organizational chart and staffing profile including full time equivalents and years of tenure for staff.
2. Provide resumes for key personnel including but not limited to management, legal, and technical staff who will be assigned and dedicated to the City's account.
3. Provide the names of the assigned project managers and account representatives. Contractor shall not change key personnel without the prior approval of the City.
4. Provide project managers and account representatives who have a minimum of five (5) years prior experience in accounts of similar type, size, and scope.
5. Clearly define what responsibilities these individuals will be charged with relative to this Contract.
6. Provide how many public library systems of comparable size are presently using the proposed ILS.
7. Provide how many library systems have moved to the proposed ILS in the last three (3) years.

**E. REFERENCES**

1. Contractors shall provide three (3) references to demonstrate successful performance for work of similar size and scope as specified in this contract during the past five (5) years (preferably in California). References shall be provided in the Contractor Standards Pledge of Compliance form.

2. Contractors shall also demonstrate that they are properly equipped to perform the work as specified in this contract. Previous experience in furnishing the services as specified in this RFP will be an important consideration.

**F. ADDITIONAL INSURANCE** Contractor shall not begin any performance under the contract until it has provided the City with evidence of the following insurance coverage, in addition to the coverage required under Article VII Indemnification and Insurance, Section 7.2 of Exhibit C – General Contract Terms and Provisions.

**Technology Professional Liability Errors and Omissions Insurance** appropriate to the Vendor's profession and work hereunder, with limits not less than \$2,000,000 per claim. Coverage shall be sufficiently broad to respond to the duties and obligations as is undertaken by the Vendor in this agreement and shall include, but not be limited to, claims involving infringement of intellectual property, copyright, trademark, invasion of privacy violations, information theft, release of private information, extortion and network security. The policy shall provide coverage for breach response costs as well as regulatory fines and penalties as well as credit monitoring expenses with limits sufficient to respond to these obligations.

1. The Policy shall include or be endorsed to include **Property Damage Liability Coverage** for damage to, alteration of, loss of, or destruction of electronic data and/or information "property" of the Agency in the care, custody, or control of the Vendor. If not covered under the Vendor's liability policy, such "property" coverage of the Agency may be endorsed onto the Vendor's Cyber Liability Policy as covered property as follows:

2. **Cyber Liability coverage** in an amount sufficient to cover the full replacement value of damage to, alteration of, loss of, or destruction of electronic data and information "property" of the Agency that will be in the care, custody, or control of Vendor.

**G. TECHNICAL REPRESENTATIVE.** The Technical Representative for this Contract is identified in the notice of award and is responsible for overseeing and monitoring this Contract.

**H. POST AWARD KICK-OFF MEETING.**

1. Contractor receiving award under this solicitation shall be required to attend a post award kick-off meeting within ten (10) calendar days after award of contract to be scheduled by the Contract Administrator or designee.

1.1. The Contract Administrator or designee shall communicate the date, time, location, and agenda for this meeting to prosper.

**I. PAYMENTS** Unless specified otherwise, payments shall be made in accordance with the Exhibit C – General Contract Terms and Provision. Payments for the Implementation/First Year of the contract shall be paid in two (2) equal installments. The first installment shall be invoiced upon user acceptance of Data Migration and ILS Implementation (see Exhibit F, column heading “Data Migration and ILS Implementation”, C.15.1–C.15.4). The second installment shall be invoiced upon first production use of the proposed Integrated Library System. The remaining four (4) years of the contract shall be invoiced and paid on the anniversary of the contract’s signing date based upon the pricing submitted on the Pricing Schedule.

**J. PRICE SCHEDULE** Contractors are required to submit their bid prices on the City’s Price Schedule herein attached as Exhibit D – Price Schedule. The Price Schedule must be completed in full, including pricing for all option years. Only the City’s Price Schedule will be accepted. Any deviations from the Price Schedule may be considered non-responsive and unacceptable.

**EXHIBIT B-2  
SCOPE OF WORK  
Essential Services**

**Contractor Proposal No. Q-00853834**

**Licensed Software Subscription Services (annually recurring):**

| <b>Name</b>                  | <b>Description</b>                                                                                                                                                                     | <b>Start Date</b> |
|------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| Polaris Suite (Subscription) | Bundle - The Polaris Suite includes the Polaris integrated library system, Polaris Hosting, Unlimited Polaris Staff Licenses, 1 ExpressCheck License, and 2 SIP2 Licenses for Polaris. | Jan. 1, 2026      |

**Services (One Time):**

| <b>Name</b>                                          | <b>Description</b>                                                                                                                                                                            |
|------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Online Training (Subs Service)                       | Online Training – <b>SOW Below</b>                                                                                                                                                            |
| Polaris Suite Implementation Services (Subs Service) | Polaris Suite Implementation Services ( <b>already installed – no SOW required</b> )<br><br>Implementation services for the Polaris Suite which includes implementation services for Polaris. |

**IMPLEMENTATION SERVICES:** Contractor Software implementation services will be performed as per the following Statements of Work:

## Statement of Work – Online Training

**Client: San Diego Public Library**

**Quote ID: Q-00853834**

### **A. Purpose of this Statement of Work**

The SOW provides an overview of the scope of the project and fees to complete the engagement based on Innovative's prior experience with similar projects and preliminary discussions with Client. The Client hereby acknowledges that the SOW is not meant to capture all detailed requirements but documents the high level requirements and implementation approach discussed and that additional detailed requirements discussions will be required to outline the full scope of work between the Parties.

### **B. Project Scope of Services**

The Scope of the project includes the following set of professional services:

#### **1. *Online Training – Ten (10) hours***

Innovative will provide online training on topics as mutually agreed with the Client.

### **C. Innovative Services Team**

The Services Team will have the following resources available:

- a. **Trainer/Consultant:** Your trainer/consultant is selected based on their knowledge of the specific modules and options that you will be implementing.

### **D. Client Implementation Team**

- a. **Librarian Lead –** Works closely with Trainer/Consultant to ensure requirements are representative of the needs of the library. The Librarian Lead will coordinate with key members of the team as required.

### **E. Implementation Assumptions**

- a. Timeline for the completion of this project will be established, through joint planning conversations between the client and Innovative during the initial stage of the project.
- b. Client will have adequate resources available to ensure timely completion of any library tasks outlined in the project schedule.
- c. Client will provide a technical point of contact who is able to provide, or coordinate access to, necessary information and library resources. This includes information related to server access, collecting and providing any prerequisite information required to support installation and configuration of software, and other needs that may arise during the project.
- d. If commencement of service delivery is postponed at the customer's request until a date more than 2 (two) months after receipt of the customer's purchase order, the

customer will be invoiced the full amount of the purchase order on the date 2 (two) months after the purchase order date, in advance of service delivery.

- e. Training must be scheduled within six months of contract signing. The parties will make best efforts to complete all training within six months of contract signing, but in the event that implementation of the subscribed services fails to meet the implementation schedule, the parties agree that the training schedule may be extended or rescheduled without penalty to accommodate the adjusted implementation timeline.

#### **F. Fees and Payment Terms**

Fees for Services delivered under this SOW will be charged on a fixed price basis as set forth herein and are made in good faith based on the activities, approach, and assumptions contained within the SOW. Payment terms for this SOW are as set forth in the Agreement. Any additional Change Requests will be performed at a blended rate of \$200 per hour for all resources. Additionally, Client is responsible for all reasonable out-of-pocket costs and expenses incurred during this SOW.

**Exhibit B-3**  
**Optional As-Needed Services:**

The As-Needed Software Subscription Services listed below contain additional features that the Library, during the RFP process expressed a desire to possibly implement.

**Contractor Proposal Number for Optional As-Needed Services: Q-00853831**

**Licensed Software Services (Annually Recurring):**

| <b>Name</b>                        | <b>Description</b>                               | <b>Start Date</b>              |
|------------------------------------|--------------------------------------------------|--------------------------------|
| Vega Discover Premium*             | Bundle - Vega Discover Premium                   | July 1, 2026                   |
| Vega Program*                      | Bundle - Vega Program                            | April 1, 2026                  |
| Vega Promote*                      | Bundle - Vega Promote                            | July 1, 2026                   |
| Vega Mobile*                       | Bundle- Vega Mobile                              | July 1, 2026                   |
| Vega Interact SMS – Polaris*       | Bundle - Vega Interact SMS for Polaris libraries | March 1, 2026                  |
|                                    |                                                  |                                |
| Library IQ Platform (Subscription) | Library IQ Platform                              | Upon written request from City |



**Services One Time:**

| Name                                        | Description                                            |
|---------------------------------------------|--------------------------------------------------------|
| Vega Discover Premium Implementation*       | Vega Discover Premium Implementation                   |
| Vega Program Implementation Services*       | Vega Program Implementation Services                   |
| Vega Promote Implementation Services*       | Vega Promote Implementation Services                   |
| Vega Mobile App Implementation*             | Vega Mobile App Implementation                         |
| Vega Interact SMS Implementation – Polaris* | Vega Interact SMS Implementation for Polaris libraries |
| Library IQ Platform Implementation Services | Library IQ Platform Implementation Services            |

**\* Services marked by an asterisk are hereby Ordered by City upon execution of this agreement**

**IMPLEMENTATION SERVICES: Contractor Software implementation services will be performed as per the following Statements of Work:**

RFP – Goods, Services, & Consultants

Revised: November 8, 2016

OCA Document No. 841661\_3

## Statement of Work – Vega Discover Premium Implementation

**Client: San Diego Public Library**

**Quote ID: Q-00853831**

### **A. Purpose of this Statement of Work**

The SOW provides an overview of the scope of the project and fees to complete the engagement based on Innovative's prior experience with similar projects and preliminary discussions with Client. The Client hereby acknowledges that the SOW is not meant to capture all detailed requirements but documents the high-level requirements and implementation approach discussed and that additional detailed requirements discussions will be required to outline the full scope of work between the Parties.

### **B. Project Scope of Services**

The Scope of the project includes the following set of professional services:

#### **1. *Vega Discover Premium Implementation***

Implementation duration is expected to be 12 weeks from commencement of work. If the Client would like to extend the Implementation timeline beyond the agreed upon duration, negotiation regarding the extended schedule and related costs will be conducted.

a) Innovative will install Vega Premium software.

Specified work includes, where necessary:

- 1) Project management
- 2) Requirements consultation between Client and Innovative
- 3) Post-implementation testing
- 4) Remediation of post-implementation issues, found during Innovative testing or found by the Client during the implementation period
- 5) Minimum scope of service to include:
  - Provisioning of a single production Vega Discover environment, and connection to Client's production ILS
  - Synchronization of production ILS and Vega Discover databases
  - Configuration training for Vega Discover
  - Product Overview
  - Access to recorded training sessions, and other online resources
  - Consultation on Best Practices
  - Publishing of 1<sup>st</sup> Guide

No work will be performed on the Client's production environment without prior notification to, and approval from, the Client. Work will be performed in pre-specified maintenance windows, as agreed upon in advance between the Client and Innovative.

Any requested work, outside of the specifications listed above, will be quoted at an additional cost, and written approval must be provided by the Client before work can proceed.

#### **C. Innovative Services Team**

The Services Team will have the following resources available for this project:

1. **Project Manager:** Project Managers have years of project management experience and have implemented library systems for many libraries.
2. **System Engineer:** System Engineers work with the Client on ILS setup and configuration as well as installations, network connections, and infrastructure configuration.
3. **Trainer/Consultant:** Trainers work with the Client to ensure an understanding of the configuration and use of the software

#### **D. Client Implementation Team**

1. **Technical Lead:** Will be responsible for assisting with Client responsibilities related to the installation and any other system level duties required by Client.

#### **E. Implementation Assumptions**

1. Client's production ILS environment must be running the current General Availability ("GA") version of the software, or later.
2. Client will have adequate resources available to ensure timely completion of any library tasks outlined in the project schedule.
3. Client will provide a technical point of contact who is able to provide, or coordinate access to, necessary information and Client resources. This includes information related to server access, collecting and providing any prerequisite information required to support installation and configuration of software, and other needs that may arise during the project.
4. Estimated Go-Live July 1, 2026.

#### **F. Fees and Payment Terms**

Fees for Services delivered under this SOW will be charged on a fixed price basis as set forth herein and are made in good faith based on the activities, approach, and assumptions contained within the SOW. Payment terms for this SOW are as set forth in the Agreement. Any additional Change Requests will be performed at a blended rate of \$200 per hour for all resources. Additionally, Client is responsible for all reasonable out-of-pocket costs and expenses incurred during this SOW.

## Statement of Work – Vega Program

**Client: San Diego Public Library**

**Quote ID: Q-00853831**

### **A. Purpose of this Statement of Work**

The SOW provides an overview of the scope of the project and fees to complete the engagement based on Innovative's prior experience with similar projects and preliminary discussions with Client. The Client hereby acknowledges that the SOW is not meant to capture all detailed requirements but documents the high-level requirements and implementation approach discussed and that additional detailed requirements discussions will be required to outline the full scope of work between the Parties.

### **B. Project Scope of Services**

The Scope of the project includes the following set of professional services:

#### **1. Vega Program Implementation**

Innovative will install Vega Program software.

Specified work includes, where necessary:

1. Project management
2. Requirements consultation between Client and Innovative
3. Install Vega Program software
4. Post-implementation testing
5. Remediation of post-implementation issues, found during Innovative testing or found by the Client during the implementation period
6. Minimum scope of service to include:
  - Provisioning of a single production Vega Program environment, and connection to Client's ILS
  - ILS-Authenticated Registration configuration
  - Event and Room configurations
  - Payment configuration with Stripe
  - Training session for Vega Program

Innovative Services Team ("Services Team") will work with the Client to configure, install, and test a customized event management and room booking SaaS ("Vega Program") for the Client.

NOTE: Some services specified in this Statement of Work will be performed by third party vendor Solus ("Solus").

Any requested work, outside of the specifications listed above, will be quoted at an additional cost, and written approval must be provided by the Client before work can proceed.

### **C. Innovative Services Team**

The Services Team will have the following resources available for this project:

1. Project Manager: Project Managers have years of project management experience and have implemented library systems for many libraries.
2. System Engineer: System Engineers work with the Client on ILS setup and configuration as well as installations, network connections, and infrastructure configuration.

### **D. Client Implementation Team**

1. Technical Lead: Will be responsible for assisting with Client responsibilities related to the installation and any other system level duties required by Client.

### **E. Implementation Assumptions**

1. Client's production ILS environment must be running the current General Availability ("GA") version of the software, or later.
2. Client will have adequate resources available to ensure timely completion of any library tasks outlined in the project schedule.
3. Timeline for the completion of this project will be established, through joint planning conversations between the Client and Innovative during the initial stage of the project.
4. Client will provide a technical point of contact who is able to provide, or coordinate access to, necessary information and Client resources. This includes information related to server access, collecting and providing any prerequisite information required to support installation and configuration of software, and other needs that may arise during the project.
5. Estimated Go-Live date April 1, 2026.

### **F. Fees and Payment Terms**

Fees for Services delivered under this SOW will be charged on a fixed price basis as set forth herein and are made in good faith based on the activities, approach, and assumptions contained within the SOW. Payment terms for this SOW are as set forth in the Agreement. Any additional Change Requests will be performed at a blended rate of \$200 per hour for all resources. Additionally, Client is responsible for all reasonable out-of-pocket costs and expenses incurred during this SOW.

## Statement of Work – Vega Promote

**Client: San Diego Public Library**

**Quote ID: Q-00853831**

### **A. Purpose of this Statement of Work**

The SOW provides an overview of the scope of the project and fees to complete the engagement based on Innovative's prior experience with similar projects and preliminary discussions with Client. The Client hereby acknowledges that the SOW is not meant to capture all detailed requirements but documents the high-level requirements and implementation approach discussed and that additional detailed requirements discussions will be required to outline the full scope of work between the Parties.

### **B. Project Scope of Services**

The Scope of the project includes the following set of professional services:

#### **1. *Vega Promote Implementation***

b) Innovative will provision Vega Promote.

All specified work includes, where necessary:

- 1) Project management
- 2) Requirements consultation between Client and Innovative
- 3) Provision single Vega Promote environment
- 4) Training and consultation
- 5) Remediation of issues found during Client testing period prior to launch of first Vega Promote marketing campaign.
- 6) Support from Innovative during launch of first Vega Promote marketing campaign.

No work will be performed, on the Client's production environment, without prior notification to, and approval from, the Client. Work will be performed in pre-specified maintenance windows, as agreed upon in advance between the Client and Innovative.

Any requested work, outside of the specifications listed above, will be quoted at an additional cost, and written approval must be provided by the Client before work can proceed.

### **C. Innovative Services Team**

The Services Team will have the following resources available for this project:

1. **Project Manager:** Project Managers have years of project management experience and have implemented library systems for many libraries.

2. System Engineer: System Engineers work with the Client on provisioning, configuration, network connections, and infrastructure configuration.
3. Trainer/Consultant: Your trainer/consultant is selected based on their knowledge of the specific modules and options that you will be implementing.

#### **D. Client Implementation Team**

1. Librarian Lead – Works closely with Innovative to ensure requirements are clear and representative of the needs of the library. The Librarian Lead will coordinate with key members of the team as required.

#### **E. Implementation Assumptions**

1. Client's production ILS environment must be running the current General Availability ("GA") version of the software, or later.
2. Client will have adequate resources available to ensure timely completion of any library tasks outlined in the project schedule.
3. Timeline for the completion of this project will be established, through joint planning conversations between the Client and Innovative during the initial stage of the project.
4. Client will provide a technical point of contact who is able to provide, or coordinate access to, necessary information and Client resources. This includes information related to server access, collecting and providing any prerequisite information required to support installation and configuration of software, and other needs that may arise during the project.
5. Estimated Go-Live date July 1, 2026.

#### **F. Fees and Payment Terms**

Fees for Services delivered under this SOW will be charged on a fixed price basis as set forth herein and are made in good faith based on the activities, approach, and assumptions contained within the SOW. Payment terms for this SOW are as set forth in the Agreement. Any additional Change Requests will be performed at a blended rate of \$200 per hour for all resources. Additionally, Client is responsible for all reasonable out-of-pocket costs and expenses incurred during this SOW.

## Statement of Work – Vega Mobile App

**Client: San Diego Public Library**

**Quote ID: Q-00853831**

### **A. Purpose of this Statement of Work**

The SOW provides an overview of the scope of the project and fees to complete the engagement based on Innovative's prior experience with similar projects and preliminary discussions with Client. The Client hereby acknowledges that the SOW is not meant to capture all detailed requirements but documents the high-level requirements and implementation approach discussed and that additional detailed requirements discussions will be required to outline the full scope of work between the Parties.

### **B. Project Scope of Services**

The Scope of the project includes the following set of professional services:

#### **1. *VEGA Mobile App Implementation***

Innovative Services Team ("Services Team") will work with the Client to configure, install, and test a customized VEGA Mobile application ("App") for the Client.

NOTE: Some services specified in this Statement of Work will be performed by third party vendor Solus ("Solus"), including creation of customized App for Client, and publishing of App to specified online app stores.

Specified work includes:

- a. Project management
- b. Project kickoff between Services Team and Client
- c. Creation and configuration of Client instance on VEGA Mobile Content Management System ("CMS") for a single production environment
- d. Custom App development
- e. Publishing of App to Apple and/or Google app stores
- f. Liaison with Solus
- g. Post-implementation testing
- h. Remediation of post-implementation issues found during testing

Services Team will work with the Client to deliver self-check functionality as specified in the Contract.

Specified work includes:

- a. Configuration of VEGA Mobile Content Management System to enable self-checkout

The Services Team will have the following resources available for this project:



1. **Project Manager:** Responsible for coordination of schedule and App delivery with the Client, consultation on App configuration requirements, and consultation on available App customization, and liaison with third party vendor Solus as necessary.
2. **System Engineer:** Responsible for creation of Client configuration in the VEGA Mobile Content Management System (CMS), and configuration of the ILS as required.

#### **C. Client Implementation Team**

1. **Technical Lead:** Will be responsible for assisting with Client responsibilities related to the installation and any other system level duties required by Client, and coordinating/providing all Client responsibilities identified in Implementation Assumptions.

#### **D. Implementation Assumptions**

1. Client will have adequate resources available to ensure timely completion of any Client tasks outlined in the project schedule.
2. Timeline for the completion of this project will be established, through joint planning conversations between the Client and Innovative during the initial stage of the project.
3. Client shall be responsible for:
  - a. Participating in project kickoff, and assisting in establishing project schedule
  - b. Providing images for App customization
  - c. Applying for Apple Developer account, and providing app publishing credentials to Innovative Services team
  - d. Providing Services Team with required profile and configuration information, in an App configuration questionnaire and App configuration spreadsheet to be provided by Services Team.
  - e. Testing App download from Apple and Google app stores, and testing App for proper appearance, functionality, and configuration
  - f. Providing Services Team with required information on Client's barcode symbologies, necessary for configuration of Barcode Selfcheck in the App
4. Client must establish an Apple Developer Program account in order for Innovative to publish app to Apple store. This account will be used by Innovative for publishing the Client's iOS app to the Apple store. This account must be maintained throughout the duration of the Client's VEGA Mobile contract. If Client does not establish an Apple Developer Program account, Innovative will no longer be responsible for publishing the app to the Apple store.
5. Client Implementation will be determined to be live upon the earlier of acceptance or 2 weeks of the app in the test flight environment.

6. Estimated Go-Live July 1, 2026.

**E. Fees and Payment Terms**

Fees for Services delivered under this SOW will be charged on a fixed price basis as set forth in the herein and are made in good faith based on the activities, approach, and assumptions contained within the SOW. Payment terms for this SOW are as set forth in the Agreement. Any additional Change Requests will be performed at a blended rate of \$200 per hour for all resources. Additionally, Client is responsible for all reasonable out-of-pocket costs and expenses incurred during this SOW.

## **Statement of Work – Vega Interact**

**Client: San Diego Public Library**  
**Quote ID: Q-00853831**

**A. Purpose of this Statement of Work**

The SOW provides an overview of the scope of the project and fees to complete the engagement based on Innovative's prior experience with similar projects and preliminary discussions with Client. The Client hereby acknowledges that the SOW is not meant to capture all detailed requirements but documents the high level requirements and implementation approach discussed and that additional detailed requirements discussions will be required to outline the full scope of work between the Parties.

**B. Project Scope of Services**

The Scope of the project includes the following professional services:

Innovative will perform the installation and implementation of Polaris SMS Alerts functionality for Client.

Services to be performed include:

- o Project management for the installation and configuration of SMS, including project scheduling, project risk management and mitigation, liaison with Client, provisioning and coordination of Innovative resources, and ensuring tracking and timely completion of project tasks.
- o Product profiling and configuration, including consultation with Client on desired configuration points, and entry and verification of profile and configuration.
- o System engineering, including software installation, ensuring correct integration with the Polaris integrated library system software, upgrade and reconfiguration of any installed Polaris components upon which the SMS product depends, and

- technical liaison with the Client.
- o Testing of the SMS software, with the assistance of the Client, to ensure that it is functioning as designed.

### **C. Innovative Services Team**

The Services Team will have the following resources available for this project:

- a. System Engineer: The System Engineer(s) shall work with the Client on software setup and configuration as well as installations, network connections, and infrastructure configuration.
- b. Project Manager: The Project Manager is assigned to provide project management, resource management, risk mitigation and issue management. The Project Manager is the single point of contact throughout the implementation to coordinate work plans, schedules, and teams' work. The Project Manager will manage day-to-day operational aspects and ensure deliverables are met within a timely manner and according to the mutually agreed project plan.

### **D. Client Implementation Team**

- a. Librarian Lead – Works closely with Consultant to ensure requirements are complete and representative of the needs of the Library. The Librarian Lead will coordinate with key members of the team as required.
- b. Technical Lead – Will be responsible for assisting with Client responsibilities related to system level duties required by Client.

### **E. Implementation Assumptions**

1. During and after implementation of SMS, the Client may identify software defects, or additional desired functional requirements. Client shall be responsible for working within Innovative's normal established support and enhancement request processes to report issues or provide input on additional desired functional requirements.
2. Client must provide the SMS configuration and profiling information. Client will use settings which are closest to what they currently have in place with their existing notification system. The Polaris SMS configuration and profiling information can be summarized as:
  - i. Confirmation of which notices the library will export for SMS.
  - ii. Complete text for each SMS message that will be used. Up to 100 individual branch Hold Pickup messages may be configured within the scope of this SOW. Any branches added after completion of Services will be subject to a new SOW. Changes to messages after configuration may incur additional charges. For example, "You may pick up %%count%% book(s) at %%branch%% until %%date%%."
  - iii. Client must allow outbound FTP (for transmission of the notice files) and inbound PAPI connections (for posting notices to the database).

iv. Any additional information necessary to complete installation and implementation.

3. Estimated Go-Live March 1, 2026.

#### **F. Fees and Payment Terms**

Fees for Services delivered under this SOW will be charged on a fixed price basis as set forth herein and are made in good faith based on the activities, approach, and assumptions contained within the SOW. Payment terms for this SOW are as set forth in the Agreement. Any additional Change Requests will be performed at a blended rate of \$200 per hour for all resources. Additionally, Client is responsible for all reasonable out-of-pocket costs and expenses incurred during this SOW.

### **Statement of Work – Library IQ**

**Client: San Diego Public Library**

**Quote ID: Q-00853831**

#### **A. Purpose of this Statement of Work**

The SOW provides an overview of the scope of the project to complete the engagement based on prior experience with similar projects and preliminary discussions with the Client. The Client hereby acknowledges that the SOW is not meant to capture all detailed requirements but documents the high-level requirements and implementation approach discussed and that additional detailed requirements discussions will be required to outline the full scope of work between the Parties.

#### **B. Project Scope of Services**

The Scope of the project includes the following set of professional services:

**1. Milestone 1: Kick-off**

- a. Meeting with end user to review onboarding timeline and expectations
- b. Provide onboarding workbook to be completed with and by the end user. The end user will be asked to complete the workbook within five (5) business days as it will be used throughout the onboarding process.

**2. Milestone 2: Data extraction and flow (complete within 28 days of workbook completion)**

- a. Establish flow of data from the ILS in combination with variety of sources:

| Platform Tool | Onboarding specifics |
|---------------|----------------------|
|---------------|----------------------|

|                                 |                                                                                                                                                                                                            |
|---------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PatronIQ</b>                 | End user chooses to send patron registration information it will display<br>Configure Patron Collection Use via electronic vendors and the ILS<br>Configure and provide patrons in and out of service area |
| <b>CommunityIQ</b>              | Configure community map to specific location of each branch, confirm patron details align with ILS                                                                                                         |
| <b>CollectionIQ Analyze</b>     | Utilize ILS data to populate charts                                                                                                                                                                        |
| <b>CollectionIQ Circulation</b> | Utilize ILS data to populate charts as well as electronic vendor data                                                                                                                                      |
| <b>CollectionIQ Discover</b>    | ILS data combined with popular book lists                                                                                                                                                                  |
| <b>CollectionIQ Maintain</b>    | Utilize ILS data to populate charts                                                                                                                                                                        |
| <b>DiversityIQ</b>              | ILS data combined with diverse book lists                                                                                                                                                                  |
| <b>MetricsIQ</b>                | If end user chooses to utilize enter metrics, unique metrics scripts will be created to align with state reporting<br>Configure Best Time data to align with location address                              |

- b. Deliverables: Weekly update to end user on progress
- c. Project management and reporting

### 3. Milestone 3: Testing

- a. The testing process will include a review of all library data for errors or omissions. Upon successful testing, access will be provided to the end user and complete data review session
- b. Create user accounts
- c. Expectation: end user will participate in final data review

### 4. Milestone 4: Training

- a. Provide up to two (2) \*, 60-minute training sessions for end users. Trainings will

be recorded.

\*for consortium customers, up to two additional one-hour training sessions upon request

### **C. Project Schedule and Milestones:**

Provide weekly updates to the Client during onboarding process. Correspondence will primarily be performed via email, and phone calls. Work will normally occur between the hours of 9am to 6pm on weekdays, ET

A Project Management gecko dashboard will be created to help keep track of milestones. The Client will have front facing access to the shared project to keep track of the workload, timelines, and progress.

The following resources will be available to support onboarding:

- Library IQ Solutions Specialists – Project Lead
- Account Manager – lead support team member
- IT/ILS Lead
- Product Manager

### **D. Ongoing Support**

- a. Fresh Desk ticket management system is used to monitor incoming requests. Service requests will receive a response within one (1) business day.
- b. Deliverables: The Client will have access to the ticket management system to review open tickets on demand.

**SOFTWARE LICENSE AND SUPPORT TERMS (Applicable to all licensed Software Services):**

# PRODUCT / SERVICE TERMS ADDENDA

In addition to the Terms, your use of the below listed products are subject to these additional terms and conditions:

## Polaris Subscription Licenses

**1. License.** Client and, where applicable, its Authorized Users (defined below) may use the Software (including any client configurations) (i) only for the management of the library and for servicing its patrons (including permitting Authorized Users to search library catalogues), and not on an outsourced basis, as a service bureau, for resale, or similarly on behalf of or for the direct or indirect benefit of third parties, and (ii) only in accordance with the other terms of this Agreement. The license does not include hosting services, which must be purchased separately.

**2. Copies.** Non-production use includes training, development, testing, quality assurance, staging or preproduction provided that the copies of the Software are not used in a production environment or as a backup to production. The license includes the right to use a single production instance and up to two (2) additional copies for non-production use at no additional charge. Non-production use includes training, development, testing, quality assurance, staging or preproduction provided that the copies of the Software are not used in a production environment or as a backup to production.

**3. New Releases.** The license granted to you pursuant to this Agreement will include, at no additional cost, a license to use all new scheduled major releases, service pack releases, and hot fixes of the software offered generally by Contractor to its clients during the term of this Agreement (collectively, "New Releases"). "New Releases" do not include new or additional modules, applications or other software now or hereafter offered by Contractor, each of which require a separate license and payment of additional license fees. Additional fees may be required for implementation of New Releases.

**4. Authorized Users.** For clarity, your patrons do not fall within the number of Authorized Users on your Order Form.

**5. Aggregated Data.** In addition to the rights set forth in the Terms, we may use your Content and otherwise collect information related to your use of our product to create and use aggregate, non-identifying and anonymized data ("Collected Data"). Client acknowledges and agrees that it will have no rights in any products or services created or sold by Contractor or its affiliates that use Collected Data.

**6. Early termination.** Client may terminate this Agreement at any time during the Initial Term effective as of the date of the next annual anniversary of the term if Client's budget (funding) is eliminated and Client provides written evidence of the elimination of Client's budget (funding), such evidence to be in the form and substance reasonably requested by Contractor.

7. **Modules.** Your purchase and use of additional modules, tools or other applications from us with the Software are subject to the same terms as the Software.

#### **All Vega Products/Software-as-a-Service**

1. **License.** We will provide you with subscription access via a website to our Integrated Library System solution known as “Vega”. Client and, where applicable, its Authorized Users may access and use Vega (including any client configurations) (i) only for the management of the library and for servicing its patrons (including permitting Authorized Users to search library catalogues), and not on an outsourced basis, as a service bureau, for resale, or similarly on behalf of or for the direct or indirect benefit of third parties, and (ii) only in accordance with the other terms of this Agreement.

2. **New Releases.** The license granted to you pursuant to this Agreement will include, at no additional cost, a license to use all new scheduled major releases, service pack releases, and hot fixes of the software offered generally by Contractor to its clients during the term of this Agreement (collectively, "New Releases"). "New Releases" do not include new or additional modules, applications or other software now or hereafter offered by Contractor, each of which require a separate license and payment of additional license fees. Additional fees may be required for implementation of New Releases.

3. **Aggregated Data.** In addition to the rights set forth in the Terms, we may use your Content and otherwise collect information related to your use of our product to create and use aggregate, non-identifying and anonymized data (“Collected Data”). Client acknowledges and agrees that it will have no rights in any products or services created or sold by Contractor or its affiliates that use Collected Data.

4. **Authorized Users.** Patrons fall within the number of Authorized Users on your Order Form.

5. **Early termination.** Client may terminate this Agreement at any time during the Initial Term effective as of the date of the next annual anniversary of the term if Client’s budget (funding) is eliminated and Client provides written evidence of the elimination of Client’s budget (funding), such evidence to be in the form and substance reasonably requested by Contractor.



# OPERATIONAL MATERIALS ADDENDA

## Software Support, Service Availability and Maintenance

This document outlines our Software support, maintenance and service availability for the following products (“Covered Products”):

**Polaris**

### Support

**Requesting support.** Support includes issue analysis, support case management, prioritization of issues, tracking and investigation of issues and explanation of error messages. You must provide us with the information we need to resolve your problem. This includes relevant contact information, details about the problem, error messages, user IDs, and any other necessary information. If you have problems using our software, your designated administrators can contact us during normal hours. Your administrator will be provided an internal portal to report issues and review their status.

**Support Access.** If you host your own Software, you must provide us direct network internet access to the Software, including any firewalls. We require such access to correct Software bugs and carry out modifications of the Software for the purpose of maintaining the Software.

**New Releases.** Unless you have purchased our Hosting Services, additional fees at Contractor’s then-prevailing professional service rates will apply for implementation of New Releases.

**Response.** We will use commercially reasonable efforts to meet the service level objectives stated below. Target response times to confirm receipt and begin troubleshoot and diagnosis of the problem are below. Resolution times cannot be guaranteed, although we undertake every effort to resolve your issues as soon as possible.

| Priority   | Response         | Criteria                                                                                                                                                                                                                                                                              |
|------------|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 1 | 1 Business hour  | A major component of the software is in a non-responsive state and severely affects library productivity or operations. A high impact problem that affects the entire library system. Widespread system availability, production system is down                                       |
| Severity 2 | 4 Business hours | Any component failure or loss of functionality not covered in Severity 1 that is hindering operations, such as, but not limited to: excessively slow response time, functionality degradation; error messages; backup problems; or issues affecting the use of the module or the data |
| Severity 3 | 2 Business Days  | An issue (other than a Severity 1 or 2) which (a) has no direct and material impact on business processes, (b) has                                                                                                                                                                    |

|            |                                        |                                                                                                                                                                                                                                                                                                |
|------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|            |                                        | an impact only on a segment of users, or (c) does not yet disrupt time-critical business processes.                                                                                                                                                                                            |
| Severity 4 | as promptly as is reasonably practical | Non-performance related incidents, including: general questions, requests for information, documentation questions, enhancement requests. These will be logged but no immediate action will be taken. We will generally monitor the situation but will not be obliged to provide any solution. |

**Escalation Path.** If you do not receive a response within the timeframe designated above, please reach out to your Account Manager.

## Hosting Services

The following terms apply to the extent you have purchased hosting services from Contractor for one or more of the Covered Products.

### Service availability

We endeavor to ensure 99.9% availability of our software and make commercially reasonable efforts to schedule maintenance and system upgrades during the weekends or outside regular business hours (i.e. after regular end of business Pacific Time and before start of business Eastern Time) with reasonable notice. Availability is calculated by dividing the number of minutes the software was available during the Measured Period by the total sum of the minutes in the Measured Period less any Excluded Downtime.

For the purposes of this calculation, (i) the Measured Period is a calendar year and (ii) the Excluded Downtime includes scheduled downtime for system maintenance and release updates, as well as any service unavailability attributable to your breach, any actions or omissions by you or your users, causes beyond our control, or separate instances of unavailability of less than 5 (five) minutes duration each, provided such instances are not of a persistent nature.

If availability falls below 99.9% in a month for three consecutive months, you will be entitled to a credit equal to the prorated amount of the fees for hosting services for any time during such three-month period in which the software was unavailable (other than Excluded Downtime). This credit will be your exclusive remedy for such unavailability.

### Security Controls

We take reasonable and appropriate administrative, technical and physical measures to protect the confidentiality, integrity and availability of your data; however, security and compliance is a shared responsibility between you and Contractor. Our responsibilities are described below. You should take into consideration any special configurations or third-party applications and your responsibilities depending on any applicable laws and regulations.

The table below sets forth the features of our standard cloud-based hosting option. Premium support may be available for an additional cost.

| Feature                                      | Standard |
|----------------------------------------------|----------|
| 24x7 network monitoring                      | Yes      |
| Dedicated production environment             | Yes      |
| 99.9% guaranteed infrastructure uptime       | Yes      |
| Dedicated public IP address and custom URL   | Yes      |
| Operating system installation and management | Yes      |
| Library software installation and upgrades   | Yes      |
| Data backups                                 | Daily    |
| Archive data backup retention                | 30 days  |

*Network Systems Audit Logging.* All firewall logon activity and password changes are logged, monitored, controlled and audited. All intrusion detection and firewall log monitoring is done through services provided by Innovative and those pertinent log files and configuration files are retained for ninety (90) days and can be made available upon request for audit and problem resolution, as may be required.

*Network Monitoring.* All network systems and servers are monitored 24/7/365. We will monitor its systems for security breaches, violations and suspicious (questionable) activity. This includes suspicious external activity (including, without limitation, unauthorized probes, scans or break-in attempts) and suspicious internal activity (including, without limitation, unauthorized system administrator access, unauthorized changes to its system or network, system or network misuse or program information theft or mishandling). Innovative will notify Client as soon as reasonably possible of any known security breaches or suspicious activities involving Client's production data or environment, including, without limitation, unauthorized access and service attacks, e.g., denial of service attacks.

*Audit and Security Testing.* Hosting Providers perform regular security audits and testing. You may not perform own audits of hosting providers.

*Information Security Auditing/Compliance.* Our hosting providers undergo SOC 1/SOC 2 Type 2/ISO 27001 audits each year by independent third-party audit firms. We offer hosting options in datacenters located in the United States, Canada, United Kingdom, Ireland, Australia and the Asia-Pacific region, however, Contractor reserves the right to increase, decrease and/or relocate its datacenters at anytime.

## Disclaimer

Support services do not include visits to your site, any services for third party equipment or software, problems stemming from a change you made to the software, or consulting services related to client specific configurations or implementation (such as interactions between the software and your hardware, installations at your site, assistance with acceptance testing, client specific templates or reports, etc). We have no obligation to correct any error resulting from a failure by you to implement a third-party software modification or update recommended by us and provided to you at no charge.

We are not responsible for downtime or any other failure to meet the availability requirement if the root cause of the disruption is (i) your breach of the agreement; (ii) your failure to use minimum recommended browser standards for access to and use of the software; or (iii) outside of our control including, but not limited to, failures of hardware or software of upstream service providers or at your location or improper use of the software. Any additional services which you may request and we may agree to perform will be billed on a time and materials basis subject to our current applicable rates.

## Changes to Support Policy

This policy may be updated by us from time to time, in our sole discretion, but only to provide enhanced or additional support and not to provide any lesser support. Any updates to the Support Policy must be done with written approval by City and sent in writing to City at least 30 days prior to any implementation of any such updates.

# Software Support, Service Availability and Maintenance

This document outlines our Software support, maintenance and service availability for all Vega/Software as a Service products.

## Support

**Requesting support.** Support includes issue analysis, support case management, prioritization of issues, tracking and investigation of issues and explanation of error messages. You must provide us with the information we need to resolve your problem. This includes relevant contact information, details about the problem, error messages, user IDs, and any other necessary information. If you have problems using our software, your designated administrators can contact us during normal hours. Your administrator will be provided an internal portal to report issues and review their status.

**Response.** We will use commercially reasonable efforts to meet the service level objectives stated below. Target response times to confirm receipt and begin troubleshoot and diagnosis of the problem are below. Resolution times cannot be guaranteed, although we undertake every effort to resolve your issues as soon as possible.

| Priority   | Response                               | Criteria                                                                                                                                                                                                                                                                                       |
|------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 1 | 1 Business hour                        | A major component of the software is in a non-responsive state and severely affects library productivity or operations. A high impact problem that affects the entire library system. Widespread system availability, production system is down                                                |
| Severity 2 | 4 Business hours                       | Any component failure or loss of functionality not covered in Severity 1 that is hindering operations, such as, but not limited to: excessively slow response time, functionality degradation; error messages; backup problems; or issues affecting the use of the module or the data          |
| Severity 3 | 2 Business Days                        | An issue (other than a Severity 1 or 2) which (a) has no direct and material impact on business processes, (b) has an impact only on a segment of users, or (c) does not yet disrupt time-critical business processes.                                                                         |
| Severity 4 | as promptly as is reasonably practical | Non-performance related incidents, including: general questions, requests for information, documentation questions, enhancement requests. These will be logged but no immediate action will be taken. We will generally monitor the situation but will not be obliged to provide any solution. |

**Escalation Path.** If you do not receive a response within the timeframe designated above, please reach out to your Account Manager.

## Hosting Services

### Service availability

We endeavor to ensure 99.5% availability of our software and make commercially reasonable efforts to schedule maintenance and system upgrades during the weekends or outside regular business hours (i.e. after regular end of business Pacific Time and before start of business Eastern Time) with reasonable notice. Availability is calculated by dividing the number of minutes the software was available during the Measured Period by the total sum of the minutes in the Measured Period less any Excluded Downtime.

For the purposes of this calculation, (i) the Measured Period is a calendar year and (ii) the Excluded Downtime includes scheduled downtime for system maintenance and release updates, as well as any service unavailability attributable to your breach, any actions or omissions by you or your users, causes beyond our control, or separate instances of unavailability of less than 5 (five) minutes duration each, provided such instances are not of a persistent nature.

If availability falls below 99.5% in a month for three consecutive months, you will be entitled to a credit equal to the prorated amount of the fees for hosting services for any time during such three-month period in which the software was unavailable (other than Excluded Downtime). This credit will be your exclusive remedy for such unavailability.

### Security Controls

We take reasonable and appropriate administrative, technical and physical measures to protect the confidentiality, integrity and availability of your data; however, security and compliance is a shared responsibility between you and Contractor. Our responsibilities, including those managed by Contractor hosting partners, are described below. You should take into consideration any special configurations or third-party applications and your responsibilities depending on any applicable laws and regulations.

The table below sets forth the features of our standard cloud-based hosting option. Premium support may be available for an additional cost.

| Feature                                | Standard |
|----------------------------------------|----------|
| 24x7 network monitoring                | Yes      |
| Dedicated production environment       | Yes      |
| 99.5% guaranteed infrastructure uptime | Yes      |

|                                              |         |
|----------------------------------------------|---------|
| Dedicated public IP address and custom URL   | Yes     |
| Operating system installation and management | Yes     |
| Library software installation and upgrades   | Yes     |
| Data backups                                 | Daily   |
| Archive data backup retention                | 30 days |

*Network Systems Audit Logging.* All network logon activity and password changes are logged, monitored, controlled and audited. All intrusion detection and firewall log monitoring is done through services provided by the Hosting Provider. The pertinent log files and configuration files related to customer's hosted solution are retained for seven days and can be made available upon request for audit and problem resolution, as may be required.

*Encryption.* Encryption for data-in-transit is provided as a part of the Standard Plan.

*Network Monitoring.* All network systems and servers are monitored 24/7/365. We will monitor its systems for security breaches, violations and suspicious activity. This includes suspicious external activity (including, without limitation, unauthorized probes, scans or intrusion attempts) and suspicious internal activity (including, without limitation, unauthorized system administrator access, unauthorized changes to its system or network, system or network misuse or program information theft or mishandling). Innovative will notify Client as soon as reasonably possible of any known security breaches or suspicious activities involving Client's production data or environment, including, without limitation, unauthorized access and service attacks, e.g., denial of service attacks.

*Physical Security.* The physical infrastructure used to support the product (and other professional services purchased by you from Contractor, as applicable), including the servers, storage, switches, and firewalls, are provided by the hosting provider. The hosting provider limits access to only authorized personnel, and badge and/or biometric scanning controls access. Security cameras placed in the hosting facilities provide video surveillance.

*Audit and Security Testing.* Hosting providers perform regular security audits and testing. You may not perform own audits of hosting providers.

*Security Assessments.* Client may perform vendor due diligence reviews of Innovative's security best practices. Innovative undergoes annual audits by independent firms and will share its security certifications, and audit reports under Non-Disclosure, as requested by Client.

*Information Security Auditing/Compliance.* Our hosting providers undergo SOC 1/SOC 2 Type 2/ISO 27001 audits each year by independent third-party audit firms. We also hold the internationally-recognized ISO 27001:2013 standard for its information security management system supporting the hosting solutions. We partner with hosting providers who are designed to satisfy requirements of most security sensitive customers with constant monitoring, high

automation, high availability, and highly accredited to global security standards, including: PCI DSS Level 1, ISO 27001, FISMA Moderate, FedRAMP, HIPAA, and SOC 1 (formerly referred to as SAS 70 and/or SSAE 16) and SOC 2. We offer hosting options in datacenters located in the United States, Canada, United Kingdom, Ireland, Australia and the Asia-Pacific region, however, Contractor reserves the right to increase, decrease and/or relocate its datacenters at anytime.

*Your responsibility.* Client remains responsible for properly implementing access and use controls and configuring certain features and functionalities of the software that Client may elect to use in the manner that Client deems adequate to maintain appropriate security, protection, deletion, and backup of its data.

## Disclaimer

Support services do not include visits to your site, any services for third party equipment or software, problems stemming from a change you made to the software, or consulting services related to client specific configurations or implementation (such as interactions between the software and your hardware, installations at your site, assistance with acceptance testing, client specific templates or reports, etc). We have no obligation to correct any error resulting from a failure by you to implement a third-party software modification or update recommended by us and provided to you at no charge.

We are not responsible for downtime or any other failure to meet the availability requirement if the root cause of the disruption is (i) your breach of the agreement; (ii) your failure to use minimum recommended browser standards for access to and use of the software; or (iii) outside of our control including, but not limited to, failures of hardware or software of upstream service providers or at your location or improper use of the software. Any additional services which you may request and we may agree to perform will be billed on a time and materials basis subject to our current applicable rates.

## Changes to Support Policy

This policy may be updated by us from time to time, but only to provide enhanced or additional support and not to provide any lesser support. Any updates to the Support Policy must be done with written approval by City and sent in writing to City at least 30 days prior to any implementation of any such updates.



## **Exhibit C**



**THE CITY OF SAN DIEGO**

**GENERAL CONTRACT TERMS AND PROVISIONS**

**APPLICABLE TO GOODS, SERVICES, AND CONSULTANT CONTRACTS**

## **ARTICLE I**

### **SCOPE AND TERM OF CONTRACT**

**1.1 Scope of Contract.** The scope of contract between the City and a provider of goods and/or services (Contractor) is described in the Contract Documents. The Contract Documents are comprised of the Request for Proposal, Invitation to Bid, or other solicitation document (Solicitation); the successful bid or proposal; the letter awarding the contract to Contractor; the City's written acceptance of exceptions or clarifications to the Solicitation, if any; and these General Contract Terms and Provisions.

**1.2 Effective Date.** A contract between the City and Contractor (Contract) is retroactively effective on January 1, 2026, upon the last date that the contract is signed by the parties and approved by the City Attorney in accordance with Charter section 40. Unless otherwise terminated, this Contract is effective until it is completed or as otherwise agreed upon in writing by the parties, whichever is the earliest. A Contract term cannot exceed five (5) years unless approved by the City Council by ordinance.

**1.3 Contract Extension.** The City may, in its sole discretion, unilaterally exercise an option to extend the Contract as described in the Contract Documents. In addition, the Parties may by mutual consent, extend the Contract on a month-to-month basis following contract expiration if authorized under Charter section 99 and the Contract Documents. Contractor shall not increase its pricing in excess of the percentage increase described in the Contract.

## **ARTICLE II**

### **CONTRACT ADMINISTRATOR**

**2.1 Contract Administrator.** The Purchasing Agent or designee is the Contract Administrator for purposes of this Contract, and has the responsibilities described in this Contract, in the San Diego Charter, and in Chapter 2, Article 2, Divisions 5, 30, and 32.

**2.1.1 Contractor Performance Evaluations.** The Contract Administrator will evaluate Contractor's performance as often as the Contract Administrator deems necessary throughout the term of the contract. This evaluation will be based on criteria including the quality of goods or services, the timeliness of performance, and adherence to applicable laws, including prevailing wage and living wage. City will provide Contractors who receive an unsatisfactory rating with a copy of the evaluation and an opportunity to respond. City may consider final evaluations, including Contractor's response, in evaluating future proposals and bids for contract award.

**2.2 Notices.** Unless otherwise specified, in all cases where written notice is required under this Contract, service shall be deemed sufficient if the notice is personally delivered or deposited in the United States mail, with first class postage paid, attention to the Purchasing Agent. Proper notice is effective on the date of personal delivery or five (5) days after deposit in a United States postal mailbox unless provided otherwise in the Contract. Notices to the City shall be sent to:

Purchasing Agent  
City of San Diego, Purchasing and Contracting Division  
1200 3<sup>rd</sup> Avenue, Suite 200  
San Diego, CA 92101-4195

### **ARTICLE III COMPENSATION**

**3.1 Manner of Payment.** For annual software subscriptions, Contractor will be paid annually in advance. For any other services, Contractor will be paid upon completion of such services or as otherwise specified in the Contract.

#### **3.2 Invoices.**

**3.2.1 Invoice Detail.** Contractor's invoice must be on Contractor's stationary with Contractor's name, address, and remittance address if different. Contractor's invoice must have a date, an invoice number, a purchase order number, a description of the goods or services provided, and an amount due.

**3.2.2 Service Contracts.** Contractor must submit invoices for services to City by the 10<sup>th</sup> of the month following the month in which Contractor provided services. Invoices must include the address of the location where services were performed and the dates in which services were provided.

**3.2.3 Goods Contracts.** Contractor must submit invoices for goods to City within seven days of the shipment. Invoices must describe the goods provided.

**3.2.4 Parts Contracts.** Contractor must submit invoices for parts to City within seven calendar (7) days of the date the parts are shipped. Invoices must include the manufacturer of the part, manufacturer's published list price, percentage discount applied in accordance with Pricing Page(s), the net price to City, and an item description, quantity, and extension.

**3.2.5 Extraordinary Work.** City will not pay Contractor for extraordinary work unless Contractor receives prior written authorization from the Contract Administrator. Failure to do so will result in payment being withheld for services. If approved, Contractor will include an invoice that describes the work performed and the location where the work was performed, and a copy of the Contract Administrator's written authorization.

**3.2.6 Reporting Requirements.** Contractor must submit the following reports using the City's web-based contract compliance portal. Incomplete and/or delinquent reports may cause payment delays, non-payment of invoice, or both. For questions, please view the City's online tutorials on how to utilize the City's web-based contract compliance portal.

**3.2.6.1 Monthly Employment Utilization Reports.** Contractor and Contractor's subcontractors and suppliers must submit Monthly Employment Utilization Reports by the fifth (5<sup>th</sup>) day of the subsequent month.

**3.2.6.2 Monthly Invoicing and Payments.** Contractor and Contractor's subcontractors and suppliers must submit Monthly Invoicing and Payment Reports by the fifth (5<sup>th</sup>) day of the subsequent month.

**3.3 Annual Appropriation of Funds.** Contractor acknowledges that the Contract term may extend over multiple City fiscal years, and that work and compensation under this Contract is contingent on the City Council appropriating funding for and authorizing such work and compensation for those fiscal years. This Contract may be terminated at the end of the fiscal year for which sufficient funding is not appropriated and authorized. City is not obligated to pay Contractor for any amounts not duly appropriated and authorized by City Council.

**3.4 Reserved.**

## **ARTICLE IV SUSPENSION AND TERMINATION**

**4.1 City's Right to Suspend for Convenience.** As it pertains to any services to be provided by Contractor (except the software subscription service set forth in Exhibit B-2) until the time of final written acceptance by City, City may suspend all or any portion of Contractor's performance under this Contract at its sole option and for its convenience for a reasonable period of time not to exceed six (6) months. City must first give ten (10) days' written notice to Contractor of such suspension. City will pay to Contractor a sum equivalent to the reasonable value of the goods and/or services satisfactorily provided up to the date of suspension. City may rescind the suspension prior to or at six (6) months by providing Contractor with written notice of the rescission, at which time Contractor would be required to resume performance in compliance with the terms and provisions of this Contract. Contractor will be entitled to an extension of time to complete performance under the Contract equal to the length of the suspension unless otherwise agreed to in writing by the Parties. Notwithstanding the foregoing, City may suspend for convenience all services including the software subscription service set forth in Exhibit B-2 due to loss of funding.

**4.2 City's Right to Terminate for Convenience.** As it pertains to any services to be provided by Contractor (except the software subscription service set forth in Exhibit B-2) until the time of final written acceptance by City, City may, at its sole option and for its convenience, terminate all or any portion of this Contract by giving thirty (30) days' written notice of such termination to Contractor. The termination of the Contract shall be effective upon receipt of the notice by Contractor. After termination of all or any portion of the Contract, Contractor shall: (1) immediately discontinue all affected performance (unless the notice directs otherwise); and (2) complete any and all additional work necessary for the orderly filing of documents and closing of Contractor's affected performance under the Contract. After filing of documents and completion of performance, Contractor shall deliver to City all data, drawings, specifications, reports, estimates, summaries, and such other information and materials created or received by Contractor in performing this Contract, whether completed or in process. By accepting payment for completion, filing, and delivering documents as called for in this section, Contractor discharges City of all of City's payment obligations and liabilities under this Contract with regard to the affected performance. Notwithstanding the foregoing, the City may terminate all services

including the software subscription service set forth in Exhibit B-2 for convenience due to loss of funding.

**4.3 Mutual Right to Terminate for Default.** Any failure by City or Contractor to satisfactorily perform any obligation required by this Contract constitutes a default. Examples of default include a determination by City that Contractor has: (1) failed to deliver goods and/or perform the services of the required quality or within the time specified; (2) failed to perform any of the obligations of this Contract; and (3) failed to make sufficient progress in performance which may jeopardize full performance.

**4.3.1** If either party fails to satisfactorily cure a default within sixty (60) calendar days of receiving written notice from the other party specifying the nature of the default, the non-breaching party may immediately cancel and/or terminate this Contract, and terminate each and every right of the other party-, and any person claiming any rights by or through Contractor under this Contract. Notwithstanding the foregoing, if the breaching party has in good faith commenced to remedy such failure and such remedy cannot reasonably be completed within such 60-day period, then the breaching party will have an additional thirty (30) days to complete such remedy, after which period the other party may terminate this Contract if such failure continues unremedied.

**4.3.2** If City terminates this Contract, in whole or in part, City may procure, upon such terms and in such manner as the Purchasing Agent may deem appropriate, equivalent goods or services and Contractor shall be liable to City for any excess costs. Contractor shall also continue performance to the extent not terminated.

**4.4 Termination for Bankruptcy or Assignment for the Benefit of Creditors.** If Contractor files a voluntary petition in bankruptcy, is adjudicated bankrupt, or makes a general assignment for the benefit of creditors, the City may at its option and without further notice to, or demand upon Contractor, terminate this Contract, and terminate each and every right of Contractor, and any person claiming rights by and through Contractor under this Contract.

**4.5 Contractor's Right to Payment Following Contract Termination.**

**4.5.1 Termination for Convenience.** If the termination is for the convenience of City an equitable adjustment in the Contract price shall be made. No amount shall be allowed for anticipated profit on unperformed services, and no amount shall be paid for an as needed contract beyond the Contract termination date. Upon any termination for convenience of the Contract, all prepaid fees for the software subscription shall be non-refundable and as to any other services, City shall be responsible only for work product or services performed up to the date of such termination.

**4.5.2 Termination for Default.** If, after City gives notice of termination for failure to fulfill Contract obligations to Contractor, it is determined that Contractor had not so failed, the termination shall be deemed to have been effected for the convenience of City. In such event, adjustment in the Contract price shall be made as provided in Section 4.3.2. City's rights and remedies are in addition to any other rights and remedies provided by law or under this Contract.

**4.6 Remedies Cumulative.** City's remedies are cumulative and are not intended to be exclusive of any other remedies or means of redress to which City may be lawfully entitled in case of any breach or threatened breach of any provision of this Contract.

## **ARTICLE V ADDITIONAL CONTRACTOR OBLIGATIONS**

**5.1 Inspection and Acceptance.** The City will inspect and accept goods provided under this Contract at the shipment destination unless specified otherwise. Inspection will be made, and acceptance will be determined by the City department shown in the shipping address of the Purchase Order or other duly authorized representative of City.

**5.2 Responsibility for Lost or Damaged Shipments.** Contractor bears the risk of loss or damage to goods prior to the time of their receipt and acceptance by City. City has no obligation to accept damaged shipments and reserves the right to return damaged goods, at Contractor's sole expense, even if the damage was not apparent or discovered until after receipt.

**5.3 Responsibility for Damages.** Contractor is responsible for all damage that occurs as a result of Contractor's fault or negligence or that of its' employees, agents, or representatives in connection with the performance of this Contract. Contractor shall immediately report any such damage to people and/or property to the Contract Administrator.

**5.4 Delivery.** Delivery shall be made on the delivery day specified in the Contract Documents. The City, in its sole discretion, may extend the time for delivery. The City may order, in writing, the suspension, delay or interruption of delivery of goods and/or services.

**5.5 Delay.** Unless otherwise specified herein, time is of the essence for each and every provision of the Contract. Contractor must immediately notify City in writing if there is, or it is anticipated that there will be, a delay in performance. The written notice must explain the cause for the delay and provide a reasonable estimate of the length of the delay. City may terminate this Contract as provided herein if City, in its sole discretion, determines the delay is material.

**5.5.1** If a delay in performance is caused by any unforeseen event(s) beyond the control of the parties, City may allow Contractor to a reasonable extension of time to complete performance, but Contractor will not be entitled to damages or additional compensation. Any such extension of time must be approved in writing by City. The following conditions may constitute such a delay: war; changes in law or government regulation; labor disputes; strikes; fires, floods, adverse weather or other similar condition of the elements necessitating cessation of the performance; inability to obtain materials, equipment or labor; or other specific reasons agreed to between City and Contractor. This provision does not apply to a delay caused by Contractor's acts or omissions. Contractor is not entitled to an extension of time to perform if a delay is caused by Contractor's inability to obtain materials, equipment, or labor unless City has received, in a timely manner, documentary proof satisfactory to City of Contractor's inability to obtain materials, equipment, or labor, in which case City's approval must be in writing.

**5.6 Restrictions and Regulations Requiring Contract Modification.** Contractor shall immediately notify City in writing of any regulations or restrictions that may or will require

Contractor to alter the material, quality, workmanship, or performance of the goods and/or services to be provided. City reserves the right to accept any such alteration, including any resulting reasonable price adjustments, or to cancel the Contract at no expense to the City.

**5.7 Warranties for Software Products and Software Implementation Services.** All goods and/or services provided under the Contract must be warranted by Contractor or manufacturer for at least thirty (30) days after acceptance by City, with regard to the software implementation services and except automotive equipment. Automotive equipment must be warranted for a minimum of 12,000 miles or 12 months, whichever occurs first, unless otherwise stated in the Contract. Contractor is responsible to City for all warranty service, parts, and labor. Contractor is required to ensure that warranty work is performed at a facility acceptable to City and that services, parts, and labor are available and provided to meet City's schedules and deadlines. Contractor may establish a warranty service contract with an agency satisfactory to City instead of performing the warranty service itself. If Contractor is not an authorized service center and causes any damage to equipment being serviced, which results in the existing warranty being voided, Contractor will be liable for all costs of repairs to the equipment, or the costs of replacing the equipment with new equipment that meets City's operational needs.

As for any and all software products provided by Contractor, the following warranty shall apply with the terms "we", "us", and "our" below referring to Contractor and "you" and "your" referring to City:

- (a) LIMITED WARRANTY. WE WARRANT THAT (i) WE PROVIDE THE PRODUCTS USING COMMERCIALLY REASONABLE SKILL AND CARE; (ii) OUR INSTALLED SOFTWARE WILL SUBSTANTIALLY CONFORM TO ITS DOCUMENTATION; AND (iii) OUR HOSTED SOFTWARE WILL SUBSTANTIALLY CONFORM TO ITS THEN-CURRENT DOCUMENTATION. WE DO NOT WARRANT UNINTERRUPTED OR ERROR-FREE OPERATION OR DELIVERY OF THE PRODUCTS. TO THE FULLEST EXTENT PERMITTED UNDER APPLICABLE LAWS, THESE WARRANTIES AND ANY PRODUCT-SPECIFIC WARRANTIES THAT MAY BE INCLUDED IN YOUR ORDER ARE THE EXCLUSIVE WARRANTIES FROM CONTRACTOR AND WE DISCLAIM ALL OTHER WARRANTIES, REPRESENTATIONS AND UNDERTAKINGS, EXPRESS OR IMPLIED, INCLUDING OF PERFORMANCE, MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, ACCURACY, COMPLETENESS AND CURRENTNESS.**
- (b) SOFTWARE. IF WE CANNOT RECTIFY ANY VALID SOFTWARE WARRANTY CLAIM WITHIN A REASONABLE PERIOD YOU MAY CANCEL YOUR LICENSE OF THE AFFECTED SOFTWARE BY WRITTEN NOTICE TO US. WE WILL WITHOUT ANY FURTHER LIABILITY REFUND ALL APPLICABLE CHARGES BASED ON A FIVE (5) YEAR STRAIGHT-LINE DEPRECIATION FROM THE EFFECTIVE DATE OF THE APPLICABLE ORDER FOR THE SOFTWARE.**
- (c) SOFTWARE IMPLEMENTATION SERVICES. WE WILL RECTIFY SOFTWARE IMPLEMENTATION SERVICES IF YOU GIVE US WRITTEN NOTICE OF A VALID WARRANTY CLAIM WITHIN 30 DAYS OF DELIVERY. IF WE CANNOT RECTIFY ANY VALID WARRANTY CLAIM WITHIN A REASONABLE PERIOD, WE WILL WITHOUT ANY FURTHER LIABILITY REFUND ALL APPLICABLE CHARGES RELATED TO THE DEFECTIVE SERVICE AND WE MAY TERMINATE THE AFFECTED SERVICES BY WRITTEN NOTICE TO YOU.**
- (d) NO ADVICE. WE ARE PROVIDING THE PRODUCTS FOR INFORMATIONAL PURPOSES**

**ONLY. WE ARE NOT PROVIDING ANY ADVICE (LEGAL, MEDICAL, CLINICAL, FINANCIAL OR OTHERWISE) BY ALLOWING YOU TO ACCESS AND USE THE PRODUCTS. YOU ARE FULLY RESPONSIBLE FOR YOUR INTERPRETATIONS OF THE PRODUCTS. IF YOU DESIRE ADVICE, WE ENCOURAGE YOU TO ENGAGE LEGAL, MEDICAL, CLINICAL OR FINANCIAL PROFESSIONALS TO HELP YOU INTERPRET THE PRODUCTS. YOU ACKNOWLEDGE THAT WE ARE NOT RESPONSIBLE FOR ANY ACTION OR DAMAGES RESULTING FROM ANY DECISIONS YOU (OR ANY OTHER PARTY ACCESSING THE PRODUCTS THROUGH YOU) MAKE IN RELIANCE ON THE PRODUCTS. WE ARE NOT A LAW FIRM OR PROFESSIONAL ADVISOR AND NO ATTORNEY/CLIENT, PHYSICIAN/PATIENT OR OTHER FIDUCIARY OR PROFESSIONAL RELATIONSHIP IS CREATED.**

- (e) THIRD PARTY MATERIALS. WE DO NOT ACCEPT ANY RESPONSIBILITY FOR, AND WILL NOT BE LIABLE FOR CLAIMS ARISING FROM, THIRD PARTY TECHNOLOGY OR ANY THIRD PARTY MATERIALS ACCESSIBLE VIA LINKS IN THE PRODUCTS.**

**5.8 Industry Standards.** Contractor shall provide goods and/or services acceptable to City in strict conformance with the Contract. Contractor shall also provide goods and/or services in accordance with the standards customarily adhered to by an experienced and competent provider of the goods and/or services called for under this Contract using the degree of care and skill ordinarily exercised by reputable providers of such goods and/or services. Where approval by City, the Mayor, or other representative of City is required, it is understood to be general approval only and does not relieve Contractor of responsibility for complying with all applicable laws, codes, policies, regulations, and good business practices.

**5.9 Records Retention and Examination.** Contractor shall retain, protect, and maintain in an accessible location all records and documents, including paper, electronic, and computer records, relating to this Contract for five (5) years after receipt of final payment by City under this Contract. Contractor shall make all such records and documents available for inspection, copying, or other reproduction, and auditing by authorized representatives of City, including the Purchasing Agent or designee. Contractor shall make available all requested data and records at reasonable locations within City or County of San Diego at any time during normal business hours, and as often as City deems necessary. If records are not made available within the City or County of San Diego, Contractor shall pay City's travel costs to the location where the records are maintained and shall pay for all related travel expenses. Failure to make requested records available for inspection, copying, or other reproduction, or auditing by the date requested may result in termination of the Contract. Contractor must include this provision in all subcontracts made in connection with this Contract.

**5.9.1** Contractor shall maintain records of all subcontracts entered into with all firms, all project invoices received from Subcontractors and Suppliers, all purchases of materials and services from Suppliers, and all joint venture participation. Records shall show name, telephone number including area code, and business address of each Subcontractor and Supplier, and joint venture partner, and the total amount actually paid to each firm. Project relevant records, regardless of tier, may be periodically reviewed by the City.

**5.10 Quality Assurance Meetings.** Upon City's request, Contractor shall schedule one or more quality assurance meetings with City's Contract Administrator to discuss Contractor's performance. If requested, Contractor shall schedule the first quality assurance meeting no later



than eight (8) weeks from the date of commencement of work under the Contract. At the quality assurance meeting(s), City's Contract Administrator will provide Contractor with feedback, will note any deficiencies in Contract performance, and provide Contractor with an opportunity to address and correct such deficiencies. The total number of quality assurance meetings that may be required by City will depend upon Contractor's performance.

**5.11 Duty to Cooperate with Auditor.** The City Auditor may, in his sole discretion, at no cost to the City, and for purposes of performing his responsibilities under Charter section 39.2, review Contractor's records to confirm contract compliance. Contractor shall make reasonable efforts to cooperate with Auditor's requests.

**5.12 Safety Data Sheets.** If specified by City in the solicitation or otherwise required by this Contract, Contractor must send with each shipment one (1) copy of the Safety Data Sheet (SDS) for each item shipped. Failure to comply with this procedure will be cause for immediate termination of the Contract for violation of safety procedures.

**5.13 Project Personnel.** Except as formally approved by the City, the key personnel identified in Contractor's bid or proposal shall be the individuals who will actually complete the work. Changes in staffing must be reported in writing and approved by the City.

**5.13.1 Criminal Background Certification.** Contractor certifies that all employees working on this Contract have had a criminal background check to the extent allowed by applicable law and that said employees are clear of any sexual and drug related convictions. Contractor further certifies that all employees hired by Contractor or a subcontractor in jurisdictions where background checks are permissible shall be free from any felony convictions.

**5.13.2 Photo Identification Badge.** Contractor shall provide a company photo identification badge to any individual assigned by Contractor or subcontractor to perform services or deliver goods on City premises. Such badge must be worn at all times while on City premises. City reserves the right to require Contractor to pay fingerprinting fees for personnel assigned to work in sensitive areas. All employees shall turn in their photo identification badges to Contractor upon completion of services and prior to final payment of invoice.

**5.14 Standards of Conduct.** Contractor is responsible for maintaining standards of employee competence, conduct, courtesy, appearance, honesty, and integrity satisfactory to the City.

**5.14.1 Supervision.** Contractor shall provide adequate and competent supervision at all times during the Contract term. Contractor shall be readily available to meet with the City. Contractor shall provide the telephone numbers where its representative(s) can be reached.

**5.14.2 City Premises.** Contractor's employees and agents shall comply with all City rules and regulations while on City premises.

**5.14.3 Removal of Employees.** City may request Contractor immediately remove from assignment to the City any employee found unfit to perform duties at the City. Contractor shall comply with all such requests.

**5.15 Licenses and Permits.** Contractor shall, without additional expense to the City, be responsible for obtaining any necessary licenses, permits, certifications, accreditations, fees and approvals for complying with any federal, state, county, municipal, and other laws, codes, and regulations applicable to Contract performance. This includes, but is not limited to, any laws or regulations requiring the use of licensed contractors to perform parts of the work.

**5.16 Contractor and Subcontractor Registration Requirements.** Prior to the award of the Contract or Task Order, Contractor and Contractor's subcontractors and suppliers must register with the City's web-based vendor registration and bid management system. The City may not award the Contract until registration of all subcontractors and suppliers is complete. In the event this requirement is not met within the time frame specified by the City, the City reserves the right to rescind the Contract award and to make the award to the next responsive and responsible proposer of bidder.

## **ARTICLE VI INTELLECTUAL PROPERTY RIGHTS**

### **6.1 Rights in Data.**

All Intellectual Property Rights (defined below) in the software and also including, without limitation, all improvements, enhancements, modifications, client-specific upgrades, or updates to the software, developed by either party, solely or jointly (collectively, "Contractor Products"), will remain the exclusive, sole and absolute property of Contractor or the third parties from whom Contractor has obtained the right to use the Contractor Products. Intellectual property created by Contractor pursuant to this Contract, or any other party at the request or direction of Contractor, will be owned by Contractor. "Intellectual Property Rights" means any and all intellectual property rights existing from time to time under any law or regulation, including without limitation, patent law, copyright law, semiconductor chip protection law, moral rights law, trade secret law, trademark law, unfair competition law, publicity rights law, or privacy rights law, and any and all other proprietary rights, and any and all applications, renewals, extensions and restorations of any of the foregoing, now or hereafter in force and effect worldwide. This Contract does not convey to the City any interest in or to the Contractor Products or any associated Intellectual Property Rights, but only a limited right to use the software to the extent set forth in this Contract, which right is terminable in accordance with the terms of this Contract and is otherwise subject to the limitations, restrictions, and requirements contained herein. If City configures or otherwise modifies the software using an API licensed hereunder, City will also have a license to use such configurations or modifications as part of the software on the terms set forth herein. Rights not expressly granted to the City are hereby expressly reserved by Contractor.

**6.2 Intellectual Property Rights Assignment.** -For purpose of this Contract, as between Contractor and City, any Intellectual Property Rights in the Contractor Products to the extent owned by any third party will be and remain the exclusive property of such third party. The software may include third-party software and products, which are described in the documentation and/or specifications made available to City by Contractor.

**6.3 Contractor Works.** Except as expressly stated herein, City will exclusively have and retain all right, title and interest, including all associated Intellectual Property Rights, in and to data that City enters into the software or disclosed by City to Contractor in its performance hereunder ("Client Data"), and, as between City and Contractor, such Client Data will remain the sole property of City. Provided that Contractor does not disclose or compromise any confidential or personally identifiable information of City or its end users in any of the following uses, City grants to Contractor a license to use Client Data: (i) to process the Client Data pursuant to City's business requirements, (ii) for maintenance and support of the software, (iii) to collect and use aggregate, non-identifying and anonymized data for software research and development purposes. City acknowledges and agrees that it will have no rights in any products or services created or sold by Contractor or its affiliates that use any of the Client Data in the manner set forth in (iii) of the preceding sentence. To the extent that applicable law requires any permissions or authorizations to have been obtained prior to submission of Client Data to Contractor (including without limitation from individuals to whom the data pertains), City warrants and covenants that it (and its Authorized Users, as applicable) will have first obtained the same permissions or authorizations prior to transmitting such data to Contractor.

**6.4 [Reserved]**

**6.5 Intellectual Property Warranty and Indemnification.** Contractor represents and warrants that any materials or deliverables, including all Deliverable Materials, provided under this Contract are either original, or not encumbered, and do not infringe upon the copyright, trademark, patent or other intellectual property rights of any third party, or are in the public domain. If Deliverable Materials provided hereunder become the subject of a claim, suit or allegation of copyright, trademark or patent infringement, City shall have the right, in its sole discretion, to require Contractor to produce, at Contractor's own expense, new non-infringing materials, deliverables or works as a means of remedying any claim of infringement in addition to any other remedy available to the City under law or equity. Contractor further agrees to indemnify, defend, and hold harmless the City, its officers, employees and agents from and against any and all claims, actions, costs, judgments or damages, of any type, alleging or threatening that any Deliverable Materials, supplies, equipment, services or works provided under this contract infringe the copyright, trademark, patent or other intellectual property or proprietary rights of any third party (Third Party Claim of Infringement). If a Third Party Claim of Infringement is threatened or made before Contractor receives payment under this Contract, City shall be entitled, upon written notice to Contractor, to withhold some or all of such payment.

**6.6 Software Licensing.** Contractor represents and warrants that the software, if any, as delivered to City, does not contain any program code, virus, worm, trap door, back door, time or clock that would erase data or programming or otherwise cause the software to become inoperable, inaccessible, or incapable of being used in accordance with its user manuals, either automatically, upon the occurrence of licensor-selected conditions or manually on command. Contractor further represents and warrants that all third party software, delivered to City or used by Contractor in the performance of the Contract, is fully licensed by the appropriate licensor.

**6.7 Publication.** Contractor may not publish or reproduce any Deliverable Materials, for

purposes unrelated to Contractor's work on behalf of the City without prior written consent from the City.

**6.8 Royalties, Licenses, and Patents.** Unless otherwise specified, Contractor shall pay all royalties, license, and patent fees associated with the goods that are the subject of this solicitation. Contractor warrants that the goods, materials, supplies, and equipment to be supplied do not infringe upon any patent, trademark, or copyright, and further agrees to defend any and all suits, actions and claims for infringement that are brought against the City, and to defend, indemnify and hold harmless the City, its elected officials, officers, and employees from all liability, loss and damages, whether general, exemplary or punitive, suffered as a result of any actual or claimed infringement asserted against the City, Contractor, or those furnishing goods, materials, supplies, or equipment to Contractor under the Contract.

## **ARTICLE VII INDEMNIFICATION AND INSURANCE**

**7.1 Indemnification.** To the fullest extent permitted by law, Contractor shall indemnify and hold the City and its elected officials, officers, employees, agents and representatives (Indemnified Parties) harmless from any and all liability, expense, judgment, suit, or cause of action for personal injury, death or direct damage to tangible property which may accrue against the City and the Indemnified Parties to the extent it is caused by the negligence of Contractor, its sub-consultants, or their employees or agents, while performing duties under this Contract. The City shall give prompt, written notice of any such claim or suit and shall cooperate with Contractor in its defense or settlement of such claim or suit. This section sets forth the full extent of Contractor's general indemnification of the City that are in any way related to Contractor's performance under this Contract.

Data Privacy Indemnity. Subject to the maximum Limitation on Liability cap as set forth in Clause 7.10 herein, Contractor agrees to indemnify, defend and save City, its officials, agents or employees, harmless from and against any third party claim, loss, damage, cost, and expense, including reasonable attorney's fees, relating to breaches of Contractor's data privacy obligations, to the extent such damages are caused by the negligent or wrongful act or omission or willful misconduct of the Contractor, or its employees, suppliers, materialmen, invitees, licensees, and guests. The indemnified Party shall provide timely notification to the indemnifying Party of any assertion against it of any such claims or demands. Each Party shall cooperate in good faith with the other to facilitate the defense and/or settlement of such a claim.

**7.2 Insurance.** Contractor shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder and the results of that work by Contractor, his agents, representatives, employees or subcontractors.

Contractor shall provide, at a minimum, the following:

**7.2.1 Commercial General Liability.** Insurance Services Office Form CG 00 01 covering CGL on an "occurrence" basis, including products and completed

operations, property damage, bodily injury, and personal and advertising injury with limits no less than \$1,000,000 per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this project/location (ISO CG 25 03 or 25 04) or the general aggregate limit shall be twice the required occurrence limit.

**7.2.2 Commercial Automobile Liability.** Insurance Services Office Form Number CA 0001 covering Code 1 (any auto) or, if Contractor has no owned autos, Code 8 (hired) and 9(non-owned), with limit no less than \$1,000,000 per accident for bodily injury and property damage.

**7.2.3 Workers' Compensation.** Insurance as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than \$1,000,000 per accident for bodily injury or disease.

**7.2.4 Professional Liability (Errors and Omissions).** For consultant contracts, insurance appropriate to Consultant's profession, with limit no less than \$1,000,000 per occurrence or claim, \$2,000,000 aggregate.

If Contractor maintains broader coverage and/or higher limits than the minimums shown above, City requires and shall be entitled to the broader coverage and/or the higher limits maintained by Contractor. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to City.

**7.2.5 Other Insurance Provisions.** The insurance policies are to contain, or be endorsed to contain, the following provisions:

**7.2.5.1 Additional Insured Status.** The City, its officers, officials, employees, and volunteers are to be covered as additional insureds on the CGL policy with respect to liability arising out of work or operations performed by or on behalf of Contractor including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to Contractor's insurance (at least as broad as ISO Form CG 20 10 11 85 or if not available, through the addition of both CG20 10, CG 20 26, CG 20 33, or CG 20 38; and CG 20 37 if a later edition is used).

**7.2.5.2 Primary Coverage.** For any claims related to this contract, Contractor's insurance coverage shall be primary coverage at least as broad as ISO CG 20 01 04 13 as respects the City, its officers, officials, employees, and volunteers. Any insurance or self- insurance maintained by City, its officers, officials, employees, or volunteers shall be excess of Contractor's insurance and shall not contribute with it.

**7.2.5.3 Notice of Cancellation.** Each insurance policy required

above shall provide that coverage shall not be canceled, except with notice to City.

**7.2.5.4 Waiver of Subrogation.** Contractor hereby grants to City a waiver of any right to subrogation which the Workers' Compensation insurer of said Contractor may acquire against City by virtue of the payment of any loss under such insurance. Contractor agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies regardless of whether or not the City has received a waiver of subrogation endorsement from the insurer.

**7.2.5.5 Claims Made Policies (applicable only to professional liability).** The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work. Insurance must be maintained, and evidence of insurance must be provided for at least five (5) years after completion of the contract of work. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, Contractor must purchase "extended reporting" coverage for a minimum of five (5) years after completion of work.

**7.3 Self Insured Retentions.** Self-insured retentions must be declared to and approved by City. City may require Contractor to purchase coverage with a lower retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention. The policy language shall provide, or be endorsed to provide, that the self-insured retention may be satisfied by either the named insured or City.

**7.4 Acceptability of Insurers.** Insurance is to be placed with insurers with a current A.M. Best's rating of no less than A-VI, unless otherwise acceptable to City.

City will accept insurance provided by non-admitted, "surplus lines" carriers only if the carrier is authorized to do business in the State of California and is included on the List of Approved Surplus Lines Insurers (LASLI list). All policies of insurance carried by non-admitted carriers are subject to all of the requirements for policies of insurance provided by admitted carriers described herein.

**7.5 Verification of Coverage.** Contractor shall furnish City with original certificates and amendatory endorsements or copies of the applicable policy language effecting coverage required by this clause. All certificates and endorsements are to be received and approved by City before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive Contractor's obligation to provide them. City reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time.

**7.6 Special Risks or Circumstances.** City reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other

special circumstances.

**7.7 Additional Insurance.** Contractor may obtain additional insurance not required by this Contract.

**7.8 Excess Insurance.** All policies providing excess coverage to City shall follow the form of the primary policy or policies including but not limited to all endorsements.

**7.9 Subcontractors.** Contractor shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and Contractor shall ensure that City is an additional insured on insurance required from subcontractors. For CGL coverage, subcontractors shall provide coverage with a format at least as broad as the CG 20 38 04 13 endorsement.

**7.10 Limitation on Liability.** The aggregate liability of Contractor (and of any of Contractor's third party providers) for all claims arising out of or in connection with the Contractor, including for breach of statutory duty, in tort or in negligence, will not exceed the amount of any actual direct damages up to the amounts payable under the Contract in the 36 months prior to the first incident under which liability arose (or where the claim arose in the first 36 months of the Contract, the amounts that would have been payable in the first 36 months).

## **ARTICLE VIII**

**[Reserved]**

## **ARTICLE IX**

### **CITY-MANDATED CLAUSES AND REQUIREMENTS**

**9.1 Contractor Certification of Compliance.** By signing this Contract, Contractor certifies that Contractor is aware of, and will comply with, these City-mandated clauses throughout the duration of the Contract but only to the extent that such clauses apply to contractor in Contractor fulfilling its obligations under the Contract.

**9.1.1 Drug-Free Workplace Certification.** Contractor shall comply with City's Drug-Free Workplace requirements set forth in Council Policy 100-17, which is incorporated into the Contract by this reference.

**9.1.2 Contractor Certification for Americans with Disabilities Act (ADA) and State Access Laws and Regulations:** Contractor shall comply with all accessibility requirements under the ADA and under Title 24 of the California Code of Regulations (Title 24). When a conflict exists between the ADA and Title 24, Contractor shall comply with the most restrictive requirement (i.e., that which provides the most access). Contractor also shall comply with the City's ADA Compliance/City Contractors requirements as set forth in Council Policy 100-04, which is incorporated into this Contract by reference. Contractor warrants and certifies compliance with all federal and state access laws and regulations and further certifies that any subcontract agreement for this contract contains language which indicates the subcontractor's

agreement to abide by the provisions of the City's Council Policy and any applicable access laws and regulations.

### **9.1.3 Non-Discrimination Requirements.**

**9.1.3.1 Compliance with City's Equal Opportunity Contracting Program (EOCP).** Contractor shall comply with City's EOCP Requirements. Contractor shall not discriminate against any employee or applicant for employment on any basis prohibited by law. Contractor shall provide equal opportunity in all employment practices. Prime Contractors shall ensure that their subcontractors comply with this program. Nothing in this Section shall be interpreted to hold a Prime Contractor liable for any discriminatory practice of its subcontractors.

**9.1.3.2 Non-Discrimination Ordinance.** Contractor shall not discriminate on the basis of race, gender, gender expression, gender identity, religion, national origin, ethnicity, sexual orientation, age, or disability in the solicitation, selection, hiring or treatment of subcontractors, vendors or suppliers. Contractor shall provide equal opportunity for subcontractors to participate in subcontracting opportunities. Contractor understands and agrees that violation of this clause shall be considered a material breach of the Contract and may result in Contract termination, debarment, or other sanctions. Contractor shall ensure that this language is included in contracts between Contractor and any subcontractors, vendors and suppliers.

**9.1.3.3 Compliance Investigations.** Upon City's request, Contractor agrees to provide to City, within sixty calendar days, a truthful and complete list of the names of all subcontractors, vendors, and suppliers that Contractor has used in the past five years on any of its contracts that were undertaken within San Diego County, including the total dollar amount paid by Contractor for each subcontract or supply contract. Contractor further agrees to fully cooperate in any investigation conducted by City pursuant to City's Nondiscrimination in Contracting Ordinance. Contractor understands and agrees that violation of this clause shall be considered a material breach of the Contract and may result in Contract termination, debarment, and other sanctions.

**9.1.4 Equal Benefits Ordinance Certification.** Unless an exception applies, Contractor shall comply with the Equal Benefits Ordinance (EBO) codified in the San Diego Municipal Code (SDMC). Failure to maintain equal benefits is a material breach of the Contract.

**9.1.5 Contractor Standards.** Contractor shall comply with Contractor Standards provisions codified in the SDMC. Contractor understands and agrees that violation of Contractor Standards may be considered a material breach of the Contract and may result in Contract termination, debarment, and other sanctions.

**9.1.6 Noise Abatement.** Contractor shall operate, conduct, or construct without violating the City's Noise Abatement Ordinance codified in the SDMC.

**9.1.7 Storm Water Pollution Prevention Program.** Contractor shall comply with the



City's Storm Water Management and Discharge Control provisions codified in Division 3 of Chapter 4 of the SDMC, as may be amended, and any and all applicable Best Management Practice guidelines and pollution elimination requirements in performing or delivering services at City owned, leased, or managed property, or in performance of services and activities on behalf of City regardless of location.

Contractor shall comply with the City's Jurisdictional Urban Runoff Management Plan encompassing Citywide programs and activities designed to prevent and reduce storm water pollution within City boundaries as adopted by the City Council on January 22, 2008, via Resolution No. 303351, as may be amended.

Contractor shall comply with each City facility or work site's Storm Water Pollution Prevention Plan, as applicable, and institute all controls needed while completing the services to minimize any negative impact to the storm water collection system and environment.

**9.1.8 Service Worker Retention Ordinance.** If applicable, Contractor shall comply with the Service Worker Retention Ordinance (SWRO) codified in the SDMC.

**9.1.9 Product Endorsement.** Contractor shall comply with Council Policy 000-41 which requires that other than listing the City as a client and other limited endorsements, any advertisements, social media, promotions or other marketing referring to the City as a user of a product or service will require prior written approval of the Mayor or designee. Use of the City Seal or City logos is prohibited.

**9.1.10 Business Tax Certificate.** Unless the City Treasurer determines in writing that a contractor is exempt from the payment of business tax, any contractor doing business with the City of San Diego is required to obtain a Business Tax Certificate (BTC) and to provide a copy of its BTC to the City before a Contract is executed.

**9.1.11 Equal Pay Ordinance.** Unless an exception applies, Contractor shall comply with the Equal Pay Ordinance codified in San Diego Municipal Code sections 22.4801 through 22.4809. Contractor shall certify in writing that it will comply with the requirements of the EPO.

**9.1.11.1 Contractor and Subcontract Requirement.** The Equal Pay Ordinance applies to any subcontractor who performs work on behalf of a Contractor to the same extent as it would apply to that Contractor. Any Contractor subject to the Equal Pay Ordinance shall require all of its subcontractors to certify compliance with the Equal Pay Ordinance in its written subcontracts.

## **ARTICLE X CONFLICT OF INTEREST AND VIOLATIONS OF LAW**

**10.1 Conflict of Interest Laws.** Contractor is subject to all federal, state and local conflict of interest laws, regulations, and policies applicable to public contracts and procurement practices including, but not limited to, California Government Code sections 1090, *et. seq.* and 81000, *et.*

*seq.*, and the Ethics Ordinance, codified in the SDMC. City may determine that Contractor must complete one or more statements of economic interest disclosing relevant financial interests. Upon City's request, Contractor shall submit the necessary documents to City.

**10.2 Contractor's Responsibility for Employees and Agents.** Contractor is required to establish and make known to its employees and agents appropriate safeguards to prohibit employees from using their positions for a purpose that is, or that gives the appearance of being, motivated by the desire for private gain for themselves or others, particularly those with whom they have family, business or other relationships.

**10.3 Contractor's Financial or Organizational Interests.** In connection with any task, Contractor shall not recommend or specify any product, supplier, or contractor with whom Contractor has a direct or indirect financial or organizational interest or relationship that would violate conflict of interest laws, regulations, or policies.

**10.4 Certification of Non-Collusion.** Contractor certifies that: (1) Contractor's bid or proposal was not made in the interest of or on behalf of any person, firm, or corporation not identified; (2) Contractor did not directly or indirectly induce or solicit any other bidder or proposer to put in a sham bid or proposal; (3) Contractor did not directly or indirectly induce or solicit any other person, firm or corporation to refrain from bidding; and (4) Contractor did not seek by collusion to secure any advantage over the other bidders or proposers.

**10.4 Hiring City Employees.** This Contract shall be unilaterally and immediately terminated by City if Contractor employs an individual who within the twelve (12) months immediately preceding such employment did in his/her capacity as a City officer or employee participate in negotiations with or otherwise have an influence on the selection of Contractor.

## **ARTICLE XI DISPUTE RESOLUTION**

**11.1 Mediation.** If a dispute arises out of or relates to this Contract and cannot be settled through normal contract negotiations, Contractor and City shall use mandatory non-binding mediation before having recourse in a court of law.

**11.2 Selection of Mediator.** A single mediator that is acceptable to both parties shall be used to mediate the dispute. The mediator will be knowledgeable in the subject matter of this Contract, if possible.

**11.3 Expenses.** The expenses of witnesses for either side shall be paid by the party producing such witnesses. All other expenses of the mediation, including required traveling and other expenses of the mediator, and the cost of any proofs or expert advice produced at the direct request of the mediator, shall be borne equally by the parties, unless they agree otherwise.

**11.4 Conduct of Mediation Sessions.** Mediation hearings will be conducted in an informal manner and discovery will not be allowed. The discussions, statements, writings and admissions will be confidential to the proceedings (pursuant to California Evidence Code sections 1115 through 1128) and will not be used for any other purpose unless otherwise agreed by the parties

in writing. The parties may agree to exchange any information they deem necessary. Both parties shall have a representative attend the mediation who is authorized to settle the dispute, though City's recommendation of settlement may be subject to the approval of the Mayor and City Council. Either party may have attorneys, witnesses or experts present.

**11.5 Mediation Results.** Any agreements resulting from mediation shall be memorialized in writing. The results of the mediation shall not be final or binding unless otherwise agreed to in writing by the parties. Mediators shall not be subject to any subpoena or liability, and their actions shall not be subject to discovery.

## **ARTICLE XII MANDATORY ASSISTANCE**

**12.1 Mandatory Assistance.** If a third party dispute or litigation, or both, arises out of, or relates in any way to the services provided to the City under this Contract, Contractor, its agents, officers, and employees agree to assist in resolving the dispute or litigation upon City's request. Contractor's assistance includes, but is not limited to, providing professional consultations, attending mediations, arbitrations, depositions, trials or any event related to the dispute resolution and/or litigation.

**12.2 Compensation for Mandatory Assistance.** City will compensate Contractor for fees incurred for providing Mandatory Assistance. If, however, the fees incurred for the Mandatory Assistance are determined, through resolution of the third party dispute or litigation, or both, to be attributable in whole, or in part, to the acts or omissions of Contractor, its agents, officers, and employees, Contractor shall reimburse City for all fees paid to Contractor, its agents, officers, and employees for Mandatory Assistance.

**12.3 Attorneys' Fees Related to Mandatory Assistance.** In providing City with dispute or litigation assistance, Contractor or its agents, officers, and employees may incur expenses and/or costs. Contractor agrees that any attorney fees it may incur as a result of assistance provided under Section 12.2 are not reimbursable.

## **ARTICLE XIII MISCELLANEOUS**

**13.1 Headings.** All headings are for convenience only and shall not affect the interpretation of this Contract.

**13.2 Non-Assignment.** Contractor may not assign the obligations under this Contract, whether by express assignment or by sale of the company, nor any monies due or to become due under this Contract, without City's prior written approval. Any assignment in violation of this paragraph shall constitute a default and is grounds for termination of this Contract at the City's sole discretion. In no event shall any putative assignment create a contractual relationship between City and any putative assignee.

**13.3 Independent Contractors.** Contractor and any subcontractors employed by Contractor are independent contractors and not agents of City. Any provisions of this Contract that may

appear to give City any right to direct Contractor concerning the details of performing or providing the goods and/or services, or to exercise any control over performance of the Contract, shall mean only that Contractor shall follow the direction of City concerning the end results of the performance.

**13.4 Subcontractors.** All persons assigned to perform any work related to this Contract, including any subcontractors, are deemed to be employees of Contractor, and Contractor shall be directly responsible for their work.

**13.5 Covenants and Conditions.** All provisions of this Contract expressed as either covenants or conditions on the part of City or Contractor shall be deemed to be both covenants and conditions.

**13.6 Compliance with Controlling Law.** Contractor shall comply with all applicable local, state, and federal laws, regulations, and policies. Contractor's act or omission in violation of applicable local, state, and federal laws, regulations, and policies is grounds for contract

termination. In addition to all other remedies or damages allowed by law, Contractor is liable to City for all damages, including costs for substitute performance, sustained as a result of the violation. In addition, Contractor may be subject to suspension, debarment, or both.

**13.7 Governing Law.** The Contract shall be deemed to be made under, construed in accordance with, and governed by the laws of the State of California without regard to the conflicts or choice of law provisions thereof.

**13.8 Venue.** The venue for any suit concerning solicitations or the Contract, the interpretation of application of any of its terms and conditions, or any related disputes shall be in the County of San Diego, State of California.

**13.9 Successors in Interest.** This Contract and all rights and obligations created by this Contract shall be in force and effect whether or not any parties to the Contract have been succeeded by another entity, and all rights and obligations created by this Contract shall be vested and binding on any party's successor in interest.

**13.10 No Waiver.** No failure of either City or Contractor to insist upon the strict performance by the other of any covenant, term or condition of this Contract, nor any failure to exercise any right or remedy consequent upon a breach of any covenant, term, or condition of this Contract, shall constitute a waiver of any such breach of such covenant, term or condition. No waiver of any breach shall affect or alter this Contract, and each and every covenant, condition, and term hereof shall continue in full force and effect without respect to any existing or subsequent breach.

**13.11 Severability.** The unenforceability, invalidity, or illegality of any provision of this Contract shall not render any other provision of this Contract unenforceable, invalid, or illegal.

**13.12 Drafting Ambiguities.** The parties acknowledge that they have the right to be advised by legal counsel with respect to the negotiations, terms and conditions of this Contract, and the decision of whether to seek advice of legal counsel with respect to this Contract is the sole responsibility of each party. This Contract shall not be construed in favor of or against either party by reason of the extent to which each party participated in the drafting of the Contract.

**13.13 Amendments.** Neither this Contract nor any provision hereof may be changed, modified, amended or waived except by a written agreement executed by duly authorized representatives of City and Contractor. Any alleged oral amendments have no force or effect. The Purchasing Agent must sign all Contract amendments.

**13.14 Conflicts Between Terms.** If this Contract conflicts with an applicable local, state, or federal law, regulation, or court order, applicable local, state, or federal law, regulation, or court order shall control. Varying degrees of stringency among the main body of this Contract, the exhibits or attachments, and laws, regulations, or orders are not deemed conflicts, and the most stringent requirement shall control. Each party shall notify the other immediately upon the identification of any apparent conflict or inconsistency concerning this Contract.

**13.15 Survival of Obligations.** All representations, indemnifications, warranties, and guarantees made in, required by, or given in accordance with this Contract, as well as all continuing obligations indicated in this Contract, shall survive, completion and acceptance of performance and termination, expiration or completion of the Contract.

**13.16 Confidentiality of Services.** All services performed by Contractor, and any sub-contractor(s) if applicable, including but not limited to all drafts, data, information, correspondence, proposals, reports of any nature, estimates compiled or composed by Contractor, are for the sole use of City, its agents, and employees. Neither the documents nor their contents shall be released by Contractor or any subcontractor to any third party without the prior written consent of City. This provision does not apply to information that: (1) was publicly known, or otherwise known to Contractor, at the time it was disclosed to Contractor by City; (2) subsequently becomes publicly known through no act or omission of Contractor; or (3) otherwise becomes known to Contractor other than through disclosure by City.

**13.17 Insolvency.** If Contractor enters into proceedings relating to bankruptcy, whether voluntary or involuntary, Contractor agrees to furnish, by certified mail or electronic commerce method authorized by the Contract, written notification of the bankruptcy to the Purchasing Agent and the Contract Administrator responsible for administering the Contract. This notification shall be furnished within five (5) days of the initiation of the proceedings relating to bankruptcy filing. This notification shall include the date on which the bankruptcy petition was filed, the identity of the court in which the bankruptcy petition was filed, and a listing of City contract numbers and contracting offices for all City contracts against which final payment has not been made. This obligation remains in effect until final payment is made under this Contract.

**13.18 No Third Party Beneficiaries.** Except as may be specifically set forth in this Contract, none of the provisions of this Contract are intended to benefit any third party not specifically referenced herein. No party other than City and Contractor shall have the right to enforce any of the provisions of this Contract.

**13.19 Actions of City in its Governmental Capacity.** Nothing in this Contract shall be interpreted as limiting the rights and obligations of City in its governmental or regulatory capacity.

# Exhibit D

## Pricing Schedule



## San Diego Public Library

Request for Proposal for  
Integrated Library System

Solicitation Number: 10090131-25-D

January 24, 2025

Cost Proposal

789 E. Eisenhower Parkway  
Ann Arbor, MI 48108  
USA  
[www.iii.com](http://www.iii.com)  
Carey Miller, Product Sales Manager  
+1 360 317 4241  
[carey.miller@clarivate.com](mailto:carey.miller@clarivate.com)



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## Part of **Clarivate**

January 24, 2025

City of San Diego  
Curtis Williams  
Technology Resource Manager  
Library Department  
330 Park Boulevard  
San Diego, CA 92101

Dear Curtis,

We are pleased to provide you with several pricing options to continue your partnership with Innovative, part of Clarivate.

The Pricing Schedule that we completed is for your current subscription to Polaris with the addition of Innovative Mobile. We have also provided a quote for this pricing. In this quote we have:

- Reduced the new year one cost to \$231,470.00
- Changed the uplift for years 2-10 to 3.5% from 5%
- Added 10 hours of virtual training for Circulation, Acquisitions, and Cataloging.

We noticed your interest in community engagement as mentioned in your RFP. We understand that you currently work with several third-party vendors for community engagement tools. Instead of using these vendors, you might explore certain modules from the Vega Library Experience as an alternative. To assist with this, we have included two additional quotes featuring bundled pricing for modules within the Vega Library Experience.

The Essential Bundle includes:

- Current Polaris subscription
- Uplift at 3.5% for years 2-10
- 10 hours of virtual training for Circulation, Acquisitions and Cataloging
- Innovative Mobile App
- Vega Discover Premium

The Select Bundle includes:

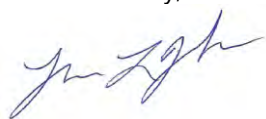
- Everything in the Essential Bundle
- Vega Program
- Vega Promote

Part of **Clarivate**

Our goal is to continue serving as your trusted partner, collaborating closely with the San Diego Public Library as you strategize and plan for the future. The options we have presented are designed to support your objectives, offering solutions that align with your vision and priorities. Additionally, these options have the potential to optimize your resources and deliver cost savings, enabling you to allocate funds more effectively while achieving your goals. We are committed to providing value and working alongside you every step of the way.

We would be happy to discuss this further with you and the library. Please reach out to Carey Miller at 360-317-4241 or [carey.miller@clarivate.com](mailto:carey.miller@clarivate.com).

Yours Sincerely,



Tom Jacobson  
VP, Product Management

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LX Select Bundle Services Description .....6

LX Select Bundle Costs .....7

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# Polaris Subscription Quotation

## Polaris (Current Implementation)

- Polaris Premium Bundle
- Staff User Licenses Unlimited
- Dedicated Hosting
- Training/Test Server
- Polaris Data at Rest Encryption
- Polaris Content Café
- Resource Sharing (INN-Reach Connections)
- Annual Custom Reports

10 hours of virtual training to be used for Circulation, Cataloging or Acquisitions

|                                                   |                     |
|---------------------------------------------------|---------------------|
| Annual price for the current Polaris Subscription | <u>\$231,470.00</u> |
| <b>Total Year One Cost:</b>                       | <b>\$231,470.00</b> |

Uplift Years 2-5 at 3.5%

## Optional Products (Annual Subscription)

|                                  |             |
|----------------------------------|-------------|
| SMS Texting (Unlimited messages) | \$48,672.00 |
| IPA Out Only                     | \$15,000.00 |
| Library IQ                       | \$65,000.00 |
| Innovative Mobile App            | \$35,000.00 |

## Optional Services (One-Time Fee)

|                       |             |
|-----------------------|-------------|
| SMS Texting           | \$5,000.00  |
| IPA Out Only          | \$5,000.00  |
| Library IQ            | \$10,000.00 |
| Innovative Mobile App | \$5,500.00  |

Pricing Valid for 90 Days

## Library Experience (LX) Essentials Bundle

LX Essentials Bundle includes the following:

- ✓ Polaris (Current Implementation)
  - o Polaris Premium Bundle
  - o Staff User Licenses Unlimited
  - o Dedicated Hosting
  - o Training/Test Server
  - o Polaris Data at Rest Encryption
  - o Polaris Content Café
  - o Resource Sharing (INN-Reach Connections)
  - o Annual Custom Reports
  - o Unlimited SIP 2
- ✓ Vega Discover Premium with Syndetics Unbound
- ✓ Kid's Catalog or Themed Catalog
- ✓ Innovative Mobile with Self-Check

## LX Essentials Bundle Services Description

The Scope of the project includes the following set of professional services:

- **Vega Discover** Implementation and Training
- **Innovative Mobile** Implementation and Training
- 10 hours of virtual training to be used for Circulation, Cataloging or Acquisitions



## LX Essentials Bundle Costs

Annual price for the LX Essentials Bundle: \$295,000.00

One-time LX Essentials Services price: \$ 19,800.00

**Total Year One Cost: \$314,000.00**

Uplift Years 2-5 at 3.5%

### Optional Products (Annual Subscription)

|                                  |             |
|----------------------------------|-------------|
| SMS Texting (Unlimited messages) | \$48,672.00 |
| Polaris IPA Out Only             | \$15,000.00 |
| LibraryIQ                        | \$65,000    |

### Optional Services (One-Time Fee)

|                      |             |
|----------------------|-------------|
| SMS Texting          | \$5,000.00  |
| Polaris IPA Out Only | \$5,000.00  |
| Library IQ           | \$10,000.00 |

Pricing Valid for 90 Days

## Library Experience (LX) Select Bundle

LX Select Bundle includes the following:

- ✓ Polaris (Current Implementation)
  - o Polaris Premium Bundle
  - o Staff User Licenses Unlimited
  - o Dedicated Hosting
  - o Training/Test Server
  - o Polaris Data at Rest Encryption
  - o Polaris Content Café
  - o Resource Sharing (INN-Reach Connections)
  - o Annual Custom Reports
- ✓ Reporting Server
- ✓ Unlimited Staff User Licenses
- ✓ Modern Library Notices
- ✓ Vega Discover Premium
- ✓ Kid's Catalog or Themed Catalog
- ✓ Vega Promote
- ✓ Vega Program
- ✓ Innovative Mobile App with Self-Checkout

## LX Select Bundle Services Description

The Scope of the project includes the following set of professional services:

- **Vega Discover** Implementation and Training
- **Innovative Mobile** Implementation and Training
- **Vega Program** Implementation and Training
- **Vega Promote** Implementation and Training
- **10 hours of virtual training** to be used for Circulation, Cataloging or Acquisitions

## LX Select Bundle Costs

Annual price for the LX Select Bundle: \$320,304.00

One-time LX Select Services price: \$ 32,300.00
**Total Year One Cost: \$352,604.00**

Uplift Years 2-5 at 3.5%

### Optional Products (Annual Subscription):

|                                  |             |
|----------------------------------|-------------|
| SMS Texting (Unlimited messages) | \$48,672.00 |
| Polaris IPA Out Only             | \$15,000.00 |
| LibraryIQ                        | 65,000.00   |

### Optional Services (One-Time Fee)

|                      |             |
|----------------------|-------------|
| SMS Texting          | \$5,000.00  |
| Polaris IPA Out Only | \$5,000.00  |
| Library IQ           | \$10,000.00 |

Pricing Valid for 90 Days

# Exhibit D-2

## Revised Pricing Schedule

**Exhibit D-2--Revised Pricing Schedule**

| Product                                                  | Year 1             | Year 2        | Year 3        | Year 4        | Year 5        | 5-Year Total          |
|----------------------------------------------------------|--------------------|---------------|---------------|---------------|---------------|-----------------------|
| Polaris Suite Subscription (Current Implementation)      | \$231,470.00       | \$231,470.00  | \$231,470.00  | \$231,470.00  | \$231,470.00  | <b>\$1,157,350.00</b> |
| <b>Optional Vega Product</b>                             | <b>Year 1</b>      | <b>Year 2</b> | <b>Year 3</b> | <b>Year 4</b> | <b>Year 5</b> | <b>5-Year Total</b>   |
| Vega Interact SMS - Polaris (Unlimited Messages)         | Bundled            | Bundled       | Bundled       | Bundled       | Bundled       | Bundled               |
| Vega Program (Event & Room Booking Tool)                 | Bundled            | Bundled       | Bundled       | Bundled       | Bundled       | Bundled               |
| Vega Promote (Email Marketing Tool)                      | Bundled            | Bundled       | Bundled       | Bundled       | Bundled       | Bundled               |
| Vega Discover Premium                                    | Bundled            | Bundled       | Bundled       | Bundled       | Bundled       | Bundled               |
| Vega Mobile App                                          | Bundled            | Bundled       | Bundled       | Bundled       | Bundled       | Bundled               |
| <b>Total Vega Bundle Price*</b>                          | \$54,917.00        | \$109,834.00  | \$109,834.00  | \$109,834.00  | \$109,834.00  | <b>\$531,553.00</b>   |
| <b>Vega Bundle Services One-Time Fee**</b>               | \$37,300.00        |               |               |               |               |                       |
| <b>Total Vega Year 1 Cost (Does Not Include Polaris)</b> | <b>\$92,217.00</b> |               |               |               |               |                       |
| <b>Optional***</b>                                       |                    |               |               |               |               |                       |
| Library IQ (High Level Analytics Tool)                   | \$60,000.00        | \$60,000.00   | \$60,000.00   | \$60,000.00   | \$60,000.00   | <b>\$300,000.00</b>   |

**Total Costs for 5 Years**
**\$1,688,903.00**

\*Year 1 Vega Bundle Price prorated based on charges starting July 1, 2026

\*\*Breakdown of Vega Bundle Services one-time fees

(To be charged as follows upon implementation)

|                                                  |             |
|--------------------------------------------------|-------------|
| Vega Interact SMS - Polaris (Unlimited Messages) | \$5,000.00  |
| Vega Program (Event & Room Booking Tool)         | \$9,900.00  |
| Vega Promote (Email Marketing Tool)              | \$9,900.00  |
| Vega Discover Premium                            | \$6,250.00  |
| Vega Mobile App                                  | \$6,250.00  |
| Total                                            | \$37,300.00 |

\*\*\*Will only be implemented upon City's written request

3.5% uplift per year for Years 6-10

# Exhibit E

## IT Standards and Technical Alignment

## Exhibit E - IT Standards and Technical Alignment

- 1 Go to the "IT City Standards" tab and choose "Fully Compliant", "Partially Compliant", "Not Compliant", or "NA" for each line item.
- 2 Provide a complete explanation of how, specifically, the solution does (or does not) comply. Please describe, in detail, how solution does (or does not) comply.
- 3 If not fully compliant, please provide proposed workarounds, planned updates (with timelines), or alternatives, as available (and associated costs, as applicable). For non-applicability of a standard, please provide explanation / justification.
- 4 If there are any additional costs associated w/ proposed workarounds or alternatives, they must be explicitly provided herein, and they must be provided in the Pricing Pages, as well.
- 5 Next, go to the "Technical Alignment" tab and answer each question.

**\* \* \* Requests for exceptions to IT City Standards must be listed as exceptions (as outlined in Exhibit A of the RFP) \* \* \***  
**\* \* Exceptions to IT City Standards will require approval by the City's Department of Information Technology ("DoIT") \* \***



Exhibit E - City of San Diego

IT City Standards for Solicitations - Rev. 2024.06 (reflects Governance Rev. 2024.04\_v003.1)

| ID                                                           | City Requirement                                                                                                                                                                      | Level of Compliance<br><i>(select in the dropdown)</i> | Describe, in detail, how solution does (and does not) comply.<br>If not fully compliant, please provide proposed workarounds, planned updates (with timelines) or alternatives, as available (and associated costs, as applicable).<br>If you believe this requirement to be non-applicable, provide a detailed explanation / justification.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|--------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| AS                                                           | Application Security                                                                                                                                                                  |                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| The following Application Security requirements shall apply: |                                                                                                                                                                                       |                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| AS-1                                                         | <b>System User Authentication.</b> Web authentication must be integrated into City's OKTA SSO via Security Assertion Markup Language (SAML) 2.0 and/or OpenID Connect (OIDC).         | Partially Compliant                                    | Polaris currently supports staff authentication via OAUTH 2.0 with Open ID Connect (OIDC). Our authentication service was developed to align with the standard protocols. While we currently do not have any libraries using the service with OKTA (primarily Microsoft Azure/Entra), we believe we can support OKTA and will expect to confirm this with testing. We are open to additional integration work if necessary to support OKTA via OAUTH 2.0 with OIDC on a mutually agreed upon timeline.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| AS-2                                                         | <b>Role-Based Access (RBAC).</b> The application must accommodate role-based access to limit access to application resources based on only what is needed for a particular user role. | Fully Compliant                                        | <p>Your library has full control over user accounts and user permissions. These are managed by the library's designated system administrators in the Web-based Polaris Administration interface. Polaris uses individual user accounts which need to be set up in the instance of Active Directory that is provided with Polaris, which to avoid confusion we simply refer to as the Polaris user accounts. This ensures that user accounts are set up consistently as required by the Polaris application to avoid issues with the variations in different customers' AD implementations. The individual Polaris user account includes the username, organization, affiliated branch, e-mail address and domain. Once you have created a user account, they can be added to a group to inherit all of the assigned permissions for the group. You can also edit permissions individually for a user when a unique mix of functional permissions is needed.</p> <p>All user accounts and permissions are fully under the control of the library. Your system administrator creates user accounts, group roles and permissions and assigns them according to library policies and needs. If you have external parties requiring access rights, you can define an authorized workstation and user ID and can assign limited permissions as required for their specific purpose. Each user has one password to access all functions they are authorized to perform in Polaris. Users do not have to enter different passwords to access tasks or functions within Polaris.</p> |

|      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| AS-3 | <b>Secure Authentication.</b> All authentication activity occurring over the network must be encrypted using industry best practices to ensure that logins and passwords are not transmitted in clear text. This includes System User and administrator authentication activity.                                                                                                                                                                                                                                                                        | Fully Compliant     | All passwords are encrypted and cannot be unencrypted. All data is encrypted in transit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| AS-4 | <b>Encryption.</b> Application must support industry standard methods, and at a minimum a 256-bit secure, modern algorithm for the encryption of Sensitive Data in transit to/from the host/server system, at rest within storage subsystem(s), and client computer(s), and must use most recent secure versions of encryption protocols such as SSL, TLS or Secure FTP. Encryption algorithm used to encrypt data and authorization activity must meet HIPAA standards and be encrypted as NIST FIPS 140-2 compliant.                                  | Fully Compliant     | All data is encrypted at rest using AES-256. All web-based communications (Leap staff interface, Vega LX interfaces) use SSL (Secure Socket Layer, a.k.a. HTTPS) to connect to the hosted server. As data is passed in bulk between systems, for example, if a file of patron information is accepted as a batch load, the network transfer protocol used is SFTP/SCP, again with current, strong cryptographic protections enforced. For third-party devices connecting using unsecured protocols like SIP2, stunnel is used to <u>secure connections</u> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| AS-5 | <b>Auditing and Logging.</b> Application should support interoperability with, and stream logs to, the City's centralized Security Information and Event Management (SIEM) platform for, at a minimum, all security related events including logon, logoff, data modification, data deletion, change in rights or permission levels, and the addition of data/information to the application. Logs must include user ID generating the transaction, time of the transaction, and details regarding the activity (e.g., logon, logoff, or data details). | Partially Compliant | <p>There is no capability to stream log data to a customer's SIEM. At the application level, all primary transactions are logged to a transaction log in the SQL database. It is from this transaction log that all primary statistical reports are generated. Custom reports can be generated from log data using Polaris Reporting Services. The creation, update and deletion of records is detailed with user ID, workstation used and date/time of transaction. Record modifications are noted both from direct staff activity and from system-generated updates resulting from transaction activity.</p> <p>At the system level, Innovative staff (cloud operations and support) connect to customer systems using our Privileged Access Management (PAM) system, BeyondTrust. They must use their individual Innovative account credentials to authenticate and all sessions and connections are recorded and logged. System level log data can be provided on request for specific data ranges.</p>                                                                                                                              |
| AS-6 | <b>Data Integrity.</b> The Solution must ensure the integrity of all the data collected, stored, and processed. Interruptions in processing due to incidents such as aborted transactions, hardware failures, or network unavailability must not result in inaccurate or inconsistent data stored and/or processed in the Application. If data transfers occur, the Application must provide a method of audit validation to ensure that all data sent to it was received and processed correctly.                                                      | Fully Compliant     | <p>The Polaris system is designed using the ODBC standard, working compatibly with an industry-standard DBMS, Microsoft SQL Server. SQL Server is designed to be a high-value, multi-user database, which assures that multiple concurrent transactions produce the same effect as if they were executing in isolation. SQL Server also protects the accuracy and consistency of data in demanding multi-user database environments. All rules are stored with the data and the single control point is on the server. SQL Server supports distributed data integrity, which ensures the accuracy and consistency of data distributed across multiple servers.</p> <p>SQL Server enforces data integrity actively in the server using methods that fully conform to the ANSI SQL standard. In addition, there are sophisticated data integrity extensions such as user-defined data types, defaults, rules, stored procedures, and triggers. The powerful programmable server enforces data integrity within the server itself, guaranteeing that complex organization-wide policies are followed across all applications and tools.</p> |

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|  | AS-7                                                     | <b>Error Messages.</b> Errors must be handled in an appropriate manner. Failed login attempts to the Application must not display detailed information about the failed login attempt (e.g., incorrect password or unknown System User account). Other security related errors (e.g., "file not found" or "permission denied") must generate generic error responses. Detailed error information must be written to secure logs so that developers and system administrators have access to error details required to address the error. | Fully Compliant |                                                                                                                                                                                                                                                                                                                                          |
|  | AS-8                                                     | <b>Logical Data Separation.</b> In the instances of a shared-hosting environment, including, but not limited to, shared hardware, processing, platform, application instance, software code and architecture, and security controls, Vendor must ensure that City data is logically separated from third parties to ensure no leakage of City data occurs. For sensitive data stored within SAAS or a third-party cloud, the City should generate and control the encryption keys for the data, where applicable.                        | Fully Compliant | Polaris is implemented in a single-tenant environment. All data is logically separated from all other customer environments with no possibility of data leakage. Innovative controls the encryption keys, we do not offer the possibility for customer-managed keys.                                                                     |
|  | AS-9                                                     | <b>Patching.</b> Application/Systems must be patched, at a minimum, on a monthly basis.                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Fully Compliant | We have implemented a security patch policy including evaluation and definition of the severity. Critical patches are assessed and evaluated within 5 business days and implemented as soon as possible. Priority certification and full QA testing is employed to validate the stability and availability of the systems post-patching. |
|  | AS-10                                                    | <b>Vulnerability Management.</b> Prior to product deployment into a production environment and/or external exposure, all Application, Service and Systems must be scanned, with an established industry-recognized tool and have security vulnerabilities remediated. Vulnerabilities discovered on existing systems must be remediated within at least 30 days of discovery. Discovered vulnerabilities shall be assigned a risk ranking. High-rated vulnerabilities must be patched/remediated within 24 hours.                        | Fully Compliant | All systems are scanned prior to implementation and any detected vulnerabilitiesa are resolved prior to production deployment. For pen testing on existing systems, we have 30-day remediation for Critical / High findings and 90 days for Medium / Low findings.                                                                       |
|  | AS-11                                                    | <b>Mobile Device Management (MDM).</b> Mobile Devices (e.g., tablets and mobiles phones) must be capable of enrolling in industry standard MDM managed by the City's Information Security Team. Note: Microsoft Intune is the City's current standard MDM solution.                                                                                                                                                                                                                                                                      | N/A             | Library staff access the system via a standard web browser. We do not provide mobile devices, these are under the control of the library/City.                                                                                                                                                                                           |
|  | AD                                                       | <b>Application Data</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                 |                                                                                                                                                                                                                                                                                                                                          |
|  | The following Application Data requirements shall apply: |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                 |                                                                                                                                                                                                                                                                                                                                          |

|  |                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
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|  | AD-1                                           | <p><b>Ownership of Data.</b> All data collected on behalf of the City of San Diego is the property of the City. None of the data will be used for any other purpose. Upon termination or, expiration of any contractual agreement, Vendor/Proposer will retain the City's data for a minimum of ninety (90) days and <b>will transfer City data in its possession to the City at no cost</b> by using a method that protects the confidentiality of the information being exchanged and as agreed upon by the City but, at a minimum, data records will be provided in ASCII comma, separated value (CSV) format, with binary images in TIFF, JPG, or PDF format.</p> | Partially Compliant | <p>Innovative Interfaces, part of Clarivate, acts only as the data processor. The library is the data owner and controller. All data collection, access and retention is controlled by the library. The library determines what data is collected and who can create, view, edit or delete different record types. The library determines all data maintenance and retention policies, and controls when data is deleted from the system. Innovative staff do not access, use or export any customer data except in direct response to a support ticket from the customer. With our exit services, data is provided in MARC format (the international library standard for bibliographic, authority and holdings data) and CSV for non-MARC data types. No binary images are stored in the system.</p> <p>Standard retention for customer data with service termination is 30 days after contract termination. Typically, libraries will migrate to a new system well in advance of contract termination in order to avoid interruption in service. Because of this, all data is migrated to the new system and verified, with the Polaris system being decommissioned only after the data has been successfully transferred into the new system. In this context, the 30-day retention is reasonable. If, however, you feel it is still necessary to commit to retaining data for 90 days following contract termination, we can include this as an explicit contract term.</p> <p>Note that there is a fee for transfer of data (exit services).</p> |
|  | AD-2                                           | <p><b>Personal Data.</b> Vendor/Proposer agrees that it will comply with all applicable federal, state, and local data protection laws and regulations in any relevant jurisdiction with respect to dealing with, disclosing, and exchanging any Personal Data in connection with this solution/Agreement. For the purpose of this solution/Agreement, “Personal Data” means any personal identifying information including, but not limited to, customer’s name, address, telephone number, social security number, and financial account numbers (including credit or debit card numbers and any related security codes or passwords).</p>                          | Fully Compliant     | <p>Clarivate is committed to ensuring the protection of the personal data that we process, and providing a compliant and consistent approach to data protection. We have a robust and effective data protection program in place based on a strong foundation of internationally accepted privacy principles. We hold ISO 27701 Privacy Information Management certification.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|  | AD-3                                           | <p><b>City Data Access.</b> If proposed Solution is sub-contracted and hosted by a third party, City owned data must be available to the City of San Diego. System User access and authorizations must be provided as directed by the City of San Diego.</p>                                                                                                                                                                                                                                                                                                                                                                                                          | N/A                 | <p>All hosted systems are managed by Innovative/Clarivate staff. No third parties are involved in managing customer systems. Data is stored in the Equinix colocation center. Hardware is owned by Clarivate/ExLibris and the data center facilities are managed by Equinix – but Equinix has no access to customer data.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|  | AD-4                                           | <p><b>Third Party Requirements (<i>For Request for Proposal responses only</i>)</b> . Proposer shall ensure any third-party subcontractors adhere to all data privacy and security requirements no less rigorous than those set forth in this RFP.</p>                                                                                                                                                                                                                                                                                                                                                                                                                | Fully Compliant     | <p>Where we use any third party to process personal data on our behalf (for example, cloud hosting, research services, etc.), we have drafted compliant processor agreements and due diligence procedures for ensuring that they (as well as we) meet and understand their/our data protection obligations.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|  | AD-5                                           | <p><b>State Requirements.</b> Vendor/Proposer is compliant with the California Consumer Privacy Act (CCPA).</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Fully Compliant     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|  | D                                              | Design                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|  | The following Design requirements shall apply: |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|  | DD-1                                           | <p><b>Design Documentation.</b> Vendor/Proposer will provide design documentation, including but not limited to Process diagram, Interface/Integration diagram, and Infrastructure diagram.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Fully Compliant     | <p>See <i>Exhibit E - Diagrams for ID DD-1 and ID DD-2_Innovative Interfaces</i> separately uploaded.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

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|  | DD-2                                                 | <b>Architecture Documentation.</b> Vendor/Proposer will provide architecture documentation, including but not limited to data flow diagram, data models, database schema and Entity-Relationship diagram.                                                                                                   | Fully Compliant | See <i>Exhibit E - Diagrams for ID DD-1 and ID DD-2_Innovative Interfaces</i> separately uploaded.                                                                                                                                                                                   |
|  | DHW                                                  | <b>Desktop Hardware</b>                                                                                                                                                                                                                                                                                     |                 |                                                                                                                                                                                                                                                                                      |
|  | The following Desktop requirements shall apply:      |                                                                                                                                                                                                                                                                                                             |                 |                                                                                                                                                                                                                                                                                      |
|  | HWD-1                                                | <b>System.</b> Compatible with 64-bit systems                                                                                                                                                                                                                                                               | Fully Compliant | Access to the system is through Web interfaces. Any hardware running a current version of a supported Web browser can access the system. Supported browser platforms include Microsoft Edge, Chrome, Firefox and Safari.                                                             |
|  | HWD-2                                                | <b>Desktop/Laptop Hardware.</b> Hewlett-Packard (HP) brand business-class                                                                                                                                                                                                                                   | Fully Compliant | Access to the system is through Web interfaces. Any hardware running a current version of a supported Web browser can access the system. Supported browser platforms include Microsoft Edge, Chrome, Firefox and Safari.                                                             |
|  | HWD-3                                                | <b>Tablets.</b> HP ELITE X2 G4                                                                                                                                                                                                                                                                              | Fully Compliant | Access to the system is through Web interfaces. Any hardware running a current version of a supported Web browser can access the system. Supported browser platforms include Microsoft Edge, Chrome, Firefox and Safari.                                                             |
|  | HWD-4                                                | <b>Tablet/Laptop Combos.</b> MS Surface Pro 7, MS Surface Pro 7+                                                                                                                                                                                                                                            | Fully Compliant | Access to the system is through Web interfaces. Any hardware running a current version of a supported Web browser can access the system. Supported browser platforms include Microsoft Edge, Chrome, Firefox and Safari.                                                             |
|  | DSW                                                  | <b>Desktop Software</b>                                                                                                                                                                                                                                                                                     |                 |                                                                                                                                                                                                                                                                                      |
|  | The following Desktop requirements shall apply:      |                                                                                                                                                                                                                                                                                                             |                 |                                                                                                                                                                                                                                                                                      |
|  | SWD-1                                                | <b>Desktop Operating System.</b> Microsoft Windows 10 Enterprise, or the most current version of this Operating System to within an n-1 standard (i.e., within last 2 current versions).                                                                                                                    | Fully Compliant | Access to the system is through Web interfaces. Any hardware running a current version of a supported Web browser can access the system. Supported browser platforms include Microsoft Edge, Chrome, Firefox and Safari.                                                             |
|  | SWD-2                                                | <b>Desktop Software.</b> The proposed system must not conflict with nor modify standard desktop software. Other standard software includes: ESET Antivirus, Adobe Creative Cloud; SAPGUI. The City targets n-1 if not the latest updates.                                                                   | Fully Compliant | The proposed solution does not conflict with any desktop software,                                                                                                                                                                                                                   |
|  | SWD-3                                                | <b>Office Productivity.</b> Microsoft Office Suite, Teams, Visio, Project.                                                                                                                                                                                                                                  | Fully Compliant | The proposed solution does not conflict with any office productivity software,                                                                                                                                                                                                       |
|  | SWD-4                                                | <b>Web Browser.</b> Google Chrome and Microsoft Edge versions to within an n-1 standard.                                                                                                                                                                                                                    | Fully Compliant | Supported browser platforms include Microsoft Edge, Chrome, Firefox and Safari (n+1)                                                                                                                                                                                                 |
|  | OSTD                                                 | <b>Other Applications Standards</b>                                                                                                                                                                                                                                                                         |                 |                                                                                                                                                                                                                                                                                      |
|  | The following Applications requirements shall apply: |                                                                                                                                                                                                                                                                                                             |                 |                                                                                                                                                                                                                                                                                      |
|  | OSTD-1                                               | <b>Programming Language Standards.</b> HTML5 (Web Presentment); Python (ESRI ArcGIS Script); ASP.net (Dynamic Web Pages); PHP; PowerShell (Windows Automation Scripting); Microsoft SQL Server Reporting Services (SSRS); Transact T-SQL (Database Programming Language); Microsoft .Net Responsive design. | Fully Compliant | C#, C++, VB.net, JavaScript, TypeScript, Java (automated testing); HTML5; Microsoft SQL Server Reporting Services (SSRS); .NET framework, Microsoft Foundation Classes (MFC)                                                                                                         |
|  | OSTD-2                                               | <b>Data Transport Protocol Standards.</b> XML (includes JXDM); JSON; SOAP / HTTPS / RESTful (web services); EDI; ACH; ESRI - File GeoDatabase; GeoJSON, DWG, DGN (CADD).                                                                                                                                    | Fully Compliant | SIP, SIP2, NCIP, ILL, HTTPS, TCP, TDS, RPC, Z39.50, EDI (Polaris application); XML (includes JXDM), JSON, SOAP / HTTPS / RESTful web services (Polaris API)                                                                                                                          |
|  | OSTD-3                                               | <b>Desktop Configuration.</b> Desktop components for any solution must be able to be pushed to the user via the City's Service Center Configuration Manager (SCCM) platform.                                                                                                                                | N/A             | The solution is entirely web-based, there is no destop software to install.                                                                                                                                                                                                          |
|  | OSTD-4                                               | <b>Reporting Tool Integration Standards.</b> SAP Crystal Reports; Microsoft SQL Server Reporting Services.                                                                                                                                                                                                  | Fully Compliant | Polaris provides internal reporting tools, including integrated Microsoft SQL Server Reporting Services. Polaris is also open to SQL queries allowing the use of third-party tools like Crystal Reports or integration with institutional business intelligence tools like Power BI. |

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|  | OSTD-5                                          | <b>Web Content Management System.</b> Drupal.                                                                                                                                                                                | N/A                 | Polaris does not include any document management functions or features.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|  | OSTD-6                                          | <b>Document Management Integration.</b> OpenText.                                                                                                                                                                            | N/A                 | Polaris does not include any document management functions or features.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|  | OSTD-7                                          | <b>Geographic Information System and Integration Standards.</b> ESRI - ArcGIS Desktop; RouteSmart / ArcGIS Network Analyst.                                                                                                  | N/A                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|  | OSTD-8                                          | <b>Payment Card Industry (PCI) Compliance.</b> If solution has the ability to accept electronic payments, directly or indirectly, then it must comply with the City's PCI Compliance requirements.                           | Fully Compliant     | Polaris does not collect or process any payments. If the library chooses to implement online payment, they must choose a PCI-compliant payment processing solution. Polaris interfaces with PCI-compliant payment processing solutions via a "redirect and postback" process using secure APIs. Communications between the Polaris system and the payment processing service utilize a secure encrypted connection and do not include any PII. The data transferred from Polaris to the payment processing service involves only the amount owed and an anonymous transaction ID. Data transferred from the payment processing services includes only the amount successfully paid and the transaction ID that is used to update the patron account in Polaris. |
|  | OSTD-9                                          | <b>Web Programming.</b> Web interface that requires public input shall be WCAG 2.1 Compliant e.g. VPAT                                                                                                                       | Fully Compliant     | Both the Polaris Leap web interface for library staff and the Vega Discover public interface for library customers are WCAG 2.2 Level AA compliant. Our interfaces are regularly evaluated by third-party accessibility specialists who prepare objective and independent VPATs for both interfaces. Any accessibility issues are addressed in our development roadmap to ensure ongoing WCAG compliance.                                                                                                                                                                                                                                                                                                                                                       |
|  | HSTD                                            | <b>Hosting Standards</b>                                                                                                                                                                                                     |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|  | The following Hosting requirements shall apply: |                                                                                                                                                                                                                              |                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|  | HSTD-1                                          | <b>City Hyper Converged Infrastructure.</b> If solution is proposed as "On Premise," it must support one of the following ( <i>please specify under 1.a, 1.b, or 1.c below</i> ):                                            | N/A                 | Not locally hosted or "on premise"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|  | HSTD-1.a                                        | <b>Hyper Converged Infrastructure.</b> Server, shared-storage, networking equipment, and software for infrastructure management. The City's standard Integrated Infrastructure Model is the VMWare Virtual Cloud Foundation. | N/A                 | Not locally hosted or "on premise"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|  | HSTD-1.b                                        | <b>Standalone server</b> – HP ProLiant Generation 10 or higher.                                                                                                                                                              | N/A                 | Not locally hosted or "on premise"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|  | HSTD-1.c                                        | <b>Server OS.</b> Solution must support Server Operating System – Microsoft Windows Server, SuSe Linux versions must be within n-1 standard.                                                                                 | N/A                 | Not locally hosted or "on premise"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|  | HSTD-2                                          | <b>Web Servers.</b> If proposed system is locally hosted, it must support web servers – Microsoft IIS and Apache to an n-1 standard.                                                                                         | N/A                 | Not locally hosted or "on premise"                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|  | HSTD-3                                          | <b>Virtual Servers.</b> Solution must support virtual server hosting – VMware ESX (to an n-1 standard).                                                                                                                      | Partially Compliant | Our hosting environment uses KVM for virtual servers for Polaris ILS hosting. Vega LX is hosted in AWS virtual machines.<br><br>VMware ESX is not used.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|  | HSTD-4                                          | <b>Relational Database Management Systems.</b> If solution is proposed as "On Premise," it must support Relational Database Management Systems (RDBMS) – Microsoft SQL Server version within n-1 standard.                   | N/A                 | Not locally hosted or "on premise" - but the Polaris system is based on the Microsoft SQL Server DBMS.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

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|  | HSTD-5                                                     | <b>Cloud.</b> Providers are Amazon Web Services (AWS), Microsoft Azure, and Google Cloud platform (GCP), with AWS being the preferred public cloud platform. Current services provided include Infrastructure as a Service (IaaS), Platform as a Service (PaaS), Software as a Service (SaaS), Microservices, Storage and Archiving. <b>Public Cloud</b> solutions must reside within the borders of the United States <b>and</b> support either Microsoft Azure, AWS or GCP. Private Cloud using Virtual Cloud Foundation or VMC on Aws are the Standards. | Fully Compliant | Polaris is hosted in the Ex Libris Private Cloud. Ex Libris and Innovative are both part of Clarivate. Ex Libris operates a private cloud offering that is available for the sole use of the Clarivate customer community. This deployment model differs from a public cloud, which is available to the general public or a hybrid cloud, which is a combination of two or more clouds. Private cloud implementation allows us to provide cloud computing-based services without compromising on the architectural control required to provide superior solutions. The Ex Libris private cloud is implemented in Equinix data centers located in Chicago and Seattle within the U.S. which are used for all U.S. customers. |
|  | ACAR                                                       | <b>Acknowledgement of City's Administrative Regulations (ACAR)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|  | City's Administrative Regulations and Applicable Standards |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|  | ACAR-1                                                     | <b>City's Information Security Policy, Standards and Procedures.</b> The City of San Diego Administrative Regulation for “Information Security Policy, Standards and Procedures” (A.R. 90.63) at <a href="https://www.sandiego.gov/sites/default/files/ar9063.pdf">https://www.sandiego.gov/sites/default/files/ar9063.pdf</a> .                                                                                                                                                                                                                            | Acknowledged    | Our hosting and security policies and processes are in alignment with the City's policies, standards and procedures as described in the referenced policy document. Note that the library/City is the data owner and controller and also controls user accounts, user permissions, permissions, password policies, and data validation rules. The software proposed provides the tools required for the library's system administrator(s) to manage the system in alignment with these polciies and procedures.                                                                                                                                                                                                             |
|  | ACAR-2                                                     | <b>Protection of Sensitive Information and Data.</b> The City of San Diego Administrative Regulation for “Protection of Sensitive Information and Data” (A.R. 90.64) at <a href="https://www.sandiego.gov/sites/default/files/ar_9064.pdf">https://www.sandiego.gov/sites/default/files/ar_9064.pdf</a> .                                                                                                                                                                                                                                                   | Acknowledged    | Our hosting and security policies and procedures are in alignment with the City's policies for the protection of sensitive information and data. All Clarivate employees operate under our strict information security policies and procedures which are certified to the ISO 27701 Privacy Information Management standard and all employees are required to complete security and privacy awareness training during onboarding and at least annually.                                                                                                                                                                                                                                                                     |
|  | <b>* Go to Step 2 - Technical Alignment *</b>              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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Exhibit E - City of San Diego

| IT Technical Alignment for Solicitations - Rev. 2024.06 (reflects Governance Rev. 2024.04_v003.1) |                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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| Discipline                                                                                        | Question                                                                                                                                                                                                                                   | Vendor Response (Required)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Guidance / Directions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Records Management                                                                                | Will the identified software utilize, import, transform, produce, or store information that constitute City Records?                                                                                                                       | Based on the description to the right, it does not appear that the data stored in the system would constitute "City Records." The library system includes the following data types: <ul style="list-style-type: none"><li>• Descriptive records for the library's holdings (bibliographic and item data)</li><li>• Patron records containing PID for library users</li><li>• Transaction data recording items borrowed and reserved, library fines and fees, etc.</li><li>• Library acquisitions data including orders, invoices, vendors and budget information for the acquisition of new books and other library materials</li></ul>                                                                        | City Records are any recorded information of any kind and in any form, either created or received by the City that is evidence of its operations <ul style="list-style-type: none"><li>• Files that initiate, authorize, or complete a City transaction</li><li>• Files that document the formulation and execution of City policies and decisions</li><li>• Files that have sufficient historical, administrative, legal, or fiscal value relating to policy and decision-making</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Records Management                                                                                | <b>If yes,</b> does the identified software meet the criteria to be a 'Trusted System' as defined in the <i>California Code of Regulations, Title 2, Division 7, Chapter 15 "Trustworthy Electronic Document or Record Preservation"</i> ? | Not applicable                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | A trusted system must include an avenue for maintaining at least two separate copies of an electronic resource. A combination of proper hardware and media storage techniques are necessary to prevent any unauthorized additions, modifications, or deletions to a document. A trusted system must also stand up to the rigors of an independent audit process that ensures that no plausible scenario for altering documents is feasible. Lastly, a trusted system requires that at least one copy of a stored electronic document or record is written that does not permit any unauthorized alterations or deletions and is stored and preserved in a separate and safe location. For more information, please visit:<br><a href="https://www.sos.ca.gov/administration/regulations/current-regulations/technology/trustworthy-electronic-document-or-record-preservation#section-22620.7">https://www.sos.ca.gov/administration/regulations/current-regulations/technology/trustworthy-electronic-document-or-record-preservation#section-22620.7</a> |
| Records Management                                                                                | <b>If no,</b> how will records be maintained to ensure proper retention and disposition in accordance with the city's approved retention requirements for City records?                                                                    | Innovative Interfaces, part of Clarivate, acts only as the data processor. The library is the data owner and controller. All data collection, access and retention is controlled by the library. The library determines what data is collected and who can create, view, edit or delete different record types. The library determines all data maintenance and retention policies, and controls when data is deleted from the system. Innovative staff do not access, use or export any customer data except in direct response to a support ticket from the customer. The system provides tools for individual and bulk data import, update, export and deletion that allow the customer to manage all data. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |



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| Information and Data Security | Who owns the data in the system?                                                                                                      | The San Diego Public Library/City of San Diego.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                    |
| Information and Data Security | Will this solution have the capability to accept credit card information now or in the future?                                        | No. The system interfaces with payment processing services using a "redirect and postback" process. The system provides the amount owed to the payment processing services. The user complete the transaction directly with the payment processing services, which returns the amount paid to the Polaris system. Polaris does not store or process any credit card information at any point in the process.                                                                                                                                                                                                                                                           | If <b>yes</b> , an approval will be required by DoIT PCI team.<br>See PCI compliance requirements. |
| Information and Data Security | Will any protected data be stored in the system (PCI, HIPAA, Financial, PII, CJIS)?                                                   | Polaris stored PII for library users to manage the circulation of library materials, manage requests and record fines and fees (overdue fines, photocopy or ILL fees, etc.). No credit card or bank information subject to PCI is stored in the system There is no valid business reason for a library to collect any health information subject to HIPAA. .                                                                                                                                                                                                                                                                                                           | For PCI data, see PCI compliance requirements.                                                     |
| Information and Data Security | Will any protected data be stored OUTSIDE the City's network or datacenter (PCI, HIPAA, Financial, PII, CJIS)?                        | Yes, the hosted Polaris system maintains records for library patrons (customers) who wish to use library services. The library controls what data is collected and manages who may access the data and data retention policies. While specific details vary from customer to customer, patron data is typically "directory" type information - name, address(es), telephone, e-mail, library-assigned patron type, library-defined statistical codes, birthdate (for age-restricted resources) and library transactions (items checked out, requests, overdues, fines assessed, etc.). This data is stored in the Polaris database (single tenant) in our data center. |                                                                                                    |
| Information and Data Security | Will the Vendor or application need access to the City's internal systems to do development or for operational use of the new system? | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                    |
| Information and Data Security | Does the application have any connections to systems outside of the City's firewall?                                                  | The Polaris ILS and Vega Discover are hosted in separate data centers and are linked via secured ports.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                    |
| Information and Data Security | If hosted outside of the City's internal network, does the application need a connection inside of our firewall?                      | Access to the system is via standard https connection from web browsers on user devices. This will include devices located in the library's internal network. The Polaris application does not require access to any systems within the City's internal network. However, it is possible the library may wish to use Polaris APIs to connect to other internal systems which may require connection inside your firewall. Any need for locally developed interfaces would need to be confirmed with the library.                                                                                                                                                       | If <b>yes</b> , the source and destination IP addresses and ports will be required.                |

|                               |                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                            |
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| Information and Data Security | How will the system be kept current with patches and upgrades?                                                                | For Polaris, Innovative maintains dedicated server environments for each customer in its hosting environment. As a result the library will have full control over when upgrades, patching and other maintenance activity is scheduled. Except in rare emergency circumstances (e.g. a critical emergency OS security patch), all service will be performed during a designated service window which will be scheduled during non-business hours (Saturday 8pm - 12 midnight local data center time). Advance notification is always provided for any planned downtime. For system upgrades, Innovative will consult with the customer and schedule the upgrade for a mutually agreed time. For Vega LX multitenant SaaS modules, software updates occur every two weeks and are automatically applied for all customers.                                                  | If the solution is hosted, the contract needs to state the upgrade and patch processes. Even if directly addressed elsewhere, provide here.                                |
| Information and Data Security | Does the system utilize Generative Artificial Intelligence (AI)? If so, what LLM or technology is used (ChatGBT, Bard, etc.?) | Polaris does not use any generative AI. Optional products that are available with our solution include Vega Promote, which provides the option to use generative AI to suggest alternative wording of content for library newsletters and other promotional mailings. Use of AI tools in Vega Promote is not required.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>If yes</b> , please explain what input data will be used, if it will be publicly accessible, and what acceptable use and data loss protection policies will be applied. |
| Data Center / Cloud           | Is the solution: on premise, hosted solution, software as a service (SaaS), or hybrid?                                        | Polaris is provided as a hosted solution. All library data is stored within the Polaris database. Vega Discover (and other Vega modules) are provided on a SaaS model. Vega Discover stores metadata for the library's public collections (the books, DVDs, e-books, equipment, etc.) that the library wants to make available for public search and reservation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                            |
| Data Center / Cloud           | If the solution is hosted, who is subcontracted to host the data (e.g. AWS, GCP, or Microsoft Azure)?                         | All hosted systems are managed directly by Innovative/Clarivate staff. No third parties are involved in managing the system. Infrastructure for out hosting environments is provided by Equinix data centers in Seattle and Chicago.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                            |
| Data Center / Cloud           | If the solution is hosted, where will the City's data reside geographically?                                                  | All data will remain within the United States at all times. Customers in the western half of the U.S. are hosted in our data center in Seattle, Washington. Backup snapshots are transferred to our Chicago, Illinois data center for offsite storage and disaster recovery.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                            |
| Data Center / Cloud           | If the solution is hosted, what type of disaster recovery policy or plan does the vendor who is hosting the data have?        | Our Disaster Recovery (DR) plan was developed from the NIST SP800-34 framework. Standard hosting terms include disaster recovery on a best effort basis. In the unlikely event of a disaster at the primary location, the latest backup is restored to a different availability zone on a best effort basis.<br><br>Innovative also offers enhanced disaster recovery services to meet specific Recovery Point Objective (RPO) and Recovery Time Objective (RTO). The enhanced DR service also comes with a customer specific DR plan and annual testing of that plan. The Disaster Recovery is provided by replicating the bits to a different region within the continent. If there is no separate region available in the continent or if the customer requires the data to be in country, then the replication is done to a different data center in the same region. |                                                                                                                                                                            |

|                     |                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                      |
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| Data Center / Cloud | If the solution is hosted, what is the back-up policy in place by the vendor?                                                                                              | Innovative performs daily backups using snapshot-based technology as part of the standard hosting package. The snapshots are stored in geographically diverse locations that are replicated to other geographically separate data centers to meet the offsite storage requirements for all customers. Random backups are periodically tested and restored to ensure compliance. For backup data, nightly backups are retained for 30 days after which they are destroyed/wiped. Note that long-term storage of backups is also available as a service upgrade.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                      |
| Data Center / Cloud | If the solution is hosted, what access rights does the City have to the data through the course of the subscription? In what format will the data be provided to the City? | Innovative Interfaces, part of Clarivate, acts only as the data processor. The library is the data owner and controller. All data collection, access and retention is controlled by the library. The library determines what data is collected and who can create, view, edit or delete different record types. The library determines all data maintenance and retention policies, and controls when data is deleted from the system. Innovative staff do not access, use or export any customer data except in direct response to a support ticket from the customer. The system provides tools for individual and bulk data import, update, export and deletion that allow the customer to manage all data. These tools allow full access to library data by the customer, and data can be accessed/extracted at any time subject to the library-defined user permissions. When the service is terminated, the customer may extract data themselves or may purchase exit services from Innovative. Our exit services provide all data in MARC format or CSV. |                                                                                                                                                      |
| Data Center / Cloud | If the solution is hosted, what access rights does the City have to the data upon conclusion of the contract? In what format will the data be returned to the City?        | The customer (library/City) remains the data owner. The customer can access, modify or export any library data contained in the system at any time without restriction. System tools are provided to enable access. When the service is terminated, the customer may extract data themselves or may purchase exit services from Innovative. Our exit services provide all data in MARC format or CSV.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                      |
| Data Center / Cloud | If the solution is on premise, how many IP addresses and network connections will be needed?                                                                               | Not applicable                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                      |
| Data Center / Cloud | If the solution is on premise: How many servers are required?                                                                                                              | Not applicable                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                      |
|                     |                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                      |
| Network             | If the solution is on premise, what are the source and intended destination IP addresses and ports (if known)?                                                             | Not applicable                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                      |
| Network             | If the solution is on premise, how will it physically connect to the internal network?                                                                                     | Not applicable                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | If this is not clearly outlined in the architecture diagram, please explain and include any relevant hardware required (e.g. switches, routers,...). |
|                     |                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                      |

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| Service Desk | What are the hours of support of the application?                                               | Support is provided 24x7x365. The system is designed for 24x7x365 operation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  |
| Service Desk | Who does the user call if they have a problem with the system?                                  | Innovative provides applications support during standard business hours for your country (8am-5pm Mon-Fri), as well as emergency technical support 24 hours a day, seven days a week, 365 days a year. Our support can be reached online through Innovative's Customer Support Center, e-mail, or toll-free telephone number.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |
| Service Desk | Can SCCM (System Center Configuration Manager) be used to push the required desktop components? | Not applicable. The solution is entirely web-based. There are no desktop compontnet to be installed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  |
| Service Desk | What other services does the product integrate with?                                            | <p>Polaris provides secure REST APIs and supports standard interface protocols that allow integration with a range of third-party products. In general terms, the library can use the APIs and supported protocols like SIP2 and NCIP to interface swith any external system without any involvement by Innovative. Some common integrations that libraries require are:</p> <ul style="list-style-type: none"><li>• Self check-out kiosks (SIP2, API)</li><li>• Computer booking/management systems (SIP2, API)</li><li>• Print management systems (SIP2, API)</li><li>• Enterprise Business Intelligence (BI) solutions (SQL, ODBC)</li><li>• Institutional finance systems (API as alternative to batch CSV transfer)</li></ul> <p>Specific integrations the library wants to implement should be confirmed with the library.</p> |  |
| Service Desk | What software, if any, is required on the desktop?                                              | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  |

# Exhibit F

## Functional Requirements

Exhibit F - Functional Requirements

| Proposal Reference Section No.<br>(Exhibit B Paragraph C.1) | General Systems and IT                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly Desirable) | Proposer Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B, Paragraph C)                                               |
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| C.1.1                                                       | ILS is hosted and maintained by the Proposer (i.e., Software as a Service delivery model). If any services are subcontracted to third parties, Proposer shall describe to whom, their location(s), relevant hosting redundancy employed, why, how and proposed benefits of this model.                                                                                                                                                                                        | M                                                                        | Yes                           | Please see page 9 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .  |
| C.1.2                                                       | Proposer will cause any third party sub-contractor to adhere to all data privacy and security requirements no less rigorous than those set forth in this RFP.                                                                                                                                                                                                                                                                                                                 | M                                                                        | Yes                           | N/A                                                                                                 |
| C.1.3                                                       | ILS provides encrypted data transmission between the City of San Diego and SaaS environment.                                                                                                                                                                                                                                                                                                                                                                                  | M                                                                        | Yes                           | Please see page 14 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.1.4                                                       | Proposer must use most recent secure versions of encryption protocols such as SSL, TLS, or Secure FTP.                                                                                                                                                                                                                                                                                                                                                                        | D                                                                        | Yes                           | Please see page 14 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.1.5                                                       | Proposer shall store data in a secure facility. Describe any relevant security certifications/protocols.                                                                                                                                                                                                                                                                                                                                                                      | M                                                                        | Yes                           | Please see page 14 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.1.6                                                       | Proposer, its agents, employees, contractors and any other person or entity working on behalf of Proposer to provide services under this proposal must at all times comply with City of San Diego Administrative Regulation (A.R. 90.64) "Protection of Sensitive Information and Data". (Please see Exhibit G, AR 9064 Protection of Sensitive Information and Data.)                                                                                                        | M                                                                        | Yes                           | Please see page 15 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.1.7                                                       | Proposer shall immediately notify the City's Chief Information Security Officer of any breach, intrusion, or unauthorized access City data. Proposer agrees to assume responsibility for informing all affected individuals in accordance with applicable law at no cost to the City. All notifications shall be sent to:<br><br>Chief Information Security Officer<br>1200 3rd Avenue, Floor 18, MS658B<br>San Diego, CA 92101<br>Cybersecurity@sandiego.gov<br>619-533-3750 | M                                                                        | Yes                           | Please see page 15 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.1.8                                                       | Proposer shall provides a test installation of the ILS (in addition to the production installation), for testing purposes, prior to ILS production use. First User Live, and commencement of the subscription term.                                                                                                                                                                                                                                                           | M                                                                        | Yes                           | Please see page 16 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

Exhibit F - Functional Requirements

| Proposal Reference Section No.<br>(Exhibit B Paragraph C.1) | General Systems and IT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly Desirable) | Proposer Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B, Paragraph C)                                                                                                                                                         |
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| C.1.9                                                       | <p>ILS must be compliant with ADA Technology Solutions by following the U.S. Federal standards set forth in the "Electronic and Information Technology Accessibility Standards" found at: <a href="http://www.accessboard.gov/guidelines-and-standards/communications-and-it/about-the-section-508-standards">http://www.accessboard.gov/guidelines-and-standards/communications-and-it/about-the-section-508-standards</a> and with the international standards set by the World Wide Web Consortium (W3C), found at: <a href="http://www.w3.org/WAI/guid-tech.html">http://www.w3.org/WAI/guid-tech.html</a></p> <p>It is highly desirable that Proposer provide a Voluntary Product Accessibility Template (VPAT) with their response, to assist the City in making preliminary assessments regarding Section 508 accessibility of their products and services. The VPAT template is provided by the Information Technology Industry Council at <a href="http://www.itic.org/public-policy/accessibility">http://www.itic.org/public-policy/accessibility</a>.</p> | D                                                                        | Yes                           | <p>Please see page 16 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i>.</p> <p>Also see <i>VPAT for Polaris Leap</i> and <i>VPAT for Vega Discover</i> separately uploaded.</p> |
| C.1.10                                                      | The entire ILS is regularly backed up. In addition, Proposer shall describe the regularity of backups, geographic placement of backups, testing regime for periodic backups and estimated Recovery Point Objective (RPO) and Recovery Time Objective (RTO) for full ILS restoration.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | M                                                                        | Yes                           | Please see page 17 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .                                                                                                           |
| C.1.11                                                      | ILS data, including borrower information, is secured against hacking, DDOS attacks, or other unauthorized ILS intrusions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | M                                                                        | Yes                           | Please see page 18 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .                                                                                                           |
| C.1.12                                                      | SaaS environment provides 99.5%+ uptime.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | M                                                                        | Yes                           | Please see page 18 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .                                                                                                           |
| C.1.13                                                      | Supports Codabar barcode format.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | M                                                                        | Yes                           | N/A                                                                                                                                                                                                           |
| C.1.14                                                      | Provides barcode validation for item and user IDs.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | D                                                                        | Yes                           | N/A                                                                                                                                                                                                           |
| C.1.15                                                      | Supports patron self-checkout machines. List all brands/manufacturers that are supported.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | M                                                                        | Yes                           | Please see page 19 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .                                                                                                           |
| C.1.16                                                      | Proposer encrypts all sensitive patron data at rest.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | D                                                                        | Yes                           | Please see page 19 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .                                                                                                           |
| C.1.17                                                      | Proposer warrants that ILS will be functional, without material loss of service, or material degradation of service, and available, in its entirety, via SaaS delivery model for the duration of the contract.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | M                                                                        | Yes                           | Please see page 19 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .                                                                                                           |
| C.1.18                                                      | ILS transactions are retained in system logs that are preserved for a library-specified period of time. Access to, and modifications of, all sensitive data should be monitored and logged. Proposer shall list transaction types (bill payment, checkout, etc.) that are logged.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | M                                                                        | Yes                           | Please see page 20 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> .                                                                                                           |
| C.1.19                                                      | Supports payment transactions at self-checkout machines.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | M                                                                        | Yes                           | N/A                                                                                                                                                                                                           |

## Exhibit F - Functional Requirements

| Proposal Reference Section No.<br>(Exhibit B Paragraph C.1) | General Systems and IT                                                                                                                                                                                                                                                                                                                                                      | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly Desirable) | Proposer Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B, Paragraph C)                                               |
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| C.1.20                                                      | Proposer must provide the necessary services to assist the City with ILS implementation. These services should include, but not be limited to, providing pre-implementation services to determine the optimal implementation into City's existing operations and systems, and on-site implementation support as needed to ensure successful implementation of the Solution. | M                                                                        | Yes                           | Please see page 21 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.1.21                                                      | Proposer must agree to provide a comprehensive installation plan. The plan will include a project approach statement, description of key personnel and their expertise, a project timeline that depicts all major milestones, and a detailed schedule of tasks per a "Milestone Statement of Work" template to be provided by City.                                         | M                                                                        | Yes                           | Please see page 21 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.1.22                                                      | Proposer must provide weekly implementation project status reports. These reports will be brief, but complete, identifying all tasks accomplished during the week, the work planned for the upcoming week, and noting any outstanding issues that may negatively affect the implementation project                                                                          | M                                                                        | Yes                           | N/A                                                                                                 |
| C.1.23                                                      | Proposer must confirm that the subscription term shall commence on the later of (a) the date specified as the date on which access to the ILS Solution is intended to start, and (b) the actual date on which access to production licensing is accepted by the City (First User Live)                                                                                      | D                                                                        | Yes                           | Please see page 24 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |



| Proposal Reference Section No.<br>(Exhibit B Paragraph C.2 ) | Service Level Requirements                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly Desirable) | Proposer Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B, Paragraph C)                                               |
|--------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|-------------------------------|-----------------------------------------------------------------------------------------------------|
| C.2.1                                                        | Proposer warrants that the Hosted Service will be available to be accessed by the City at least 99.5% (Uptime) of each calendar month during the Service Period.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | M                                                                        | Yes                           | Please see page 27 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.2.2                                                        | Where Proposer fails to meet the Uptime Service Level then City is entitled to claim the following prorated Service Credits against the annual Subscription Fee:<br>99.5% to 100% = No credit; Uptime is met<br>97.0% to 99.4% = 5% of the prorated monthly Subscription Fee for the Services<br>95.0% to 96.9% = 7% of the prorated monthly Subscription Fee for the Services<br>90.05 to 94.9% = 10% of the prorated monthly Subscription Fee for the Services<br>Less than 90% = 100% of the prorated monthly Subscription Fee for the Services                                                                                                                                                                                                                                                                                               | D                                                                        | No                            | Please see page 28 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.2.3                                                        | Uptime Availability will be calculated monthly by Proposer and such calculation will be deemed binding on the parties in absence of manifest error. Uptime Availability is calculated based on the following formula:<br>$UA = (T - M - D) / (T - M) \times 100\%$ where UA = Uptime Availability, T = Total Monthly Minutes, M = Scheduled Maintenance Minutes and D = Downtime Minutes. When calculating any Service Level, any failure to meet the Service Level that is directly or indirectly caused by any one or more of the following items shall not constitute a failure of the Service Level:<br>a. Scheduled Maintenance;<br>b. any of City's Content and Software;<br>c. any unlawful, negligent or willful act or omission by City, City's Agents, contractors or invitees or any other person; and<br>d. any Force Majeure event. | D                                                                        | Yes                           | N/A                                                                                                 |
| C.2.4                                                        | Proposer assumes all responsibility for the computing environment supporting the hosted applications.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | M                                                                        | Yes                           | N/A                                                                                                 |
| C.2.5                                                        | Applications provided by the Proposer are supported twenty-four (24) hours a day, seven (7) days a week by an automated and alert monitoring system.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | D                                                                        | Yes                           | Please see page 28 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.2.6                                                        | Applications provided under this agreement will be the responsibility of Proposer. Proposer will own and manage the application, related databases, supporting computing hardware, and necessary operating systems.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | M                                                                        | Yes                           | Please see page 29 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.2.7                                                        | Proposer shall maintain and comply with a reasonable written Disaster Recovery plan (DR Plan), setting forth the procedures for keeping services functioning during and after an earthquake, hurricane, other natural disaster, war, act of terrorism, act of cyber-terrorism, and other natural or man-made disaster, including without limitation force majeure; and (b) restoring Service functionality promptly after a Disaster. The DR Plan will include procedures no less protective than industry standard, and Proposer shall update the DR Plan as the industry standard changes.                                                                                                                                                                                                                                                     | D                                                                        | Yes                           | Please see page 29 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.2.8                                                        | Proposer is responsible for providing adequate network infrastructure so as to meet the performance metrics specified in this Agreement. City is responsible for providing adequate internal network infrastructure so as to not affect the Vendor's ability to meet those performance metrics. City is responsible for the support, maintenance, and monitoring of the City's dedicated LAN and or WAN. Vendor bears no responsibility for performance and availability problems on networks within City's control.                                                                                                                                                                                                                                                                                                                             | D                                                                        | Yes                           | N/A                                                                                                 |
| C.2.9                                                        | Proposer will monitor and document its performance against the agreed Service Levels, and provide to the City a quarterly report demonstrating its performance against the agreed Service Level Requirement metrics, highlighting where any targets have been missed and providing to the City a Service Credit to the applicable value agreed when necessary.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | D                                                                        | Yes                           | Please see page 30 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.2.10                                                       | For the avoidance of doubt, if Proposer fails to meet its Service Levels on three (3) consecutive monthly reporting periods, or fails to meet its Service Levels on four (4) monthly reporting periods through the course of a rolling twelve (12) month period then City will consider that Proposer is failing to satisfactorily perform its Service Levels and may exercise its rights to terminate the Agreement for default.                                                                                                                                                                                                                                                                                                                                                                                                                | D                                                                        | No                            | Please see page 30 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.3) | Staff Client Application                                                                                                                                                        | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(Exhibit B, Paragraph C)                                                              |
|----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|----------------------------------------------------------------------------------------------------------------|
| C.3.1                                                          | All ILS modules are integrated into a single staff client application.                                                                                                          | M                                                                           | Yes                              | N/A                                                                                                            |
| C.3.2                                                          | Provides user accessible configuration options to control the staff client's appearance (colors, font sizes, etc.).                                                             | D                                                                           | Yes                              | Please see page 31 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |
| C.3.3                                                          | Supports Unicode.                                                                                                                                                               | M                                                                           | Yes                              | N/A                                                                                                            |
| C.3.4                                                          | Allows configuration of different permissions levels to control access to various components of the ILS. In addition, Proposer shall describe level of permissions granularity. | M                                                                           | Yes                              | Please see page 33 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |
| C.3.5                                                          | Allows modification of onscreen fields/labels.                                                                                                                                  | D                                                                           | Yes                              | Please see page 34 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |
| C.3.6                                                          | Provides batch processing tools (e.g., bulk patron record, bibliographic, item, and order loads).                                                                               | M                                                                           | Yes                              | Please see page 34 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |
| C.3.7                                                          | Allows for patron records to be merged.                                                                                                                                         | D                                                                           | Yes                              | Please see page 45 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |
| C.3.8                                                          | Allows authorized staff to set custom due dates.                                                                                                                                | M                                                                           | Yes                              | Please see page 45 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |
| C.3.9                                                          | Proposer offers mobile solution for circulation, inventory, and patron registration.                                                                                            | D                                                                           | Yes                              | Please see page 46 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |
| C.3.10                                                         | Allows authorized staff to modify patron hold rankings and pickup location. Provides a notes field where staff may explain modifications.                                       | M                                                                           | Yes                              | Please see page 46 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces .</i> |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.3) | Staff Client Application                                                                                                                                                                             | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(Exhibit B, Paragraph C)                                                   |
|----------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|-----------------------------------------------------------------------------------------------------|
| C.3.11                                                         | Generates and maintains a dynamic pull list of items available to fill active holds.                                                                                                                 | M                                                                           | Yes                              | Please see page 51 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.3.12                                                         | Provides robust search capability. Describe search options, including bibliographic fields that are indexed, supported search operators (Boolean, proximity, etc.), and item status/type qualifiers. | M                                                                           | Yes                              | Please see page 52 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.3.13                                                         | Provides means of recalling and re-executing previous searches.                                                                                                                                      | D                                                                           | Yes                              | Please see page 54 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.3.14                                                         | Provides links in bibliographic records to search by author, subject heading(s), series title, etc.                                                                                                  | M                                                                           | Yes                              | N/A                                                                                                 |
| C.3.15                                                         | Can be accessed via a standard web browser                                                                                                                                                           | D                                                                           | Yes                              | Please see page 55 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.3.16                                                         | Can be accessed and used on a mobile device (e.g., iPad)                                                                                                                                             | D                                                                           | Yes                              | Please see page 55 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference Section No. (Exhibit B Paragraph C.4) | OPAC/Public Interfaces                                                                                                                                               | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                  |
|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|-----------------------------------------------------------------------------------------------------|
| C.4.1                                                    | Provides federated search capability (i.e., can simultaneously search the catalog, subscription databases, and major web search engines).                            | D                                                               | No                         | Please see page 74 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.2                                                    | Provides a web-based interface that it is compatible with major web browsers. In addition, Proposer shall describe extent of support for legacy browsers.            | M                                                               | Yes                        | Please see page 75 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.3                                                    | Layout/appearance of the interface can be customized. In addition, Proposer shall describe how customization is accomplished (CSS, JavaScript, WYSIWYG editor, etc.) | M                                                               | Yes                        | Please see page 76 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.4                                                    | Does not require installation of third-party plugins or applications (e.g., Adobe Flash Player).                                                                     | M                                                               | Yes                        | Please see page 78 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.5                                                    | Interface customizations persist through standard ILS updates/upgrades.                                                                                              | M                                                               | Yes                        | N/A                                                                                                 |
| C.4.6                                                    | Web interface meets W3C standards.                                                                                                                                   | D                                                               | Yes                        | Please see page 78 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.7                                                    | Allows text labels to be modified.                                                                                                                                   | D                                                               | Yes                        | Please see page 79 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.8                                                    | Interface automatically logs out of user account after a configurable period of inactivity.                                                                          | D                                                               | Yes                        | Please see page 80 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference Section No. (Exhibit B Paragraph C.4) | OPAC/Public Interfaces                                                                                                                                   | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                  |
|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|-----------------------------------------------------------------------------------------------------|
| C.4.9                                                    | Provides a means for patrons to contact library staff with questions regarding holdings, technical problems, or other issues.                            | D                                                               | Yes                        | Please see page 80 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.10                                                   | Provides a mechanism for patrons to submit purchase requests. In addition, Proposer shall describe how purchase requests are delivered to library staff. | D                                                               | Yes                        | Please see page 81 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.11                                                   | Allows patrons to renew materials.                                                                                                                       | M                                                               | Yes                        | Please see page 82 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.12                                                   | Allows patrons to place, modify, cancel, and suspend holds.                                                                                              | M                                                               | Yes                        | Please see page 83 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.13                                                   | Allows patrons to update personal contact information (email, phone number, etc.).                                                                       | D                                                               | Yes                        | Please see page 85 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.14                                                   | Allows patrons to retrieve or reset their PIN/password.                                                                                                  | D                                                               | Yes                        | Please see page 87 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.15                                                   | Supports placing holds on specific volumes (not copies) in bibliographic records (e.g., Scott Standard Postage Catalog Vol. 4)                           | D                                                               | Yes                        | Please see page 88 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.16                                                   | Allows display of patrons' rank/position on hold lists.                                                                                                  | M                                                               | Yes                        | Please see page 88 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference Section No. (Exhibit B Paragraph C.4) | OPAC/Public Interfaces                                                                                                                                                                                                  | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                  |
|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|-----------------------------------------------------------------------------------------------------|
| C.4.17                                                   | Provides an online borrower registration tool. Proposer shall describe extent to which submissions can be validated against library-specified requirements.                                                             | M                                                               | Yes                        | Please see page 89 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.18                                                   | Allows patrons to create user names for use in lieu of library card numbers.                                                                                                                                            | D                                                               | Yes                        | Please see page 89 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.19                                                   | Allows patrons to create, save, and share bibliographic lists. Proposer shall describe any restrictions on list capability (maximum list length, maximum number of lists permitted, etc.) and how sharing is supported. | D                                                               | Yes                        | Please see page 90 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.20                                                   | Allows patrons to specify if they want their borrowing history retained. Proposer shall describe any limitations on this feature (list size, list age, etc.).                                                           | D                                                               | Yes                        | Please see page 90 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.21                                                   | Provides a mobile solution (i.e., responsive website design for use with mobile devices and/or a mobile app). If an app is provided, Proposer shall list supported operating systems.                                   | M                                                               | Yes                        | Please see page 91 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.22                                                   | Displays lists of new titles, bestsellers, staff recommendations, etc.                                                                                                                                                  | D                                                               | Yes                        | Please see page 95 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.23                                                   | Displays "reshelving" (or similar message) for materials for a library-specified period of time after being discharged.                                                                                                 | D                                                               | Yes                        | Please see page 96 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.24                                                   | Proposer shall encrypt all web-based data transfers using SSL/TLS or comparable technology.                                                                                                                             | M                                                               | Yes                        | Please see page 97 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference Section No. (Exhibit B Paragraph C.4) | OPAC/Public Interfaces                                                                                                                                                                                                                                  | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                  |
|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|-----------------------------------------------------------------------------------------------------|
| C.4.25                                                   | Provides a Spanish language interface.                                                                                                                                                                                                                  | D                                                               | Yes                        | N/A                                                                                                 |
| C.4.26                                                   | Proposer shall provide a tool for gathering statistical information about patron use of the online catalog. In addition, Proposer shall describe what data is captured (top searches, number of searches by device type, number of user sessions, etc.) | M                                                               | Yes                        | Please see page 97 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.27                                                   | Proposer's OPAC shall display MARC, summary, and detailed holdings information for serials.                                                                                                                                                             | M                                                               | Yes                        | Please see page 98 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.28                                                   | Proposer's OPAC integrates with EnvisionWare's eCommerce credit card payment portal.                                                                                                                                                                    | M                                                               | Yes                        | Please see page 99 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.29                                                   | Proposer's OPAC includes customizable registration tool which provides option to receive newsletters, announcements, etc.                                                                                                                               | D                                                               | Yes                        | Please see page 99 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.30                                                   | Allows patrons to set and modify their preferred item pickup location (home library).                                                                                                                                                                   | M                                                               | Yes                        | N/A                                                                                                 |
| C.4.31                                                   | Allows patrons to suspend or 'pause' their holds for a user-specified period of time.                                                                                                                                                                   | M                                                               | Yes                        | N/A                                                                                                 |
| C.4.32                                                   | Provides online help files/tutorials.                                                                                                                                                                                                                   | M                                                               | Yes                        | Please see page 99 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference Section No. (Exhibit B Paragraph C.4) | OPAC/Public Interfaces                                                                               | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                   |
|----------------------------------------------------------|------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------|
| C.4.33                                                   | Displays patron's current checkouts, holds, hold availability, and fines.                            | M                                                               | Yes                        | Please see page 100 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.4.34                                                   | Checkouts list information is customizable to include Item Call #, Author, Title, Item barcode, etc. | M                                                               | Yes                        | Please see page 100 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |



| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.5) | Search Capabilities                                                                                                                                                                                              | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.5.1                                                          | Provides both basic and advanced search interfaces. Proposer shall describe search options for both interfaces, including phrase, keyword, proximity, and Boolean operators.                                     | M                                                                           | Yes                              | Please see page 104 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.2                                                          | Provides ability to filter/facet/refine search results by user specified criteria (library, item type, etc.). Proposer shall describe available filter options.                                                  | M                                                                           | Yes                              | Please see page 105 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.3                                                          | Supports downloading, emailing, or printing bibliographic records.                                                                                                                                               | D                                                                           | Yes                              | Please see page 106 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.4                                                          | Provides scope notes, references, "see" and "see also" notes, and broader/narrower terms from authority records.                                                                                                 | M                                                                           | Yes                              | Please see page 106 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.5                                                          | Provides hypertext links in bibliographic record displays to execute further searches in the catalog (e.g., subject heading(s), author names, series title).                                                     | M                                                                           | Yes                              | N/A                                                                                                  |
| C.5.6                                                          | Allows the library to edit the stop word list.                                                                                                                                                                   | D                                                                           | No                               | Please see page 107 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.7                                                          | Integrates eBook and eAudiobook lending into the catalog interface. Proposer shall provide a narrative overview of the search, checkout, and download process for eBooks. Proposer shall list supported vendors. | D                                                                           | Yes                              | Please see page 107 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.8                                                          | OPAC and staff client are able to sort and reverse sort hit lists by relevancy, title, author, subject heading, call number, and publication date.                                                               | D                                                                           | Yes                              | Please see page 108 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.9                                                          | Accurately displays non-Roman text and diacritical marks.                                                                                                                                                        | M                                                                           | Yes                              | N/A                                                                                                  |
| C.5.10                                                         | Displays the number of holds on a given title and number of copies available to fill the hold.                                                                                                                   | M                                                                           | Yes                              | Please see page 108 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.5.11                                                         | Displays bibliographic records for on-order materials without requiring the creation of dummy item records.                                                                                                      | D                                                                           | Yes                              | N/A                                                                                                  |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.5) | Search Capabilities                                                                                                                                                                                    | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                                         |
|----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------------------|
| C.5.12                                                         | Displays enhanced third party content (book jackets, reviews, etc).<br>List which enhanced content providers are currently supported.                                                                  | M                                                                           | Yes                              | Please see page 109 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.13                                                         | Allows the library to relabel and/or suppress MARC fields in the<br>bibliographic record display.                                                                                                      | D                                                                           | No                               | Please see page 111 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.14                                                         | Displays real-time status information about items in the collection<br>(checked out, on shelf, overdue, etc.)                                                                                          | M                                                                           | Yes                              | N/A                                                                                                              |
| C.5.15                                                         | Provides bibliographic citation tools.                                                                                                                                                                 | D                                                                           | Yes                              | Please see page 111 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.16                                                         | Provides high quality ranked search results. Proposer shall describe<br>the search technology, including features that make it better than<br>those of competing vendors.                              | M                                                                           | Yes                              | Please see page 112 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.17                                                         | Allows users to limit their searches to on order materials.                                                                                                                                            | D                                                                           | Yes                              | Please see page 113 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.18                                                         | Offers suggested spellings/terminology when search strings<br>approximately match indexed words/terms.                                                                                                 | D                                                                           | Yes                              | Please see page 113 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.19                                                         | Supports display of building floor plans to show where an item is<br>shelved.                                                                                                                          | D                                                                           | Yes                              | Please see page 114 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.20                                                         | Ability, at the user's prompting, to pass through searches that<br>retrieve zero hits to the San Diego Circuit union catalog<br>( <a href="https://circuit.sdsu.edu/">https://circuit.sdsu.edu/</a> ). | D                                                                           | Yes                              | Please see page 115 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.21                                                         | Does not display items with "Claims returned" status.                                                                                                                                                  | D                                                                           | Yes                              | Please see page 115 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.22                                                         | Does not display bibliographic records when all copies are missing,<br>discarded, lost, or claims returned.                                                                                            | M                                                                           | Yes                              | Please see page 117 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.5) | Search Capabilities                                                                                                                                                            | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                                         |
|----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------------------|
| C.5.23                                                         | Allows the user to view the full MARC record.                                                                                                                                  | D                                                                           | No                               | Please see page 117 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.24                                                         | Indexes all data in every MARC field of the bibliographic record, not<br>just select fields, and permits library staff to determine which fields<br>are displayed in the OPAC. | D                                                                           | Yes                              | Please see page 117 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.25                                                         | Permits holds to be placed on On Order titles and display the<br>patron's position in the hold queue.                                                                          | M                                                                           | Yes                              | N/A                                                                                                              |
| C.5.26                                                         | Suggests alternate (or corrected) spellings of search terms entered<br>by the user.                                                                                            | D                                                                           | Yes                              | N/A                                                                                                              |
| C.5.27                                                         | Dynamically suggests search terms while the user is entering data in<br>the search field.                                                                                      | D                                                                           | Yes                              | Please see page 123 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.5.28                                                         | Allows authorized staff to adjust search "fuzziness."                                                                                                                          | D                                                                           | Yes                              | Please see page 123 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No.<br>(Exhibit B,<br>Paragraph C.6) | Cataloging                                                                                                                       | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.6.1                                                              | Records and displays the creation and edit dates for all bibliographic, call number, and item records.                           | M                                                                           | Yes                              | Please see page 130 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.2                                                              | Supports batch loading of records from OCLC, LC, Marcive, and other sources of bibliographic records through a Z39.50 interface. | M                                                                           | Yes                              | Please see page 132 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.3                                                              | Supports real-time loading of individual records from OCLC, LC, etc. using Z39.50.                                               | M                                                                           | Yes                              | Please see page 135 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.4                                                              | Supports the creation of bibliographic records from scratch (i.e., original cataloging).                                         | M                                                                           | Yes                              | Please see page 137 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.5                                                              | Supports importing, exporting, updating, retrieving and indexing of MARC21 bibliographic records.                                | M                                                                           | Yes                              | Please see page 138 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.6                                                              | Provides access to RDA Toolkit from within the cataloging module.                                                                | D                                                                           | Yes                              | Please see page 140 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.7                                                              | Performs real-time (re)indexing of new and updated bibliographic, holdings, and authority records.                               | D                                                                           | Yes                              | N/A                                                                                                  |
| C.6.8                                                              | Supports locally-defined templates for bibliographic, holdings, and authority records.                                           | D                                                                           | Yes                              | Please see page 141 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.9                                                              | Validates MARC tags and subfields for all imported and manually created records.                                                 | M                                                                           | Yes                              | Please see page 141 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.10                                                             | Supports locally defined, non-standard fields in the MARC record.                                                                | M                                                                           | Yes                              | N/A                                                                                                  |
| C.6.11                                                             | Supports indexing and searching of uniform titles.                                                                               | M                                                                           | Yes                              | N/A                                                                                                  |
| C.6.12                                                             | Provides a 'review area' for storing bibliographic records that still need work or approval.                                     | D                                                                           | Yes                              | Please see page 142 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No.<br>(Exhibit B,<br>Paragraph C.6) | Cataloging                                                                                                                                                                                  | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.6.13                                                             | Supports spine label formatting and printing.                                                                                                                                               | D                                                                           | Yes                              | Please see page 142 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.14                                                             | Allows for the suppression of bibliographic records, item/copy records, and holdings information in the public catalog while still allowing access in the staff interface.                  | M                                                                           | Yes                              | Please see page 143 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.15                                                             | Provides the ability to overlay bibliographic records with imported records, allowing the user to select matching elements and to specify overlay-exempt fields during the overlay process. | M                                                                           | Yes                              | Please see page 144 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.16                                                             | Allows the cataloger to perform global updates to bibliographic records, holdings records, and item records.                                                                                | M                                                                           | Yes                              | Please see page 144 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.17                                                             | Detects duplicate records during the import process and warns the cataloger.                                                                                                                | M                                                                           | Yes                              | Please see page 144 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.18                                                             | Support hyperlinks in the bibliographic record to non-catalog resources.                                                                                                                    | M                                                                           | Yes                              | N/A                                                                                                  |
| C.6.19                                                             | Supports customized tag, field, and subfield validation rules for record import/creation.                                                                                                   | M                                                                           | Yes                              | Please see page 148 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.20                                                             | Allows the cataloger to copy an existing record as a basis for creating a new record.                                                                                                       | M                                                                           | Yes                              | Please see page 148 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.21                                                             | Supports editing records using conventional Windows key commands (Control-C for copy, Control-V for paste, etc.).                                                                           | D                                                                           | Yes                              | N/A                                                                                                  |
| C.6.22                                                             | Addition, modification, or deletion of records has real-time effect in the public catalog.                                                                                                  | D                                                                           | Yes                              | N/A                                                                                                  |
| C.6.23                                                             | Allows holdings to be reviewed in shelf list order.                                                                                                                                         | D                                                                           | Yes                              | N/A                                                                                                  |
| C.6.24                                                             | Allows the library to specify which fields/subfields are indexed for searching.                                                                                                             | M                                                                           | Yes                              | Please see page 149 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No.<br>(Exhibit B,<br>Paragraph C.6) | Cataloging                                                                                                                                             | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.6.25                                                             | Retains a record of who created, imported, modified, or deleted a bibliographic record.                                                                | M                                                                           | Yes                              | Please see page 149 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.26                                                             | Supports addition and removal of holdings to/from OCLC WorldCat.                                                                                       | M                                                                           | Yes                              | Please see page 151 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.27                                                             | Allows authorized staff to create, modify, and delete item types.                                                                                      | M                                                                           | Yes                              | N/A                                                                                                  |
| C.6.28                                                             | Allows bibliographic records to be merged. Proposer shall describe any limitations that may apply and how item holds are handled in the merge process. | D                                                                           | Yes                              | Please see page 152 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.6.29                                                             | Supports Dewey, SUDOC, and local classification schemes.                                                                                               | M                                                                           | Yes                              | N/A                                                                                                  |
| C.6.30                                                             | Allows items to be transferred from one bibliographic record to another.                                                                               | M                                                                           | Yes                              | Please see page 153 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.7) | Authority Control                                                                                                         | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.7.1                                                          | ILS allows direct searching of the authority file by the following headings: Name, Title, Uniform Title, Subject, Series. | M                                                                           | Yes                              | N/A                                                                                                  |
| C.7.2                                                          | Allows authority records to be batch and individually loaded from OCLC and other sources.                                 | M                                                                           | Yes                              | Please see page 154 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.7.3                                                          | Allows authority records to be overlaid through import.                                                                   | M                                                                           | Yes                              | Please see page 154 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.7.4                                                          | Supports LCSH and MeSH headings as well as form/genre terminology.                                                        | M                                                                           | Yes                              | N/A                                                                                                  |
| C.7.5                                                          | Detects unauthorized headings.                                                                                            | M                                                                           | Yes                              | Please see page 155 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.7.6                                                          | Permits authorized staff to update fields, portions of fields or subfields of authority records.                          | M                                                                           | Yes                              | N/A                                                                                                  |
| C.7.7                                                          | Provides a 'review area' for storing authority records that still need additional work.                                   | D                                                                           | Yes                              | Please see page 156 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.7.8                                                          | Proposer provides monthly authority file updates.                                                                         | M                                                                           | Yes                              | Please see page 156 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.8) | Item Records                                                                                                                                                                                                                                                                             | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.8.1                                                          | Item records contain and display the following: item ID, owning library, shelving location, call number, volume number (if applicable), circulation status, count of checkouts, price, date of last activity, number of holds, item-specific notes, inventory date, content/staff notes. | M                                                                           | Yes                              | Please see page 162 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.2                                                          | Allows authorized staff to define and update the elements included in the item/copy records.                                                                                                                                                                                             | M                                                                           | Yes                              | N/A                                                                                                  |
| C.8.3                                                          | Allows authorized staff to assign items to temporary as well as permanent locations.                                                                                                                                                                                                     | D                                                                           | Yes                              | Please see page 162 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.4                                                          | Allows catalogers to specify default values for item record data that can be stored as templates.                                                                                                                                                                                        | M                                                                           | Yes                              | Please see page 163 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.5                                                          | Allows item records to be automatically suppressed in the catalog based on library specified criteria or rules.                                                                                                                                                                          | M                                                                           | Yes                              | Please see page 163 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.6                                                          | Allows staff to create item records 'on the fly.' Proposer shall outline the steps needed to do this.                                                                                                                                                                                    | M                                                                           | Yes                              | Please see page 165 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.7                                                          | Supports batch editing of permanent and temporary locations of items, item types, call numbers, etc.                                                                                                                                                                                     | M                                                                           | Yes                              | Please see page 165 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.8                                                          | Supports laser scanning and RFID scanning of item IDs into the cataloging interface.                                                                                                                                                                                                     | M                                                                           | Yes                              | Please see page 166 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.9                                                          | Allows items to be moved from one record to another. Describe any limitations that may apply.                                                                                                                                                                                            | M                                                                           | Yes                              | Please see page 166 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.10                                                         | ILS retains a record of who created, modified, or deleted an item.                                                                                                                                                                                                                       | M                                                                           | Yes                              | Please see page 166 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.8.11                                                         | Allows duplicate call numbers.                                                                                                                                                                                                                                                           | M                                                                           | Yes                              | N/A                                                                                                  |



| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.9) | Circulation, Holds, and Inventory                                                                                                                                         | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.9.1                                                          | Allows checkout histories be retained in the ILS at the library patron's discretion.                                                                                      | D                                                                           | Yes                              | Please see page 177 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.2                                                          | Supports the determination of different circulation parameters (loan period, fees, renewal permissions, etc.) based on item type, patron profile, and location.           | M                                                                           | Yes                              | Please see page 178 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.3                                                          | Allows specification of due dates/times down to the minute (e.g., 9/20/2024, 11:59 PM).                                                                                   | M                                                                           | Yes                              | N/A                                                                                                  |
| C.9.4                                                          | Provides an offline mode for circulation transactions when network access is down. Describe circulation capabilities and procedures during offline mode.                  | M                                                                           | Yes                              | Please see page 179 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.5                                                          | Provides data entry validation/normalization to prevent inconsistencies in how patron information is entered (e.g., ensuring that "Boulevard" is always saved as "Blvd"). | D                                                                           | Yes                              | Please see page 181 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.6                                                          | Staff circulation module provides visible and/or audible cues to indicate when an item transaction needs attention.                                                       | M                                                                           | Yes                              | Please see page 181 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.7                                                          | Alerts staff to patron account issues immediately upon accessing account.                                                                                                 | D                                                                           | Yes                              | Please see page 182 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.8                                                          | Retains record of when and by whom a patron record was last modified.                                                                                                     | D                                                                           | Yes                              | Please see page 182 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.9                                                          | Allows setting borrowing limits based on combined dollar value and quantity of items checked out.                                                                         | D                                                                           | Yes/No                           | Please see page 183 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.10                                                         | Allows setting borrowing limits based on total number of items checked out.                                                                                               | M                                                                           | Yes                              | Please see page 183 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.11                                                         | Allows the library to specify the maximum number of holds permitted per user account.                                                                                     | M                                                                           | Yes                              | Please see page 183 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.9) | Circulation, Holds, and Inventory                                                                                                                  | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.9.12                                                         | Automatically updates user profiles based on library-specified criteria (e.g., change user profile from juvenile to adult based on date of birth). | D                                                                           | Yes                              | Please see page 183 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.13                                                         | Allows authorized staff to override blocks on patron check-outs and holds.                                                                         | M                                                                           | Yes                              | N/A                                                                                                  |
| C.9.14                                                         | Allows renewals to be automatically blocked based upon hold lists, item types, patron profile, or patron account status.                           | M                                                                           | Yes                              | N/A                                                                                                  |
| C.9.15                                                         | Supports automatic renewal of materials on their due date if there is no holds list.                                                               | D                                                                           | Yes                              | Please see page 184 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.16                                                         | Blocks patrons from placing holds on titles they currently have checked out.                                                                       | D                                                                           | Yes                              | N/A                                                                                                  |
| C.9.17                                                         | Cancels an active hold if the patron checks out the same title.                                                                                    | D                                                                           | Yes                              | N/A                                                                                                  |
| C.9.18                                                         | Supports individual and group item renewal in staff and public interfaces.                                                                         | M                                                                           | Yes                              | Please see page 184 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.19                                                         | Allows holds lists to be modified by authorized library staff and retains a record of who modified the list.                                       | M                                                                           | Yes                              | Please see page 185 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.20                                                         | Staff circulation module displays holds lists with borrower information, date placed, expiration date, rank, and pickup location.                  | M                                                                           | Yes                              | Please see page 186 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.21                                                         | Supports print and email notifications (date due, overdue, billing, hold availability, etc.).                                                      | M                                                                           | Yes                              | Please see page 187 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.22                                                         | Automatically notifies patrons when a hold request cannot be filled.                                                                               | D                                                                           | Yes                              | N/A                                                                                                  |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.9) | Circulation, Holds, and Inventory                                                                                                   | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.9.23                                                         | Automatically notifies patrons when a hold has expired or been cancelled.                                                           | M                                                                           | Yes                              | N/A                                                                                                  |
| C.9.24                                                         | Allows authorized staff to modify the wording of notices.                                                                           | D                                                                           | Yes                              | N/A                                                                                                  |
| C.9.25                                                         | Supports notices with HTML formatting.                                                                                              | D                                                                           | Yes                              | N/A                                                                                                  |
| C.9.26                                                         | ILS retains a record of when notices were sent to patrons.                                                                          | M                                                                           | Yes                              | Please see page 190 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.27                                                         | Allows staff to specify bill payment types (check, cash, etc.).                                                                     | M                                                                           | Yes                              | Please see page 190 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.28                                                         | Circulation module is able to retain a history of paid, waived, and active fees/bills.                                              | M                                                                           | Yes                              | Please see page 191 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.29                                                         | Circulation module is able to retain a history of patron holds and their status (filled, cancelled, expired, etc.).                 | M                                                                           | Yes                              | Please see page 192 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.30                                                         | Automatically assesses a card replacement fee upon issuance of a replacement card.                                                  | D                                                                           | Yes/No                           | Please see page 193 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.31                                                         | Allows authorized staff manually to assess bills and fees (interlibrary loan, copy services, etc.)                                  | M                                                                           | Yes                              | Please see page 193 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.32                                                         | ILS calculates due dates and fines based on a library defined calendar that specifies closures, holidays, etc.                      | M                                                                           | Yes                              | Please see page 193 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.33                                                         | ILS is capable of generating paper or email receipts for payment of bills and items checked out via the ILS or shelfcheck machines. | M                                                                           | Yes                              | Please see page 194 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.9) | Circulation, Holds, and Inventory                                                                                                       | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.9.34                                                         | ILS alerts staff of potential duplicate accounts when registering new patron accounts.                                                  | M                                                                           | Yes                              | Please see page 196 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.35                                                         | ILS supports the creation and editing of patron profiles that determine borrowing privileges.                                           | M                                                                           | Yes                              | Please see page 196 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.36                                                         | ILS automatically assesses user fees based on user profile (e.g., \$32 annual fee for non-resident profile).                            | D                                                                           | Yes                              | Please see page 197 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.37                                                         | Allows freezing of borrowing privileges on cards that have been reported lost.                                                          | M                                                                           | Yes                              | Please see page 197 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.38                                                         | Allows patrons to create and edit their own PIN/password. Proposer shall describe any character type or length limits on this feature.  | D                                                                           | Yes                              | Please see page 197 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.39                                                         | Hashes patron PINs so they are not visible to library staff.                                                                            | D                                                                           | Yes                              | N/A                                                                                                  |
| C.9.40                                                         | Allows patron records to be searched by name, address, phone number, and email. Describe additional search fields supported by the ILS. | M                                                                           | Yes                              | Please see page 198 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.41                                                         | Supports more than one address per patron account (e.g., secondary and tertiary addresses).                                             | D                                                                           | Yes                              | Please see page 200 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.42                                                         | ILS provides 'preferred method of contact' option.                                                                                      | D                                                                           | Yes                              | Please see page 201 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.43                                                         | Patron records have a 'notes' field that is visible only to library staff.                                                              | M                                                                           | Yes                              | Please see page 202 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.44                                                         | ILS supports bulk purging of expired accounts.                                                                                          | M                                                                           | Yes                              | Please see page 202 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.9) | Circulation, Holds, and Inventory                                                                                                                | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.9.45                                                         | ILS offers a 'claimed returned' option for use when patron disputes status of an item. Proposer shall describe how this option works in the ILS. | M                                                                           | Yes                              | Please see page 203 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.46                                                         | Allows authorized staff to modify (individually and in batch) item due dates.                                                                    | M                                                                           | Yes                              | Please see page 204 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.47                                                         | Items can be marked 'used' for in-house usage statistics.                                                                                        | M                                                                           | Yes                              | Please see page 204 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.48                                                         | Supports keyboard shortcuts for commonly used circulation module functions.                                                                      | D                                                                           | Yes                              | Please see page 206 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.49                                                         | Offers a fine-free check-in option.                                                                                                              | M                                                                           | Yes                              | Please see page 206 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.50                                                         | Supports backdating check-in dates (e.g., checking in book drop items using the previous day's date).                                            | M                                                                           | Yes                              | Please see page 207 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.51                                                         | ILS alerts staff of an issue with a patron's account (e.g., outstanding fines) before charge or discharge transactions can take place.           | M                                                                           | Yes                              | Please see page 207 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.52                                                         | ILS can generate paper check-in receipts.                                                                                                        | D                                                                           | Yes                              | Please see page 208 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.53                                                         | ILS can generate email check-in receipts.                                                                                                        | D                                                                           | No                               | Please see page 208 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.54                                                         | ILS can automatically generate transit and hold pickup slips.                                                                                    | M                                                                           | Yes                              | Please see page 208 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.55                                                         | ILS interfaces with automated materials handling ILSs. List supported AMH ILSs.                                                                  | M                                                                           | Yes                              | Please see page 209 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.9) | Circulation, Holds, and Inventory                                                                                             | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
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| C.9.56                                                         | ILS supports floating collections by item type and library group. Proposer shall describe how floating is managed in the ILS. | M                                                                           | Yes                              | Please see page 209 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.57                                                         | Provides tools for managing loans to homebound patrons.                                                                       | D                                                                           | Yes                              | Please see page 212 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.58                                                         | ILS supports collection inventory.                                                                                            | M                                                                           | Yes                              | Please see page 216 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.59                                                         | Upon discharging Lost items, ILS removes Lost/processing bill and substitutes overdue bills.                                  | M                                                                           | Yes                              | Please see page 217 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.60                                                         | ILS allows renewal of titles with active holds when copies are available to fill outstanding holds.                           | M                                                                           | Yes                              | N/A                                                                                                  |
| C.9.61                                                         | ILS provides 'ephemeral' charge option (discharge immediately following charge).                                              | D                                                                           | Yes                              | Please see page 217 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.62                                                         | Allows the library to specify when and how often notices are sent.                                                            | M                                                                           | Yes                              | Please see page 217 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.63                                                         | Alerts staff upon item discharge when item has a hold.                                                                        | M                                                                           | Yes                              | Please see page 219 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.64                                                         | Alerts staff upon item discharge when item is flagged for transfer.                                                           | M                                                                           | Yes                              | Please see page 219 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.9.65                                                         | Alerts staff upon item discharge when special treatment is needed (e.g., "Check for included DVD.").                          | M                                                                           | Yes                              | Please see page 220 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.10) | Interlibrary Loan                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                                             |
|-----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|----------------------------------------------------------------------------------------------------------------------|
| C.10.1                                                          | ILS supports interlibrary loan transfer requests.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | M                                                                           | Yes                              | Please see page 225 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative<br/>Interfaces</i> . |
| C.10.2                                                          | ILS can generate reports of item requested through interlibrary<br>loan.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | M                                                                           | Yes                              | Please see page 228 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative<br/>Interfaces</i> . |
| C.10.3                                                          | ILS can interface with San Diego Circuit, a consortium of libraries in<br>San Diego County, including University of California San Diego<br>(UCSD) Library, University of San Diego (USD) Library, California<br>State University San Marcos (CSUSM) Library, San Diego State<br>University (SDSU) Library, and San Diego County Library. Currently<br>the Circuit uses a product from Innovative Interfaces (INN-Reach)<br>which utilizes Application Programming Interfaces (API) integration<br>to share resources among the member libraries. The San Diego<br>Public Library connects to the Circuit via the Polaris Direct to INN-<br>Reach API (D2IR). Patrons with privileges at any of the member<br>libraries are able to view the shared Circuit catalog, request<br>materials online, and have the materials delivered to their local<br>library, where they may use their local library card to check them<br>out. | D                                                                           | Yes                              | Please see page 228 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative<br/>Interfaces</i> . |
| C.10.4                                                          | Interfaces with OCLC WorldShare.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | D                                                                           | Yes                              | Please see page 229 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative<br/>Interfaces</i> . |

| Proposal Reference Section No. (Exhibit B Paragraph C.11) | Acquisitions                                                                                                                                                               | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                   |
|-----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------|
| C.11.1                                                    | Acquisitions module is fully integrated with the rest of the ILS.                                                                                                          | M                                                               | Yes                        | N/A                                                                                                  |
| C.11.2                                                    | ILS retains a historical record of acquisitions for a library-specified time period.                                                                                       | M                                                               | Yes                        | Please see page 237 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.3                                                    | Acquisitions module provides vendor information. Describe what information can be stored and what, if any, limits there are on the number of vendor records permitted.     | M                                                               | Yes                        | Please see page 237 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.4                                                    | Acquisitions module connects to major library materials providers for ordering purposes. Proposer shall list supported vendors.                                            | M                                                               | Yes                        | Please see page 240 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.5                                                    | Module supports order cancellations.                                                                                                                                       | M                                                               | Yes                        | Please see page 243 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.6                                                    | ILS alerts staff to holds upon receipt of ordered items.                                                                                                                   | M                                                               | Yes                        | N/A                                                                                                  |
| C.11.7                                                    | Records associated with cancelled orders are suppressed in the staff and public catalogs.                                                                                  | M                                                               | Yes                        | Please see page 244 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.8                                                    | ILS supports searching order records by title, fund, subject, vendor name (or code), invoice, item ID, and order status. Describe what other search options are available. | M                                                               | Yes                        | Please see page 244 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.9                                                    | Allows searchable notes to be added to order records.                                                                                                                      | D                                                               | Yes                        | Please see page 245 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.10                                                   | Supports orders of different types (standing, serial, replacement, gift, etc.). Describe order types that are available.                                                   | M                                                               | Yes                        | Please see page 246 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.11                                                   | ILS blocks orders due to insufficient funds and allows this block to be overridden by authorized staff.                                                                    | M                                                               | Yes                        | N/A                                                                                                  |
| C.11.12                                                   | Autogenerates unique purchase order numbers.                                                                                                                               | M                                                               | Yes                        | N/A                                                                                                  |
| C.11.13                                                   | Supports EDI (electronic data interchange). Proposer shall describe the process for receiving materials ordered through EDI.                                               | D                                                               | Yes                        | Please see page 247 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.14                                                   | ILS supports partial receipt of orders.                                                                                                                                    | M                                                               | Yes                        | N/A                                                                                                  |
| C.11.15                                                   | ILS can generate electronic and paper invoices.                                                                                                                            | M                                                               | Yes                        | N/A                                                                                                  |
| C.11.16                                                   | Supports receipt of items without an invoice. Receives and invoices orders in one step.                                                                                    | M                                                               | Yes                        | N/A                                                                                                  |



| Proposal Reference Section No. (Exhibit B Paragraph C.11) | Acquisitions                                                                                       | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                   |
|-----------------------------------------------------------|----------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------|
| C.11.17                                                   | Allows authorized staff to move money between library funds throughout the fiscal year.            | M                                                               | Yes                        | Please see page 248 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.18                                                   | Allows encumbrances and orders be carried from one fiscal year to the next.                        | M                                                               | Yes                        | Please see page 249 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.19                                                   | Executes all fund transactions in real time.                                                       | D                                                               | Yes                        | N/A                                                                                                  |
| C.11.20                                                   | Supports claiming part(s) of an order.                                                             | M                                                               | Yes                        | Please see page 249 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.21                                                   | Supports loading of MARC records with order information in 9XX tags.                               | M                                                               | Yes                        | Please see page 250 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.22                                                   | Provides templates with default values set up in user-specified fields.                            | D                                                               | Yes                        | Please see page 251 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.23                                                   | Allows multiple orders to be linked to a single bibliographic record.                              | D                                                               | Yes                        | N/A                                                                                                  |
| C.11.24                                                   | Allows multiple bibliographic records to be linked to a single purchase order.                     | D                                                               | Yes                        | N/A                                                                                                  |
| C.11.25                                                   | Allows authorized staff to link/unlink bibliographic records and purchase orders.                  | D                                                               | Yes                        | N/A                                                                                                  |
| C.11.26                                                   | Allows items that have been received but not yet processed to be suppressed in the public catalog. | D                                                               | Yes                        | N/A                                                                                                  |
| C.11.27                                                   | Allows the creation of order records from scratch.                                                 | M                                                               | Yes                        | Please see page 252 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.28                                                   | Generates order forms on an individual and bulk basis.                                             | D                                                               | Yes                        | Please see page 252 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.29                                                   | Generates return forms.                                                                            | D                                                               | Yes                        | Please see page 252 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.30                                                   | Allows a single item purchase to be split across multiple funds.                                   | D                                                               | Yes                        | N/A                                                                                                  |
| C.11.31                                                   | Displays original fund allocations, encumbrances, amounts paid, and remaining balances.            | M                                                               | Yes                        | Please see page 253 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.11.32                                                   | Generates electronic and print claims on demand.                                                   | D                                                               | Yes                        | N/A                                                                                                  |

| Proposal Reference Section No. (Exhibit B Paragraph C.11) | Acquisitions                                                                                                                                                                | Priority (M - Mandatory) (D - Desirable) (H - Highly Desirable) | Proposer Response (Yes/No) | Narrative Description (See Exhibit B, Paragraph C)                                                   |
|-----------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------|
| C.11.33                                                   | Displays the number of order cancellations, number of orders placed, amount encumbered, amount invoiced, number and amount of all invoices paid throughout the fiscal year. | D                                                               | Yes                        | Please see page 253 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.12) | Serials                                                                                                                                                                                                                           | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                            |
|-----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|-----------------------------------------------------------------------------------------------------|
| C.12.1                                                          | Provides templates for common publishing patterns.                                                                                                                                                                                | M                                                                           | Yes                              | Please see page 255 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.2                                                          | Supports any publication frequency.                                                                                                                                                                                               | M                                                                           | Yes                              | N/A                                                                                                 |
| C.12.3                                                          | Provides staff and public notes fields.                                                                                                                                                                                           | M                                                                           | Yes                              | Please see page 257 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.4                                                          | Allows authorized staff to edit summary holdings statements.                                                                                                                                                                      | M                                                                           | Yes                              | N/A                                                                                                 |
| C.12.5                                                          | Allows staff to generate claims when an issue does not come in.                                                                                                                                                                   | M                                                                           | Yes                              | Please see page 258 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.6                                                          | Provides a mechanism for transmitting claims electronically to<br>EBSCO.                                                                                                                                                          | D                                                                           | Yes                              | Please see page 259 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.7                                                          | Is able to generate custom routing slips.                                                                                                                                                                                         | D                                                                           | Yes                              | Please see page 259 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.8                                                          | Automatically generates automated claims.                                                                                                                                                                                         | D                                                                           | Yes                              | N/A                                                                                                 |
| C.12.9                                                          | Is able to migrate serials data from competing ILS platforms.                                                                                                                                                                     | M                                                                           | Yes                              | Please see page 259 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.10                                                         | Accommodates the following serial types: periodicals, law reports,<br>newspapers, annuals, government publications, monographic<br>serials, supplements, indexes, microfilm, gift subscriptions, loose-<br>leaf items, donations. | M                                                                           | Yes                              | N/A                                                                                                 |
| C.12.11                                                         | Allows issue-level holds on serial subscriptions.                                                                                                                                                                                 | D                                                                           | Yes                              | N/A                                                                                                 |
| C.12.12                                                         | Provides a mechanism for weeding older issues.                                                                                                                                                                                    | M                                                                           | Yes                              | Please see page 260 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.13                                                         | Provides a mechanism for purging older received issues.                                                                                                                                                                           | M                                                                           | Yes                              | Please see page 261 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |
| C.12.14                                                         | Holdings statements can be edited and are automatically updated<br>when items are added or deleted.                                                                                                                               | D                                                                           | Yes                              | Please see page 261 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative</i> |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.12) | Serials                                                                                                | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                            |
|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|-----------------------------------------------------------------------------------------------------|
| C.12.15                                                         | Supports receipt of out-of-sequence and non-predicted issues.                                          | M                                                                           | Yes                              | N/A                                                                                                 |
| C.12.16                                                         | Allows staff to determine which fields are displayed in the OPAC:<br>enumeration, chronology, or both. | D                                                                           | No                               | Please see page 262 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D Innovative</i> |
| C.12.17                                                         | Allows the creation of item records and assignment of barcodes to<br>individual items.                 | M                                                                           | Yes                              | N/A                                                                                                 |

| Proposal Reference<br>Section No.<br>(Exhibit B<br>Paragraph C.13) | Reports                                                                                                                                                                                                                              | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.13.1                                                             | Can generate lists of recently cataloged materials.                                                                                                                                                                                  | M                                                                           | Yes                              | Please see page 269 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.2                                                             | Can generate headings reports for new and deleted subjects, titles, names, and series.                                                                                                                                               | M                                                                           | Yes                              | Please see page 270 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.3                                                             | Reports details of batch processing errors.                                                                                                                                                                                          | M                                                                           | Yes                              | Please see page 270 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.4                                                             | Reports statistics by cataloger ID.                                                                                                                                                                                                  | M                                                                           | Yes                              | N/A                                                                                                  |
| C.13.5                                                             | Generates reports of the following data: count of unique bibliographic records; count of item records; count of summary holdings records; count of authority records; count of all records added or deleted by date and MARC format. | M                                                                           | Yes                              | Please see page 272 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.6                                                             | Supports export of reports to common data file types (XML, CSV, etc.). List file type export options.                                                                                                                                | M                                                                           | Yes                              | Please see page 273 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No.<br>(Exhibit B<br>Paragraph C.13) | Reports                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.13.7                                                             | Provides robust reporting on circulation activity. Examples: monthly/daily/hourly circulation by library location; total items charged and discharged by location; list items in transit; list/count lost and missing items; list overdue items; list items recalled; list items on hold by location; list items cataloged 'on the fly'; count on-site item usage; list/count overdue items; circulation statistics for individual items and titles (including total charges, renewals, recalls, and holds); individual item transaction history; report of outstanding fines/fees during user specified time frame; statistical reports by item type, call number range, location; list items (limited by item type and location) that have <b>no</b> circulation specified date/time; circulation by language; patron activity based on last activity date. | M                                                                           | Yes                              | Please see page 274 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.8                                                             | Provides reports capable of generating the following acquisitions data: fund names, fund allocations, fund balances, fund encumbrances, funds paid; invoice amounts, invoice dates, invoice lines; order numbers, order amounts, order dates, order lines. Proposer shall describe additional acquisitions reporting capabilities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | M                                                                           | Yes                              | Please see page 274 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.9                                                             | Provides robust patron reports. Examples include: list/count inactive users; list/count expired users; list/count of delinquent and barred patrons; list/count of patrons by profile.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | M                                                                           | Yes                              | Please see page 275 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.10                                                            | Generates a list of titles whose ratio of holds to holdings exceeds a library specified threshold.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | D                                                                           | Yes                              | Please see page 275 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.11                                                            | Generates financial reports that are compatible with SAP's Enterprise Resource Planning (ERP) software.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | D                                                                           | Yes                              | Please see page 276 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No.<br>(Exhibit B<br>Paragraph C.13) | Reports                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.13.12                                                            | Generates reports of payments for audit purposes. Briefly list the kinds of information that can be included in the report (patron name, staff login, amount paid, charge description, etc.).                                                                                                                                                                                                                                                                                     | M                                                                           | Yes                              | Please see page 276 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.13                                                            | <p>ILS must provide the capability to send accounts to the City's Delinquent Account system.</p> <p>ILS must use these formats for the following activities:</p> <p><u>New Referrals</u><br/>See <b>Exhibit H</b> (Library Referrals File Layout.xlsx)</p> <p><u>Account Updates</u><br/>See <b>Exhibit I</b> (Library Update File Layout.xlsx)</p> <p><u>Posting Payments from the Delinquent Account System</u><br/>See <b>Exhibit J</b> (Library Payment File Layout.xlsx)</p> | H                                                                           | Yes                              | Please see page 278 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.14                                                            | ILS must provide a report of New Referrals that have been sent to the Delinquent Account System. The report should include information such as patron name, patron address, phone number, referral date, and the amount due as well as summary totals.                                                                                                                                                                                                                            | H                                                                           | Yes                              | Please see page 280 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.15                                                            | ILS must provide a report of account updates that have been sent to the Delinquent Account System. The report should include information such as patron name, patron address, phone number, referral date, and the amount due as well as summary totals.                                                                                                                                                                                                                          | H                                                                           | Yes                              | Please see page 280 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.16                                                            | ILS must provide a report of account payment postings from the Delinquent Account System. The report should include information such as patron name, patron address, phone number, referral date, and the payment amount as well as summary totals.                                                                                                                                                                                                                               | H                                                                           | Yes                              | Please see page 280 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| <b>Proposal Reference<br/>Section No.<br/>(Exhibit B<br/>Paragraph C.13)</b> | <b>Reports</b>                                                                                                                                                                                                       | <b>Priority<br/>(M - Mandatory)<br/>(D - Desirable)<br/>(H - Highly<br/>Desirable)</b> | <b>Proposer<br/>Response<br/>(Yes/No)</b> | <b>Narrative Description<br/>(See Exhibit B,<br/>Paragraph C)</b>                                    |
|------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------|
| C.13.17                                                                      | ILS should provide a secure FTP server to facilitate sending files to the Delinquent Accounts system. The system should be able to report on transmission status.                                                    | H                                                                                      | Yes                                       | N/A                                                                                                  |
| C.13.18                                                                      | ILS should not allow payments on accounts that have been sent to collections.                                                                                                                                        | H                                                                                      | Yes                                       | Please see page 281 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.19                                                                      | ILS provides a means of scheduling reports to run on a regular basis (daily, weekly, and monthly).                                                                                                                   | M                                                                                      | Yes                                       | Please see page 281 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.20                                                                      | Provides a high level statistical reporting tool that enables executive staff to make informed decisions about collection management and library operations. Proposer shall describe the reports that are available. | M                                                                                      | Yes                                       | Please see page 282 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.21                                                                      | ILS can automatically transfer report output to third parties via File Transfer Protocol (FTP).                                                                                                                      | M                                                                                      | Yes                                       | N/A                                                                                                  |
| C.13.22                                                                      | Generates reports of orders created in a specific time frame and/or with a specific status.                                                                                                                          | M                                                                                      | Yes                                       | Please see page 283 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.23                                                                      | Generates fund summary reports, including such information as allocation, encumbrances, on order, expenditures, and remaining balance.                                                                               | M                                                                                      | Yes                                       | Please see page 283 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.24                                                                      | Generates bill payment reports, including details about payment method (cash, check, credit card, etc.), payment location, bill type, payment library/workstation/selfcheck, and date of bill.                       | M                                                                                      | Yes                                       | Please see page 284 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.25                                                                      | Identifies all bibliographic records that are overlaid as a result of a batch load.                                                                                                                                  | M                                                                                      | Yes                                       | Please see page 284 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.13.26                                                                      | Provides a mechanism for rebalancing floating collections. Proposer shall describe how this mechanism works.                                                                                                         | D                                                                                      | Yes                                       | Please see page 284 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |



| Proposal Reference<br>Section No.<br>(Exhibit B<br>Paragraph C.13) | Reports                                                                                         | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                                           |
|--------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|--------------------------------------------------------------------------------------------------------------------|
| C.13.27                                                            | Integrates with CollectionHQ reporting requirements.                                            | M                                                                           | Yes                              | Please see page 285 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative<br/>Interfaces</i> |
| C.13.28                                                            | MARC record/item/user exports to 3rd party software, i.e.<br>Innovative's INN-Reach DCB server. | M                                                                           | Yes                              | Please see page 285 in<br>the <i>Response File -<br/>Solicitation 10090131-<br/>25-D_Innovative<br/>Interfaces</i> |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.14) | Support, Maintenance, and Updates                                                                                                                       | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|-----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.14.1                                                          | Proposer provides live telephone customer support 24 hours per day, 7 days a week, including California State and U.S. Federal holidays.                | D                                                                           | Yes                              | Please see page 289 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.14.2                                                          | Proposer provides an online ticketing system for reporting technical issues, scheduling upgrades, and requesting information.                           | M                                                                           | Yes                              | Please see page 289 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.14.3                                                          | Proposer designates a single individual as primary point of contact for library customer service issues.                                                | D                                                                           | Yes                              | Please see page 289 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.14.4                                                          | Proposer responds to newly opened online cases within 24 hours, and and uses all reasonable endeavors to resolve promptly.                              | M                                                                           | Yes                              | Please see page 290 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.14.5                                                          | Proposer works with the library to determine optimal dates and times for scheduled ILS updates, patches, and upgrades.                                  | M                                                                           | Yes                              | Please see page 291 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.14.6                                                          | Proposer's support site provides technical documentation and user manuals covering ILS setup, configuration, day-to-day operation, and troubleshooting. | M                                                                           | Yes                              | Please see page 291 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.14.7                                                          | Provides library at least one week's advance written notice of scheduled ILS downtime.                                                                  | M                                                                           | Yes                              | Please see page 291 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal<br>Reference Section<br>No. (Exhibit B<br>Paragraph C.15) | Data Migration and ILS Implementation                                                                                                                                                                            | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.15.1                                                             | Proposer migrates current ILS data to new ILS solution and said solution is fully functional on contracted go live date.                                                                                         | M                                                                           | Yes                              | Please see page 292 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.15.2                                                             | Data migration includes the following data from previous ILS: bibliographic records, patron records, item records, serials records, circulation data, and acquisitions records.                                  | M                                                                           | Yes                              | N/A                                                                                                  |
| C.15.3                                                             | Proposer provides comprehensive on-site training in ILS administration, configuration, and day-to-day use of all modules prior to go live date of new ILS solution. Proposer shall describe training curriculum. | M                                                                           | Yes                              | Please see page 293 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.15.4                                                             | Proposer shall agree to user acceptance testing of data migration and ILS implementation.                                                                                                                        | M                                                                           | Yes                              | Please see page 293 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit<br>B<br>Paragraph C.16) | Training                                                                                                                                                                                             | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|--------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------|
| C.16.1                                                             | Proposer provides ILS documentation/training materials (manuals, videos, etc.) that will be made available to staff throughout San Diego Public Library. Proposer shall describe training materials. | M                                                                           | Yes                              | Please see page 294 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.16.2                                                             | Proposer offers advanced training and access to API documentation and command line tools. Proposer shall describe and include pricing if there is additional cost.                                   | D                                                                           | Yes                              | Please see page 294 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.16.3                                                             | Proposer regularly updates documentation to accurately represent ILS functionality.                                                                                                                  | M                                                                           | Yes                              | N/A                                                                                                  |
| C.16.4                                                             | Proposer regularly offers instructor-led training sessions (in person or online) in ILS management.                                                                                                  | D                                                                           | Yes                              | Please see page 295 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit<br>B<br>Paragraph C.17) | Interoperability/APIs                                   | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer<br>Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                                         |
|--------------------------------------------------------------------|---------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------------------|
| C.17.1                                                             | Supports File Transfer Protocol (FTP)                   | D                                                                           | Yes                              | N/A                                                                                                              |
| C.17.2                                                             | Supports Standard Interchange Protocol Version 2 (SIP2) | M                                                                           | Yes                              | Please see page 301 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.17.3                                                             | Supports NISO Circulation Interchange Protocol (NCIP)   | D                                                                           | Yes                              | Please see page 303 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.17.4                                                             | Supports Z39.50                                         | M                                                                           | Yes                              | Please see page 303 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.17.5                                                             | Supports BiblioCore discovery layer                     | M                                                                           | Yes                              | Please see page 303 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |
| C.17.6                                                             | Web-based Application Programming Interface (API)       | D                                                                           | Yes                              | Please see page 304 in<br>the <i>Response File -<br/>Solicitation 10090131-25-<br/>D_Innovative Interfaces</i> . |

**Exhibit F - Functional Requirements**

| <b>Proposal Reference<br/>Section No. (Exhibit B<br/>Paragraph C.18)</b> | <b>Customer Experience</b>                                                                                                    | <b>Priority<br/>(M - Mandatory)<br/>(D - Desirable)<br/>(H - Highly Desirable)</b> | <b>Proposer<br/>Response<br/>(Yes/No)</b> | <b>Narrative Description<br/>(See Exhibit B, Paragraph C)</b>                                        |
|--------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------|
| C.18.1                                                                   | Automated notifications via email, SMS, and push notifications (e.g., overdue items, event reminders, new arrivals)           | H                                                                                  | Yes                                       | Please see page 307 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.2                                                                   | Customizable message templates for various communications (e.g., due date reminders, event updates)                           | H                                                                                  | Yes                                       | Please see page 307 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.3                                                                   | Event-specific reminders (e.g., registration confirmation, event day reminder, post-event follow-up)                          | H                                                                                  | Yes                                       | Please see page 308 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.4                                                                   | Patron-controlled notification preferences (e.g., opt-in/opt-out of certain alerts)                                           | H                                                                                  | Yes                                       | Please see page 308 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.5                                                                   | Integration with multiple communication channels (email, SMS, app push notifications, social media)                           | H                                                                                  | Yes                                       | N/A                                                                                                  |
| C.18.6                                                                   | Campaign tools to create, schedule, and send event promotions, library updates, and personalized recommendations              | H                                                                                  | Yes                                       | Please see page 308 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.7                                                                   | Ability to target specific patron segments (e.g., families, adults, seniors) based on preferences and activity                | H                                                                                  | Yes                                       | Please see page 308 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.8                                                                   | Social media integrations to share events, library news, and updates across platforms like Facebook, Instagram, Twitter, etc. | H                                                                                  | Yes                                       | Please see page 309 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.9                                                                   | A/B testing and analytics to optimize marketing campaigns                                                                     | H                                                                                  | No                                        | Please see page 309 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.10                                                                  | Centralized, interactive event calendar displaying all upcoming events                                                        | H                                                                                  | Yes                                       | Please see page 309 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.11                                                                  | Filters for easy event discovery (e.g., event type, date range, age group, location)                                          | H                                                                                  | Yes                                       | Please see page 310 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.12                                                                  | Search functionality with advanced filters (e.g., keyword search, category, and tags)                                         | H                                                                                  | Yes                                       | Please see page 310 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

**Exhibit F - Functional Requirements**

| <b>Proposal Reference<br/>Section No. (Exhibit B<br/>Paragraph C.18)</b> | <b>Customer Experience</b>                                                                                                   | <b>Priority<br/>(M - Mandatory)<br/>(D - Desirable)<br/>(H - Highly Desirable)</b> | <b>Proposer<br/>Response<br/>(Yes/No)</b> | <b>Narrative Description<br/>(See Exhibit B, Paragraph C)</b>                                        |
|--------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------|
| C.18.13                                                                  | Integration with library's website, mobile app, and digital signage for consistent event visibility                          | H                                                                                  | Yes                                       | Please see page 311 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.14                                                                  | Option for patrons to sync events with personal calendars (e.g., Google Calendar, iCal)                                      | H                                                                                  | Yes                                       | Please see page 311 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.15                                                                  | Easy-to-use event creation tools with customizable details (e.g., event title, description, image, time, location)           | H                                                                                  | Yes                                       | Please see page 311 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.16                                                                  | Support for recurring events (e.g., weekly storytimes, monthly book clubs)                                                   | H                                                                                  | Yes                                       | Please see page 311 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.17                                                                  | Customizable event registration forms (e.g., dietary preferences, accessibility needs)                                       | H                                                                                  | Yes                                       | Please see page 312 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.18                                                                  | Ability to add related resources to event pages (e.g., reading materials, event handouts)                                    | H                                                                                  | Yes                                       | Please see page 312 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.20                                                                  | Online event registration system with automatic confirmations, reminders, and cancellation options                           | H                                                                                  | Yes                                       | Please see page 312 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.21                                                                  | Waitlist management for sold-out events with automated notifications when spots become available                             | H                                                                                  | Yes                                       | Please see page 312 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.22                                                                  | Real-time tracking of registrations and attendance via QR codes, RFID, or mobile check-ins                                   | H                                                                                  | Yes                                       | Please see page 313 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.23                                                                  | Group registration options (e.g., family sign-ups for events)                                                                | H                                                                                  | Yes                                       | Please see page 314 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.24                                                                  | Integration with patron profiles for seamless registration (linked to library card)                                          | H                                                                                  | Yes                                       | Please see page 315 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.25                                                                  | Tools for creating and sending event promotion emails to targeted segments (e.g., specific age groups, past event attendees) | H                                                                                  | Yes                                       | Please see page 315 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

**Exhibit F - Functional Requirements**

| <b>Proposal Reference<br/>Section No. (Exhibit B<br/>Paragraph C.18)</b> | <b>Customer Experience</b>                                                                                  | <b>Priority<br/>(M - Mandatory)<br/>(D - Desirable)<br/>(H - Highly Desirable)</b> | <b>Proposer<br/>Response<br/>(Yes/No)</b> | <b>Narrative Description<br/>(See Exhibit B, Paragraph C)</b>                                        |
|--------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------|
| C.18.26                                                                  | Social media integration for automatic event promotion on Facebook, Twitter, Instagram, and other platforms | H                                                                                  | Yes                                       | Please see page 315 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.27                                                                  | Customizable event flyers, posters, and graphics for physical and digital promotions                        | H                                                                                  | Yes                                       | Please see page 316 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.28                                                                  | Reporting and analytics on event performance (e.g., attendance rates, engagement, patron demographics)      | H                                                                                  | Yes                                       | Please see page 317 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.29                                                                  | Event performance dashboard to analyze trends and improve future event planning                             | H                                                                                  | Yes                                       | Please see page 317 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.30                                                                  | Unified search interface for discovering books, digital resources (e.g., e-books, audiobooks), and events   | H                                                                                  | Yes                                       | Please see page 317 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.31                                                                  | Intelligent search filters for refined results (e.g., genre, format, age group, availability)               | H                                                                                  | Yes                                       | Please see page 317 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.32                                                                  | Real-time catalog updates (e.g., availability, due dates, holds)                                            | H                                                                                  | Yes                                       | N/A                                                                                                  |
| C.18.33                                                                  | Personalized book, audiobook, and event recommendations based on patron history and preferences             | H                                                                                  | Yes                                       | Please see page 318 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.34                                                                  | Cross-media discovery (e.g., recommending related books based on an event, or vice versa)                   | H                                                                                  | Yes                                       | Please see page 318 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.35                                                                  | Integration with third-party platforms for digital resources                                                | H                                                                                  | Yes                                       | Please see page 318 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.36                                                                  | Direct borrowing of e-books, audiobooks, and other digital content from within the platform                 | H                                                                                  | Yes                                       | Please see page 319 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.37                                                                  | Streaming or download options for multimedia content (e.g., video lectures, e-learning)                     | H                                                                                  | Yes.                                      | Please see page 319 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |



**Exhibit F - Functional Requirements**

| <b>Proposal Reference<br/>Section No. (Exhibit B<br/>Paragraph C.18)</b> | <b>Customer Experience</b>                                                                                                                | <b>Priority<br/>(M - Mandatory)<br/>(D - Desirable)<br/>(H - Highly Desirable)</b> | <b>Proposer<br/>Response<br/>(Yes/No)</b> | <b>Narrative Description<br/>(See Exhibit B, Paragraph C)</b>                                        |
|--------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------|
| C.18.38                                                                  | Integration with local and regional databases for research and academic content                                                           | H                                                                                  | Yes                                       | Please see page 319 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.39                                                                  | Advanced patron segmentation tools based on behavior (e.g., reading habits, event attendance), demographics, or geographic location       | H                                                                                  | Yes                                       | Please see page 319 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.40                                                                  | Ability to create custom segments (e.g., "frequent event attendees," "young families," "adult learners") for targeted marketing campaigns | H                                                                                  | Yes                                       | Please see page 321 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.41                                                                  | Real-time data syncing across modules for personalized interactions                                                                       | H                                                                                  | Yes.                                      | Please see page 321 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.42                                                                  | Automated workflows for re-engaging inactive patrons (e.g., recommending new events, sending personalized book suggestions)               | H                                                                                  | Yes                                       | Please see page 321 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.43                                                                  | Trigger-based campaigns (e.g., follow-up emails after event attendance, reminders for unfinished book reservations)                       | H                                                                                  | Yes                                       | Please see page 322 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.44                                                                  | Personalized recommendations for books, events, and programs based on patron interests and previous activities                            | H                                                                                  | Yes                                       | Please see page 322 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.45                                                                  | Personalized event suggestions based on patron profiles (e.g., age group, past event participation, borrowing history)                    | H                                                                                  | Yes                                       | Please see page 322 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.46                                                                  | Integration with calendar and notification systems to recommend relevant upcoming events                                                  | H                                                                                  | Yes                                       | Please see page 322 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.47                                                                  | Centralized dashboard to track key engagement metrics (e.g., event attendance, program participation, communication response rates)       | H                                                                                  | Yes                                       | Please see page 323 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.48                                                                  | Analytics on patron interactions with events, books, and digital resources                                                                | H                                                                                  | Yes                                       | Please see page 323 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.49                                                                  | Event-specific reports on engagement (e.g., registration, no-shows, post-event feedback)                                                  | H                                                                                  | Yes                                       | Please see page 323 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

**Exhibit F - Functional Requirements**

| <b>Proposal Reference<br/>Section No. (Exhibit B<br/>Paragraph C.18)</b> | <b>Customer Experience</b>                                                                                                  | <b>Priority<br/>(M - Mandatory)<br/>(D - Desirable)<br/>(H - Highly Desirable)</b> | <b>Proposer<br/>Response<br/>(Yes/No)</b> | <b>Narrative Description<br/>(See Exhibit B, Paragraph C)</b>                                        |
|--------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------|
| C.18.50                                                                  | Metrics on marketing campaigns (e.g., open rates, click-through rates, social media engagement)                             | H                                                                                  | Yes                                       | Please see page 325 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.51                                                                  | Analysis of patron preferences and behavior trends (e.g., most popular event types, frequently borrowed books)              | H                                                                                  | Yes                                       | Please see page 326 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.52                                                                  | Reporting tools to help understand library service usage patterns (e.g., seasonal spikes in event attendance)               | H                                                                                  | Yes                                       | Please see page 326 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.53                                                                  | Insights into patron demographics to fine-tune programming, event types, and marketing strategies                           | H                                                                                  | Yes                                       | Please see page 326 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.54                                                                  | Interactive data visualization tools for easy understanding of engagement trends, event success, and patron behavior        | H                                                                                  | Yes                                       | Please see page 326 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.55                                                                  | Exportable reports for sharing with staff or stakeholders                                                                   | H                                                                                  | Yes                                       | Please see page 327 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.56                                                                  | Full integration with library's ILS for seamless data synchronization (e.g., patron information, borrowed materials, holds) | H                                                                                  | Yes                                       | Please see page 327 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.57                                                                  | Real-time access to catalog data and patron accounts for accurate communication and event management                        | H                                                                                  | Yes                                       | N/A                                                                                                  |
| C.18.58                                                                  | Integration with library's circulation, fines, and account management system for accurate patron notifications              | H                                                                                  | Yes                                       | N/A                                                                                                  |
| C.18.59                                                                  | Integration with popular external platforms for event hosting (e.g., Zoom for virtual events)                               | H                                                                                  | Yes                                       | Please see page 327 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.60                                                                  | Integration with digital content providers for seamless borrowing of e-books and audiobooks                                 | H                                                                                  | Yes                                       | Please see page 328 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.61                                                                  | Support for payment gateways for processing special event space reservations                                                | H                                                                                  | Yes                                       | Please see page 328 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

**Exhibit F - Functional Requirements**

| <b>Proposal Reference<br/>Section No. (Exhibit B<br/>Paragraph C.18)</b> | <b>Customer Experience</b>                                                                                    | <b>Priority<br/>(M - Mandatory)<br/>(D - Desirable)<br/>(H - Highly Desirable)</b> | <b>Proposer<br/>Response<br/>(Yes/No)</b> | <b>Narrative Description<br/>(See Exhibit B, Paragraph C)</b>                                        |
|--------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------|
| C.18.62                                                                  | ADA-compliant design with screen reader support, high contrast modes, and text resizing                       | H                                                                                  | Yes                                       | Please see page 328 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.63                                                                  | Multilingual support for diverse communities and accessibility features for non-English speakers              | H                                                                                  | Yes                                       | Please see page 329 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.64                                                                  | Video and audio content accessibility features (e.g., closed captions, sign language interpreters for events) | H                                                                                  | Yes                                       | Please see page 329 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.65                                                                  | Full compliance with data protection regulations to ensure patron privacy and data security                   | H                                                                                  | Yes                                       | Please see page 329 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.66                                                                  | Secure communication channels for patron interactions (e.g., encrypted emails, two-factor authentication)     | H                                                                                  | Yes                                       | Please see page 330 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.67                                                                  | Role-based access control for library staff managing different aspects of the platform                        | H                                                                                  | Yes                                       | Please see page 330 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.18.68                                                                  | Customizable permissions for staff, volunteers, and patrons to ensure secure management of accounts and data  | H                                                                                  | Yes                                       | Please see page 331 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.19) | Data Export                                                                                                                                                                                                                                                                                                                 | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer Response<br>(Yes/No) | Narrative<br>Description<br>(See Exhibit B,<br>Paragraph C)                                         |
|-----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|-------------------------------|-----------------------------------------------------------------------------------------------------|
| C.19.1                                                          | All Contractors must agree to the provide City with electronic copies of the data collected and recorded (if any). Data format will be agreed upon by both City and Contractor, but at a minimum, data records will be provided in ASCII comma separated value (CSV) format, with binary images in TIFF, JPG or PDF format. | M                                                                           | Yes                           | Please see page 332 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces.</i> |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.20) | Data Ownership                                                                                                                                                                                                                                                                                                                                                                                                                   | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly Desirable) | Proposer Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B, Paragraph C)                                                          |
|-----------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|-------------------------------|----------------------------------------------------------------------------------------------------------------|
| C.20.1                                                          | City retains for itself ownership and rights of ownership to all data entered into the ILS. Contractor acknowledges that City retains ownership and rights of ownership to all of its data. Contractor shall not, without the written consent of the City, copy or use such records, except to carry out contracted work, and will not transfer such records to any other party not involved in the performance of the contract. | M                                                                        | Yes                           | Please see page 333 in the<br><i>Response File - Solicitation<br/>10090131-25-D_Innovative<br/>Interfaces.</i> |

| Proposal Reference<br>Section No. (Exhibit B<br>Paragraph C.21) | Licensing Model and Pricing Conditions                                                                                                                                                                                                                                                  | Priority<br>(M - Mandatory)<br>(D - Desirable)<br>(H - Highly<br>Desirable) | Proposer Response<br>(Yes/No) | Narrative Description<br>(See Exhibit B,<br>Paragraph C)                                             |
|-----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|-------------------------------|------------------------------------------------------------------------------------------------------|
| C.21.1                                                          | Contractor shall clearly indicate the nature of the ILS solution's licensing model (e.g. Named User, Concurrent User, Flat Subscription, or some other volume-base volumetric, e.g. transactions, or unlimited 'enterprise' style licensing). Enterprise licensing is highly desirable. | M                                                                           | Yes                           | Please see page 334 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.21.2                                                          | All potential chargeable costs and additional payment triggers should be described.                                                                                                                                                                                                     | M                                                                           | Yes                           | Please see page 334 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.21.3                                                          | Contractors should also clearly describe the circumstances and thresholds (if any) under which the City may become liable for overage costs (e.g. exceeding bandwidth, storage, transactions, volume of data in bytes, number of files, or number of characters).                       | M                                                                           | Yes                           | Please see page 334 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |
| C.21.4                                                          | Contractor must also confirm the process for transferring licensing to other City Users (e.g. in the event that a City User leaves the organization).                                                                                                                                   | M                                                                           | Yes                           | Please see page 335 in the <i>Response File - Solicitation 10090131-25-D_Innovative Interfaces</i> . |

# Exhibit G

## AR 90.64 Protection of Sensitive Information and Data

**AR 90.64 PROTECTION OF SENSITIVE INFORMATION  
AND DATA**



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ADMINISTRATIVE REGULATION

|                                                                |                                |            |                 |
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**1. PURPOSE**

- 1.1 To establish a policy to ensure the confidentiality and protection of Sensitive Information against unauthorized use; to establish procedures to control access to Sensitive Information so that it is only accessible by authorized persons; and to establish safeguards to ensure the appropriate use of Sensitive Information by authorized persons.
- 1.2 To define responsibility and procedures for granting authorized persons access to Sensitive Information.
- 1.3 To define processes by which access to Sensitive Information is administered and to develop control points in compliance with City policy.

**2. SCOPE**

- 2.1 This policy applies to all City employees in all City departments, including independent departments as authorized by the signing authorities below; and to City volunteers, contractors, vendors, and other individuals granted access to Sensitive Information under the City's control; and to all employees, contractors, and vendors of San Diego Data Processing Corporation (SDDPC) granted and/or having access to Sensitive Information by the nature of their support or service functions.
- 2.2 This policy and procedures apply to all Sensitive Information created, owned, stored, managed or under the control of the City of San Diego, regardless of the media which contains the Sensitive Information, including but not limited to paper, microfilm, microfiche or any analog or digital format.
- 2.3 Nothing in this Administrative Regulation supersedes any stricter requirement(s) set by other authorities (i.e., local, state, and/or federal laws, rules or regulations), such as obtaining or retaining employment in a law enforcement agency; nor does this Administrative Regulation supersede any applicable, stricter rules, regulations or policies that affect access to or use of Sensitive Information. In such cases, the department head must ensure implementation or application of any such superseding rules, regulations or policies include adequately strong internal controls over Sensitive Information.

Authorized

  
MAYOR

  
PERSONNEL DIRECTOR

  
CITY CLERK

  
CITY ATTORNEY

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**3. DEFINITIONS**

- 3.1 “Appointing Authority” means an unclassified, management-level position designated by the department head or higher who has the authority to grant permission for an employee or individual to be authorized for access to Sensitive Information.
- 3.2 “Authorized Person” means an employee or other individual who is granted permission to access or use Sensitive Information by an Appointing Authority, as approved by the Information/Data Owner, at the type and the level of access to the specific information required for the performance of his or her job duties.
- 3.3 “Authorization Acknowledgment Form” is the City’s official form used to request and authorize an individual’s access to or use of Sensitive Information (see Appendix). This form will be available on the City’s Intranet site (CityNet) on the ‘Forms’ page.
- 3.4 “Information/Data Owner” means the department head or designee who is the primary recipient or manager of particular Sensitive Information or who has the responsibility to oversee the collection, maintenance or management of such information or data. There will only be one defined Information/Data Owner for any particular source of data; although other departments may collect and/or access the data. An Information/Data Owner may also be an Appointing Authority, as defined in Section 3.1 above.
- 3.5 “Level of Access” refers to the amount of Sensitive Information for which access is granted for any specific category or type of Sensitive Information, such as full access to all information related to a particular category or document, or limited access to only specific pieces of information (i.e., certain fields in a database) required for the performance of valid job duties.
- 3.6 “Personal Identifying Information” shall include information listed in California Penal Code Section 530.55(b), as amended (Sept. 2006), which reads, in pertinent part:
- (a) “Person” means a natural person, living or deceased, firm, association, organization, partnership, business trust, company, corporation, limited liability company, or public entity, or any other legal entity.
- (b) “Personal Identifying Information” means any name, address, telephone number, health insurance number, taxpayer identification number, school identification number, state or federal driver's license, or identification number, social security number ... professional or occupational number, mother's maiden name, demand deposit account number, savings account number, checking account number, PIN (personal identification number) or password, alien registration number, government passport number, date of birth, unique biometric data including fingerprint, facial scan identifiers, voiceprint, retina or

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iris image, or other unique physical representation, unique electronic data including information identification number assigned to the person, address or routing code, telecommunication identifying information or access device, information contained in a birth or death certificate, or credit card number of an individual person, or an equivalent form of identification.

3.7 For the purpose of this policy, "Sensitive Information" shall mean:

3.7.1 Personal Identifying Information (as defined above), also including debit card number of an individual person, and where home/personal address and telephone number are included and work/office address and telephone number are excluded (i.e., the City Directory is not considered Sensitive Information); and

3.7.2 Any information that is possessed by the City of San Diego which is not subject to the California Public Records Act (refer to Administrative Regulation 95.20), and which may be used for other than the intended purpose of such information, to cause harm to or otherwise jeopardize the City of San Diego or any individual, or used in violation of any local, state or federal law (for example the Health Insurance Portability and Accountability Act of 1996 (HIPAA)).

3.8 "Sensitive Information Custodian" is the person who manages the physical or computer-based access to Sensitive Information; for example an office manager or records manager who controls access to locked file rooms/cabinets, or a computer systems administrator who manages the creation of user accounts and passwords to provide specific access to particular data. A Sensitive Information Custodian may also be an Information/Data Owner, as defined in Section 3.4 above.

3.9 "Type of Access" refers to the following: (a) Read Only, (b) Write/Create, (c) Edit/Modify, and (d) Delete.

#### 4. GENERAL POLICY

4.1 Sensitive Information shall be maintained in a confidential manner and access restricted to only employees or individuals properly authorized by his or her Appointing Authority and approved by the Information/Data Owner, based on verified business needs to have access to such information and/or in compliance with specific legal requirements.

4.2 Contractors and vendors or other non-City employees who are authorized to access or use Sensitive Information, shall be required to enter into agreements stating that the individuals specified for this access and their employing Contractor/Vendor agree to be contractually bound by the terms and conditions of this policy, including personal liability, as part of their contract or agreement prior to being granted access to Sensitive Information.

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- 4.3 Authorization to access or use Sensitive Information shall be based on a functional role (job duties) and not linked directly with a specific individual, such that when an authorized person's job duties no longer require access to or use of Sensitive Information, the ability to access or use such information shall be revoked. At no time shall a contractor's or vendor's access to Sensitive Information extend beyond the termination of the authorizing contract, and such access shall be revoked as soon as the duties requiring access or use have ended, regardless of the end date of the contract.
- 4.4 The Information/Data Owner shall specify the type and the level of access that should be assigned to various functional roles that require access to the Sensitive Information based on an employee's or individual's job requirements.
- 4.5 Authorized Persons shall access or use Sensitive Information only for its intended purpose for which it was obtained and maintained by the City of San Diego. An employee or individual authorized to access or use Sensitive Information shall sign an Authorization Acknowledgement Form stating he or she has read, understands, and agrees to abide by this policy.
- 4.6 As a standard IT security measure, Authorized Persons shall not share their User ID and/or password with anyone else, and shall not have their User ID and/or password written down in any unsecured location (e.g., anywhere around their work location). "Generic" User IDs shall not be used for system access to Sensitive Information; each Authorized Person must use an assigned, unique User ID that is directly linked with the user's name. As a standard physical security measure, Authorized Persons shall not share their building or facility access key card or key(s) with anyone else, nor shall they allow access into secured areas by unauthorized persons.
- 4.7 Violation of this policy, either by unauthorized persons accessing or attempting to access Sensitive Information, or by Authorized Persons accessing or using Sensitive Information for other than its intended purpose or beyond the scope of their duties, may result in disciplinary action, up to and including termination of employment, and also subject the violating individual(s) to personal liability without the option of City legal defense. In the case of contractors or vendors, violation of this policy will be considered a breach of contract and appropriate actions taken on that basis. If deemed necessary, information regarding employee, volunteer, contractor or vendor violation of this policy may be referred to the appropriate agency for any civil and/or criminal action, as applicable.
- 4.8 Appointing Authorities shall review the list of their employees, contractors or other individuals who they have designated as Authorized Persons with access to Sensitive Information, at least semi-annually, to ensure continued authorization is warranted and to update (add, delete or modify) the authorization list appropriately.

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- 4.9 Information/Data Owners shall verify and document semi-annually that the Appointing Authorities performed a thorough review of authorized users in compliance with this policy (Section 4.8), by comparing the Appointing Authority's report with a list of individuals currently authorized to access the Sensitive Information over which the Information/Data Owner has control and authority. For internal control purposes, to maintain segregation of duties, this verification must be performed by someone other than the Appointing Authority who submitted the semi-annual review of Authorized Persons. All discrepancies shall be reported back to the impacted Appointing Authority for appropriate corrective action. Information/Data Owners shall retain records of such reviews and actions for the period of time set within the citywide or departmental Records Retention Schedule as approved by the City Clerk.
- 4.10 Sensitive Information stored in City computer systems shall be secured and maintained in accordance with applicable provisions of the Information Security Guidelines and Standards, as amended.
- 4.11 Sensitive Information stored in paper or other non-digital formats shall have appropriate physical security, and access to such information shall also comply with Administrative Regulation 95.10 for validating the identity of the individual requesting authorized access.
- 4.12 Upon the discovery of any breach of the protection of Sensitive Information through the accidental, inadvertent or purposeful release of such information to any unauthorized persons, the person discovering such breach should immediately notify the Information/Data Owner or their Appointing Authority, and, if the information was stored on City computer systems, also notify the Information Security Manager in the Department of Information Technology.
- 4.12.1 Depending on the nature and scope of such breach and release of information, additional notifications must comply with applicable state and federal regulations.
- 4.12.2 The Information/Data Owner, in coordination with the Information Security Manager from the Department of Information Technology (if applicable), should immediately take whatever steps are deemed necessary to stop any further breach of the protected information and to minimize any potential or actual losses or damages to the City of San Diego.

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**5. PROCEDURES**

Responsibility

5.1. Supervisor

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When an employee's, volunteer's or contractor's job duties require access to or use of Sensitive Information, the immediate supervisor will complete an Authorization Acknowledgment Form. In addition, the supervisor must ensure that the proper system access/account request form and process is followed for the specific computer system where the Authorized Person needs access, specifying the nature of the job duties and the level and type of access or use requested. The supervisor will ensure the accuracy and completeness of information on the forms. After obtaining the employee's signature, the acknowledgement and request forms will be routed to the Appointing Authority for approval. Likewise, when an employee's, volunteer's or contractor's job duties change such that access to or use of Sensitive Information is no longer needed, the immediate supervisor will notify both the Appointing Authority and the Information/Data Owner, as soon as possible (no more than five (5) business days).

5.2. Authorized Person (employee, volunteer, contractor, vendor or other individual being authorized for access)

Any person being given access to Sensitive Information must sign the Authorization Acknowledgement Form stating he or she has read, understands, and agrees to comply with this policy for access or use and protection of such information. A copy of the final, approved form shall be kept in the employee's departmental personnel file, as the Appointing Authority's record; or for volunteers, on file with the department where assigned; or for a contractor, on file with the contract manager.

5.3. Department Appointing Authority

The Appointing Authority having management control over the employee, volunteer, contractor,

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vendor or other individual seeking authorization to access Sensitive Information, shall review the Authorization Acknowledgement and system access/account request forms for appropriateness of the job functions for the type and level of access requested while considering appropriate segregation of duties, and ensure the forms are signed by both the individual and supervisor. The Appointing Authority will sign either approval or denial of the request, providing the reasons for any denial, and route the approved request form to the appropriate Information/Data Owner(s), or route a denied form back to the supervisor. Appointing Authorities shall maintain a copy of all authorization forms they approve, including those for non-City employees (i.e., volunteers and contractors). Any changes reported in the job duties of Authorized Persons which require a change in the access to or use of Sensitive Information must be immediately communicated to the Information/Data Owner to initiate the appropriate change in access. The semi-annual reviews should take place in May and November each year. The Appointing Authority will submit documentation of each review to the Information/Data Owner and these records will be retained by the department for the period of time set by the citywide or departmental Records Retention Schedule as approved by the City Clerk.

- 5.4. Information/Data Owner (owner of the information, regardless of its format or mechanism of access, [i.e., computerized system, hard copy file, etc.])

The Information/Data Owner for each different source of Sensitive Information covered by an approved access request form will review each request to ensure the type and level of access requested is appropriate for the job functions of the individual seeking access. Upon confirmation of the business need to have access to Sensitive Information, the Information/Data Owner will sign approval to grant access, and

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may modify the type or level of access granted, as he or she deems necessary and appropriate, in consultation with the requesting Appointing Authority. The Information/Data Owner will initiate any further actions necessary to grant access to the Authorized Person (such as any computer system access processes). Information/Data Owners will maintain a list of individuals currently authorized access to their Sensitive Information and provide such list to the appropriate Appointing Authority for semi-annual review at the end of April and October each year.

- 5.5. Sensitive Information Custodian (Administrator of the format and/or mechanism of access [i.e., computerized system or hard copy file] for the given information)

The Authorized Person's access to the identified Sensitive Information will be set up following the established procedures either in the IT Security Guidelines and Standards for access to electronic or digital data or following departmental internal controls for paper or physical records, based on the nature (media/format) of the Sensitive Information.

- 5.6. Department of Information Technology

Annually review this policy for any necessary updates or revisions, taking into account changes in City organization and IT systems. Maintain the list of Information/Data Owners and update it annually. Maintain the necessary correlation between this policy and other IT security policies and/or regulations. Ensure that San Diego Data Processing Corporation (SDDPC) system administrators comply with this and other IT security policies. The Department of Information Technology is also responsible for ensuring that the requirements of this policy are communicated to all employees at least every two years, using citywide and/or departmental training or communication channels.



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Responsibility

5.7. Purchasing & Contracting  
Department

Action

Ensure that this policy is included as an Addendum to or within the Terms and Conditions of signed contacts or agreements, for all contracts and/or agreements that include a contractor's or vendor's need to access or use the City's Sensitive Information.

APPENDIX

Legal References

**City Administrative Regulations:**

AR 45.50 "Private Use of City Labor, Materials, Equipment and Supplies Prohibited"

AR 90.63 "Information Security Policy"

AR 95.10 "Identification of City Employees and Controlled Access to City Facilities"

AR 95.20 "Public Records Act Requests and Civil Subpoenas; Procedures for Furnishing Documents and Recovering Costs"

AR 95.60, "Conflict of Interest and Employee Conduct"

**Civil Service Rules and City Personnel Manual:**

Civil Service Rules, Definitions (p.1), "Appointing Authority"

Civil Service Rule XI, "Resignation, Removal, Suspension, Reduction in Compensation, Demotion"

Personnel Manual, Index Code A-3 "Improper Use of City Resources"

Personnel Manual, Index Code G-1 "Code of Ethics and Conduct"

IT Security Guidelines and Standards

Employee Performance Plans, Ethics and Integrity Section

Applicable California State Laws

Applicable Federal Laws

Forms Involved

Form DoIT-010, "Sensitive Information Authorization Acknowledgement"

CITY OF SAN DIEGO  
ADMINISTRATIVE REGULATION

|                                              |                               |       |          |
|----------------------------------------------|-------------------------------|-------|----------|
| SUBJECT                                      | Number                        | Issue | Page     |
| PROTECTION OF SENSITIVE INFORMATION AND DATA | 90.64                         | 1     | 10 of 10 |
|                                              | Effective Date<br>July1, 2009 |       |          |

Subject Index

Sensitive Information  
Sensitive Data  
Information Security  
Protection of Sensitive Information

Distribution

All Departments (Mayoral and Non-Mayoral)

Administering  
Department

Department of Information Technology

CITY OF SAN DIEGO  
**Sensitive Information Authorization Acknowledgement Form – City Employees**

**Authorized Person** (City Employee requesting authorized access to Sensitive Information):

|                                    |                           |                                   |
|------------------------------------|---------------------------|-----------------------------------|
| <i>Name (Printed)</i>              | <i>Job Classification</i> | <i>Network (AD) Login/User ID</i> |
| <i>Department / Division</i>       |                           |                                   |
| <i>Mail Station</i>                | <i>Office Phone</i>       | <i>Office FAX</i>                 |
| <i>Supervisor's Name (Printed)</i> | <i>Supervisor's Phone</i> |                                   |

**Policy Summary** (pertinent excerpts from Administrative Regulation 90.64):

- 4.1 Sensitive Information shall be maintained in a confidential manner and access restricted to only employees or individuals properly authorized by his or her Appointing Authority and approved by the Information/Data Owner, based on verified business needs to have access to such information and/or in compliance with specific legal requirements.
- 4.3 Authorization to access or use Sensitive Information shall be based on a functional role (job duties) and not linked directly with a specific individual, such that when an authorized person's job duties no longer require access to or use of Sensitive Information, the ability to access or use such information shall be revoked. [...]
- 4.5 Authorized Persons shall access or use Sensitive Information only for its intended purpose for which it was obtained and maintained by the City of San Diego. An employee or individual authorized to access or use Sensitive Information shall sign an Authorization Acknowledgement Form stating he or she has read, understands, and agrees to abide by this policy.
- 4.7 Violation of this policy, either by unauthorized persons accessing or attempting to access Sensitive Information, or by Authorized Persons accessing or using Sensitive Information for other than its intended purpose or beyond the scope of their duties, may result in disciplinary action, up to and including termination of employment, and also subject the violating individual(s) to personal liability without the option of City legal defense. In the case of contractors or vendors, violation of this policy will be considered a breach of contract and appropriate actions taken on that basis. If deemed necessary, information regarding employee, volunteer, contractor or vendor violation of this policy may be referred to the appropriate agency for any civil and/or criminal action, as applicable.

**Acknowledgement**

By signing below, the above employee acknowledges the he or she has been provided a full copy of A.R. 90.64 ("Protection of Sensitive Information and Data"), which has been discussed with his or her supervisor, and further acknowledges that he or she has read, understands, and agrees to comply with the provisions of the policy. Employee understands that this form will be kept as part of his or her permanent employee file, and that he or she may receive a copy, if requested. The supervisor acknowledges that he or she has discussed the policy with the above employee and understands the supervisor's obligations regarding employee's access to Sensitive Information under this policy.

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Supervisor's Signature

\_\_\_\_\_  
Date Signed

CITY OF SAN DIEGO  
**Sensitive Information Authorization Acknowledgement Form – City Volunteers**

**Authorized Person** (City Volunteer requesting authorized access to Sensitive Information):

|                                                                 |                                |                                       |
|-----------------------------------------------------------------|--------------------------------|---------------------------------------|
| <i>Name (Printed)</i>                                           | <i>Volunteer Assignment</i>    | <i>Network (AD) Login/User ID</i>     |
| <i>City Department / Division (where assigned as volunteer)</i> |                                |                                       |
| <i>Work Location</i>                                            |                                | <i>Contact Phone</i>                  |
| <i>City Supervisor's Name (Printed)</i>                         | <i>City Supervisor's Phone</i> | <i>City Supervisor's Mail Station</i> |

**Policy Summary** (pertinent excerpts from Administrative Regulation 90.64):

- 4.1 Sensitive Information shall be maintained in a confidential manner and access restricted to only employees or individuals properly authorized by his or her Appointing Authority and approved by the Information/Data Owner, based on verified business needs to have access to such information and/or in compliance with specific legal requirements.
- 4.3 Authorization to access or use Sensitive Information shall be based on a functional role (job duties) and not linked directly with a specific individual, such that when an authorized person's job duties no longer require access to or use of Sensitive Information, the ability to access or use such information shall be revoked. At no time shall a contractor's or vendor's access to Sensitive Information extend beyond the termination of the authorizing contract, and such access shall be revoked as soon as the duties requiring access or use have ended, regardless of the end date of the contract.
- 4.5 Authorized Persons shall access or use Sensitive Information only for its intended purpose for which it was obtained and maintained by the City of San Diego. An employee or individual authorized to access or use Sensitive Information shall sign an Authorization Acknowledgement Form stating he or she has read, understands, and agrees to abide by this policy.
- 4.7 Violation of this policy, either by unauthorized persons accessing or attempting to access Sensitive Information, or by Authorized Persons accessing or using Sensitive Information for other than its intended purpose or beyond the scope of their duties, may result in disciplinary action, up to and including termination of employment, and also subject the violating individual(s) to personal liability without the option of City legal defense. In the case of contractors or vendors, violation of this policy will be considered a breach of contract and appropriate actions taken on that basis. If deemed necessary, information regarding employee, volunteer, contractor or vendor violation of this policy may be referred to the appropriate agency for any civil and/or criminal action, as applicable.

**Acknowledgement**

By signing below, the above City Volunteer acknowledges the he or she has been provided a full copy of A.R. 90.64 ("Protection of Sensitive Information and Data"), which has been discussed with the City Supervisor, and further acknowledges that he or she has read, understands, and agrees to comply with the provisions of the policy. City Volunteer understands that this form will be kept on file with the City Department, and that he or she may receive a copy, if requested. The City Supervisor acknowledges that he or she has discussed the policy with the above volunteer and understands the supervisor's obligations regarding the volunteer's access to Sensitive Information under this policy.

\_\_\_\_\_  
Volunteer's Signature

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
City Supervisor's Signature

\_\_\_\_\_  
Date Signed

CITY OF SAN DIEGO  
**Sensitive Information Authorization Acknowledgement Form – City Contractors/Vendors**

**Authorized Person** (City Contractor/Vendor requesting authorized access to Sensitive Information):

|                                               |                                      |                                          |
|-----------------------------------------------|--------------------------------------|------------------------------------------|
| <i>Name (Printed)</i>                         | <i>eMail Address</i>                 | <i>Network (AD) Login/User ID</i>        |
| <i>Company/Organization</i>                   |                                      | <i>Contractor/Vendor Office Phone</i>    |
| <i>City Department (managing contract)</i>    |                                      | <i>Contractor/Vendor Office FAX</i>      |
| <i>City Contract Manager's Name (Printed)</i> | <i>City Contract Manager's Phone</i> | <i>City Contract Manager's Mail Sta.</i> |

**Policy Summary** (pertinent excerpts from City Administrative Regulation 90.64):

4.1 Sensitive Information shall be maintained in a confidential manner and access restricted to only employees or individuals properly authorized by his or her Appointing Authority and approved by the Information/Data Owner, based on verified business needs to have access to such information and/or in compliance with specific legal requirements.

4.3 Authorization to access or use Sensitive Information shall be based on a functional role (job duties) and not linked directly with a specific individual, such that when an authorized person's job duties no longer require access to or use of Sensitive Information, the ability to access or use such information shall be revoked. At no time shall a contractor's or vendor's access to Sensitive Information extend beyond the termination of the authorizing contract, and such access shall be revoked as soon as the duties requiring access or use have ended, regardless of the end date of the contract.

4.5 Authorized Persons shall access or use Sensitive Information only for its intended purpose for which it was obtained and maintained by the City of San Diego. An employee or individual authorized to access or use Sensitive Information shall sign an Authorization Acknowledgement Form stating he or she has read, understands, and agrees to abide by this policy.

4.7 Violation of this policy, either by unauthorized persons accessing or attempting to access Sensitive Information, or by Authorized Persons accessing or using Sensitive Information for other than its intended purpose or beyond the scope of their duties, may result in disciplinary action, up to and including termination of employment, and also subject the violating individual(s) to personal liability without the option of City legal defense. In the case of contractors or vendors, violation of this policy will be considered a breach of contract and appropriate actions taken on that basis. If deemed necessary, information regarding employee, volunteer, contractor or vendor violation of this policy may be referred to the appropriate agency for any civil and/or criminal action, as applicable.

**Acknowledgement**

By signing below, the above City Contractor/Vendor acknowledges that he or she understands that the Terms and Conditions of the underlying City Contract contain the provisions of the full policy stated above, and he or she agrees to comply with such contract provisions. City Contractor/Vendor understands that this form will be kept on file with the underlying contract documents in the City Purchasing & Contracting Department, and that he or she may receive a copy, if requested. The City Contract Manager acknowledges that he or she has discussed the contract Terms and Conditions related to this policy with the above Contractor/Vendor and understands the supervisor's obligations regarding the Contractor's/Vendor's access to the City's Sensitive Information under this policy.

\_\_\_\_\_  
Contractor's/Vendor's Signature

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
City Contract Manager's Signature

\_\_\_\_\_  
Date Signed

# Exhibit H

## Referral File Layout

## Exhibit H - Library Referrals File Layout

The File is a pipe-delimited plaintext file whose first row contains the field names and whose subsequent rows contain data on each library patron who is being referred to collections. Subsequent delinquent referrals will always have the PatronID as the reference field.

| Field Name                             | Field Name Description                                                                                                             | Comments                                                                       |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|
| ReportingOrgName                       | Reporting organization name                                                                                                        |                                                                                |
| PatronID                               | Unique patron account identifier assigned by Polaris Library system. This is not the library card number. Numeric - about 6 digits |                                                                                |
| PatronCode                             | Patron code                                                                                                                        |                                                                                |
| PatronRegisteredBranch                 | Patron registered branch                                                                                                           |                                                                                |
| PatronNameLast                         | Patron's Last name                                                                                                                 |                                                                                |
| PatronNameFirst                        | Patron's First name                                                                                                                |                                                                                |
| PatronNameMiddle                       | Patron's Middle name                                                                                                               |                                                                                |
| Title                                  | Patron's Title                                                                                                                     |                                                                                |
| Suffix                                 | Patron's Suffix                                                                                                                    |                                                                                |
| StreetOne                              | Patron's Street Address: number, street name, unit number                                                                          |                                                                                |
| StreetTwo                              | Patron's Street Address: line two                                                                                                  |                                                                                |
| City                                   | Patron's Address: City name                                                                                                        |                                                                                |
| State                                  | Patron's Address: State postal code                                                                                                |                                                                                |
| PostalCode                             | Patron's ZIP code                                                                                                                  |                                                                                |
| VoicePhone1                            | Patron's Phone number                                                                                                              |                                                                                |
| BirthDat                               | Patron's Date of birth (YYYY/MM/DD)                                                                                                |                                                                                |
| UDF1: ID number                        | CA Driver's License Number                                                                                                         |                                                                                |
| UDF2: Parent/guardian name             | Parent/Guardian Name (First name_Last Name)                                                                                        |                                                                                |
| UDF3: School Name                      | School Name                                                                                                                        |                                                                                |
| UDF4: Receive library newsletter (Y/N) | Recipient of Library                                                                                                               |                                                                                |
| UDF5: SAP Contract Account Number      | SAP Contract Account Number                                                                                                        |                                                                                |
| EarliestTxnDate                        | Most recent billing date (YYYY/MM/DD)                                                                                              |                                                                                |
| TotalReplCharges                       | Total replacement charges                                                                                                          |                                                                                |
| TotalOVDCharge                         | Total overdue charges                                                                                                              |                                                                                |
| TotalOtherCharges                      | Total other charges                                                                                                                |                                                                                |
| CollAgencyCharge                       | Collection agency charge                                                                                                           | Ignore this value since we calculate it is calculated in the Collection System |
| BalanceDueOrg                          | Balance due                                                                                                                        |                                                                                |
| BalanceDueSystem                       | Balance due system                                                                                                                 |                                                                                |
| VoicePhone2                            | Second phone number                                                                                                                |                                                                                |
| VoicePhone3                            | Third phone number                                                                                                                 |                                                                                |
| TotalProcessFee                        | Total processing fees                                                                                                              | Include as part of principal amount                                            |
| PatronEmail                            | Patron's primary email address                                                                                                     |                                                                                |
| PatronAltEmail                         | Patron's alternate email address                                                                                                   |                                                                                |

Exhibit I

Library Update File  
Layout



## Exhibit I - Library Update File Layout

The collections update file follows the same naming convention and formatting as the Referral. This file contains updated information about the balance owed by patrons who had previously been referred in a Referral file. Once a patron's account information has been sent over in the collection "Referral" file, subsequent changes in the amount owed will appear in the "Update" file if changes are made. Once a referred account's payment has been recorded in ILS, and all balance are paid in full, the delinquent account should be taken off. Any new delinquent balance will be submitted in the new referral file.

| Field Name                       | Field Name Description                                                                          | Comments                                                       |
|----------------------------------|-------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| ReportingOrgName                 | Reporting organization name                                                                     |                                                                |
| PatronID                         | Unique patron account identifier. This is not the library card number. Numeric - about 6 digits |                                                                |
| PatronCode                       | Patron code                                                                                     |                                                                |
| PatronRegisteredBranch           | Patron registered branch                                                                        |                                                                |
| PatronNameLast                   | Patron's Last name                                                                              |                                                                |
| PatronNameFirst                  | Patron's First name                                                                             |                                                                |
| PatronNameMiddle                 | Patron's Middle name                                                                            |                                                                |
| Title                            | Patron's Title                                                                                  |                                                                |
| Suffix                           | Patron's Suffix                                                                                 |                                                                |
| CA Driver's License Number       | CA Driver's License Number                                                                      |                                                                |
| Parent/guardian name             | Parent/Guardian Name                                                                            |                                                                |
| School Name                      | School Name                                                                                     |                                                                |
| Receive library newsletter (Y/N) | Recipient of Library                                                                            |                                                                |
| SAP Contract Account Number      | SAP Contract Account Number                                                                     |                                                                |
| RetndMaterial                    | Value of returned material                                                                      | reduction of principal                                         |
| WaivedOtherCharges               | Waived other charges                                                                            | reduction of principal                                         |
| PaidCharges                      | Paid charges                                                                                    | ignore - these are payments received and posted by Collections |
| NewCharges                       | New charges                                                                                     | addition to existing principal                                 |
| BalanceDueOrg                    | Balance due organization                                                                        |                                                                |
| BalanceDueSystem                 | Balance due system (Same as Balance Due Org)                                                    |                                                                |

Exhibit J

Library Payment File  
Layout

## Exhibit J - Library Payment File Layout

This file contains payment information collected on Account that are in collections

[illegible]

**City of San Diego**  
**CONTRACTOR STANDARDS**  
**Pledge of Compliance**

The City of San Diego has adopted a Contractor Standards Ordinance (CSO) codified in section 22.3004 of the San Diego Municipal Code (SDMC). The City of San Diego uses the criteria set forth in the CSO to determine whether a contractor (bidder or proposer) has the capacity to fully perform the contract requirements and the business integrity to justify the award of public funds. This completed Pledge of Compliance signed under penalty of perjury must be submitted with each bid and proposal. If an informal solicitation process is used, the bidder must submit this completed Pledge of Compliance to the City prior to execution of the contract. All responses must be typewritten or printed in ink. If an explanation is requested or additional space is required, Contractors must provide responses on Attachment A to the Pledge of Compliance and sign each page. Failure to submit a signed and completed Pledge of Compliance may render a bid or proposal non-responsive. In the case of an informal solicitation or cooperative procurement, the contract will not be awarded unless a signed and completed Pledge of Compliance is submitted. A submitted Pledge of Compliance is a public record and information contained within will be available for public review except to the extent that such information is exempt from disclosure pursuant to applicable law.

By signing and submitting this form, the contractor is certifying, to the best of their knowledge, that the contractor and any of its Principals have not within a five (5) year period – preceding this offer, been convicted of or had a civil judgement rendered against them for commission of a fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or local) contract or subcontract.

“Principal” means an officer, director, owner, partner or a person having primary management or supervisory responsibilities within the firm. The Contractor shall provide immediate written notice to the Procurement Contracting Officer handling the solicitation, at any time prior to award should they learn that this Representations and Certifications was inaccurate or incomplete.

This form contains 10 pages, additional information may be submitted as part of *Attachment A*.

**A. BID/PROPOSAL/SOLICITATION TITLE:**

City of San Diego Request for Proposal (RFP) for Integrated Library System

Solicitation Number: 10090131-25-D

**B. BIDDER/PROPOSER INFORMATION:**

Innovative Interfaces Incorporated, part of Clarivate

|                                     |                |           |
|-------------------------------------|----------------|-----------|
| Legal Name                          | DBA            |           |
| 789 E. Eisenhower Parkway           | Ann Arbor      | MI 48108  |
| Street Address                      | City           | State Zip |
| Carey Miller, Product Sales Manager | (360) 317-4241 |           |
| Contact Person, Title               | Phone          | Fax       |

Provide the name, identity, and precise nature of the interest\* of all persons who are directly or indirectly involved\*\* in this proposed transaction (SDMC § 21.0103). Use additional pages if necessary.

\* The precise nature of the interest includes:

- the percentage ownership interest in a party to the transaction,
- the percentage ownership interest in any firm, corporation, or partnership that will receive funds from the transaction,
- the value of any financial interest in the transaction,
- any contingent interest in the transaction and the value of such interest should the contingency be satisfied, and
- any philanthropic, scientific, artistic, or property interest in the transaction.

\*\* Directly or indirectly involved means pursuing the transaction by:

- communicating or negotiating with City officers or employees,
- submitting or preparing applications, bids, proposals or other documents for purposes of contracting with the City, or
- directing or supervising the actions of persons engaged in the above activity.

NONE

|                             |                                              |
|-----------------------------|----------------------------------------------|
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |

NONE

|                             |                                              |
|-----------------------------|----------------------------------------------|
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |

NONE

|                             |                                              |
|-----------------------------|----------------------------------------------|
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |

NONE

|                             |                                              |
|-----------------------------|----------------------------------------------|
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |

NONE

|                             |                                              |
|-----------------------------|----------------------------------------------|
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |

NONE

|                             |                                              |
|-----------------------------|----------------------------------------------|
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |

|                             |                                              |
|-----------------------------|----------------------------------------------|
| NONE                        |                                              |
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |
| NONE                        |                                              |
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |
| NONE                        |                                              |
| Name                        | Title/Position                               |
| City and State of Residence | Employer (if different than Bidder/Proposer) |
| Interest in the transaction |                                              |

**C. OWNERSHIP AND NAME CHANGES:**

1. In the past five (5) years, has your firm changed its name?  
☐ Yes ☒ No

If Yes, use Attachment A to list all prior legal and DBA names, addresses, and dates each firm name was used. Explain the specific reasons for each name change.

2. Is your firm a non-profit?  
☐ Yes ☒ No

If Yes, attach proof of status to this submission.

3. In the past five (5) years, has a firm owner, partner, or officer operated a similar business?  
☐ Yes ☒ No

If Yes, use Attachment A to list names and addresses of all businesses and the person who operated the business. Include information about a similar business only if an owner, partner, or officer of your firm holds or has held a similar position in another firm.

**D. BUSINESS ORGANIZATION/STRUCTURE:**

Indicate the organizational structure of your firm. Fill in only one section on this page. Use Attachment A if more space is required.

☒ Corporation Date incorporated: 12/29/1978 State of incorporation: California

List corporation's current officers: President: Director - Eric Blair (appointed July 31, 2024)  
Vice Pres: Director - Michael Easton (appointed July 31, 2024)  
Secretary: Director - John Doulamis (appointed July 31, 2024)  
Treasurer: \_\_\_\_\_

Type of corporation: C ☒ Subchapter S ☐

Is the corporation authorized to do business in California: ☒ Yes ☐ No

If Yes, after what date: 12/29/1978

Is your firm a publicly traded corporation? ☐ Yes ☒ No

If Yes, how and where is the stock traded? \_\_\_\_\_

If Yes, list the name, title and address of those who own ten percent (10 %) or more of the corporation's stocks:

---

---

---

---

Do the President, Vice President, Secretary and/or Treasurer of your corporation have a third party interest or other financial interests in a business/enterprise that performs similar work, services or provides similar goods? ☐ Yes ☒ No

If Yes, please use Attachment A to disclose.

| Please list the following:          | Authorized | Issued | Outstanding |
|-------------------------------------|------------|--------|-------------|
| a. Number of voting shares:         | _____      | _____  | _____       |
| b. Number of nonvoting shares:      | _____      | _____  | _____       |
| c. Number of shareholders:          |            |        | _____       |
| d. Value per share of common stock: |            | Par    | \$ _____    |
|                                     |            | Book   | \$ _____    |
|                                     |            | Market | \$ _____    |

Limited Liability Company Date formed: \_\_\_\_\_ State of formation: \_\_\_\_\_

List the name, title and address of members who own ten percent (10%) or more of the company:

---

---

---

---

☐ Partnership Date formed: \_\_\_\_\_ State of formation: \_\_\_\_\_

List names of all firm partners:

---

---

---

---

☐ Sole Proprietorship Date started: \_\_\_\_\_

List all firms you have been an owner, partner or officer with during the past five (5) years. Do not include ownership of stock in a publicly traded company:

---

---

---

---

☐ Joint Venture Date formed: \_\_\_\_\_

List each firm in the joint venture and its percentage of ownership:

---

---

---

---

**Note:** To be responsive, each member of a Joint Venture or Partnership must complete a separate *Contractor Standards form*.

**E. FINANCIAL RESOURCES AND RESPONSIBILITY:**

1. Is your firm preparing to be sold, in the process of being sold, or in negotiations to be sold?

☐ Yes ☒ No

If Yes, use Attachment A to explain the circumstances, including the buyer's name and principal contact information.

2. In the past five (5) years, has your firm been denied bonding?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances; include bonding company name.

3. In the past five (5) years, has a bonding company made any payments to satisfy claims made against a bond issued on your firm's behalf or a firm where you were the principal?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances.

4. In the past five (5) years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances.

5. Within the last five years, has your firm filed a voluntary petition in bankruptcy, been adjudicated bankrupt, or made a general assignment for the benefit of creditors?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances.

6. Are there any claims, liens or judgements that are outstanding against your firm?

☐ Yes ☒ No

If Yes, please use Attachment A to provide detailed information on the action.

7. Please provide the name of your principal financial institution for financial reference. By submitting a response to this Solicitation Contractor authorizes a release of credit information for verification of financial responsibility.

Name of Bank: Bank of America

Point of Contact: Maiya Davidson, Assistant Vice President; Service Advisor

Address: 900 W. Trade Street, Charlotte, NC 28255-0001

Phone Number: (888) 715-1000 ext. 21369

8. By submitting a response to a City solicitation, Contractor certifies that he or she has sufficient operating capital and/or financial reserves to properly fund the requirements identified in the solicitation. At City's request, Contractor will promptly provide to City



a copy of Contractor's most recent balance sheet and/or other necessary financial statements to substantiate financial ability to perform.

9. In order to do business in the City of San Diego, a current Business Tax Certificate is required. Business Tax Certificates are issued by the City Treasurer's Office. If you do not have one at the time of submission, one must be obtained prior to award.

Business Tax Certificate No.: **B2012021461** Year Issued: **2012**

F. PERFORMANCE HISTORY:

1. In the past five (5) years, has your firm been found civilly liable, either in a court of law or pursuant to the terms of a settlement agreement, for defaulting or breaching a contract with a government agency?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances.

2. In the past five (5) years, has a public entity terminated your firm's contract for cause prior to contract completion?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances and provide principal contact information.

3. In the past five (5) years, has your firm entered into any settlement agreement for any lawsuit that alleged contract default, breach of contract, or fraud with or against a public entity?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances.

4. Is your firm currently involved in any lawsuit with a government agency in which it is alleged that your firm has defaulted on a contract, breached a contract, or committed fraud?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances.

5. In the past five (5) years, has your firm, or any firm with which any of your firm's owners, partners, or officers is or was associated, been debarred, disqualified, removed, or otherwise prevented from bidding on or completing any government or public agency contract for any reason?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances.

6. In the past five (5) years, has your firm received a notice to cure or a notice of default on a contract with any public agency?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances and how the matter resolved.

7. Performance References:

Please provide a minimum of three (3) references familiar with work performed by your firm which was of a similar size and nature to the subject solicitation within the last five (5) years.

Please note that any references required as part of your bid/proposal submittal are in addition to those references required as part of this form.

Company Name: **Allen County Public Library**

Contact Name and Phone Number: Kim Bolan (260) 421-1301  
Contact Email: kbolan@acpl.info  
Address: 900 Library Plaza, Fort Wayne, IN 46802  
Contract Date: January 1, 2023  
Contract Amount: \_\_\_\_\_  
Requirements of Contract: Contract amount is confidential - implementation of Polaris, Vega Discover, Vega WebBuilder, Innovative Mobile

Company Name: STELLA (Sharing and Tech Enhancing Local Library Access)  
Contact Name and Phone Number: Eric Lozauskus (732) 750-2525  
Contact Email: eric@stellanj.org  
Address: 27 Mayfield Avenue, Edison, NY 08837  
Contract Date: December 1, 2023  
Contract Amount: \_\_\_\_\_  
Requirements of Contract: Contract amount is confidential - implementation of Polaris, Vega Discover, Innovative Mobile

Company Name: Solano County Library  
Contact Name and Phone Number: Suzanne Olawski (866) 572-7857  
Contact Email: seolawski@solanocounty.com  
Address: 1150 Kentucky Street, Fairfield, CA 94533  
Contract Date: March 1, 2022  
Contract Amount: \_\_\_\_\_  
Requirements of Contract: Contract amount is confidential - implementation of Polaris, Vega Discover

**G. COMPLIANCE:**

1. In the past five (5) years, has your firm or any firm owner, partner, officer, executive, or manager been criminally penalized or found civilly liable, either in a court of law or pursuant to the terms of a settlement agreement, for violating any federal, state, or local law in performance of a contract, including but not limited to, laws regarding health and safety, labor and employment, permitting, and licensing laws?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances surrounding each instance. Include the name of the entity involved, the specific infraction(s) or violation(s), dates of instances, and outcome with current status.

2. In the past five (5) years, has your firm been determined to be non-responsible by a public entity?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances of each instance. Include the name of the entity involved, the specific infraction, dates, and outcome.

#### H. BUSINESS INTEGRITY:

1. In the past five (5) years, has your firm been convicted of or found liable in a civil suit for making a false claim or material misrepresentation to a private or public entity?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances of each instance. Include the entity involved, specific violation(s), dates, outcome and current status.

2. In the past five (5) years, has your firm or any of its executives, management personnel, or owners been convicted of a crime, including misdemeanors, or been found liable in a civil suit involving the bidding, awarding, or performance of a government contract?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances of each instance; include the entity involved, specific infraction(s), dates, outcome and current status.

3. In the past five (5) years, has your firm or any of its executives, management personnel, or owners been convicted of a federal, state, or local crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☒ No

If Yes, use Attachment A to explain specific circumstances of each instance; include the entity involved, specific infraction(s), dates, outcome and current status.

4. Do any of the Principals of your firm have relatives that are either currently employed by the City or were employed by the City in the past five (5) years?

☐ Yes ☐ No

If Yes, please disclose the names of those relatives in Attachment A.

#### I. BUSINESS REPRESENTATION:

1. Are you a local business with a physical address within the County of San Diego?

☐ Yes ☒ No

2. Are you a certified Small and Local Business Enterprise certified by the City of San Diego?

☐ Yes ☒ No

Certification # \_\_\_\_\_

3. Are you certified as any of the following:

- a. Disabled Veteran Business Enterprise Certification # \_\_\_\_\_
- b. Woman or Minority Owned Business Enterprise Certification # \_\_\_\_\_
- c. Disadvantaged Business Enterprise Certification # \_\_\_\_\_

#### J. WAGE COMPLIANCE:

In the past five (5) years, has your firm been required to pay back wages or penalties for failure to comply with the federal, state or local prevailing, minimum, or living wage laws? ☐ Yes ☒ No If Yes, use Attachment A to explain the specific circumstances of each instance. Include the entity involved, the specific infraction(s), dates, outcome, and current status.

By signing this Pledge of Compliance, your firm is certifying to the City that you will comply with the requirements of the Equal Pay Ordinance set forth in SDMC sections 22.4801 through 22.4809.

**K. STATEMENT OF SUBCONTRACTORS & SUPPLIERS:**

Please provide the names and information for all subcontractors and suppliers used in the performance of the proposed contract, and what portion of work will be assigned to each subcontractor. Subcontractors may not be substituted without the written consent of the City. Use Attachment A if additional pages are necessary. If no subcontractors or suppliers will be used, please write "Not Applicable."

Company Name: Not applicable

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Contractor License No.: \_\_\_\_\_ DIR Registration No.: \_\_\_\_\_

Sub-Contract Dollar Amount: \$ \_\_\_\_\_ (per year) \$ \_\_\_\_\_ (total contract term)

Scope of work subcontractor will perform: \_\_\_\_\_

Identify whether company is a subcontractor or supplier: \_\_\_\_\_

Certification type (check all that apply): ☐DBE ☐DVBE ☐ELBE ☐MBE ☐SLBE ☐WBE ☐Not Certified

Contractor must provide valid proof of certification with the response to the bid or proposal to receive participation credit.

Company Name: Not applicable

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Contractor License No.: \_\_\_\_\_ DIR Registration No.: \_\_\_\_\_

Sub-Contract Dollar Amount: \$ \_\_\_\_\_ (per year) \$ \_\_\_\_\_ (total contract term)

Scope of work subcontractor will perform: \_\_\_\_\_

Identify whether company is a subcontractor or supplier: \_\_\_\_\_

Certification type (check all that apply): ☐DBE ☐DVBE ☐ELBE ☐MBE ☐SLBE ☐WBE ☐Not Certified

Contractor must provide valid proof of certification with the response to the bid or proposal to receive participation credit.

**L. STATEMENT OF AVAILABLE EQUIPMENT:**

A full inventoried list of all necessary equipment to complete the work specified may be a requirement of the bid/proposal submission.

By signing and submitting this form, the Contractor certifies that all required equipment included in this bid or proposal will be made available one week (7 days) before work shall commence. In instances where the required equipment is not owned by the Contractor, Contractor shall explain how the equipment will be made available before the commencement of work. The City of San

Diego reserves the right to reject any response, in its opinion, if the Contractor has not demonstrated he or she will be properly equipped to perform the work in an efficient, effective matter for the duration of the contract period.

M. TYPE OF SUBMISSION: This document is submitted as:

- ☒ Initial submission of *Contractor Standards Pledge of Compliance*
- ☐ Initial submission of *Contractor Standards Pledge of Compliance* as part of a Cooperative agreement
- ☐ Initial submission of *Contractor Standards Pledge of Compliance* as part of a Sole Source agreement
- ☐ Update of prior *Contractor Standards Pledge of Compliance* dated \_\_\_\_\_.

**Complete all questions and sign below.**

Under penalty of perjury under the laws of the State of California, I certify that I have read and understand the questions contained in this Pledge of Compliance, that I am responsible for completeness and accuracy of the responses contained herein, and that all information provided is true, full and complete to the best of my knowledge and belief. I agree to provide written notice to the Purchasing Agent within five (5) business days if, at any time, I learn that any portion of this Pledge of Compliance is inaccurate! Failure to timely provide the Purchasing Agent with written notice is grounds for Contract termination.

I, on behalf of the firm, further certify that I and my firm will comply with the following provisions of SDMC section 22.3004:

(a) I and my firm will comply with all applicable local, State and Federal laws, including health and safety, labor and employment, and licensing laws that affect the employees, worksite or performance of the contract.

(b) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of receiving notice that a government agency has begun an investigation of me or my firm that may result in a finding that I or my firm is or was not in compliance with laws stated in paragraph (a).

(c) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of a finding by a government agency or court of competent jurisdiction of a violation by the Contractor of laws stated in paragraph (a).

(d) I and my firm will notify the Purchasing Agent in writing within fifteen (15) calendar days of becoming aware of an investigation or finding by a government agency or court of competent jurisdiction of a violation by a subcontractor of laws stated in paragraph (a).

(e) I and my firm will cooperate fully with the City during any investigation and to respond to a request for information within ten (10) working days.

**Failure to sign and submit this form with the bid/proposal shall make the bid/proposal non-responsive. In the case of an informal solicitation, the contract will not be awarded unless a signed and completed *Pledge of Compliance* is submitted.**

Tom Jacobson, VP, Product Management



January 15, 2025

Name and Title

Signature

Date

**City of San Diego**  
**CONTRACTOR STANDARDS**  
**Attachment "A"**

Provide additional information in space below. Use additional Attachment "A" pages as needed. Each page must be signed.  
Print in ink or type responses and indicate question being answered.

I have read the matters and statements made in this Contractor Standards Pledge of Compliance and attachments thereto and I know the same to be true of my own knowledge, except as to those matters stated upon information or belief and as to such matters, I believe the same to be true. I certify under penalty of perjury that the foregoing is true and correct.

Tom Jacobson, VP, Product Management



Jan 15, 2025

Print Name, Title

Signature

Date

# Contractor Standards Pledge of Compliance signature pages

Final Audit Report

2025-01-15

|                 |                                              |
|-----------------|----------------------------------------------|
| Created:        | 2025-01-15                                   |
| By:             | Brian O'Connor (brian.oconnor@clarivate.com) |
| Status:         | Signed                                       |
| Transaction ID: | CBJCHBCAABAA63O4Z1BUC9h-wRhJ3yvOR2ggYc4dGSAw |

## "Contractor Standards Pledge of Compliance signature pages" History

-  Document created by Brian O'Connor (brian.oconnor@clarivate.com)  
2025-01-15 - 10:34:58 AM GMT
-  Document emailed to tom.jacobson@clarivate.com for signature  
2025-01-15 - 10:35:34 AM GMT
-  Email viewed by tom.jacobson@clarivate.com  
2025-01-15 - 11:25:10 AM GMT
-  Signer tom.jacobson@clarivate.com entered name at signing as Thomas L. Jacobson  
2025-01-15 - 11:25:49 AM GMT
-  Document e-signed by Thomas L. Jacobson (tom.jacobson@clarivate.com)  
Signature Date: 2025-01-15 - 11:25:51 AM GMT - Time Source: server
-  Agreement completed.  
2025-01-15 - 11:25:51 AM GMT



## EQUAL OPPORTUNITY CONTRACTING PROGRAM (EOCP)

### GOODS AND SERVICES CONTRACTOR REQUIREMENTS

#### I. City's Equal Opportunity Contracting Commitment.

The City of San Diego (City) promotes equal employment and subcontracting opportunities. The City is committed to ensuring that taxpayer dollars spent on public contracts are not paid to businesses that practice discrimination in employment or subcontracting. The City encourages all companies seeking to do business with the City to share this commitment. Contractors are encouraged to take positive steps to diversify and expand their subcontractor and supplier solicitation base and to offer opportunities to all eligible business firms.

***Contractors must submit the required EOCP documentation indicated below with their proposals. Contractors who fail to provide the required EOCP documentation are considered non-responsive.***

#### II. Definitions.

**Commercially Useful Function:** a Small Local Business Enterprise or Emerging Local Business Enterprise (SLBE/ELBE) performs a commercially useful function when it is responsible for execution of the work and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the SLBE/ELBE shall also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quantity and quality, ordering the material, and installing (where applicable) and paying for the material itself.

To determine whether an SLBE/ELBE is performing a commercially useful function, an evaluation will be performed of the amount of work subcontracted, normal industry practices, whether the amount the SLBE/ELBE firm is to be paid under the contract is commensurate with the work it is actually performing and the SLBE/ELBE credit claimed for its performance of the work, and other relevant factors. Specifically, an SLBE/ELBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of meaningful and useful SLBE/ELBE participation, when in similar transactions in which SLBE/ELBE firms do not participate, there is no such role performed.

**Disadvantaged Business Enterprise (DBE):** a certified business that is (1) at least fifty-one (51%) owned by socially and economically Disadvantaged Individuals, or, in the case of a publicly owned business at least fifty-one percent (51%) of the stock is owned by one or more socially and economically Disadvantaged Individuals; and (2) whose daily business operations are managed and directed by one or more socially and economically disadvantaged owners. Disadvantaged Individuals include Black Americans, Hispanic Americans, Asian Americans, and other minorities, or individual found to be disadvantaged by the Small Business Administration pursuant to Section 8 of the Small Business Reauthorization Act.

**Disabled Veteran Business Enterprise (DVBE):** a certified business that is (1) at least fifty-one percent (51%) owned by one or more Disabled Veterans; and (2) business operations must be managed and controlled by one or more Disabled Veterans. A Disabled Veteran is a veteran of the U.S. military, naval, or air service who resides in California and has a service-connected disability of at least 10% or more. The firm shall be certified by the State of California's Department of General Services, Office of Small and Minority Business.

**Emerging Business Enterprise (EBE):** a business whose gross annual receipts do not exceed the amount set by the City Manager, and which meets all other criteria set forth in the regulations implementing the City's Small and Local Business Preference Program. The City Manager shall review the threshold amount for EBEs on an annual basis, and adjust as necessary to reflect changes in the marketplace.

**Emerging Local Business Enterprise (ELBE):** a Local Business Enterprise that is also an Emerging Business Enterprise.

**Local Business Enterprise (LBE):** a business that has both a principal place of business and a significant employment presence in the County of San Diego, and that has been in operation for twelve (12) consecutive months.

**Minority Business Enterprise (MBE):** a certified business that is (1) at least fifty-one percent (51%) owned by one or more minority individuals, or, in the case of a publicly owned business at least fifty-one percent (51%) of the stock is owned by one or more minority individuals; and (2) whose daily business operations are managed and directed by one or more minorities owners. Minorities include the groups with the following ethnic origins: African, Asian Pacific, Asian Subcontinent, Hispanic, Native Alaskan, Native American, and Native Hawaiian.

**Other Business Enterprise (OBE):** any business which does not otherwise qualify as Minority, Woman, Disadvantaged, or Disabled Veteran Business Enterprise.

**Principal Place of Business:** a location wherein a business maintains a physical office and through which it obtains no less than fifty percent (50%) of gross annual receipts.

**Significant Employee Presence:** no less than twenty-five percent (25%) of a business's total number of employees.

**Small Business Enterprise (SBE):** a business whose gross annual receipts do not exceed the amount set by the City Manager, and that meets all other criteria set forth in regulations implementing the City's Small and Local Business Preference Program. The City Manager shall review the threshold amount for SBEs on an annual basis, and adjust as necessary to reflect changes in the marketplace. A business certified as a DVBE by the State of California, and that has provided proof of such certification to the City manager, shall be deemed to be an SBE.

**Small Local Business Enterprise (SLBE):** a Local Business Enterprise that is also a Small Business Enterprise.

**Women Business Enterprise (WBE):** a certified business that is (1) at least fifty-one percent (51 %) owned by a woman or women, or, in the case of a publicly owned business at least fifty-one percent (51%) of the stock is owned by one or more women; and (2) whose daily business operations are managed and directed by one or more women owners.

### **III. Disclosure of Discrimination Complaints.**

As part of its proposal, Contractor shall provide to the City a list of all instances within the past ten (10) years where a complaint was filed or pending against Contractor in a legal or administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors, or suppliers, and a description of the status or resolution of that complaint, including any remedial action taken. (Attachment AA).

### **IV. Work Force Report and Equal Opportunity Outreach Plan.**

- A. Work Force Report. Contractors shall submit with their proposal a Work Force Report (WFR) for approval by the City. (Attachment BB). If the City determines that there are under representations when compared to County Labor Force Availability data, then the Contractor will also be required to submit an Equal Employment Opportunity Plan (EEOP) to the City for approval. Questions regarding the WFR should be directed to the Equal Opportunity Contracting Department.
- B. Duty to Comply with Equal Opportunity Outreach Plan. A Contractor for whom an EEOP has been approved by the City shall use best efforts to comply with that EEOP.

### **V. Small and Local Business Program Requirements.**

The City has adopted a Small and Local Business Enterprise program for goods, services, and consultant contracts. The SLBE requirements are set forth in Council Policy 100-10. For contracts in which the Purchasing Agent is required to advertise for sealed proposals in the City's official newspaper or consultant contracts valued over \$50,000, the City shall:

- A. Apply a maximum of an additional 12% of the total possible evaluation points to the Contractor's final score for SLBE or ELBE participation. Additional points will be awarded as follows:
  - a. If the Contractor achieves 20% participation, apply 5% of the total possible evaluation points to the Contractor's score; or
  - b. If the Contractor achieves 25% participation, apply 10% of the total possible evaluation points to the Contractor's score; or
  - c. If the prime contractor is a SLBE or an ELBE, apply 12% of the total possible evaluation points to the Contractor's score.

## **VI. Maintaining Participation Levels.**

- A. Additional points are based on the Contractor's level of participation proposed prior to the award of the goods, services, or consultant contract. Contractors are required to achieve and maintain the SLBE or ELBE participation levels throughout the duration of the goods, services, or consultant contract.
- B. If the City modifies the original specifications, the Contractor shall make reasonable efforts to maintain the SLBE or ELBE participation for which the additional points were awarded. The City must approve in writing a reduction in SLBE or ELBE participation levels.
- C. Contractor shall notify and obtain written approval from the City in advance of any reduction in subcontract scope, termination, or substitution for a designated SLBE or ELBE subcontractor.
- D. Contractor's failure to maintain SLBE or ELBE participation levels as specified in the goods, services, or consultant contract shall constitute a default and grounds for debarment under Chapter 2, Article 2, Division 8, of the San Diego Municipal Code.
- E. The remedies available to the City under Council Policy 100-10 are cumulative to all other rights and remedies available to the City.

## **VII. Certifications.**

The City accepts certifications of MBE, WBE, DBE, or DVBE from the following certifying agencies:

- A. Current certification by the State of California Department of Transportation (CALTRANS) as DBE.
- B. Current MBE or WBE certification from the California Public Utilities Commission.
- C. DVBE certification is received from the State of California's Department of General Services, Office of Small and Minority Business.
- D. Current certification by the City of Los Angeles as DBE, WBE, or MBE.

Subcontractors' valid proof of certification status e.g., copy of MBE, WBE, DBE, or DVBE certification must be submitted with the proposal or contract documents. MBE, WBE, DBE, or DVBE certifications are listed for informational purposes only.

## **VIII. List of Attachments.**

- AA. Contractors Certification of Pending Actions
- BB. Work Force Report

## AA. CONTRACTORS CERTIFICATION OF PENDING ACTIONS

As part of this Contract, the Contractor must provide to the City a list of all instances within the past 10 years where a complaint was filed or pending against the Contractor in a legal or administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors or suppliers, and a description of the status or resolution of that complaint, including any remedial action taken.

### CHECK ONE BOX ONLY.

- ☒ The undersigned certifies that within the past 10 years the Contractor has NOT been the subject of a complaint or pending action in a legal administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors or suppliers.
- ☐ The undersigned certifies that within the past 10 years the Contractor has been the subject of a complaint or pending action in a legal administrative proceeding alleging that Contractor discriminated against its employees, subcontractors, vendors or suppliers. A description of the status or resolution of that complaint, including any remedial action taken and the applicable dates is as follows:

| DATE OF CLAIM | LOCATION | DESCRIPTION OF CLAIM | LITIGATION (Y/N) | STATUS | RESOLUTION/ REMEDIAL ACTION TAKEN |
|---------------|----------|----------------------|------------------|--------|-----------------------------------|
|               |          |                      |                  |        |                                   |
|               |          |                      |                  |        |                                   |
|               |          |                      |                  |        |                                   |
|               |          |                      |                  |        |                                   |
|               |          |                      |                  |        |                                   |

Contractor Name: Innovative Interfaces Incorporated

Certified By Stephanie Roberts Title Vice President, Talent & Employment

DocuSigned by:  
  
C3B7243964054D5...

Name \_\_\_\_\_  
Signature \_\_\_\_\_

Date January 9, 2025 | 3:23:10 PM EST

## EQUAL OPPORTUNITY CONTRACTING (EOC)

1200 Third Avenue, Suite 200 • San Diego, CA 92101

Phone: (619) 236-6000 • Fax: (619) 236-5904

### BB. WORK FORCE REPORT

The objective of the *Equal Employment Opportunity Outreach Program*, San Diego Municipal Code Sections 22.3501 through 22.3517, is to ensure that contractors doing business with the City, or receiving funds from the City, do not engage in unlawful discriminatory employment practices prohibited by State and Federal law. Such employment practices include, but are not limited to unlawful discrimination in the following: employment, promotion or upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rate of pay or other forms of compensation, and selection for training, including apprenticeship. Contractors are required to provide a completed *Work Force Report (WFR)*.

#### NO OTHER FORMS WILL BE ACCEPTED CONTRACTOR IDENTIFICATION

Type of Contractor: ☐ Construction ☒ Vendor/Supplier ☐ Financial Institution ☐ Lessee/Lessor  
☐ Consultant ☐ Grant Recipient ☐ Insurance Company ☐ Other

Name of Company: Innovative Interfaces Incorporated

ADA/DBA: \_\_\_\_\_

Address (Corporate Headquarters, where applicable): 789 E. Eisenhower Parkway

City: Ann Arbor County: Washtenaw County State: MI Zip: 48108

Telephone Number: 510-655-6200

Fax Number: \_\_\_\_\_

Name of Company CEO: Matti Shem Tov

Address(es), phone and fax number(s) of company facilities located in San Diego County (if different from above):

Address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_ Email: \_\_\_\_\_

Type of Business: \_\_\_\_\_ Type of License: \_\_\_\_\_

The Company has appointed: \_\_\_\_\_

As its Equal Employment Opportunity Officer (EEOO). The EEOO has been given authority to establish, disseminate and enforce equal employment and affirmative action policies of this company. The EEOO may be contacted at:

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_ Email: \_\_\_\_\_

- ☐ One San Diego County (or Most Local County) Work Force - Mandatory  
☐ Branch Work Force \*  
☐ Managing Office Work Force

Check the box above that applies to this WFR.

\*Submit a separate Work Force Report for all participating branches. Combine WFRs if more than one branch per county.

I, the undersigned representative of Innovative Interfaces Incorporated

(Firm Name)

Washtenaw County, Michigan hereby certify that information provided

(County)

(State)

herein is true and correct. This document was executed on this 9th day of January, 2018

Stephanie Roberts

Stephanie Roberts

C3B7213961054D5

(Authorized Signature)

(Print Authorized Signature Name)

**WORK FORCE REPORT – Page 2**NAME OF FIRM: Innovative Interfaces IncorporatedDATE: 01/03/2025OFFICE(S) or BRANCH(ES): 789 E. Eisenhower Parkway, Ann Arbor MI 48108COUNTY: Washtenaw County

INSTRUCTIONS: For each occupational category, indicate number of males and females in every ethnic group. Total columns in row provided. Sum of all totals should be equal to your total work force. Include all those employed by your company on either a full or part-time basis. The following groups are to be included in ethnic categories listed in columns below:

- |                                      |                                                         |
|--------------------------------------|---------------------------------------------------------|
| (1) Black or African-American        | (5) Native Hawaiian or Pacific Islander                 |
| (2) Hispanic or Latino               | (6) White                                               |
| (3) Asian                            | (7) Other race/ethnicity; not falling into other groups |
| (4) American Indian or Alaska Native |                                                         |

Definitions of the race and ethnicity categories can be found on Page 4

| ADMINISTRATION<br>OCCUPATIONAL CATEGORY | (1)<br>Black or<br>African<br>American |     | (2)<br>Hispanic or<br>Latino |     | (3)<br>Asian |     | (4)<br>American<br>Indian/ Nat.<br>Alaskan |     | (5)<br>Pacific<br>Islander |     | (6)<br>White |     | (7)<br>Other Race/<br>Ethnicity |     |
|-----------------------------------------|----------------------------------------|-----|------------------------------|-----|--------------|-----|--------------------------------------------|-----|----------------------------|-----|--------------|-----|---------------------------------|-----|
|                                         | (M)                                    | (F) | (M)                          | (F) | (M)          | (F) | (M)                                        | (F) | (M)                        | (F) | (M)          | (F) | (M)                             | (F) |
| Management & Financial                  | 1                                      | 0   | 0                            | 0   | 2            | 0   | 0                                          | 0   | 0                          | 0   | 18           | 16  | 1                               | 0   |
| Professional                            | 5                                      | 4   | 0                            | 1   | 6            | 17  | 0                                          | 0   | 3                          | 0   | 56           | 49  | 1                               | 4   |
| A&E, Science, Computer                  | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Technical                               | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Sales                                   | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 3            | 7   | 0                               | 0   |
| Administrative Support                  | 1                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Services                                | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Crafts                                  | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Operative Workers                       | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Transportation                          | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Laborers*                               | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                          | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |

\*Construction laborers and other field employees are not to be included on this page

|                    |   |   |   |   |   |    |   |   |   |   |    |    |   |   |
|--------------------|---|---|---|---|---|----|---|---|---|---|----|----|---|---|
| Totals Each Column | 7 | 4 | 0 | 1 | 8 | 17 | 0 | 0 | 3 | 0 | 77 | 72 | 2 | 4 |
|--------------------|---|---|---|---|---|----|---|---|---|---|----|----|---|---|

**Grand Total All Employees**

**195**

Indicate by Gender and Ethnicity the Number of Above Employees Who Are Disabled:

|          |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|----------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Disabled | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2 | 4 | 0 | 1 |
|----------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

Non-Profit Organizations Only:

|                    |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|--------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Board of Directors |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Volunteers         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Artists            |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**WORK FORCE REPORT – Page 3**NAME OF FIRM: Innovative Interfaces IncorporatedDATE: 01/03/2025OFFICE(S) or BRANCH(ES): 789 E. Eisenhower Parkway, Ann Arbor MI 48108COUNTY: Washtenaw County

INSTRUCTIONS: For each occupational category, indicate number of males and females in every ethnic group. Total columns in row provided. Sum of all totals should be equal to your total work force. Include all those employed by your company on either a full or part-time basis. The following groups are to be included in ethnic categories listed in columns below:

- |                                      |                                                         |
|--------------------------------------|---------------------------------------------------------|
| (1) Black or African-American        | (5) Native Hawaiian or Pacific Islander                 |
| (2) Hispanic or Latino               | (6) White                                               |
| (3) Asian                            | (7) Other race/ethnicity; not falling into other groups |
| (4) American Indian or Alaska Native |                                                         |

Definitions of the race and ethnicity categories can be found on Page 4

| TRADE<br>OCCUPATIONAL CATEGORY                | (1)<br>Black or<br>African<br>American |     | (2)<br>Hispanic<br>or Latino |     | (3)<br>Asian |     | (4)<br>American<br>Indian/<br>Nat.<br>Alaskan |     | (5)<br>Pacific<br>Islander |     | (6)<br>White |     | (7)<br>Other Race/<br>Ethnicity |     |
|-----------------------------------------------|----------------------------------------|-----|------------------------------|-----|--------------|-----|-----------------------------------------------|-----|----------------------------|-----|--------------|-----|---------------------------------|-----|
|                                               | (M)                                    | (F) | (M)                          | (F) | (M)          | (F) | (M)                                           | (F) | (M)                        | (F) | (M)          | (F) | (M)                             | (F) |
| Brick, Block or Stone Masons                  | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Carpenters                                    | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Carpet, Floor & Tile Installers<br>Finishers  | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Cement Masons, Concrete Finishers             | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Construction Laborers                         | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Drywall Installers, Ceiling Tile Inst         | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Electricians                                  | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Elevator Installers                           | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| First-Line Supervisors/Managers               | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Glaziers                                      | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Helpers; Construction Trade                   | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Millwrights                                   | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Misc. Const. Equipment Operators              | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Painters, Const. & Maintenance                | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Pipelayers, Plumbers, Pipe & Steam<br>Fitters | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Plasterers & Stucco Masons                    | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Roofers                                       | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Security Guards & Surveillance<br>Officers    | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Sheet Metal Workers                           | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Structural Metal Fabricators &<br>Fitters     | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Welding, Soldering & Brazing<br>Workers       | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |
| Workers, Extractive Crafts, Miners            | 0                                      | 0   | 0                            | 0   | 0            | 0   | 0                                             | 0   | 0                          | 0   | 0            | 0   | 0                               | 0   |

|                    |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|--------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Totals Each Column | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|--------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

|                                  |   |
|----------------------------------|---|
| <b>Grand Total All Employees</b> | 0 |
|----------------------------------|---|

Indicate By Gender and Ethnicity the Number of Above Employees Who Are Disabled:

|          |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|----------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Disabled | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|----------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|



## Work Force Report

### HISTORY

The Work Force Report (WFR) is the document that allows the City of San Diego to analyze the work forces of all firms wishing to do business with the City. We are able to compare the firm's work force data to County Labor Force Availability (CLFA) data derived from the United States Census. CLFA data is a compilation of lists of occupations and includes the percentage of each ethnicity we track (American Indian or Alaska Native, Asian, Black or African-American, Native Hawaiian or Pacific Islander, White, and Other) for each occupation. Currently, our CLFA data is taken from the 2010 Census. In order to compare one firm to another, it is important that the data we receive from the consultant firm is accurate and organized in the manner that allows for this fair comparison.

### WORK FORCE & BRANCH WORK FORCE REPORTS

When submitting a WFR, especially if the WFR is for a specific project or activity, we would like to have information about the firm's work force that is actually participating in the project or activity. That is, if the project is in San Diego and the work force is from San Diego, we want a San Diego County Work Force Report<sup>1</sup>. By the same token, if the project is in San Diego, but the work force is from another county, such as Orange or Riverside County, we want a Work Force Report from that county<sup>2</sup>. If participation in a San Diego project is by work forces from San Diego County and, for example, from Los Angeles County and from Sacramento County, we ask for separate Work Force Reports representing your firm from each of the three counties.

### MANAGING OFFICE WORK FORCE

Equal Opportunity Contracting may occasionally ask for a Managing Office Work Force (MOWF) Report. This may occur in an instance where the firm involved is a large national or international firm but the San Diego or other local work force is very small. In this case, we may ask for both a local and a MOWF Report<sup>1, 3</sup>. In another case, when work is done only by the Managing Office, only the MOWF Report may be necessary.<sup>3</sup>

### TYPES OF WORK FORCE REPORTS:

Please note, throughout the preceding text of this page, the superscript numbers one <sup>1</sup>, two <sup>2</sup> & three <sup>3</sup>. These numbers coincide with the types of work force report required in the example. See below:

- <sup>1</sup> One San Diego County (or Most Local County) Work Force – Mandatory in most cases
- <sup>2</sup> Branch Work Force \*
- <sup>3</sup> Managing Office Work Force

*\*Submit a separate Work Force Report for all participating branches. Combine WFRs if more than one branch per county.*

### RACE/ETHNICITY CATEGORIES

**American Indian or Alaska Native** – A person having origins in any of the peoples of North and South America (including Central America) and who maintains tribal affiliation or community attachment.

**Asian** – A person having origins in any of the peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

**Black or African American** – A person having origins in any of the Black racial groups of Africa.

**Native Hawaiian or Pacific Islander** – A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

**White** – A person having origins in any of the peoples of Europe, the Middle East, or North Africa.

**Hispanic or Latino** – A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin.

---

## Exhibit A: Work Force Report Job Categories – Administration

Refer to this table when completing your firm's Work Force Report form(s).

### Management & Financial

Advertising, Marketing, Promotions, Public Relations, and Sales Managers  
Business Operations Specialists  
Financial Specialists  
Operations Specialties Managers  
Other Management Occupations  
Top Executives

### Professional

Art and Design Workers  
Counselors, Social Workers, and Other Community and Social Service Specialists  
Entertainers and Performers, Sports and Related Workers  
Health Diagnosing and Treating Practitioners  
Lawyers, Judges, and Related Workers  
Librarians, Curators, and Archivists  
Life Scientists  
Media and Communication Workers  
Other Teachers and Instructors  
Postsecondary Teachers  
Primary, Secondary, and Special Education School Teachers  
Religious Workers  
Social Scientists and Related Workers

### Architecture & Engineering, Science, Computer

Architects, Surveyors, and Cartographers  
Computer Specialists  
Engineers  
Mathematical Science Occupations  
Physical Scientists

### Technical

Drafters, Engineering, and Mapping Technicians  
Health Technologists and Technicians  
Life, Physical, and Social Science Technicians  
Media and Communication Equipment Workers

### Sales

Other Sales and Related Workers  
Retail Sales Workers  
Sales Representatives, Services  
Sales Representatives, Wholesale and Manufacturing  
Supervisors, Sales Workers

### Administrative Support

Financial Clerks  
Information and Record Clerks  
Legal Support Workers

Material Recording, Scheduling, Dispatching, and Distributing Workers  
Other Education, Training, and Library Occupations  
Other Office and Administrative Support Workers  
Secretaries and Administrative Assistants  
Supervisors, Office and Administrative Support Workers

### Services

Building Cleaning and Pest Control Workers  
Cooks and Food Preparation Workers  
Entertainment Attendants and Related Workers  
Fire Fighting and Prevention Workers  
First-Line Supervisors/Managers, Protective Service Workers  
Food and Beverage Serving Workers  
Funeral Service Workers  
Law Enforcement Workers  
Nursing, Psychiatric, and Home Health Aides  
Occupational and Physical Therapist Assistants and Aides  
Other Food Preparation and Serving Related Workers  
Other Healthcare Support Occupations  
Other Personal Care and Service Workers  
Other Protective Service Workers  
Personal Appearance Workers  
Supervisors, Food Preparation and Serving Workers  
Supervisors, Personal Care and Service Workers  
Transportation, Tourism, and Lodging Attendants

### Crafts

Construction Trades Workers  
Electrical and Electronic Equipment Mechanics, Installers, and Repairers  
Extraction Workers  
Material Moving Workers  
Other Construction and Related Workers  
Other Installation, Maintenance, and Repair Occupations  
Plant and System Operators  
Supervisors of Installation, Maintenance, and Repair Workers  
Supervisors, Construction and Extraction Workers  
Vehicle and Mobile Equipment Mechanics,

Installers, and Repairers  
Woodworkers

**Operative Workers**

Assemblers and Fabricators  
Communications Equipment Operators  
Food Processing Workers  
Metal Workers and Plastic Workers  
Motor Vehicle Operators  
Other Production Occupations  
Printing Workers  
Supervisors, Production Workers  
Textile, Apparel, and Furnishings Workers

**Transportation**

Air Transportation Workers  
Other Transportation Workers  
Rail Transportation Workers  
Supervisors, Transportation and Material  
Moving Workers  
Water Transportation Workers

**Laborers**

Agricultural Workers  
Animal Care and Service Workers  
Fishing and Hunting Workers  
Forest, Conservation, and Logging Workers  
Grounds Maintenance Workers  
Helpers, Construction Trades  
Supervisors, Building and Grounds Cleaning  
and Maintenance Workers  
Supervisors, Farming, Fishing, and Forestry  
Workers

**Exhibit B: Work Force Report Job Categories-Trade**

**Brick, Block or Stone Masons**

Brickmasons and Blockmasons  
Stonemasons

**Carpenters**

**Carpet, floor and Tile Installers and Finishers**

Carpet Installers  
Floor Layers, except Carpet, Wood and Hard  
Tiles  
Floor Sanders and Finishers  
Tile and Marble Setters

**Cement Masons, Concrete Finishers**

Cement Masons and Concrete Finishers  
Terrazzo Workers and Finishers

**Construction Laborers**

**Drywall Installers, Ceiling Tile Inst**

Drywall and Ceiling Tile Installers  
Tapers

**Electricians**

**Elevator Installers and Repairers**

**First-Line Supervisors/Managers**

First-line Supervisors/Managers of  
Construction Trades and Extraction Workers

**Glaziers**

**Helpers, Construction Trade**

Brickmasons, Blockmasons, and Tile and  
Marble Setters  
Carpenters  
Electricians  
Painters, Paperhangers, Plasterers and Stucco  
Pipelayers, Plumbers, Pipefitters and  
Steamfitters  
Roofers  
All other Construction Trades

**Millwrights**

Heating, Air Conditioning and Refrigeration  
Mechanics and Installers  
Mechanical Door Repairers  
Control and Valve Installers and Repairers  
Other Installation, Maintenance and Repair  
Occupations

**Misc. Const. Equipment Operators**

Paving, Surfacing and Tamping Equipment  
Operators  
Pile-Driver Operators  
Operating Engineers and Other Construction  
Equipment Operators

**Painters, Const. Maintenance**

Painters, Construction and Maintenance  
Paperhangers

**Pipelayers and Plumbers**

Pipelayers  
Plumbers, Pipefitters and Steamfitters

**Plasterers and Stucco Masons****Roofers****Security Guards & Surveillance Officers****Sheet Metal Workers****Structural Iron and Steel Workers****Welding, Soldering and Brazing Workers**

Welders, Cutter, Solderers and Brazers  
Welding, Soldering and Brazing Machine  
Setter, Operators and Tenders

**Workers, Extractive Crafts, Miners**



## San Diego Public Library

Request for Proposal for  
Integrated Library System

Solicitation Number: 10090131-25-D

January 24, 2025

Response File

789 E. Eisenhower Parkway  
Ann Arbor, MI 48108  
USA  
[www.iii.com](http://www.iii.com)  
Carey Miller, Product Sales Manager  
+1 360 317 4241  
[carey.miller@clarivate.com](mailto:carey.miller@clarivate.com)

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January 24, 2024

City of San Diego  
Curtis Williams  
Technology Resource Manager  
Library Department  
330 Park Boulevard  
San Diego, CA 92101

Dear Curtis,

Having built a strong partnership with the San Diego Public Library (SDPL), we are eager to continue growing and engaging with you. We understand that investing in an Integrated Library System (ILS) goes beyond the mere purchase of the software. It involves a strong partnership that is aligned with your mission and your needs.

On behalf of Innovative, part of Clarivate, we are pleased to submit our proposal to continue our journey with SDPL in upgrading and transforming the library experience offered to the citizens of San Diego. Our offer is for both the award-winning **Polaris** and **Vega LX** library experience platform. As you are comfortable with Polaris, that part of the response will seem very familiar. We hope that you are delighted with any new functionality that you may discover. Our response will also provide you with additional information on **Vega LX** our unique community engagement platform.

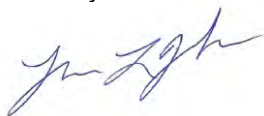
We bring to you over 45 years of experience in defining what it means to be a true library innovator. We are more than a service provider. We are a thought leader for libraries, a visionary, and a partner with one eye on today and one eye on the horizon. As a full-service software provider, our solution comes with both liability protection and the third-party security certifications to back it up. In short, we are *the partner* you want in good times and in bad, to meet the demanding and ever-changing needs of your community.

Our proposal addresses the current costs associated with your Polaris subscription and provides you with additional information about adding the different Vega LX modules.

We understand the importance of this project to SDPL, and we are committed to continuing our partnership in delivering an unprecedented ILS and community engagement experience. Should you have any questions, please do not hesitate to contact Carey Miller at (360) 317-4241 or [carey.miller@clarivate.com](mailto:carey.miller@clarivate.com).

Thank you for considering Innovative, part of Clarivate. We look forward to the opportunity to continue to serve you.

Sincerely,



Tom Jacobson  
VP, Product Management

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## Executive Summary

As you know, **Polaris** is already recognized for its ability to make an impact—saving time, reducing costs, and streamlining work. As an award-winning platform, it seamlessly integrates with numerous third-party vendors, offering libraries an intuitive and powerful resource.

What you might not know is that **Polaris**, together with the **Vega Library Experience (LX)**, is also designed to drive transformation. These tools aim to revolutionize libraries and their communities by enhancing engagement and empowering users to connect with and utilize library resources and services with remarkable efficiency.



### More Than A Service Provider

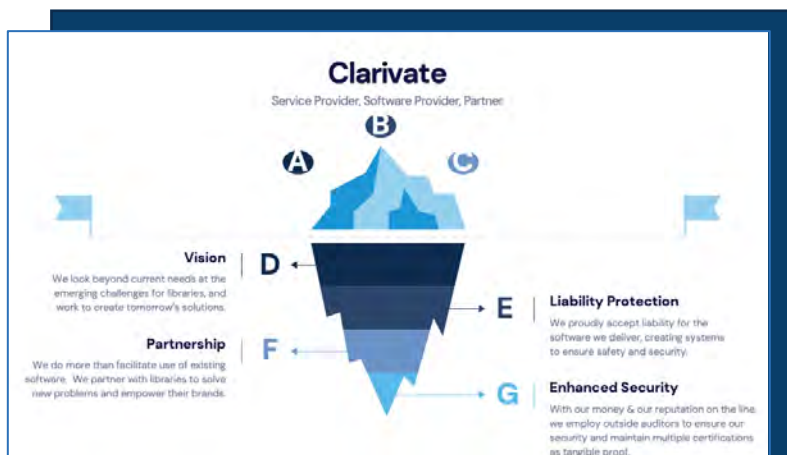
Procuring a hosted application that with a service provider that can deliver implementation and basic support is the least of a library's challenges today.

More importantly is identifying a partner that has a holistic vision for the future of public libraries. A partner that is daring enough to build that future, and offer the libraries a partnership in shaping it.

Equally important is partnering with a software provider that offers liability protection as a contractual commitment, and backs-up that offer with third-party security certifications.

We are that partner that takes seriously your reputation and your standing in the community. Our vision and on-going development future-proofs your decision to select us, and our contractual guarantees protect you.

Innovative is more than a service provider – we are a service provider, a software provider, *and* a partner.



## Transforming the San Diego Public Library

As SDPL continues to aspire to deliver an exceptional experience to patrons now and into the future, you need to re-imagine the way the way you interact with the community. A community engagement platform designed to integrate directly with the traditional library system, providing management of the full-range of library experiences from inventory control to brand empowerment to user empowerment is a game changer. This is not a vision that should be haphazardly pieced together with numerous third-party products and no single partner engaging you directly. Innovative first of its kind unification of traditional library management and modern community engagement is revolutionary. The **Polaris** ILS and **Vega LX** library experience platform unite to provide a modern, intuitive ILS, discovery layer, event and room booking, marketing, SMS texting, telephone, and web-design in a single suite of software. Innovative understands this vision and proudly proposes our industry-leading library software.

**Polaris** is the gold standard in integrated library systems and the recognized leader in its field. Unlike other solutions, Polaris offers an intuitive and integrated platform for staff. Saving time on acquisitions, cataloguing and creating reports. Fully web-based, staff can flexibly engage with patrons while streamline workflows.

### Polaris: Comprehensive and Intuitive Library Management

- **Feature-Rich Design for Public Libraries:** Polaris delivers all the tools your staff needs in a streamlined, efficient system.
- **Modern, User-Friendly Interface:** Staff can work from desktops, tablets, or smartphones, with an interface designed for simplicity and efficiency.
- **Seamless Integrations:** Easily connect with third-party systems like self-checkouts, e-books, and PC reservations. Open APIs (PAPI) provide additional flexibility for custom integrations.

**Vega LX** – a suite of library management tools audacious in scope and designed to create a unified and seamless experience for both library staff and patrons, combining features like discovery, communication, engagement, room booking, SMS texting, mobile app and more through various modules that integrate with Polaris, allowing for a comprehensive library ecosystem within a single platform.

### A Few Highlighted Modules of Vega LX:

#### Vega Discover:

- **Work-Level Rollups:** All formats and editions of a work are displayed together, with a single "place hold" button to simplify the request process across multiple versions of a single work.
- **Modern, Responsive & Accessible Design:** Vega Discover adapts seamlessly to any device, from desktop to smartphone, ensuring a consistent and accessible user experience.
- **Innovative Search Experience:** The world's first BIBFRAME-based discovery platform uses linked data to enhance patrons' search and exploration.

#### Innovative Mobile App:

- **Real-Time Notifications:** Alert patrons when holds are ready or items are overdue.
- **Customizable Features:** Personalize the app with your library's logo, colors, and services.
- **Convenient Access:** Enable self-checkout and allow patrons to download e-content directly to their devices.
- **Integrated Discovery:** Highlight Vega Discover's work-level rollups and curated showcases.

#### Vega Program:

- **Room booking:** Patrons can self-service room reservations with an intuitive interface.
- **Event scheduling and registration:** Create and manage event details, including registration process.
- **Event marketing tools:** Generate flyers, emails, and utilize an image library to promote events effectively.

### A Vision for Partnership and Growth:

#### Proven Reliability, Liability Protection and Enhanced Security

- **Certified to International Standards:** Polaris and Vega LX meet rigorous security and privacy standards, including ISO 27001, ISO 27701, and SOC 2 as certified by third-party security experts.
- **24/7 Hosting Reliability:** Our hosting services offer 99.9% uptime, daily backups, upgrades, and proactive system monitoring.
- **Accessible and Inclusive:** Our software complies with WCAG 2.2 standards, with ongoing efforts to meet the next WCAG requirements.
- **Liability Protection:** Included as a standard part of all of our contracts. A written guarantee to ensure your reputation and protect your community.

At Innovative, we're committed to being more than a vendor—we want to continue to be your long-term partner. Your aspirations for community engagement and exceptional service align with our vision for the future of public libraries. Over the last three years, we've invested heavily in the development of Polaris and Vega LX, delivering a proven platform to elevate your library's impact.

We understand that your needs will evolve, and we are here to grow with you. Our tailored solutions and dedication to innovation ensure that your library remains at the forefront of technology and service delivery for years to come.

As you review our response, we hope you'll see that we are not just offering a solution—we're offering a continued partnership.

## HEAR WHAT OUR CUSTOMERS HAVE TO SAY

The links below feature customer testimonials highlighting their enthusiasm for our services and development.

Kim Bolan, Chief Operating Officer, at the Allen County Public Library in Indiana. Click [here](https://vimeo.com/952948786) to watch Kim's video. (<https://vimeo.com/952948786>)



Betsy Raczkowski, Head of Communication and Engagement, Rochester Hills Public Library in Michigan. Click [here](https://vimeo.com/952943588) to watch Betsy's video. (<https://vimeo.com/952943588>)

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## Exhibit B – Scope of Work

### A. BACKGROUND

The San Diego Public Library (SDPL), a municipal government agency administered as a department within the City of San Diego, is seeking proposals for an Integrated Library System (ILS) from qualified Contractors.

SDPL serves the residents of the City of San Diego which encompasses an area of 342 square miles. SDPL consists of the Central Library, thirty-six (36) branch libraries, and the adult literacy program office (READ/San Diego). As of the 2020 Census, SDPL serves the City of San Diego's population of 1,386,932. SDPL has 645,287 registered card holders. SDPL's service area includes more than 113 elementary schools, 23 middle schools, 27 high schools, and 25 charter schools. In fact, a charter high school—E3 Civic High—occupies two floors of the Central Library building in downtown San Diego. The primary public school district serving the library's geographic area includes more than 121,000 students and more than 6,000 teachers.

Structurally, SDPL consists of a Central Library site, thirty-six (36) branch libraries and two (2) additional outlets: READ/San Diego Literacy Program (housed in the Central Library) and a performance annex theater. Approximately 484 Full Time Equivalent positions were budgeted for Fiscal Year 2025. The Branch System consists of five (5) areas: Area I, Area II, Area III, Area IV and Area V. SDPL serves the educational, cultural, business and recreational needs of San Diego's diverse communities through its collection of more than 2.5 million books and audiovisual materials, 3,236 periodical subscriptions, nearly 1.2 million government documents, and over 134,223 books and A-V items in 246 languages other than English.

SDPL is committed to providing an exceptional customer experience that fosters learning, growth, and connection. Our mission is to be the place for opportunity, discovery, and inspiration in a traditional or digital environment that is accessible and inclusive. We strive to offer reliable personalized service, ensuring every customer feels valued and supported.

SDPL is leveraging available technology to improve customer service. Customers can browse the catalog via the Internet and mobile devices, enabling them to request items, view their library account, renew items checked out, and pay bills online. SDPL's catalog and collection of premium online information services and full-text databases can be accessed electronically in all SDPL facilities and remotely via the Internet. All library sites offer free Wi-Fi access and express checkout (self-check) machines that allow customers to check out items themselves.

The Central Library was opened in the fall of 2013, resulting in a large increase in patron visits and circulation of materials. In summer 2017, the Library Department completed the conversion of its collection to RFID-based technology for circulation and collection management.

The Central Library houses an automated materials handling system that leverages RFID technology to sort returned materials into appropriate bins for subsequent re-shelving or dispatching to other library sites. A second automated materials handling system is being purchased to augment sorting and distribution of library materials.

SDPL supplies information services for citizens, including reference, inter-library loan and document delivery. Additionally, access to digital information is provided through the SDPL's LAN/WAN, and Internet access to SDPL resources and catalog.

In 2013, SDPL became an active member in the San Diego Circuit, a consortium of regional libraries that have opted to share their collections. San Diego Circuit member libraries are: California State University, San Marcos; San Diego County Library; San Diego Public Library; San Diego State University; University of California, San Diego; and University of San Diego.

In fiscal year 2023, the library loaned 5,902,685 items. More than 6.5 million people visited the library in 2023.

SDPL's bibliographic database consists of 1.25 million titles, 3.3 million call numbers, and 2.5 million barcoded items. Today, SDPL continues to add new records to its bibliographic database from Online Computer Library Center (OCLC), Library of Congress Machine Readable Cataloging (LCMARC), California State Library, MARCIVE (provides bibliographic records for government documents), Bibliotheca cloudLibrary, and Gale (e-research and educational publishing) using records provided via ftp and 9xx bibliographic data loads.

SDPL's authority database consists of 813,277 authority records from Library of Congress Subject Authority (LCAUTH) that are updated monthly. Authority control provides consistent use and maintenance of the forms of names, subjects, and uniform titles used as headings in a catalog. Authority records create a link between the names and subjects in bibliographic records and the authority file standardizing names and subjects for staff and patron use.

Items are added to the bibliographic record manually or are loaded through the electronic ordering process. Item database maintenance privileges are granted based on username and a system security profile.

The following table provides a brief snapshot of SDPL's Integrated Library System.

|                                     |           |
|-------------------------------------|-----------|
| Registered Cardholders              | 645,287   |
| Library Sites                       | 36        |
| FY 2023 Circulation                 | 5,902,685 |
| FY 2023 Site Visits by Patrons      | 6,591,169 |
| Titles in Bibliographic Database    | 1,254,001 |
| Call Numbers in Database            | 2,800,497 |
| Bar coded Items in Database         | 2,574,785 |
| Authority Database Records          | 813,277   |
| Serial Records                      | 29,326    |
| Government Publications             | 1,191,995 |
| Languages Represented in Collection | 246       |



|                                   |                                                                                               |
|-----------------------------------|-----------------------------------------------------------------------------------------------|
| Self-check Machines               | 125 (Bibliotheca)                                                                             |
| Public Workstations/OPACs         | 1,083                                                                                         |
| Staff Workstations                | 669                                                                                           |
| Library Website                   | <a href="http://www.sandiego.gov/public-library/">http://www.sandiego.gov/public-library/</a> |
| Materials Handling System         | Lyngsoe, 23 chutes + 1 dump                                                                   |
| PC & Print Management             | Princh                                                                                        |
| PC Reservation                    | EnvisionWare                                                                                  |
| Databases                         | 75                                                                                            |
| Patron Authentication             | EZProxy (hosted)                                                                              |
| Digital Asset Management Platform | CONTENTdm (OCLC)                                                                              |
| eBook/eAudiobook Vendors          | cloudLibrary, enki                                                                            |
| Acquisitions (FY 2017)            |                                                                                               |
| Vendors                           | 821                                                                                           |
| Orders                            | 1,616                                                                                         |
| Funds                             | 92                                                                                            |
| SIP2 Connections                  | 38                                                                                            |
| RFID Tagged Materials             | 2,574,785                                                                                     |
| Item Barcode Information          | Codabar, 14 digits (prefix: 31336)                                                            |
| Patron Barcode Information        | Codabar, 14 digits (prefix: 01336)                                                            |

## INNOVATIVE

Read and understood.

## B. OBJECTIVE

The San Diego Public Library (SDPL) is seeking proposals for an Integrated Library System (ILS) using the Software as a Service (SaaS) distribution model from qualified contractors.

The objective of this RFP is to make an award to one Contractor that will provide all aspects of Integrated Library System software used to manage library collections (holdings, materials acquisitions, cataloging), store patron information (name, address, borrowing privileges, account profile, bills), conduct transactions (check-in/check-out, assess fines, receive payments, place holds), generate statistical reporting on system operations for strategic decision-making, enable self-service checkout machines, automate sorting of library materials, and provide remote patron access to electronic resources, such as downloadable eBooks and audiobooks.

## INNOVATIVE

Read and understood.

## C. REQUIRED FUNCTIONALITY

Contractors shall fill out and submit Exhibit F —Functional Requirements, which mirrors items **1-21** below and further enumerates specific requirements and specifies their priority for the City, Mandatory (M), Desirable (D), or Highly Desirable (H). All responses on Exhibit F shall be based on the pricing listed by the Contractor on the Pricing Schedule (Exhibit D) and shall not be contingent on purchase of additional or "optional" products or services.

A response of "Yes" to any of the mandatory items shall be assumed to be available in an "Out-of-the-Box" format at the time of RFP submittal and Proposer should be prepared to possibly demonstrate this feature if required during the Mandatory Demonstration/Presentation.

A response of "No" to any of the mandatory items will disqualify the entire proposal from further consideration and will cause the proposal to be deemed non-responsive. All requirements identified with a "No" response shall be assumed to mean that the Proposer cannot or will not be able to meet this requirement without further customization or development of their product.

Contractors shall use the "Narrative Description" column of Exhibit F to direct the City's evaluators to portions of the Contractor's narrative description that address the requirement(s) in further detail. Contractors shall enter "N/A" in the "Narrative Description" column if no additional detail is provided in the narrative proposal.

Proposers shall provide a narrative description of how their ILS satisfies each of the requirements listed in items **1-21** below; the narrative description shall be divided into sections that are responsive to each of the requirements.

## 1. General Systems and IT

This section covers functional requirements that apply to all aspects of the proposed ILS. Contractor shall provide a narrative overview of the technical requirements and service delivery options available for the ILS. This shall at a minimum include a description of the ILS's database architecture; a description of the library's ILS maintenance obligations to keep the ILS functioning properly in the context of a contractor-hosted or SaaS computing environment; a description of the minimum hardware and software requirements to run the ILS on library staff computers; a description of any data storage limits inherent to the ILS (maximum number of patron records, maximum number of bibliographic records, etc.); a description of the general architecture of the proposed application (e.g. Web, 2-tier, etc.); confirmation as to whether the application requires access to the City's internal systems for development or operational use of system, whether a connection is required inside a City firewall, whether a desktop client or component is also required, and how many IPs might be required for both outbound connections and authentication to the application via City's Lightweight Directory Access Protocol (LDAP). Contractor will also confirm if LDAP/Security Assertion Markup Language (SAML) needs to traverse the entire directory and have access to City's entire Active Directory (AD), or whether there is a particular group of user accounts that may be specified that Contractor's SAML.

## INNOVATIVE

### Architecture

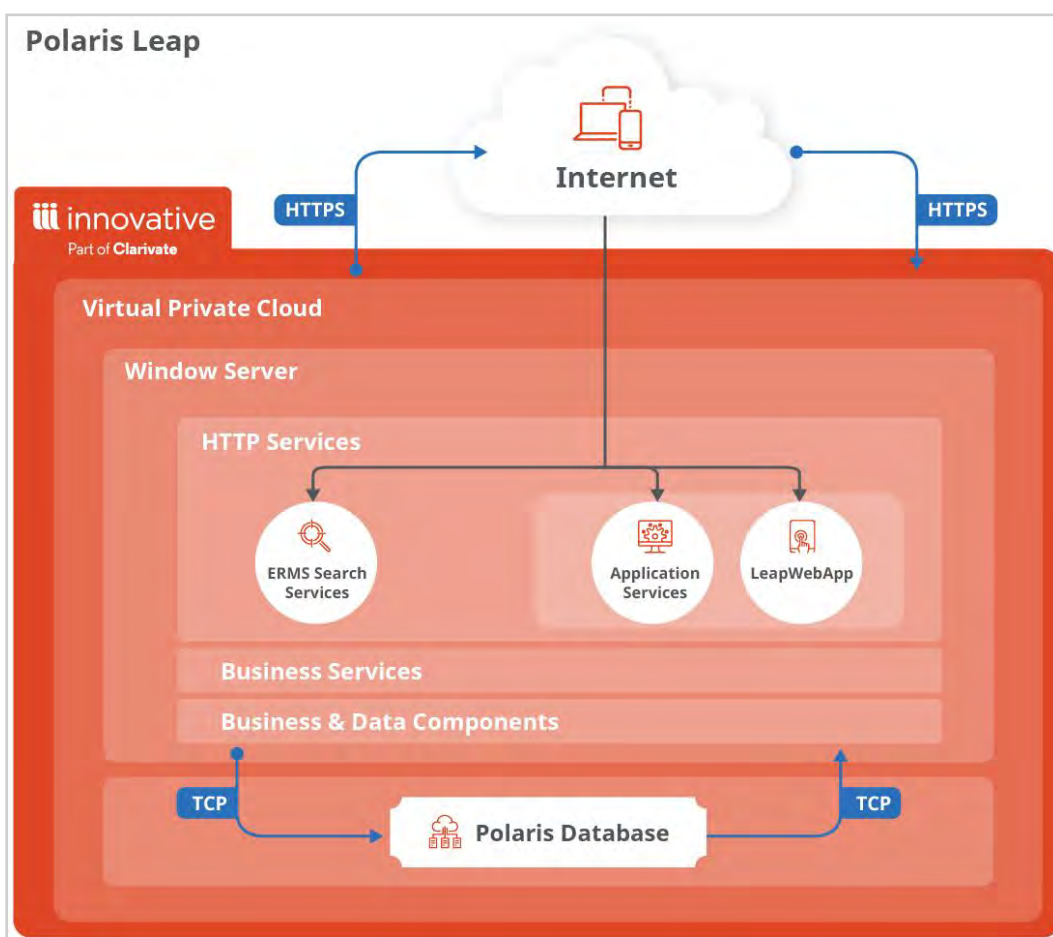
Polaris is a Windows-based solution, running under Windows Server with a Microsoft SQL Server database. Polaris includes its own Active Directory instance for managing staff user accounts and uses Microsoft Reporting Services for managing the library of predefined reports and also allowing ad hoc report generation.

Polaris is engineered with inherent physical and logical separation measures that secure different system components and facilitate data security measures. Outside of Innovative cloud operations staff managing the hardware and network environment, Polaris application users include three types:

- **Administrators:** These users set up and manage application user accounts, set and maintain user permissions (records and functions each user may access), and manage all system parameters and settings that control everything from circulation policies to data validation. Access to admin functions is completely separated from other system access and requires an individual login through the Windows-based Polaris Administration interface.
- **Library staff users:** These are the people working in the library, checking out books for patrons, ordering and accessioning new library materials, creating metadata for new materials, and performing library reference desk functions. These users access the system through the Polaris Leap Web Client. (Some long-time users of the system may continue to use the Windows staff client). The Leap client (and Windows staff client) are secured at

the individual user ID, workstation and location levels. In addition, logical separation of functions is provided through user permissions, with each user able to access only the functions and records they are authorized to access based on the permissions defined by the system administrators.

- Public users: Public users are the customers of the library, members of the public who access the system to search for library materials, and also to access personal account services including placing holds on materials, renewing checked out items, creating personal lists and other services enabled by the library. Public users access the system through Vega Discover Premium, a separate web-based interface that provides complete separation of public functions from staff and admin functions.



Polaris is designed to be open, supporting open protocols like Z39.50, SIP2 and NCIP as well as a fully documented REST API. Polaris also allows direct read access via SQL.

## **Library's ILS Maintenance Obligations**

Innovative Cloud Hosting Services are fully managed solutions that relieve libraries of all responsibilities associated with installing, managing, and maintaining applications systems and software on premise.

## **Minimum Hardware/Software Requirements**

Polaris is a fully web-based solution, providing staff access through the Polaris Leap web interface for staff and through Vega Discover Premium for patrons. In general, workstation requirements will be the same as required by the browser platform for general web surfing activities.

Workstation requirements for Polaris Leap are:

Workstation type:

- Desktop computers
- Laptops
- Notebooks
- Tablets, including Surface tablets
- iPads

Supported operating systems:

- Windows 8.1
- Windows 10
- macOS 10.12 Sierra or higher
- iOS 12.0 or higher

Supported browsers:

- Chrome (Windows, macOS, or iOS)
- Edge (Windows)
- Firefox (Windows)
- Safari (macOS or iOS)

Display size:

- Desktop and laptop displays can be any size but must support a resolution of at least 1024 x 768 pixels.

Vega Discover Premium is compatible with any modern Web browser capable of supporting current Web standards and is designed to provide a responsive discovery experience across multiple devices, including smartphones, tablets, and other mobile device types. Innovative performs full testing of browsers with each Vega Discover Premium release and is committed to full support on the two (2) most recent publicly released, generally available desktop versions of Chrome, Firefox, Edge, and Safari browsers, across all current Innovative software and cloud services. Note that earlier versions can be used, but Innovative does not guarantee that all functionality in the current release will work under older browser versions.

### **Data Storage Limits**

Innovative provides the cloud-based system environment to support the system loads required by your library, allowing for anticipated growth for three to five years. As libraries grow beyond this size, and/or as server configuration requires upgrading, Innovative will automatically upgrade the system environment at no extra charge as part of the on-going subscription and hosting services.

There are no limits to the number of patron records, bibliographic records, etc.

**Regarding whether the application requires access to the City's internal systems for development or operational use of the system, whether a connection is required inside a City firewall, whether a desktop client or component is also required, and how many IPs might be required for both outbound connections and authentication to the application via City's Lightweight Directory Access Protocol (LDAP)**

In a hosted solution, there is no application access required. Remote desktop client is used to connect to the host server and Polaris access.

**Regarding whether LDAP/Security Assertion Markup Language (SAML) needs to traverse the entire directory and have access to City's entire Active Directory (AD), or whether there is a particular group of user accounts that may be specified that Contractor's SAML**

Our typical hosted configuration does not use the library's internal systems in any way. Authentication is all managed in the hosted environment within an AD domain created internally. SDPL would be provided tools to manage the necessary users and groups. If SDPL prefers to use its own AD, a trust between SDPL domain and the domain created in the hosted environment would need to be set up.

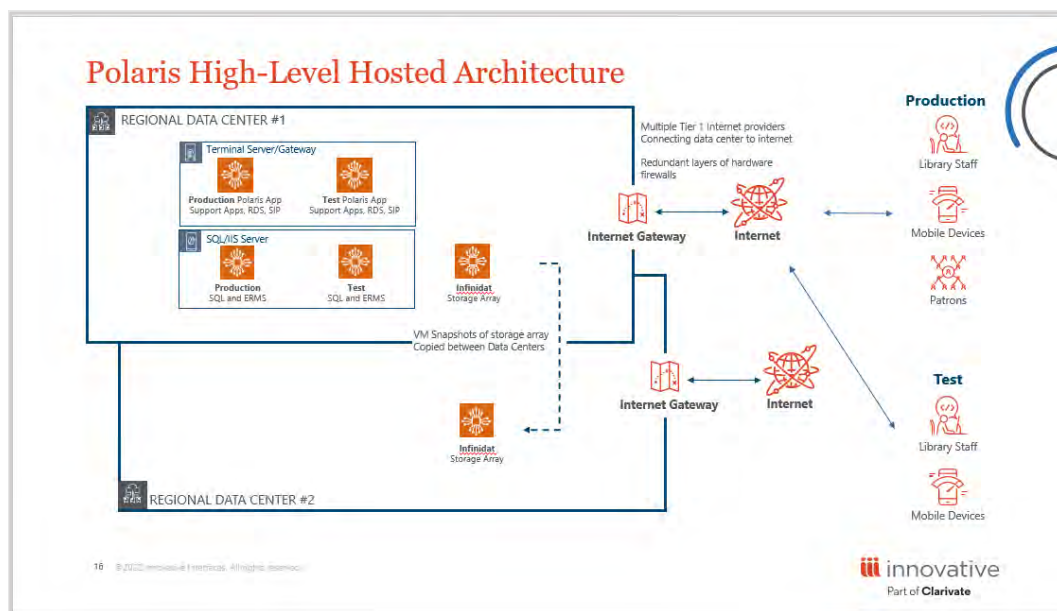
## Narrative Descriptions for Exhibit F – Functional Requirements – General Systems

C.1.1 ILS is hosted and maintained by the Proposer (i.e., Software as a Service delivery model). If any services are subcontracted to third parties, Proposer shall describe to whom, their location(s), relevant hosting redundancy employed, why, how and proposed benefits of this model.

### INNOVATIVE

Yes. Innovative Cloud Hosting Services are fully managed solutions that relieve libraries of all responsibilities associated with installing, managing, and maintaining applications systems and software on premise. With data centers located in multiple locations, we can implement each customer's cloud hosted system at the data center within the customer's country or region in compliance with the region's data privacy laws.

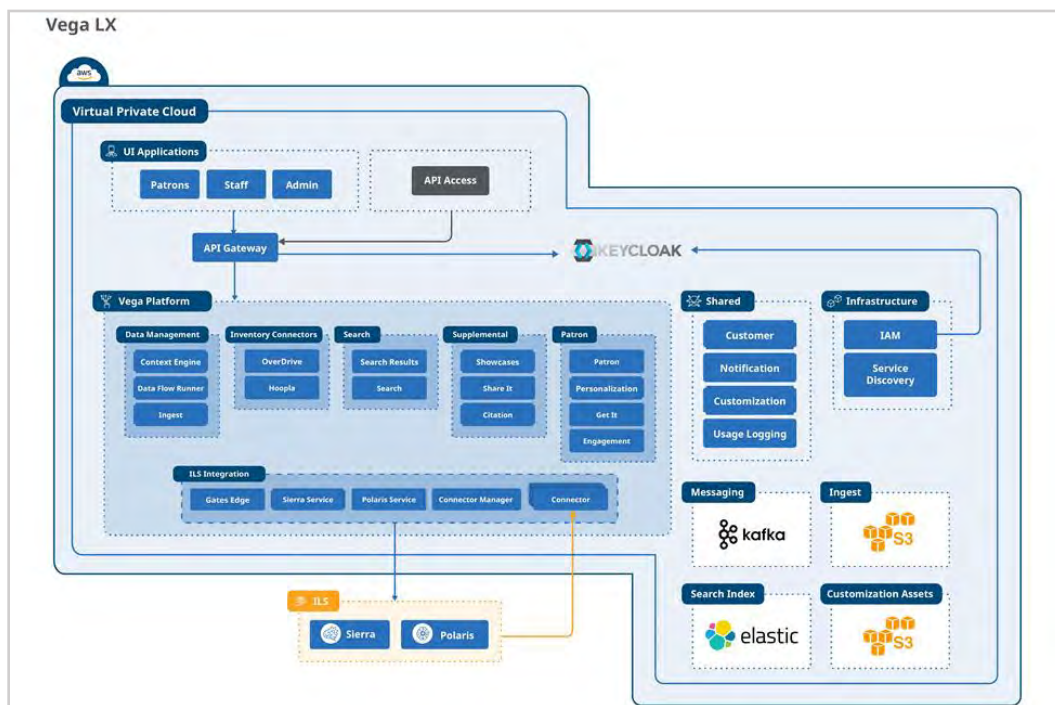
Innovative provides the cloud-based system environment to support the system loads required by your library, allowing for anticipated growth for three to five years. As libraries grow beyond this size, and/or as server configuration requires upgrading, Innovative will automatically upgrade the system environment at no extra charge as part of the on-going subscription and hosting services.





Innovative's Vega Library Experience Platform is a multitenant cloud-based SaaS solution that integrates with your Polaris system to enable discovery and patron services.

Vega LX has been designed with a microservice architecture. Not all services store data, but the services that do store data have their own databases. Each tenant has its own subdomain under the Vega deployment in which they are hosted, and customer data is segregated within common tables (at the row level) within each database.



The Vega LX Platform is designed to minimize staff effort while ensuring full library control over users and access permissions. Your library's discovery index is dynamically updated through ingest of data from your Polaris ILS or Sierra Library Services Platform with no effort required of library staff. Patron authentication and access to patron data are performed through secure connections to the Polaris or Sierra systems, giving your library full control over access to data and services.

The solution is designed to ensure the highest levels of security. All connections to Vega LX use secure https connections and encrypt data in transit via TLS/SSL as standard. This means that data is encrypted in transit between the Polaris or Sierra system and the cloud-hosted Vega LX system as well as between Vega LX and the user's workstation. Additionally, data is encrypted at rest in the database.

As a SaaS solution, the Vega LX software is continually updated on a 2-week cycle. No effort is required by the library, all updates are applied automatically for all customers. Development for Vega is based on Agile development practices, which means that our roadmap is dynamic and



continually updated. Our roadmap is published and is publicly accessible at the following site:

<https://portal.productboard.com/iii/6-innovative-product-status-board-new/tabs/28-vega-discover>

All management services are provided directly by Innovative Cloud Services staff under our ISO 27001-certified Information Security Management System. To achieve ISO 27001 certification, it means that an independent professional auditor has reviewed the hosting operation end-to-end, verifying that processes and procedures meet national and international security guidelines, that regular vulnerability testing is performed and that any vulnerabilities are proactively corrected. Our processes include rigorous controls to ensure that our application and server environment is secure, we have proper change management procedures in place, and we have proper hiring practices in place, not just for information systems in general, but for cloud hosting services and for data privacy.

In addition to enjoying the benefits of a fully managed hosted system, as a Hosted Services customer you will receive all Innovative application software updates. We will install, configure and test them for you. You will stay current and benefit from our latest features with no effort or additional costs on your part. Innovative will also apply all operating system updates and will provide full hardware monitoring and maintenance services. Development for our products is based on Agile development practices, which means that our roadmap is dynamic and continually updated. Our roadmap is published and is publicly accessible at the following site: <https://portal.productboard.com/iii/6-innovative-product-status-board-new/>

### **Innovative Hosting and Security Features**

Features of Innovative's Cloud Hosting services and infrastructure include:

- **Certifications:** Innovative hosting services are certified to the following international standards:
  - o ISO 27001 (Information Security Management)
  - o ISO 27017 (Information Security Controls)
  - o ISO 27701 (Privacy Information Management)
  - o SOC2 – Security Audit Reporting for Information Services

These certifications cover the services and processes involving information security and privacy policies, human resources, asset management, access controls, incident management and other service-related processes managed by Innovative.

- **Scalability:** New server instances boot up in minutes, controlled with web services APIs. This allows for scaling capacity as computing requirements change. Unlimited Discovery users are supported. Any number of concurrent staff users can be supported subject to licensing limits.
- **Physical Security:** Data centers are designed to satisfy requirements of most security sensitive customers with constant monitoring, high automation, high availability, and highly accredited to global security standards.

- **Fire Detection and Suppression:** Automatic fire detection and suppression equipment has been installed to reduce risk. The fire detection system utilizes smoke detection sensors in all data center environments, mechanical and electrical infrastructure spaces, chiller rooms and generator equipment rooms. These areas are protected by either wet-pipe, double-interlocked pre-action, or gaseous sprinkler systems.
- **Power:** The data center electrical power systems are designed to be fully redundant and maintainable without impact to operations, 24 hours a day, and seven days a week. Uninterruptible Power Supply (UPS) units provide back-up power in the event of an electrical failure for critical and essential loads in the facility. Data centers use generators to provide back-up power for the entire facility.
- **Environmental Controls:** Climate control is required to maintain a constant operating temperature for servers and other hardware, which prevents overheating and reduces the possibility of service outages. Data centers are conditioned to maintain atmospheric conditions at optimal levels. Personnel and systems monitor and control temperature and humidity at appropriate levels.
- **Security:** Security is an important part of our reputation; it is critical to earning our customer's trust, vital to how we do business, and essential in delivering our product. Innovative's proprietary Information Security Management System (ISMS) supporting its cloud and hosted infrastructure is based on NIST and is ISO 27001:2013 certified. For more details on Innovative's ISMS please visit the [www.iii.com/security](http://www.iii.com/security) web page.
- **Firewalls:** Innovative ensures tight controls by implementing port-based restrictions on system-based firewalls in addition to leveraging security instruments like Security Groups and Network Access Controls. Innovative ensures source level IP lock down is configured on hosted perimeter firewalls to limit port scanning and hacking attempts. Firewall services and the corresponding Flow Control logs provide visibility into network threats. The underlying network infrastructure is inherently designed to protect against DDOS (Dynamic Denial of Service) attacks, MITM (man in the middle) attacks, IP Spoofing, port scanning and packet sniffing.
- **Data Security:** Library data stored in your system will be accessible by authorized Innovative Staff for the purposes of maintenance, support, and backup management. Library staff may access data at the sole discretion and enforcement of the library. If data is requested by a legal authority, such inquiries will be directed to the library as the sole owner of the data.
- **User Access Control:** Innovative imposes strict access controls for its own staff in administrative support of the application, limiting access to library data. Your library controls access by individual users of the application under terms of the library's choosing.
- **Access and Transaction Logging:** Application and operating system records are maintained to identify users of the system. These records are used by Innovative for intrusion detection, troubleshooting, and other monitoring as appropriate.
- **Threat Monitoring:** Innovative's network operations center monitor cloud-hosted Sierra and Polaris systems 24x7x365 for unusual activity and other indications of intrusion or unauthorized access. If there is any indication of potential unauthorized access or

disclosure of confidential data, we immediately notify our designated contacts at the affected institution by any and all means (email, telephone) and to work directly with that institution on the details of our investigation and remediation efforts. Annual penetration testing of our hosted environments is performed as a part of our ISO 27001 security process certification.

- **Performance Monitoring:** Innovative's automated monitoring service ensures that hosted services are operational and meeting performance commitments. Innovative leverages enterprise monitoring solutions like AppDynamics in addition to Cloud Watch and flow logs. With a 24x7 Network Operation Centre, Innovative leverages these monitoring tools to ensure a proactive approach to identifying issues and addressing them before customer sees an impact. This helps Innovative to collect, analyze, and monitor application and infrastructure performance data. IT and customer support staff are able to proactively and quickly identify, isolate and mitigate application and system level issues.
- **Standard Service Backup:** Innovative performs daily backups using snapshot-based technology as part of the standard hosting package. The snapshots are stored in geographically diverse locations that are replicated to other geographically separate data centers to meet the offsite storage requirements for all customers. Random backups are periodically tested and restored to ensure compliance. For backup data, nightly backups are retained for 30 days after which they are destroyed/wiped.

Service terms for Innovative SaaS Services:

- **Quality of Service:** For Polaris and Sierra systems, Innovative commits to uptimes of at least 99.9% with regard to unplanned downtime. For Vega LX, Innovative commits to uptimes of at least 99.5% with regard to unplanned downtime. These commitments exclude occasional planned maintenance, which may be scheduled up to 48 hours in advance.
- **Recovery Services:** Innovative's Disaster Recovery (DR) plan was developed from the NIST SP800-34 framework. Standard hosting terms include disaster recovery on a best effort basis. In the unlikely event of a disaster at the primary location, the latest backup is restored to a different data center. The standard Recovery Point Objective (RPO) is 24 hours from last backup. We maintain 30 days of backups, allowing for recovery up to one month.

For Polaris and Sierra systems, Innovative also offers enhanced disaster recovery services to meet specific Recovery Point Objective (RPO) and Recovery Time Objective (RTO) targets. Enhanced Disaster Recovery is provided by replicating the bits to a different region within the country or continent. If there is no separate region available, then the replication is done to a different data center in the same region. The enhanced DR service also comes with a customer specific DR plan and annual testing of that plan.

| Service Level | Measure or Feature                    | Value                              |
|---------------|---------------------------------------|------------------------------------|
| Tier 1        | Recovery Point Objective (RPO)        | 4 hours                            |
|               | Recovery Time Objective (RTO)         | 8 hours                            |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |
| Tier 2        | Recovery Point Objective (RPO)        | 24 hours                           |
|               | Recovery Time Objective (RTO)         | 24 hours                           |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |

- **Ownership:** Under the SaaS model, the customer will be using the software but Innovative (or the third-party component provider where applicable) retains all software ownership rights. All data stored in the system remains the property of the customer. This is stated explicitly in all Innovative contracts. Innovative makes no claims to ownership of customer data and will not share or transfer the customer's data without explicit consent.

C.1.3 ILS provides encrypted data transmission between the City of San Diego and SaaS environment.

## INNOVATIVE

Yes. Passwords and data in transit are encrypted via TLS/SSL. Encryption of data at rest is via AES-256.

C.1.4 Proposer must use most recent secure versions of encryption protocols such as SSL, TLS, or Secure FTP.

## INNOVATIVE

Yes. Passwords and data in transit are encrypted via TLS/SSL. Encryption of data at rest is via AES-256.

C.1.5 Proposer shall store data in a secure facility. Describe any relevant security certifications/protocols.

## INNOVATIVE

Yes. Security is an important part of our reputation; it is critical to earning our customer's trust, vital to how we do business, and essential in delivering our product. Our Information Security Management System (ISMS) supporting our cloud and hosted infrastructure is based on NIST and is ISO 27001:2013 certified. For more detail, please visit <https://clarivate.com/trust-center/>.

Data centers are designed to satisfy requirements of most security sensitive customers with constant monitoring, high automation, high availability, and highly accredited to global security standards.

C.1.6 Proposer, its agents, employees, contractors and any other person or entity working on behalf of Proposer to provide services under this proposal must at all times comply with City of San Diego Administrative Regulation (A.R. 90.64) "Protection of Sensitive Information and Data". (Please see Exhibit G, AR 9064 Protection of Sensitive Information and Data.)

## INNOVATIVE

Yes.

Our hosting and security policies and procedures are in alignment with the City's policies for the protection of sensitive information and data. All Clarivate employees operate under our strict information security policies and procedures which are certified to the ISO 27701 Privacy Information Management standard and all employees are required to complete security and privacy awareness training during onboarding and at least annually.

C.1.7 Proposer shall immediately notify the City's Chief Information Security Officer of any breach, intrusion, or unauthorized access City data. Proposer agrees to assume responsibility for informing all affected individuals in accordance with applicable law at no cost to the City. All notifications shall be sent to:

Chief Information Security Officer  
1200 3rd Avenue, Floor 18, MS658B  
San Diego, CA 92101  
Cybersecurity@sandiego.gov  
619-533-3750

## INNOVATIVE

Yes. Security related incidents are a top concern across all Clarivate operations. Incidents are reported and tracked using an enterprise level ticketing system ensuring prompt action and fast resolution. Evidence collection, root cause analysis and lessons learned are key components of our incident response plan along with the ability to escalate issues to top executives if necessary.

Clarivate has a well-established Incident Response Framework which establishes the procedures to manage security incidents leading to suspected or confirmed data breach or compromise. The framework outlines the process for incidents to be effectively reported, investigated, and monitored to ensure that corrective action is taken to control and remediate security incidents in a timely manner. Clients are notified based on regulatory requirements in the event of a confirmed breach. For more information, see <https://clarivate.com/information-security/product-security/>.

C.1.8 Proposer shall provides a test installation of the ILS (in addition to the production installation), for testing purposes, prior to ILS production use. First User Live, and commencement of the subscription term.

## INNOVATIVE

Yes. Innovative will provide a test/training server. A Database Synchronization Service is included. This is a custom SQL task that automates the data copy process from the Production Server to the Test/Training Server on either a daily, weekly, monthly, or on-demand basis (at the library's discretion).

C.1.9 ILS must be compliant with ADA Technology Solutions by following the U.S. Federal standards set forth in the "Electronic and Information Technology Accessibility Standards" found at: <http://www.accessboard.gov/guidelines-and-standards/communications-and-it/about-the-section-508-standards> and with the international standards set by the World Wide Web Consortium (W3C), found at: <http://www.w3.org/WAI/guid-tech.html>

It is highly desirable that Proposer provide a Voluntary Product Accessibility Template (VPAT) with their response, to assist the City in making preliminary assessments regarding Section 508 accessibility of their products and services. The VPAT template is provided by the Information Technology Industry Council at <http://www.itic.org/public-policy/accessibility>.

## INNOVATIVE

Yes. Innovative is committed to providing products that are accessible to all. We recognize that accessibility is beneficial to everyone, but it is essential to many. Our Software Development Life cycle (SDLC) addresses accessibility in both design and testing. For all new development, accessibility compliance with standards such as WCAG 2.2 and Section 508 and the ADA is built in from the start, in line with each product's specific requirements.

Accessibility is not an afterthought for us, it is baked into our development and part of our ethos. The Innovative development team includes software engineers who have studied and trained in accessibility. In addition, Clarivate has a UX department with over 25 UX professionals who are dedicated to reviewing and improving UX across all Clarivate product lines. This department includes three full-time professionals dedicated to Innovative products, and one of these three has Web Accessibility Certification from the International Association of Accessibility Professionals. The team proactively reviews and assesses products internally, conducting user testing and initiating design improvements.

Our commitment to accessibility goes beyond good intentions to align with WCAG guidelines. We regularly submit our user interfaces to a professional accessibility auditor. The auditor conducts a thorough analysis of the user interfaces and prepares a Voluntary Product



Accessibility Template (VPAT) for each interface that details the level of compliance and notes any issues. Compliance issues reported by the professional accessibility auditors are then addressed in product development to remedy any issues. We are committed to remediation of any problems found in testing to ensure that each release meets the same high accessibility standards.

Polaris Leap and Vega Discover Premium have been assessed and meet WCAG 2.2 and Section 508 guidelines and we have VPATs documenting accessibility compliance for interfaces. VPATs are kept up to date on a regular basis. When there are significant changes made to the user interface, we submit the software for new accessibility testing. The latest VPAT for Polaris Leap and Vega Discover Premium is uploaded with our response.

We are committed to ongoing accessibility testing to ensure that our user interfaces remain accessible with new releases as well as to remain in compliance with current WCAG guidelines. Our latest testing in December 2024 assessed the software against WCAG 2.2. We are also monitoring the status of WCAG 3.0, currently in draft, and will assess against these new standards after they have been finalized.

C.1.10 The entire ILS is regularly backed up. In addition, Proposer shall describe the regularity of backups, geographic placement of backups, testing regime for periodic backups and estimated Recovery Point Objective (RPO) and Recovery Time Objective (RTO) for full ILS restoration.

## INNOVATIVE

Yes. Innovative performs daily backups using snapshot-based technology as part of the standard hosting package. The snapshots are stored in geographically diverse locations that are replicated to other geographically separate data centers to meet the offsite storage requirements for all customers. Random backups are periodically tested and restored to ensure compliance. For backup data, nightly backups are retained for 30 days after which they are destroyed/wiped.

Innovative's Disaster Recovery (DR) plan was developed from the NIST SP800-34 framework. Standard hosting terms include disaster recovery on a best effort basis. In the unlikely event of a disaster at the primary location, the latest backup is restored to a different data center. The standard Recovery Point Objective (RPO) is 24 hours from last backup. We maintain 30 days of backups, allowing for recovery up to one month.

Innovative also offers enhanced disaster recovery services to meet specific Recovery Point Objective (RPO) and Recovery Time Objective (RTO) targets. Enhanced Disaster Recovery is provided by replicating the bits to a different region within the country or continent. If there is no separate region available, then the replication is done to a different data center in the same region. The enhanced DR service also comes with a customer specific DR plan and annual testing of that plan.

| Service Level | Measure or Feature                    | Value                              |
|---------------|---------------------------------------|------------------------------------|
| <b>Tier 1</b> | Recovery Point Objective (RPO)        | 4 hours                            |
|               | Recovery Time Objective (RTO)         | 8 hours                            |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |
| <b>Tier 2</b> | Recovery Point Objective (RPO)        | 24 hours                           |
|               | Recovery Time Objective (RTO)         | 24 hours                           |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |

C.1.11 ILS data, including borrower information, is secured against hacking, DDOS attacks, or other unauthorized ILS intrusions.

## INNOVATIVE

Yes. Innovative conducts third-party penetration tests annually, on demand as necessary if requested by management, and if significant infrastructure changes occur. Any identified vulnerabilities are given highest priority. This testing covers the OWASP top 10 list as well as other potential vulnerabilities, including SQL injection, cross-site scripting (XSS), cross-site request forgery (XSRF) and more. Our latest penetration testing was conducted by the NCC Group in December 2023.

Additionally, we have in place intrusion detection systems that will alert cloud hosting staff of any unauthorized access. Sensitive data is further safeguarded by our comprehensive documented Information Security Management System Program as a part of our ISO 27001 certification. Our ISMS program covers all aspects of our operations relating to our cloud hosting services, including the areas of internal organization, human resources, asset management, access controls, cryptography, physical and environmental security, operational security, communications security, application acquisition and development, supplier relationships, incident management, and business continuity.

C.1.12 SaaS environment provides 99.5%+ uptime.

## INNOVATIVE

Yes. For Polaris systems, we commit to uptimes of at least 99.9% with regard to unplanned downtime. For Vega LX, we commit to uptimes of at least 99.5% with regard to unplanned downtime. These commitments exclude occasional planned maintenance, which may be scheduled up to 48 hours in advance.



C.1.15 Supports patron self-checkout machines. List all brands/manufacturers that are supported.

## INNOVATIVE

Yes. Self-checkout through SIP2, and NCIP interfacing to third-party self-check units is supported. Both RFID and traditional barcode-based systems are supported. Polaris has verified compatibility with self-checkout units from 3M, Checkpoint, EnvisionWare, Bibliotheca ITG, LLC, Libramation, Library Automation Technologies and Tech Logic, and is open to conducting compatibility testing with other vendors as required by our customers.

C.1.16 Proposer encrypts all sensitive patron data at rest.

## INNOVATIVE

Yes. Passwords and data in transit are encrypted via TLS/SSL. Encryption of data at rest is via AES-256.

C.1.17 Proposer warrants that ILS will be functional, without material loss of service, or material degradation of service, and available, in its entirety, via SaaS delivery model for the duration of the contract.

## INNOVATIVE

Yes. We endeavor to ensure 99.9% availability of our software and make commercially reasonable efforts to schedule maintenance and system upgrades during the weekends or outside regular business hours (i.e. after regular end of business Pacific Time and before start of business Eastern Time) with reasonable notice. Availability is calculated by dividing the number of minutes the software was available during the Measured Period by the total sum of the minutes in the Measured Period less any Excluded Downtime.

For the purposes of this calculation, (i) the Measured Period is a calendar year and (ii) the Excluded Downtime includes scheduled downtime for system maintenance and release updates, as well as any service unavailability attributable to your breach, any actions or omissions by you or your users, causes beyond our control, or separate instances of unavailability of less than 5 (five) minutes duration each, provided such instances are not of a persistent nature.

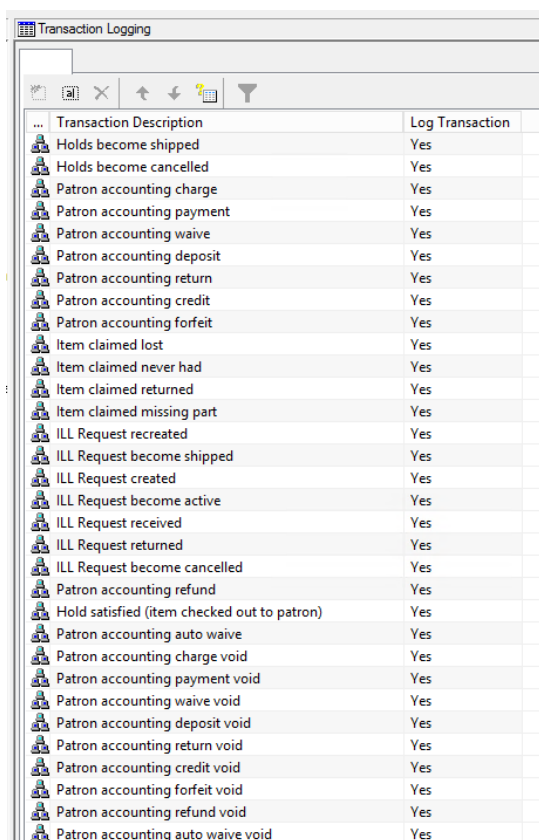
If availability falls below 99.9% in a month for three consecutive months, you will be entitled to a credit equal to the prorated amount of the fees for hosting services for any time during such three-month period in which the software was unavailable (other than Excluded Downtime). This credit will be your exclusive remedy for such unavailability.

C.1.18 ILS transactions are retained in system logs that are preserved for a library-specified period of time. Access to, and modifications of, all sensitive data should be monitored and logged. Proposer shall list transaction types (bill payment, checkout, etc.) that are logged.

## INNOVATIVE

Yes. All primary transactions are logged to a transaction log in the SQL database. Create, updates, and deletes are detailed for all records. It is from this transaction log that all primary statistical and audit reports are generated. The Polaris transaction log records when an action occurs, the identification number of the user who did the action, and the records that the action affected. You can use the log to track operational statistics, troubleshoot problems, and generate reports. You determine what kinds of actions are logged, out of the thousands of Polaris transactions that can occur every day.

Entries in the Transaction Logging database table determine which transactions are logged for statistical and reporting purposes. The Transaction Logging table lets you enable or disable logging for each transaction type.



| Transaction Description                     | Log Transaction |
|---------------------------------------------|-----------------|
| Hold become shipped                         | Yes             |
| Hold become cancelled                       | Yes             |
| Patron accounting charge                    | Yes             |
| Patron accounting payment                   | Yes             |
| Patron accounting waive                     | Yes             |
| Patron accounting deposit                   | Yes             |
| Patron accounting return                    | Yes             |
| Patron accounting credit                    | Yes             |
| Patron accounting forfeit                   | Yes             |
| Item claimed lost                           | Yes             |
| Item claimed never had                      | Yes             |
| Item claimed returned                       | Yes             |
| Item claimed missing part                   | Yes             |
| ILL Request recreated                       | Yes             |
| ILL Request become shipped                  | Yes             |
| ILL Request created                         | Yes             |
| ILL Request become active                   | Yes             |
| ILL Request received                        | Yes             |
| ILL Request returned                        | Yes             |
| ILL Request become cancelled                | Yes             |
| Patron accounting refund                    | Yes             |
| Hold satisfied (item checked out to patron) | Yes             |
| Patron accounting auto waive                | Yes             |
| Patron accounting charge void               | Yes             |
| Patron accounting payment void              | Yes             |
| Patron accounting waive void                | Yes             |
| Patron accounting deposit void              | Yes             |
| Patron accounting return void               | Yes             |
| Patron accounting credit void               | Yes             |
| Patron accounting forfeit void              | Yes             |
| Patron accounting refund void               | Yes             |
| Patron accounting auto waive void           | Yes             |

The Polaris transaction log records when an action occurs, the identification number of the user who did the action, and the records that the action affected. You can use the log to track operational statistics, troubleshoot problems, and generate reports. Your library determines what kinds of actions are logged, out of the thousands of Polaris transactions that can occur every day.

C.1.20 Proposer must provide the necessary services to assist the City with ILS implementation. These services should include, but not be limited to, providing pre-implementation services to determine the optimal implementation into City's existing operations and systems, and on-site implementation support as needed to ensure successful implementation of the Solution.

## INNOVATIVE

Yes.

Since you are currently operating on the Polaris software, ILS implementation services will not be required. This allows continuity of service without disruption to staff or patrons and without the extensive staff effort required to implement and learn new software.

C.1.21 Proposer must agree to provide a comprehensive installation plan. The plan will include a project approach statement, description of key personnel and their expertise, a project timeline that depicts all major milestones, and a detailed schedule of tasks per a "Milestone Statement of Work" template to be provided by City.

## INNOVATIVE

Yes. Below is a sample installation plan for implementing Vega Discover Premium. e have similar installation plans for Vega Promote, Vega Program and Innovative Mobile. All timelines are negotiated with you.

### Vega Discover Premium Sample Installation Plan

The implementation timeframes required for Discover are noted below. Customer responsibilities for Discover implementations include participating in planning and design discussions, assisting and reviewing initial configurations.

| Vega Discover Premium Implementation | Duration (Days) | Duration (Hours) |
|--------------------------------------|-----------------|------------------|
| <b>Project Planning Phase</b>        |                 |                  |
| Planning                             |                 | 2                |
| Internal Team Pre-Requisite Review   |                 | 2                |
| ILS Compatibility Check              |                 |                  |
| Expected Outputs                     |                 |                  |
| Additional Forms                     |                 |                  |

|                                                                            |    |           |
|----------------------------------------------------------------------------|----|-----------|
| Project Kick-Off                                                           |    | 2         |
| Establish Project Communication Channels                                   |    |           |
| Pre-Req Documents Discussion                                               |    |           |
| <b>Installation Phase</b>                                                  |    |           |
| If ILS Clone Needed                                                        |    |           |
| Create Clone of ILS                                                        | 15 | 0.5       |
| ILS Software Upgrade (if needed)                                           |    | 0         |
| Configure the ILS API to Support a Connection to Vega                      |    | 1         |
| Establishing ILS Connections                                               |    | 1         |
| Create customer record in appropriate environment using Innovative Admin   |    |           |
| Create a library staff admin account                                       |    |           |
| Connect the ILS to the environment Vega using Innovative Admin             |    |           |
| MARC Extraction                                                            |    | 0.5       |
| <b>Configuration Phase</b>                                                 |    |           |
| Internal Only                                                              |    | 4         |
| Sync ILS material types and locations                                      |    |           |
| Set up nightly MARC extractions using the library staff interface          |    |           |
| Set up Localization settings (when applicable)                             |    |           |
| Set up Global Header and Library Hours (under Docking Framework)           |    |           |
| INN-Reach integration set up (when applicable)                             |    | 3         |
| Third-Party connection set up                                              |    |           |
| External                                                                   |    | 4         |
| Material Type mapping set up                                               |    |           |
| Facets set up                                                              |    |           |
| Showcases set up                                                           |    |           |
| Item Status mapping set up                                                 |    |           |
| Locations Hierarchy set up                                                 |    |           |
| <b>Soft Launch Phase</b>                                                   |    |           |
| Work with the Library on how to make Discovery accessible to their patrons |    | 1         |
| Go Live                                                                    |    |           |
|                                                                            |    |           |
| <b>Total Hours</b>                                                         |    | <b>21</b> |

## Key Personnel

Key to our implementation strategy is that San Diego Public Library’s existing support team (“site manager”) would be responsible for installation and configuration of any additional options selected.

|                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Project Manager / Implementation Manager | <p>The Project Manager has overall responsibility for the implementation process and master schedule, and he or she details the process and timing of the Library’s implementation, installation, and training.</p> <p>Additionally, the Project Manager makes certain that the project stays on schedule to make sure the transition from Sales to Implementation is smooth. He/she is available to answer any questions about the project that fall outside the range of other team members. As the project draws to a close, the Project Manager eases transfer of support from Implementation Services to Customer Services.</p> <p>The Project Manager will be responsible for coordinating the activities of resources from both Polaris Support and Professional Services, to deliver all products and services.</p>                                                                                                                                                                                               |
| Site Manager                             | <p>San Diego Public Library’s existing Polaris Site Manager will be responsible for working with the Library to configure all selected bundle options that are to be installed.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Training Consultant                      | <p>The Training Consultant will provide information regarding the functions of each Polaris application, train staff in the use of the system, and answer all post-installation questions. The Training Consultant provides tools to expand understanding, as well as confirming knowledge of the system.</p> <p>Our kickoff visit will be a workflow and data consulting visit, in which we gather information from you on your policies and procedures and begin the process of helping you map your policies into the Polaris system. As we configure the system tables and set up the policies in Polaris, we’ll work with you to test and make iterative changes as needed. Training will be done on your system with your configuration, so we can make sure the setup is as expected prior to go-live.</p> <p>Also, at initial session, the Training Consultant will show the library how to evaluate indexing and profiling choices, search the public catalog, and perform needed tasks like system backups.</p> |
| Support Engineer                         | <p>San Diego Public Library’s existing Polaris Support Engineer will be responsible for working with the Project Manager and Site Manager to implement all selected bundle options that are to be installed.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

C.1.23 Proposer must confirm that the subscription term shall commence on the later of (a) the date specified as the date on which access to the ILS Solution is intended to start, and (b) the actual date on which access to production licensing is accepted by the City (First User Live)

## INNOVATIVE

Yes. The license subscription and hosting term will start when all services are delivered.

## 2. Service Level Requirements

Contractor shall warrant and maintain an acceptable standard of Service Levels to be provided to SDPL throughout the duration of any resulting Contract. Contractor shall describe the controls it has implemented to ensure these standards are met, including, but not limited to, service availability (uptime), incident management and prioritized ticket handling processes, ongoing backup schedules and regime, infrastructure redundancy and disaster recovery provisions, commensurate credits for failure to attain Service Level standards, and Service Level customer reporting standards.

## INNOVATIVE

### **Service Availability (Uptime)**

For Polaris systems, we commit to uptimes of at least 99.9% with regard to unplanned downtime. For Vega LX, we commit to uptimes of at least 99.5% with regard to unplanned downtime. These commitments exclude occasional planned maintenance, which may be scheduled up to 48 hours in advance.

### **Incident Management/Prioritized Ticket Handling Process**

All tickets are submitted and viewed in the Customer Support Center, an online portal that provides exclusive access to the Help Desk as well as inside product knowledge and resources. The ticket page features all the information pertaining to the ticket including a description of the issue, pertinent attachments, and comments our support team and the Library. This allows libraries to review support activities at any time without having to wait for periodic service reports.

For service requests requiring immediate assistance, We recommend that libraries contact the Help Desk by phone or log a detailed ticket with the urgency of Site Down in the Customer Support Center. An automated response acknowledges the request, and a Help Desk staff member will then contact you based on the priority of your service request. Library coordinators are encouraged to give specific examples of problems to expedite resolutions.

Our support response time goals are as follows:

| Priority   | Response                               | Criteria                                                                                                                                                                                                                                                                                                                                                                                                                        |
|------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 1 | 1 Business Hour                        | Site down service requests are given top priority with a goal of immediate resolution given pending circumstances. These include system urgent problems such as the software is in a non-responsive state, stopped transaction processing, and instances of non-functioning primary modules (e.g., circulation, acquisitions, serials, cataloguing, public catalogue) which severely affect library productivity or operations. |
| Severity 2 | 4 Business Hours                       | Critical service requests are issues affecting the use of the module or the data that is hindering operations, such as, but not limited to: excessively slow response time, functionality degradation, error messages, or backup problems. These service requests are typically resolved within two business days.                                                                                                              |
| Severity 3 | 2 Business Days                        | High priority service requests are typically resolved within one business week. These service requests include secondary functionality problems such as issues that prevent Library staff from performing a main component of job or that prevent customers from accessing significant features of the catalogue.                                                                                                               |
| Severity 4 | As promptly as is reasonably practical | The target resolution period for routine service requests is by the next software release or sooner. This includes reports of software bugs and reports of errors in system documentation. On average, we produce two full system product releases per year as well as separate annual release schedules for premier products, which vary based on the needs of our library partners.                                           |

Service tickets are monitored by support managers and will be escalated to the executive level if necessary for additional resource allocation for prompt resolution of the issue. You can escalate support tickets at any time by following the escalation processes in the Customer Support Center.

### Ongoing Backup Schedules and Regime

Our cloud operations team performs daily backup using snapshot-based technology as part of the standard hosting package. The snapshots are stored in geographically diverse locations that are replicated to other geographically separate data centers to meet the offsite storage requirements for all customers. Random backups are periodically tested and restored to ensure compliance. For backup data, nightly backups are retained for 30 days after which they are destroyed/wiped.



## Infrastructure Redundancy and Disaster Recovery

Our Disaster Recovery (DR) plan was developed from the NIST SP800-34 framework. Standard hosting terms include disaster recovery on a best effort basis. In the unlikely event of a disaster at the primary location, the latest backup is restored to a different data center. The standard Recovery Point Objective (RPO) is 24 hours from last backup. We maintain 30 days of backups, allowing for recovery up to one month.

For Polaris systems, we also offer enhanced disaster recovery services to meet specific Recovery Point Objective (RPO) and Recovery Time Objective (RTO) targets. Enhanced Disaster Recovery is provided by replicating the bits to a different region within the country or continent. If there is no separate region available, then the replication is done to a different data center in the same region. The enhanced DR service also comes with a customer specific DR plan and annual testing of that plan.

| Service Level | Measure or Feature                    | Value                              |
|---------------|---------------------------------------|------------------------------------|
| Tier 1        | Recovery Point Objective (RPO)        | 4 hours                            |
|               | Recovery Time Objective (RTO)         | 8 hours                            |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |
| Tier 2        | Recovery Point Objective (RPO)        | 24 hours                           |
|               | Recovery Time Objective (RTO)         | 24 hours                           |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |

## Commensurate Credits for Failure to Attain Service Level Standards

Innovative offers a monthly infrastructure uptime target of 99.9% of Scheduled Up-Time to Client. Scheduled Up-Time means all of the time in a month that is not Scheduled Downtime or Third Party Unavailability. In the event that Innovative fails to provide Client with 99.9% infrastructure uptime for three consecutive months, Client will be entitled to receive a credit equal to the prorated amount of the Fees for the period in which Innovative failed to provide such infrastructure uptime during such months upon receipt of written notice from Client.

## Service Level Customer Reporting Standards

If a customer is concerned that unplanned downtime has exceeded acceptable limits, they can follow these steps to address the issue:

1. **Submit a Request:** The customer should submit a case in the Customer Support Center to request detailed hosting uptime information. This helps ensure transparency and provides the necessary data to assess the situation.
2. **Support Team Action:** Upon receiving the request, the support team will open an internal cloud ticket to gather the required uptime data. This step ensures that accurate and up-to-date information is provided to the customer.



3. **Review and Credit Request:** After reviewing the uptime data, if the customer determines that the unplanned downtime has indeed exceeded the acceptable limits, they can request a service credit. This request should be directed to their account manager, who will facilitate the credit process.

## **Narrative Descriptions for Exhibit F – Functional Requirements – Service Level Requirements**

C.2.1 Proposer warrants that the Hosted Service will be available to be accessed by the City at least 99.5% (Uptime) of each calendar month during the Service Period.

### **INNOVATIVE**

Yes.

We endeavor to ensure 99.9% availability of our software and make commercially reasonable efforts to schedule maintenance and system upgrades during the weekends or outside regular business hours (i.e. after regular end of business Pacific Time and before start of business Eastern Time) with reasonable notice. Availability is calculated by dividing the number of minutes the software was available during the Measured Period by the total sum of the minutes in the Measured Period less any Excluded Downtime.

For the purposes of this calculation, (i) the Measured Period is a calendar year and (ii) the Excluded Downtime includes scheduled downtime for system maintenance and release updates, as well as any service unavailability attributable to your breach, any actions or omissions by you or your users, causes beyond our control, or separate instances of unavailability of less than 5 (five) minutes duration each, provided such instances are not of a persistent nature.

If availability falls below 99.9% in a month for three consecutive months, you will be entitled to a credit equal to the prorated amount of the fees for hosting services for any time during such three-month period in which the software was unavailable (other than Excluded Downtime). This credit will be your exclusive remedy for such unavailability.

C.2.2 Where Proposer fails to meet the Uptime Service Level then City is entitled to claim the following prorated Service Credits against the annual Subscription Fee:

- 99.5% to 100% = No credit; Uptime is met
- 97.0% to 99.4% = 5% of the prorated monthly Subscription Fee for the Services
- 95.0% to 96.9% = 7% of the prorated monthly Subscription Fee for the Services
- 90.05 to 94.9% = 10% of the prorated monthly Subscription Fee for the Services
- Less than 90% = 100% of the prorated monthly Subscription Fee for the Services

## INNOVATIVE

No.

See response to C.2.1 above. We are willing to negotiate the prorated service credits.

C.2.5 Applications provided by the Proposer are supported twenty-four (24) hours a day, seven (7) days a week by an automated and alert monitoring system.

## INNOVATIVE

Yes.

Our automated monitoring service ensures that hosted services are operational and meeting performance commitments. We leverage enterprise monitoring solutions like AppDynamics in addition to Cloud Watch and flow logs. With a 24x7 Network Operation Center, we leverage these monitoring tools to ensure a proactive approach to identifying issues and addressing them before customer sees an impact. This helps us to collect, analyze, and monitor application and infrastructure performance data. IT and customer support staff can proactively and quickly identify, isolate, and mitigate application and system level issues.

C.2.6 Applications provided under this agreement will be the responsibility of Proposer. Proposer will own and manage the application, related databases, supporting computing hardware, and necessary operating systems.

## INNOVATIVE

Yes

Innovative will own most of the application, but not all and will manage the application, related databases, supporting computing hardware and necessary operating systems.

C.2.7 Proposer shall maintain and comply with a reasonable written Disaster Recovery plan (DR Plan), setting forth the procedures for keeping services functioning during and after an earthquake, hurricane, other natural disaster, war, act of terrorism, act of cyber-terrorism, and other natural or man-made disaster, including without limitation force majeure; and (b) restoring Service functionality promptly after a Disaster. The DR Plan will include procedures no less protective than industry standard, and Proposer shall update the DR Plan as the industry standard changes.

## INNOVATIVE

Yes.

Innovative Disaster Recovery (DR) plan was developed from the NIST SP800-34 framework. Standard hosting terms include disaster recovery on a best effort basis. In the unlikely event of a disaster at the primary location, the latest backup is restored to a different availability zone on a best effort basis.

Innovative also offers enhanced disaster recovery services to meet specific Recovery Point Objective (RPO) and Recovery Time Objective (RTO). The enhanced DR service also comes with a customer specific DR plan and annual testing of that plan. The Disaster Recovery is provided by replicating the bits to a different region within the continent. If there is no separate region available in the continent or if the customer requires the data to be in country, then the replication is done to a different data center in the same region.

| Service Level | Measure or Feature                    | Value                              |
|---------------|---------------------------------------|------------------------------------|
| Tier 1        | Recovery Point Objective (RPO)        | 4 hours                            |
|               | Recovery Time Objective (RTO)         | 8 hours                            |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |

|               |                                       |                                    |
|---------------|---------------------------------------|------------------------------------|
| <b>Tier 2</b> | Recovery Point Objective (RPO)        | 24 hours                           |
|               | Recovery Time Objective (RTO)         | 24 hours                           |
|               | Customer specific DR plan and DR test | Included                           |
|               | DR location                           | Alternate Availability Zone/Region |

C.2.9 Proposer will monitor and document its performance against the agreed Service Levels, and provide to the City a quarterly report demonstrating its performance against the agreed Service Level Requirement metrics, highlighting where any targets have been missed and providing to the City a Service Credit to the applicable value agreed when necessary.

## INNOVATIVE

Yes.

While there is no automated quarterly uptime report, we can share uptime reports on customer request.

C.2.10 For the avoidance of doubt, if Proposer fails to meet its Service Levels on three (3) consecutive monthly reporting periods, or fails to meet its Service Levels on four (4) monthly reporting periods through the course of a rolling twelve (12) month period then City will consider that Proposer is failing to satisfactorily perform its Service Levels and may exercise its rights to terminate the Agreement for default.

## INNOVATIVE

No.

Our current contracts allow for a credit equal to the prorated amount of the fees for the period in which Innovative failed to provide such infrastructure uptime during such months upon receipt of written notice from Client, upon 3 consecutive months of missed uptime SLA.

### 3. Staff Client Application

Contractor shall describe how a library staff member would use the staff client application to accomplish the following tasks: check out an item to a library patron; place a hold on a specific volume in a multivolume set on behalf of a library patron; place an item in transit; receive an item from transit that has holds; process a cash or check bill payment for a library patron.

## INNOVATIVE

Completely web-based, Polaris manages all your circulation processes, including check outs, holds, check in, fines/fees, and more. Please see the separately uploaded *Exhibit B – Scope of Work – Staff Client Step-by-Step* PDF for step-by-step instructions for accomplishing these tasks:

- Check out an item to a library patron – see *Polaris Leap Checking Out*.
- Place a hold on a specific volume in a multivolume set on behalf of a library patron – see *Polaris Leap Hold Requests*.
- Place an item in transit – the Patron Services setting *Check-in: Prompt for in-transit in normal mode* specifies if a prompt appears when an item is checked in at a branch other than the assigned branch. The prompt offers the choice of changing the item's status to *In-transit* to its assigned branch, or changing the item's status to *In*.
- Receive an item from transit that has holds – see *Polaris Leap Checking In*.
- Process a cash or check bill payment for a library patron – see *Polaris Leap Patron Account*.

## Narrative Descriptions for Exhibit F – Functional Requirements – Staff Client

C.3.2 Provides user accessible configuration options to control the staff client's appearance (colors, font sizes, etc.).

## INNOVATIVE

Yes.

In Polaris, staff can set their Workform User Defaults.

The screenshot shows the Polaris Settings interface. At the top, there's a navigation bar with 'polaris', a search bar, and a 'FIND' button. Below this, there are buttons for 'CHECK IN', 'NEW PATRON', and 'PRINT'. The main section is titled 'Settings' and includes 'SAVE', 'REFRESH', and 'CLOSE' buttons. The 'Workform User Defaults' tab is selected, showing various configuration options:

- Workforms: Default view:** Check in (Bulk), Item record (Circulation), Bibliographic record (MARC), Background processing (MARC Import).
- Request manager: Default status:** Holds (Active), ILL (Inactive), INN-Reach (Active).
- Workform tracker: Recent records:** Patron (15), Bibliographic (15), Item (15).
- Approval dashboard: Default status:** Weeding Requests (All).
- MARC Editor:** Display hints (checked).
- Workforms: New item record:** Item Template (None).
- Workforms: Item bulk change:** Bulk Change Template (None).

Staff can also save default search options in the Find Tool.

The screenshot shows the 'Find Tool - Item Record' dialog box. It has tabs for 'Item Record', 'Basic Search', 'All keyword fields', and 'Keyword (All)'. A settings overlay is visible, asking the user to either 'Save the current search and column settings as the user's default' (selected) or 'Revert to system default search and column settings'. There is a 'SAVE' button in the overlay. The main dialog box has a search bar, a table with columns 'Title', 'Assig...', 'Colle...', and 'Mater...', and buttons for 'ADD TO RECORD SET', 'OPEN', and 'CANCEL'. The status bar at the bottom says 'Ready' and 'Count Only'.

Settings can be set in System Administration at the branch and workstation levels. These settings are based on user permissions. For example, on the check-out screen, the user can customize what patron data displays in the header and, to a limited extent, what data displays for items checked out.

Polaris also includes a number of parameters and options that allow each library to configure the system appropriately at the system, library, branch, workstation, and staff level. All such options and parameters are initially configured during implementation. Your implementation project team assists you with creating a profile for these system settings. Defaults can be easily set by each library, using Polaris' user-friendly graphics, to reflect local practice and can be easily modified by the library at any time without intervention.

C.3.4 Allows configuration of different permissions levels to control access to various components of the ILS. In addition, Proposer shall describe level of permissions granularity.

## INNOVATIVE

Yes.

Polaris permissions control who can access, create, modify, or delete specific record types and who can perform specific tasks in Polaris. Most permissions that control access to and modification of record types are set for the organization that owns the specific record. Permissions that control the ability to do specific tasks are typically set at the system level.

You can set up permissions based on the needs of the organizations in your system, and the tasks that staff members are expected to do. To allow administrators to control all records and functions in Polaris, you can set up certain staff members as "Superusers" or add these staff members to the Administrator permission group.

Using the fine level of control available in Polaris permissions, your library can effectively manage the specific tasks your staff members can perform in Polaris. The flexibility of Polaris permissions provides libraries options to accommodate various staff responsibilities, such as:

- Check-out clerks cannot override circulation blocks, but the supervisor does have permission to override these blocks.
- Staff members at a large library system rotate among different branches. The staff members have a set of permissions that are the same for all but one branch. The one branch is more restrictive with the permissions granted to rotating staff.
- Senior catalogers have permissions to maintain authority records used by the entire library system. All other catalogers have permission to access the headings used in bibliographic records, but they cannot add any headings or change existing ones.
- The library system has a central acquisitions department, but individual branches maintain their own selection lists. The central acquisitions department can access each branch's selection lists, but only specific staff members at the branch can modify the lists.
- Each member library in a shared environment prefers to keep its fund structure private. Libraries cannot view (access) each other's fund records.

When a staff member does not have the appropriate permission to do a patron services or circulation task, a permission block message appears. You can allow specific staff members (typically supervisors) to override certain permission blocks so the blocked staff member can continue the task.

C.3.5 Allows modification of onscreen fields/labels.

## INNOVATIVE

Yes.

All text strings in Polaris Leap are managed using a tool called the Language Editor. Staff can easily modify any text string in English and in any other language licensed by the Library.

C.3.6 Provides batch processing tools (e.g., bulk patron record, bibliographic, item, and order loads).

## INNOVATIVE

Yes.

Batch edits can be made to bib and item records using record set functionality. Record sets group related records together so you can retrieve, change, or process them in one step.

For bulk change of authority records, Polaris automatically changes all linked bib headings when an authority record is changed.



## Patron Record Bulk Change

**Patron Record Set**

Name: patrons with email addresses

Note:

Owner: Red Rock Public Library (b)

Record Status: Final

Record Set ID: 83

Record Count:

Actions: **Bulk Change**, Create Item Record Set, Create Multiple Holds, Export, Delete

| BARCODE                                 | NAME                    | STREET              | CITY         | STATE | POSTAL CODE | LIBRARY                   |
|-----------------------------------------|-------------------------|---------------------|--------------|-------|-------------|---------------------------|
| <input type="checkbox"/> 299994229e     | Abrams, Arlie           | 110 Executive Drive | MECKLENBURG  | NY    | 14853       | Repository Used Reference |
| <input type="checkbox"/> 22398000292609 | ABULENCIA, MARY         | 123 Mary Lane       | BALDWINVILLE | NY    | 13027       | Red Rock Public Library   |
| <input type="checkbox"/> 643532234      | Ackerman, Scott S       | 1205 OAK CIR        | DRYDEN       | NY    | 13053       | Truman Public Library     |
| <input type="checkbox"/> 22398000110967 | ADAMS, ALISA N          | 2121 BARNWOOD CR    | LIVERPOOL    | NY    | 13088       | Red Rock Public Library   |
| <input type="checkbox"/> gabe           | Armatas, Nathan Gabriel | 1                   | ITHACA       | NY    | 14850       | Hayes Public Library      |
| <input type="checkbox"/> Bailey         | Bailey, Dan             | 1 Froning Way       | SYRACUSE     | NY    | 13202       | Montana Avenue            |

**Patron Bulk Change**

patrons with email addresses

Red Rock Public Library

Error Record Set

Name:

Owner:

Profile | Attributes | Address | Preferences | Blocks and Notes

Registered Branch: (No change)

Patron Code: (No change)

Statistical Class: (No change)

Gender: (No change)

Expiration Date:

Date of Registration:

**UPDATE PATRONS** **CANCEL**

**Patron Bulk Change** UPDATE PATRONS CANCEL

patrons with email addresses

Red Rock Public Library

Error Record Set

☐ Name Owner

Profile **Attributes** Address Preferences Blocks and Notes

User Defined Fields

Drivers License ☐

Newsletter ☐

Book Club ☐

Internet Enabled ☐

**Patron Bulk Change** UPDATE PATRONS CANCEL

patrons with email addresses

Red Rock Public Library

Error Record Set

☐ Name Owner

Profile **Attributes** **Address** Preferences Blocks and Notes

Address Check Date ☐

Notices Address

(No change)

Notification Option

(No change)

Additional TXT Notice

(No change)

eReceipt Option

(No change)

**Patron Bulk Change**

patrons with email addresses

Red Rock Public Library

Error Record Set

☐ Name

Owner

Profile Attributes Address Preferences Blocks and Notes

Exclude from Notices and Reminders

Overdue

(No change)

Hold

(No change)

Billing

(No change)

Almost Overdue/Auto-Renew

(No change)

Patron Record Expiration

Language

(No change)

Maintain Reading History

(No change)

Do Not Delete Record

(No change)

Email Notices in Plain Text

(No change)

Exclude from Collection Agency

(No change)

**Patron Bulk Change**

patrons with email addresses

Red Rock Public Library

Error Record Set

☐ Name

Owner

Profile Attributes Address Preferences Blocks and Notes

Library Assigned Blocks

Free Text Blocks

Blocking Notes

Non-Blocking Notes

Secure the Patron Record

## Bibliographic Record Bulk Change

**Bibliographic Record Set**

Name: Mary's Stephen King

Owner: mary.abulencia

Note:

Record Status: Final

Scan or enter barcode:  **FIND TOOL**

| <input type="checkbox"/> | TITLE                                  | AUTHOR               | FORMAT          | LINKED ITEMS | HOLDS | PUB DATE | CALL NO. | CONTROL NUMBER | STATUS |
|--------------------------|----------------------------------------|----------------------|-----------------|--------------|-------|----------|----------|----------------|--------|
| <input type="checkbox"/> | Apt pupil [sound recording]            | King, Stephen, 1947- | Sound Recording | 4            | 0     | 1984     |          | 33112          | Final  |
| <input type="checkbox"/> | The Bachman books : four early novels  | King, Stephen, 1947- | Book            | 1            | 0     | 1986     |          | 44888          | Final  |
| <input type="checkbox"/> | Bag of bones [text (large print)]      | King, Stephen, 1947- | Large Print     | 1            | 0     | 1998     | 813/.54  | 45939          | Final  |
| <input type="checkbox"/> | The body [sound recording]             | King, Stephen, 1947- | Sound Recording | 1            | 0     | 1999     |          | 71288          | Final  |
| <input type="checkbox"/> | The breathing method                   | King, Stephen, 1947- | Large Print     | 1            | 0     | 1984     |          | 78378          | Final  |
| <input type="checkbox"/> | The breathing method [sound recording] | King, Stephen, 1947- | Sound Recording | 1            | 0     | 1999     |          | 78377          | Final  |

**Bibliographic Record Bulk Change**

Mary's Stephen King  
mary.abulencia

**UPDATE BIBS** **CANCEL**

☒ Non-MARC ☐ Data Fields ☐ Leader ☐ 006 Tag ☐ 007 Tag ☐ 008 Tag

**Display in PAC**: (No change)

**Do Not Overlay**: (No change)

**Record Owner**

From: (No change) To: (No change)

**Save Provisional Records as Final**: ☐

**Create Resource Entities for Vendor Account**: ☐

leap

Scan or search

Q

FIND

New

Utilities

Help

mary.abulencia (RRPL)

Bibliographic Record Bulk Change

UPDATE BIBS

CANCEL

Mary's Stephen King

mary.abulencia

Non-MARC

Data Fields

Leader

006 Tag

007 Tag

008 Tag

05

Records status

(No change)

Change to

(No change)

✕

06

Type of record

(No change)

Change to

(No change)

✕

07

Bibliographic level

(No change)

Change to

(No change)

✕

08

Type of control

(No change)

Change to

(No change)

✕

09

Character coding scheme

iii leap Scan or search FIND New Utilities Help mary.abulencia (RRPL)

CHECK IN NEW PATRON PRINT

### Bibliographic Record Bulk Change

UPDATE BIBS CANCEL

Mary's Stephen King  
mary.abulencia

☒ Non-MARC ☒ Data Fields ☒ Leader 006 Tag 007 Tag 008 Tag

**Type of Material**

- Type of Material
- Type of Material
- Books
- Computer Files
- Continuing Resources
- Maps
- Mixed Materials
- Music
- Visual Materials

iii leap Scan or search FIND New Utilities Help mary.abulencia (RRPL)

CHECK IN NEW PATRON PRINT

### Bibliographic Record Bulk Change

UPDATE BIBS CANCEL

Mary's Stephen King  
mary.abulencia

☒ Non-MARC ☒ Data Fields ☒ Leader 006 Tag 007 Tag 008 Tag

**Category of Material**

- Category of Material
- Category of Material
- Electronic Resource
- Globe
- Kit
- Map
- Microform
- Motion Picture
- Nonprojected Graphic
- Notated Music
- Projected Graphic
- Remote-Sensing Image
- Sound Recording
- Tactile Material
- Text
- Unspecified
- Videorecording

**Bibliographic Record Bulk Change**

Mary's Stephen King  
mary.abulencia

Non-MARC Data Fields Leader 006 Tag 007 Tag 008 Tag

Type of Material  
Type of Material  
Books  
Computer Files  
Continuing Resources  
Maps  
Mixed Materials  
Music  
Visual Materials

CHECK IN NEW PATRON PRINT UPDATE BIBS CANCEL

## Item Record Bulk Change

**Item Record Set**

Name: Mary's Stephen King  
Owner: mary.abulencia  
Record Status: Final

ACTIONS: Bulk Change, Create Bibliographic Record Set, Delete, Undelete, Reset Due Dates

SAVE ACTIONS CLOSE

Scan or enter barcode FIND TOOL ACTIONS Filter Records

|                          | TITLE                       | ASSIGNED BRANCH            | COLLECTION    | MATERIAL TYPE | CALL NO.                  | STATUS | BARCODE        | LAST ACTIVITY DATE | RECORD STATUS | CONTROL NUMBER |
|--------------------------|-----------------------------|----------------------------|---------------|---------------|---------------------------|--------|----------------|--------------------|---------------|----------------|
| <input type="checkbox"/> | Apt pupil [sound recording] | Thompson Falls High School | Media (MEDIA) | Cassette      | CASSETTE F KIN Pt.1 set 1 | Lost   | 32398003657715 | 7/24/2000          | Final         | 392422         |
| <input type="checkbox"/> | Apt pupil [sound recording] | Thompson Falls High School | Media (MEDIA) | Cassette      | CASSETTE F KIN Pt.2 set 1 | Lost   | 32398003657723 | 7/24/2000          | Final         | 409027         |
| <input type="checkbox"/> | Apt pupil [sound recording] | Thompson Falls High School | Media (MEDIA) | Cassette      | CASSETTE F KIN Pt.3 set 1 | Lost   | 32398003657731 | 7/24/2000          | Final         | 409028         |
| <input type="checkbox"/> | Apt pupil [sound recording] | Thompson Falls High School | Media (MEDIA) | Cassette      | CASSETTE F KIN Pt.5 set 1 | Lost   | 32398003657756 | 7/24/2000          | Final         | 409029         |



leap

Scan or search

FIND

New ▾Utilities ▾Help ▾mary.abulencia (RRPL) ▾

Item Record Bulk Change

UPDATE ITEMSSAVE A S TEMPLATECANCEL

Mary's Stephen King  
mary.abulencia

Bulk Change Report

ItemBulkChangeReport\_20230607111905.txt

Template

(None)

Error Record Set

☐ Name

Owner

mary.abulencia

[Location](#)

[Circulation](#)

[Call Number](#)

[Blocks and Notes](#)

[Miscellaneous](#)

Owning Branch

(No change)

Shelf Location

(No change)

Assigned Branch

(No change)

Home Branch

(No change)

Collection

(No change)

Temporary Location

☐

leap

Scan or search

FIND

Next ▾Utilities ▾Help ▾mary.abulencia (RRPL) ▾

Item Record Bulk Change

UPDATE ITEMSSAVE AS TEMPLATECANCEL

Mary's Stephen King

mary.abulencia

Bulk Change Report

ItemBulkChangeReport\_20230607111905.txt

Template

(None)

Error Record Set

☐ Name

Owner

mary.abulencia

Location

Circulation

Call Number

Blocks and Notes

Miscellaneous

Circulation Status

(No change)

Fine Code

(No change)

Material Type

(No change)

Statistical Code

(No change)

Loan Period

(No change)

Renewal Limit

Holdable

(No change)



≡ leap Scan or search  FIND
New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

## Item Record Bulk Change

Mary's Stephen King  
*mary.abulencia*

**Bulk Change Report**
**Template**

**Error Record Set**
**Owner**

☐ Name

Location
 Circulation
 Call Number
 Blocks and Notes
 Miscellaneous

**Call Number Scheme**

**Suffix** ☐

**Prefix** ☐

**Volume** ☐

**Classification** ☐

**Copy** ☐

**Cutter** ☐

**Use call number fields from bib record** ☐

**Item Record Bulk Change**

Mary's Stephen King  
mary.abulencia

Bulk Change Report

Template

Error Record Set  
☐ Name

Owner

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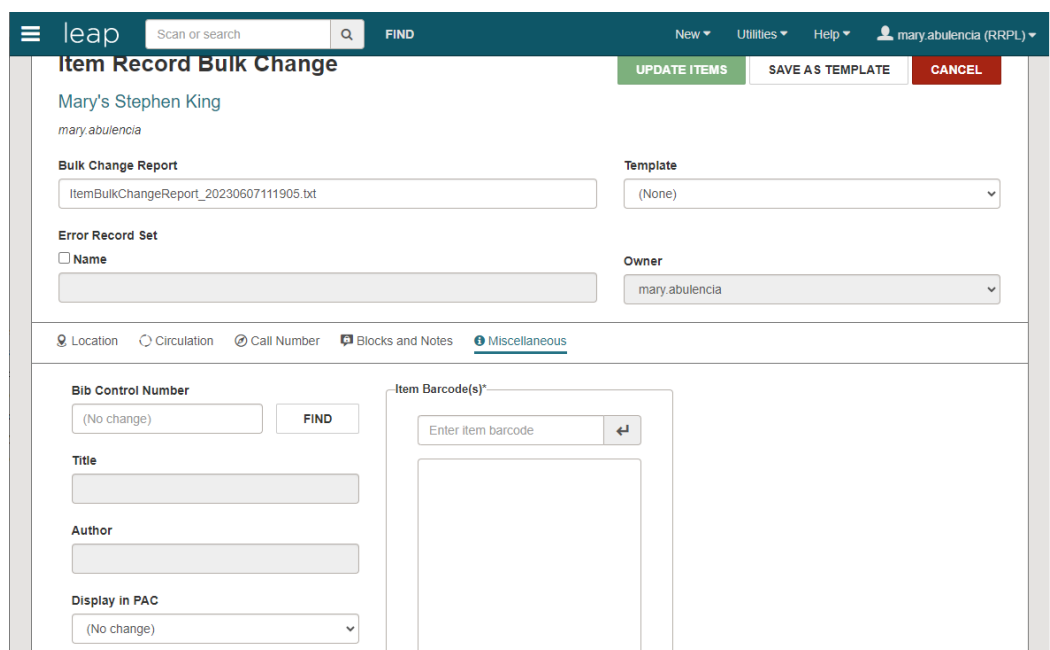
Location   Circulation   Call Number   **Blocks and Notes**   Miscellaneous

Library Assigned Block

Free Text Block ☐

Public Note ☐

Non-Public Note ☐



The screenshot shows the 'Item Record Bulk Change' interface in the leap system. At the top, there's a navigation bar with 'leap' logo, a search bar, and a 'FIND' button. Below this, the title 'Item Record Bulk Change' is displayed, followed by 'Mary's Stephen King' and 'mary.abulencia'. There are three buttons: 'UPDATE ITEMS' (green), 'SAVE AS TEMPLATE' (grey), and 'CANCEL' (red). The interface is divided into several sections: 'Bulk Change Report' with a text input field containing 'ItemBulkChangeReport\_20230607111905.txt'; 'Template' with a dropdown menu showing '(None)'; 'Error Record Set' with a checkbox for 'Name' and an empty text input; and 'Owner' with a dropdown menu showing 'mary.abulencia'. Below these, there are tabs for 'Location', 'Circulation', 'Call Number', 'Blocks and Notes', and 'Miscellaneous' (which is selected). The 'Miscellaneous' tab contains a 'Bib Control Number' section with a text input field showing '(No change)' and a 'FIND' button, and a 'Title' section with an empty text input. There's also an 'Author' section with an empty text input and a 'Display in PAC' section with a dropdown menu showing '(No change)'. To the right of these sections is a large area for 'Item Barcode(s)\*' with a text input field showing 'Enter item barcode' and a 'FIND' button.

## Order Loads

You can access vendors' web-based selection tools and databases directly from the main Polaris menu. Using your library's profile on the vendor's site, you can select titles and specify material type, fund, destination library, collection information, and non-public notes. Then, the brief bibliographic records are imported into record sets that can be automatically bulk added to selection lists or purchase orders. As a result, the purchase orders already include bibliographic, fund, and order distribution information.

Polaris has successfully imported MARC records using the following vendor systems:

- Baker & Taylor's Title Source 3
- Brodart's Bibz2.com
- Ingram's iPage
- Midwest Tape

The vendors above support the Polaris designated 970 order distribution tag with the following subfields:

- 970\$I [location]
- 970\$c [collection]
- 970\$f [fund]
- 970\$q [quantity]
- 970\$p [price] (If no 970\$p, Polaris uses 020\$c)
- 970\$n [non-public notes]

Multiple 970 tags are supported in the MARC bib record. Finally, Polaris supports the ability to overlay duplicate identical bibliographic records while retaining (970) order data, so that multiple selectors can work simultaneously in either a centralized or de-centralized acquisitions workflow.

C.3.7 Allows for patron records to be merged.

## INNOVATIVE

Yes.

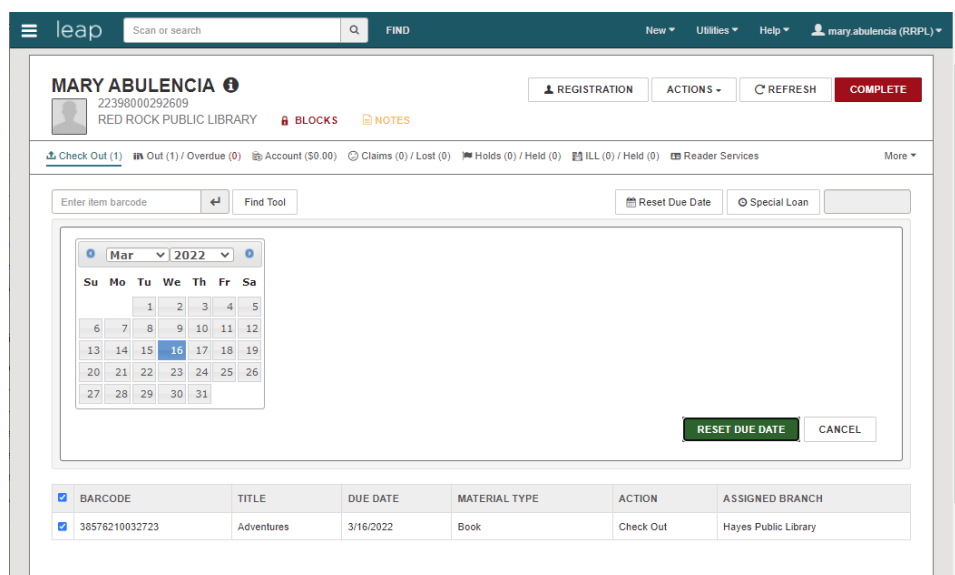
Two records may exist for the same patron, and they can be merged. Patron registration information (patron code, registered branch, address, notification options, stat class, UDF values, and so forth) from the primary record is retained. Patron transaction summary information (such as items out, fines, holds, associations) is copied from the secondary record to the primary record. When the records are merged, the secondary record is deleted. The date of the merge and the barcode from the deleted record appear on the primary record's property sheet.

C.3.8 Allows authorized staff to set custom due dates.

## INNOVATIVE

Yes.

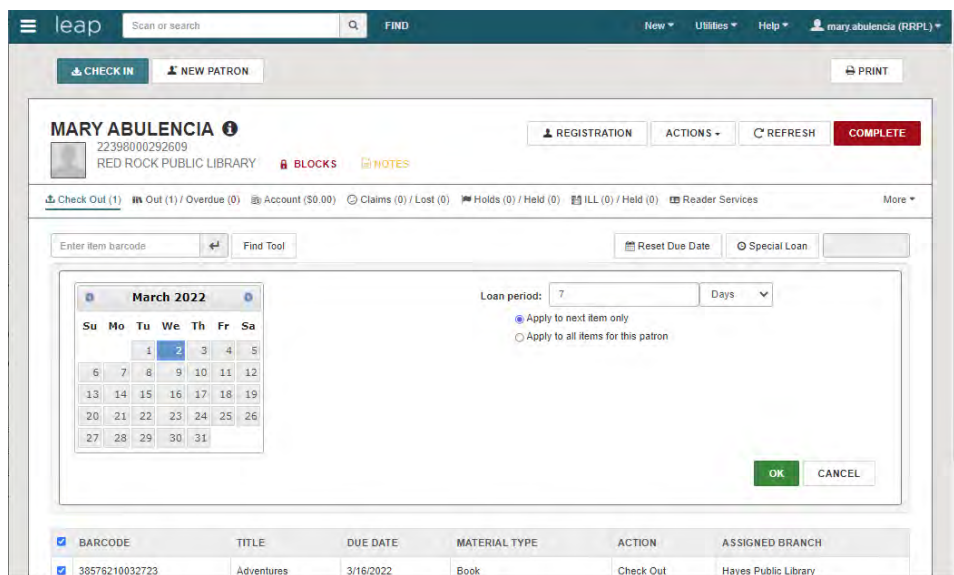
You can reset the default due date;



The screenshot shows the 'leap' library system interface. At the top, there's a search bar and navigation links. The main section displays the patron record for 'MARY ABULENCIA' (ID: 22398000292609) at 'RED ROCK PUBLIC LIBRARY'. Below this, there's a summary of transactions: 'Check Out (1)', 'Out (1) / Overdue (0)', 'Account (\$0.00)', 'Claims (0) / Lost (0)', 'Holds (0) / Held (0)', 'ILL (0) / Held (0)', and 'Reader Services'. A 'Find Tool' is available to search by item barcode. The 'RESET DUE DATE' button is highlighted. Below the button, a calendar for March 2022 is shown, with the 16th selected. At the bottom, a table lists the patron's transactions:

| BARCODE        | TITLE      | DUE DATE  | MATERIAL TYPE | ACTION    | ASSIGNED BRANCH      |
|----------------|------------|-----------|---------------|-----------|----------------------|
| 38576210032723 | Adventures | 3/16/2022 | Book          | Check Out | Hayes Public Library |

Or, set a Special Loan.



The screenshot shows the 'leap' library management system interface. At the top, there's a search bar and navigation links like 'CHECK IN', 'NEW PATRON', and 'PRINT'. The main section displays the profile for 'MARY ABULENCIA' with a registration number '2239000292609' and affiliation 'RED ROCK PUBLIC LIBRARY'. Below this, there are tabs for 'BLOCKS' and 'NOTES'. A summary bar shows various statistics: Check Out (1), In Out (1), Overdue (0), Account (\$0.00), Claims (0), Lost (0), Holds (0), Held (0), ILL (0), and Reader Services. The 'Check Out' section is active, showing a calendar for March 2022. A 'Loan period' of 7 days is set, with options to 'Apply to next item only' (selected) or 'Apply to all items for this patron'. At the bottom, a table lists items with columns for Barcode, Title, Due Date, Material Type, Action, and Assigned Branch. One item is listed: Barcode 38576210032723, Title 'Adventures', Due Date 3/16/2022, Material Type 'Book', Action 'Check Out', and Assigned Branch 'Hayes Public Library'.

C.3.9 Proposer offers mobile solution for circulation, inventory, and patron registration.

## INNOVATIVE

Yes.

The Polaris responsive web client brings the power and functionality of the Polaris ILS public services workflows to library staff through a browser. The Polaris web client can be used on a desktop, a notebook, or a tablet, freeing staff to connect with patrons and complete tasks wherever it is most convenient – even outside the library walls. This is not a scaled down version of circulation, but rather a fully featured web version of patron services and allows for circulation, inventory and patron registration functions to be performed.

C.3.10 Allows authorized staff to modify patron hold rankings and pickup location. Provides a notes field where staff may explain modifications.

## INNOVATIVE

Yes.

The Hold Request workform includes general information about the hold request and the following actions can be performed:

- Cancel
- Reactivate
- Delete
- Fill Now
- Convert to ILL
- Transfer
- Return
- Deny
- Ask me later

The workflow has several Views:

### Details View

The screenshot shows the 'Hold Request' details view in the Polaris system. The header includes the Polaris logo, a search bar, and navigation links like 'New', 'Utilities', 'Help', and a user profile for 'mary.abulencia (RRPL)'. The main title is 'Hold Request' with a help icon. Below the title are buttons for 'SAVE', 'ACTIONS -', 'LINKS -', 'REFRESH', and 'CLOSE'. A small image of the book cover is on the left. The main content area displays request details: Request ID: 265239, Bib control number: 875661, Patron barcode: 155604707, Status: Active 8/27/2024, Request date: 8/22/2024, Origin: Library, and Patron name: Peter Lake. Below this is a tabbed interface with 'Details' selected. The details section contains various input fields for pickup location (Red Rock Public Library), pickup area (Lobby), activation date (8/22/2024), expiration date (2/18/2025), tracking number, title, barcode, format (Book), author, ISBN/ISSN (9780824866226), pages, series (Mānoa : book. 27.2), edition, issue, publisher, call NO, serial copy, date (2015), LCCN, and volume.

This is where the pickup location can be changed.

☒ Details
 ☐ Notes
 ☒ Satisfied By

**Pickup Branch**

Red Rock Public Library

Adams Public Library
Bedford Falls Public Library
Bookmobile
Carnegie Central Library
Carnegie Public Library
Clinton Public Library
Grant Public Library
Jefferson Public Library
Johnson Public Library
Montana Avenue Branch
North Branch
Outreach Services
Pottersville Public Library
Quaker Street Branch
Red Rock Public Library
South Main Library
Tyler Public Library





polaris

FIND
New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

CHECK IN
NEW PATRON
PRINT

---

## Hold Request

SAVE
ACTIONS ▾
LINKS ▾
REFRESH
CLOSE

The colors of dawn : twentieth-century Korean poetry

|                                                                                                          |                                                                                                                                                                    |                                                                                                                                        |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|
| Request ID: 265239<br><br>Status: Active 8/27/2024<br><br>Request date: 8/22/2024<br><br>Origin: Library | Bib control number: <u>875661</u><br><br><input type="checkbox"/> This item only<br><br><input checked="" type="checkbox"/> Borrow by Mail<br><br>Tracking number: | Patron barcode: <u>155604707</u><br><br>Patron name: Peter Lake<br><br>Registered at: Tyler Public Library<br><br>Notification option: |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|

☒ Details
☐ Notes
☒ Satisfied By
[History](#)
☒ All Hold Requests

| DATE                 | STATUS  | BARCODE         | BRANCH                      | USER        | ACTION                                                                                                     |
|----------------------|---------|-----------------|-----------------------------|-------------|------------------------------------------------------------------------------------------------------------|
| 8/27/2024 5:00:10 AM | Active  |                 |                             | PolarisExec | Request reactivated during RTF processing - primary RTF routing cycle completed and moved to secondary RTF |
| 8/25/2024 5:00:14 AM | Pending | 399990003454503 | Pottersville Public Library | PolarisExec | Primary RTF processing placed request on pick list                                                         |
| 8/22/2024 6:15:30 PM | Pending | 399990003454501 | Red Rock Public Library     | rgoetz      | Primary RTF processing placed request on pick list                                                         |
| 8/22/2024 6:15:30 PM | Active  |                 |                             | rgoetz      | Request activated during request creation                                                                  |

**polaris**    Scan or search    🔍    FIND    New ▾    Utilities ▾    Help ▾    mary.abulencia (RRPL) ▾

---

**CHECK IN**    **NEW PATRON**    PRINT

---

### Hold Request ⓘ

SAVE
ACTIONS ▾
LINKS ▾
REFRESH ↻
CLOSE



The colors of dawn : twentieth-century Korean poetry

|                          |                                            |                                           |
|--------------------------|--------------------------------------------|-------------------------------------------|
| Request ID: 265239       | Bib control number: <a href="#">875661</a> | Patron barcode: <a href="#">155604707</a> |
| Status: Active 8/27/2024 | <input type="checkbox"/> This item only    | Patron name: Peter Lake                   |
| Request date: 8/22/2024  | <input type="checkbox"/> Borrow by Mail    | Registered at: Tyler Public Library       |
| Origin: Library          | Tracking number:                           | Notification option:                      |

---

☒ Details   
 ☐ Notes   
 ☒ Satisfied By   
 ☐ History   
[All Hold Requests](#)

---

| PATRON NAME | PATRON BRANCH        | STATUS | PICKUP BRANCH           | ACTIVATION DATE | EXPIRATION DATE |
|-------------|----------------------|--------|-------------------------|-----------------|-----------------|
| Lake, Peter | Tyler Public Library | Active | Red Rock Public Library | 8/22/2024       | 2/18/2025       |



Hold rankings can be changed in the Holds Queue. Requests can be moved Up or Down or moved to the Top or Bottom of the list.

**Holds Queue**

Alfred Hitchcock and the three investigators in The mystery of the shrinking house  
By Arden, William, 1924-  
Control number: 6

Queue (2) All Hold Requests (3)

| POSITION | PATRON NAME          | PATRON BRANCH         | STATUS  | PICKUP BRANCH         | VOLUME | ISSUE | REQUEST DATE | EXPIRATION DATE |
|----------|----------------------|-----------------------|---------|-----------------------|--------|-------|--------------|-----------------|
| 1 of 2   | Stowell, Christopher | Montana Avenue Branch | Shipped | Montana Avenue Branch |        |       | 1/17/2014    | 1/17/2015       |
| 2 of 2   | Stowell, Christopher | Montana Avenue Branch | Shipped | Montana Avenue Branch |        |       | 12/11/2013   | 12/11/2014      |

C.3.11 Generates and maintains a dynamic pull list of items available to fill active holds.

## INNOVATIVE

Yes.

Pending requests are listed in the picklist. Staff can take a tablet into the library stacks and manage the picklist, either marking items Located, Missing, Ask Me Later, or Deny the hold.

**Picklist**

Red Rock Public Library

Pending (41) Located (0) Unclaimed (15) Unclaimed ILL (4) Holds to Transfer (0)

| COLLECTION        | SHELF LOCATION | CALL NUMBER                                     | AUTHOR                                         | TITLE | MATERIAL TYPE | PICKUP BRANCH  | BARCODE   | PENDING DATE |
|-------------------|----------------|-------------------------------------------------|------------------------------------------------|-------|---------------|----------------|-----------|--------------|
| Adult Fiction     | FIC BALDACC    | Baldacci, David                                 | A minute to midnight                           | Book  | RRPL          | 9999000034807  | 9/16/2021 |              |
| Adult Fiction     | FIC ROWL       | Rowling, J. K.                                  | Harry Potter and the Chamber of Secrets        | Book  | RRPL          | 32456799907645 | 9/16/2021 |              |
| Adult Non-Fiction | 613.71 C295c   | Carpenter, Ann.                                 | The complete book of aerobics                  | Book  | RRPL          | 32398002292019 | 9/15/2021 |              |
| Adult Non-Fiction | 796 H497b      | Henderson, Robert W. (Robert William), b. 1888. | Ball, bat and bishop: the origin of ball games | Book  | RRPL          | 32398002792141 | 8/25/2021 |              |

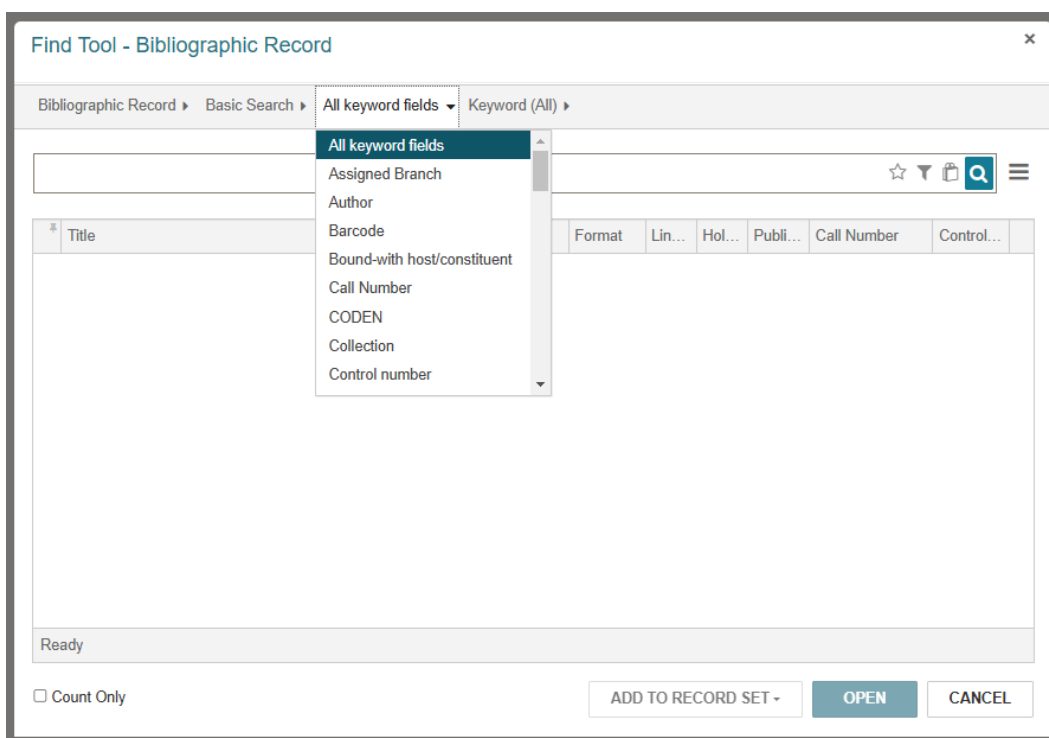
C.3.12 Provides robust search capability. Describe search options, including bibliographic fields that are indexed, supported search operators (Boolean, proximity, etc.), and item status/type qualifiers.

## INNOVATIVE

Yes.

With over 600 access points as well as relevancy ranking, sorting, limiting, proximity searching, CCL queries, scoping, SQL searches, and automatic suggestions, the Polaris Find Tool provides search options for all staff members.

The Find Tool is the powerful, universal Polaris staff services search utility, which allows you to search local and remote databases with a click of the mouse. The Find Tool is smart, customizing itself to the specific task you are performing. The content of the drop-down lists and text boxes changes according to the context of your search. The list of access points and limiters depends on the record type selected.



Find Tool - Bibliographic Record

Bibliographic Record ▶ Basic Search ▶ All keyword fields ▶ Keyword (All) ▶

All keyword fields  
Assigned Branch  
Author  
Barcode  
Bound-with host/constituent  
Call Number  
CODEN  
Collection  
Control number

| Format | Lin... | Hol... | Publi... | Call Number | Control... |
|--------|--------|--------|----------|-------------|------------|
|        |        |        |          |             |            |

Ready

☐ Count Only

ADD TO RECORD SET - OPEN CANCEL

Find Tool - Bibliographic Record

Search Filter

All keyword fields

ALL

-

+

All keyword fields

Assigned Branch

Author

Barcode

Bound-with host/constituent

Call Number

CODEN

Collection

Control number

Creation date

Creator

Dewey classification

Display in PAC

Do not overlay

Exclude Bound-with

First available date

General notes

Genre

Gov Doc classification

APPLY

CANCEL

Find Tool - Item Record

Search Filter

Circulation status

=

(none)

-

+

☐ Circulation status
 

☐ A/V Repair
 ☐ Claim Missing Parts
 ☐ Claim Never Had
 ☐ Claim Returned
 ☐ Damaged
 ☐ EContent External Loan
 ☐ Held
 ☐ In

APPLY

CANCEL

C.3.13 Provides means of recalling and re-executing previous searches.

## INNOVATIVE

Yes.

Polaris saves up to 100 searches during one session. The list is sorted by the most recent search first. Each search appears in CQL so you can see the search terms and the filters in the list. Once you end your session, Polaris clears your recent searches.

**Find Tool - Bibliographic Record**

Bibliographic Record ▶ Basic Search ▶ All keyword fields ▶ Keyword (All) ▶

house plants

(KW ALL "house plants") AND (AB = 25)

(KW ALL "house plants") AND ((AB = 25) AND (GENRE ALL "nonfiction"))

(KW ALL "house plants ") AND ((AB = 25) AND (GENRE ALL "nonfiction"))

(KW ALL "house plants ") AND (AB = 25)

dragon\*

(KW ALL "Hobbit")

(KW ALL "Hobbit") AND (AB = 25)

(KW ALL "tolkien") AND (AB = 25)

(KW ALL "thriller ") AND (AB = 25)

| Title                                                  | Author              | Format | Pages | Year | Call Number | Barcode                  |
|--------------------------------------------------------|---------------------|--------|-------|------|-------------|--------------------------|
| My indoor garden                                       | Lerner, Carol.      | Book   | 8     | 0    | 1999        | J 635.965 Ler ... 411146 |
| Kids gardening : a kids' guide to messing around i...  | Rafferty, Kevin.    | Book   | 2     | 0    | 1989        | j 635.9 Raf 372295       |
| Growing beautiful houseplants : an illustrated guid... | Herwig, Rob, 1935-  | Book   | 6     | 0    | 1991        | 635.965 Her 827238       |
| Crockett's indoor garden                               | Crockett, James ... | Book   | 13    | 0    | 1978        | 635.965 Cro 56750        |

Ready

Filtered to 16 of 682 result(s)

The Find Tool also provides the ability to compose even complex searches and then name and save them.

The screenshot shows the 'Find Tool - Item Record' window. At the top, there's a breadcrumb trail: 'Item Record > SQL Search > (unsaved)'. Below this is a text input field containing a SQL query: 'select itemrecordid from circitemrecords cir (nolock) where circ.ItemStatusID = 7 -- Lost and itemstatusdate between getdate()'. To the right of the query field are icons for save, star, trash, and search. A modal dialog box is open in the center, titled 'Enter name of new saved search.' It contains a text input field with 'New Saved Search' and a green 'SAVE' button. Below the query field is a table with columns: '#', 'Title', 'Assig...', 'Colle...', 'Mater...', 'Shelf ...', and 'Call'. The table is currently empty. At the bottom of the window, there's a status bar that says 'Ready'. Below the status bar are several buttons: 'Count Only' (checkbox), 'BULK CHANGE', 'ADD TO RECORD SET -', 'OPEN', and 'CANCEL'.

C.3.15 Can be accessed via a standard web browser

## INNOVATIVE

Yes.

The Polaris Leap staff interface and Vega Discover Premium public interface are both fully browser-based and can be accessed from any device using Chrome, Edge, Firefox, or Safari browsers.

C.3.16 Can be accessed and used on a mobile device (e.g., iPad)

## INNOVATIVE

Yes.

The Polaris Leap staff interface and Vega Discover Premium public interface are both fully browser-based and can be accessed from any device using Chrome, Edge, Firefox, or Safari browsers.

## 4. Online Public Access Catalog (OPAC)

In the online environment, patrons interact with SDPL via the OPAC, the library website, and Contractor-provided applications (e.g., Biblioteka's cloudLibrary). Contractor shall provide a narrative overview of all public interfaces that are included in the ILS proposal. This can include the traditional OPAC, discovery layers, mobile apps, and any other tools that facilitate public access to library collections and services. Contractor shall highlight features that set the proposed interface(s) apart from those of your competition.

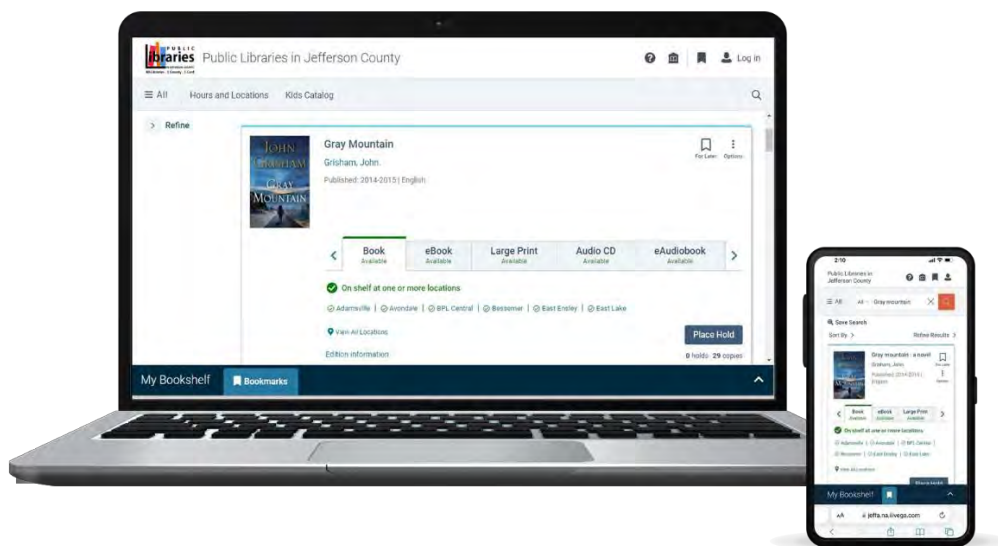
## INNOVATIVE

### Vega Discover Premium

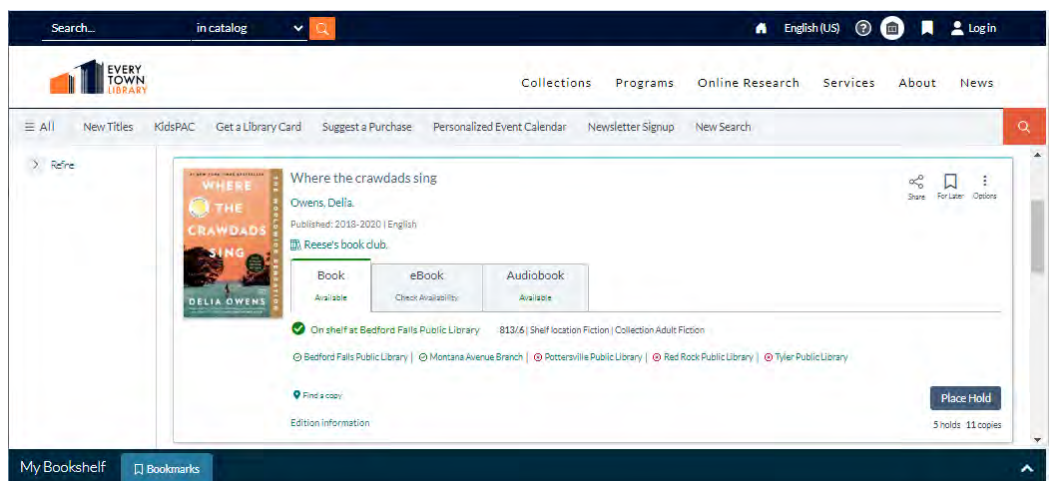
Vega Discover Premium is designed expressly to meet the needs of public libraries. Discover is a SaaS solution that allows public library patrons to discover library resources of interest, including print materials and e-resource such as ebooks from OverDrive and Hoopla as well as external resources. Based on BIBFRAME, Vega Discover Premium provides superior results through contextualized metadata in our revolutionary Context Engine. This enhances the patron experience, delivering more relevant results and enabling serendipitous discovery through an engaging and enjoyable user experience.

Some key features that your patrons will enjoy include:

- **Modern, mobile, responsive design** – Vega Discover Premium is designed to be fully responsive, adapting to your device size, from desktop to smartphone.



- **Work Level Roll-ups** – Vega Discover Premium provides a single result for each "work" so that all formats of that work can be seen all together. This eliminates the need for endless scrolling. There's one "place hold" button for all editions of the same format (unlike competitors that still require scrolling to see all of the editions and multiple "place hold" buttons), which helps the patron place a hold on the copy that they can receive fastest.

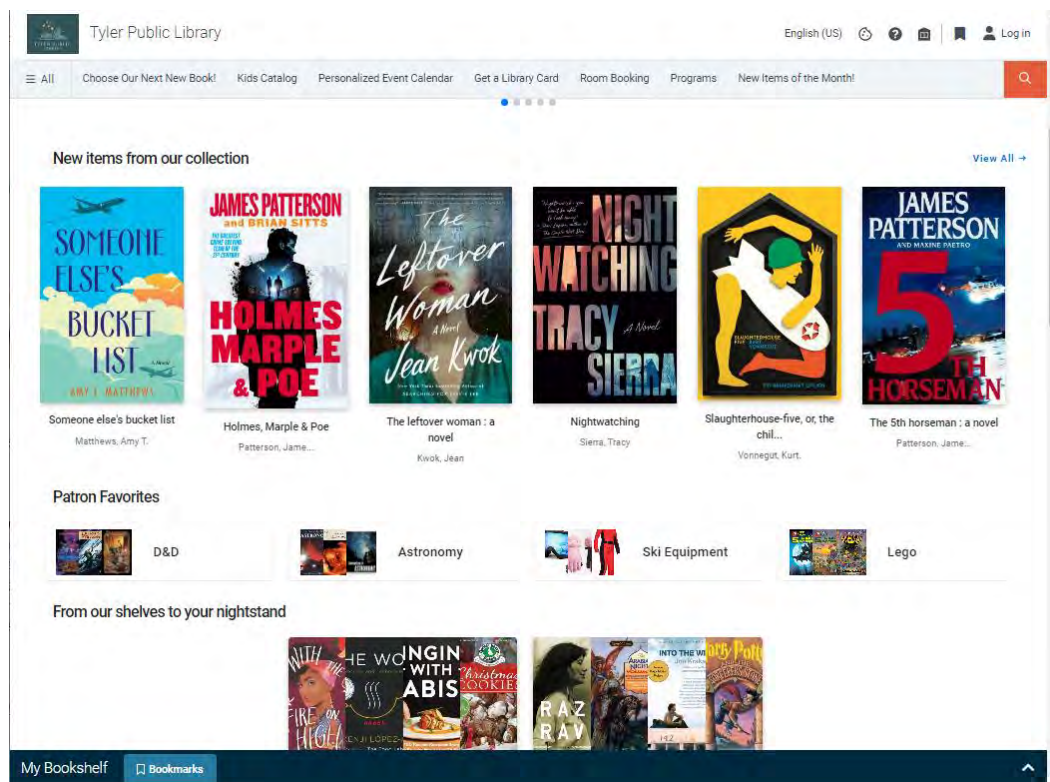
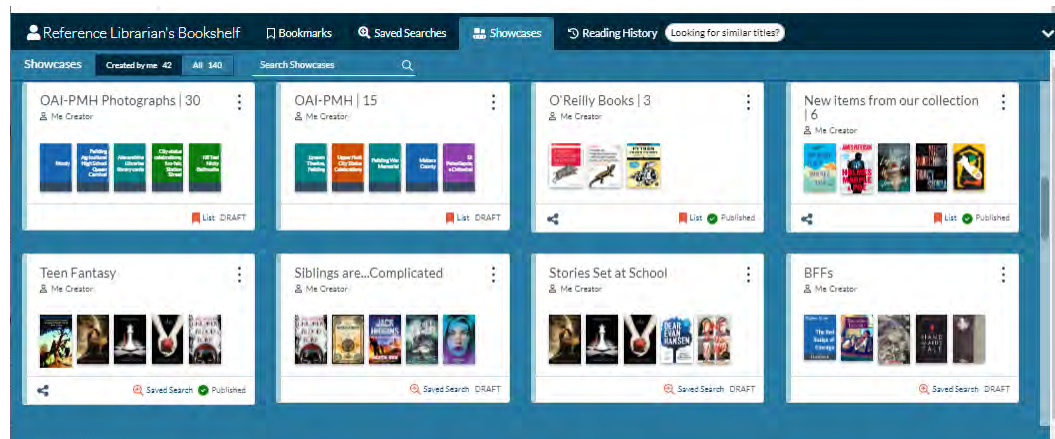


|                |         |               |                                      |
|----------------|---------|---------------|--------------------------------------|
| CD/Book        | ↕ Book  | ↕ Audiobook   | <input type="checkbox"/> Don't Allow |
| E-Book         | ↕ Book  | ↕ eBook       | <input type="checkbox"/> Don't Allow |
| Large Print    | ↕ Book  | ↕ Large Print | <input type="checkbox"/> Don't Allow |
| DVD            | ↕ Video | ↕ DVD         | <input type="checkbox"/> Don't Allow |
| Digital Media  | ↕ Video | ↕ Other       | <input type="checkbox"/> Don't Allow |
| Book           | ↕ Book  | ↕ Other       | <input type="checkbox"/> Don't Allow |
| Video Cassette | ↕ Video | ↕ Other       | <input type="checkbox"/> Don't Allow |

- **Showcases** – Vega Discover Premium encourages an Exploration Journey for the patron to uncover additional areas of interest, whether materials, people, or topics. Showcases make linked data come to life, using linked data and the BIBFRAME backbone to provide in-context access to related materials, people, and topics in a highly visual interface.

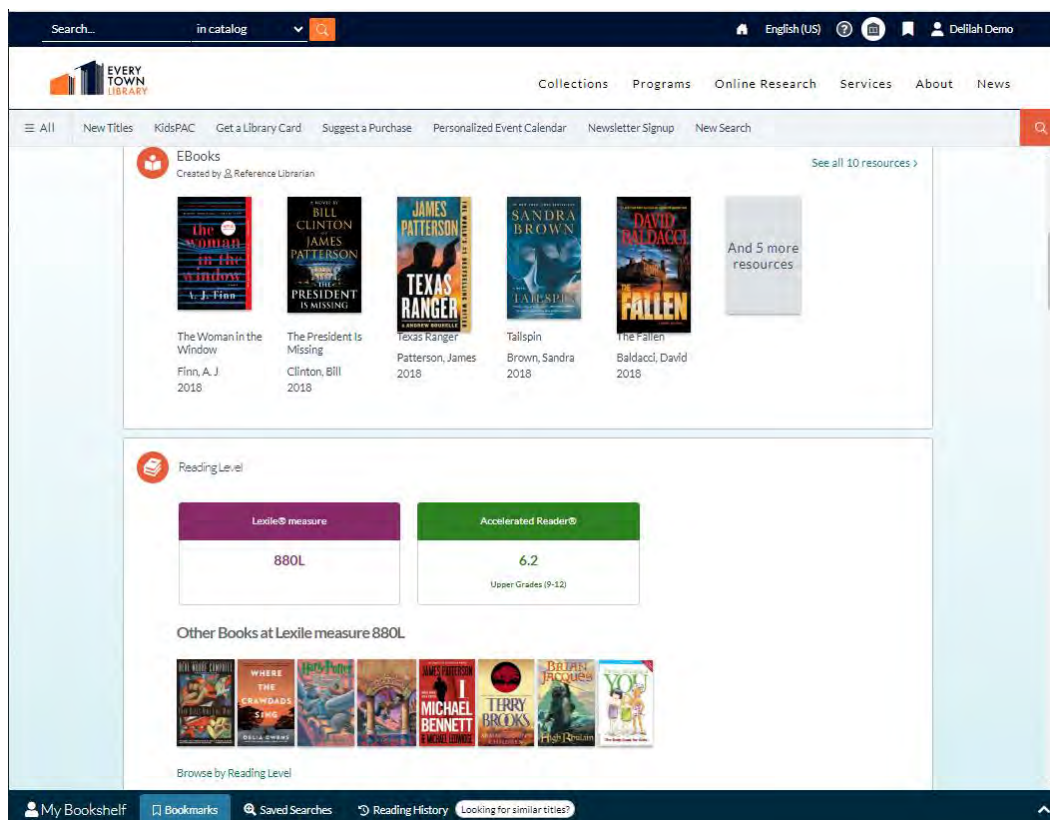
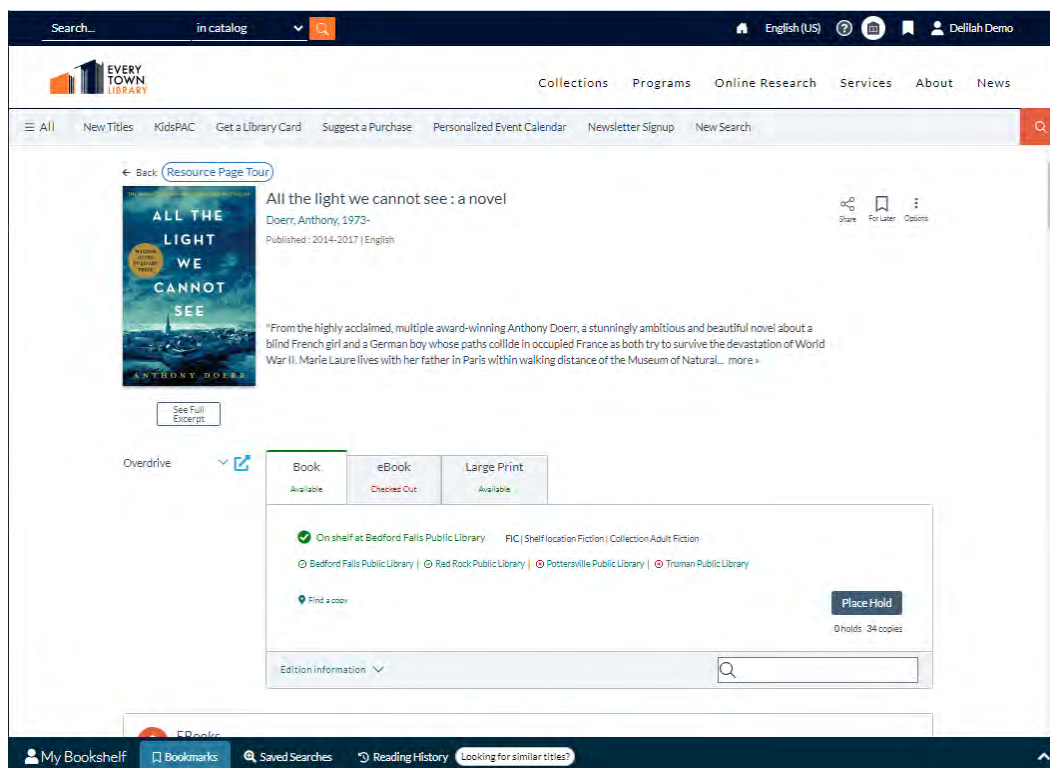
Staff users create and manage showcases and can publish them at any time for display in the catalog as shown below.

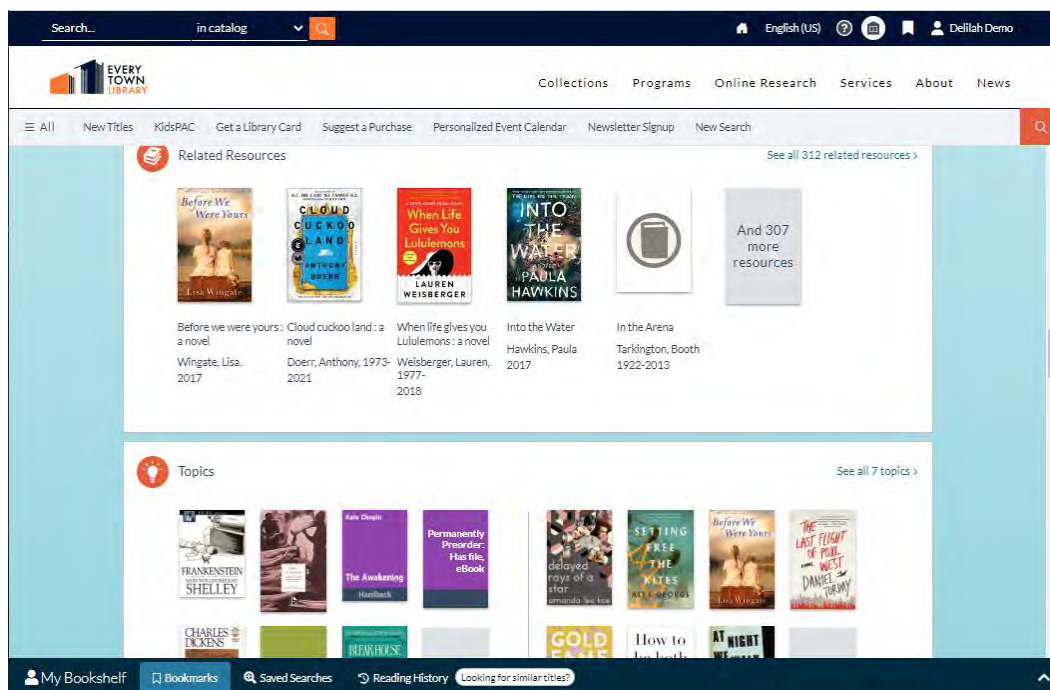
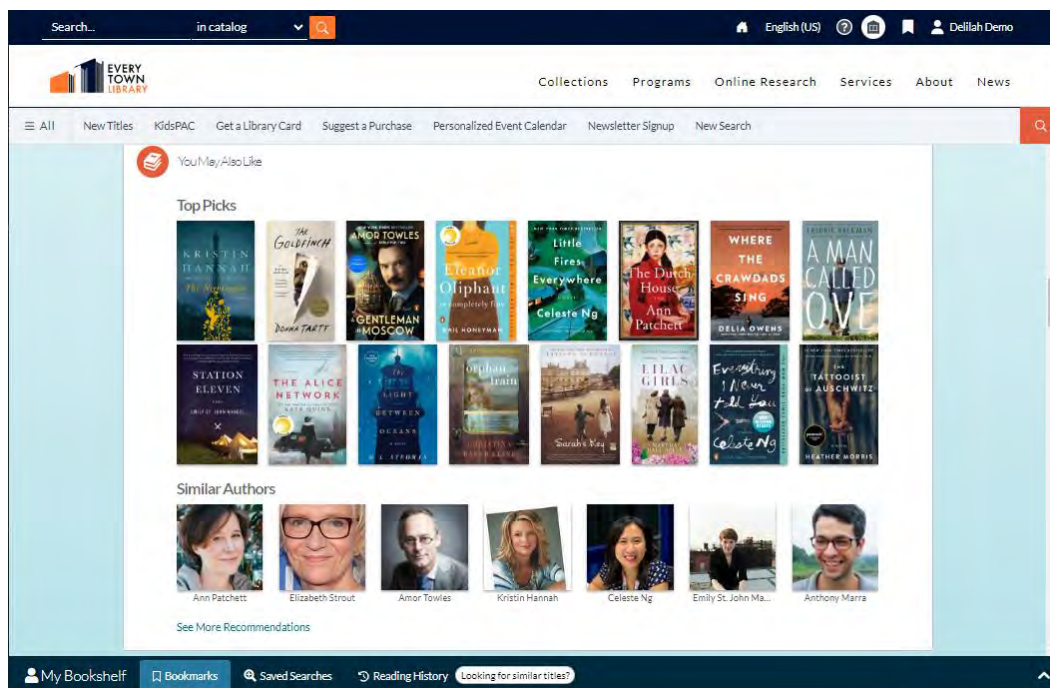


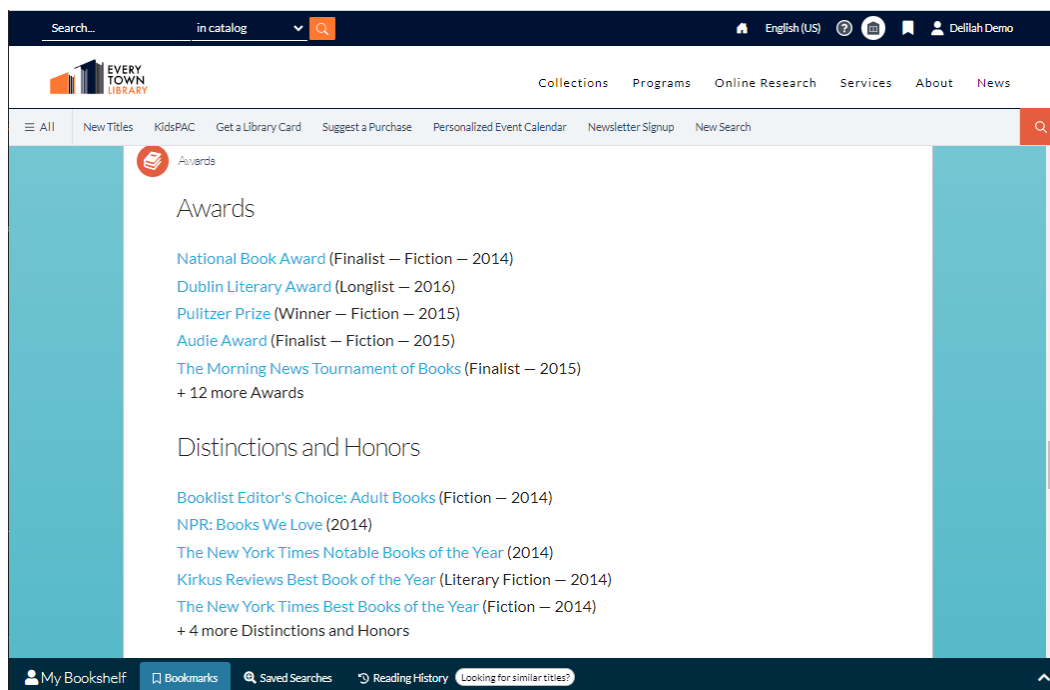
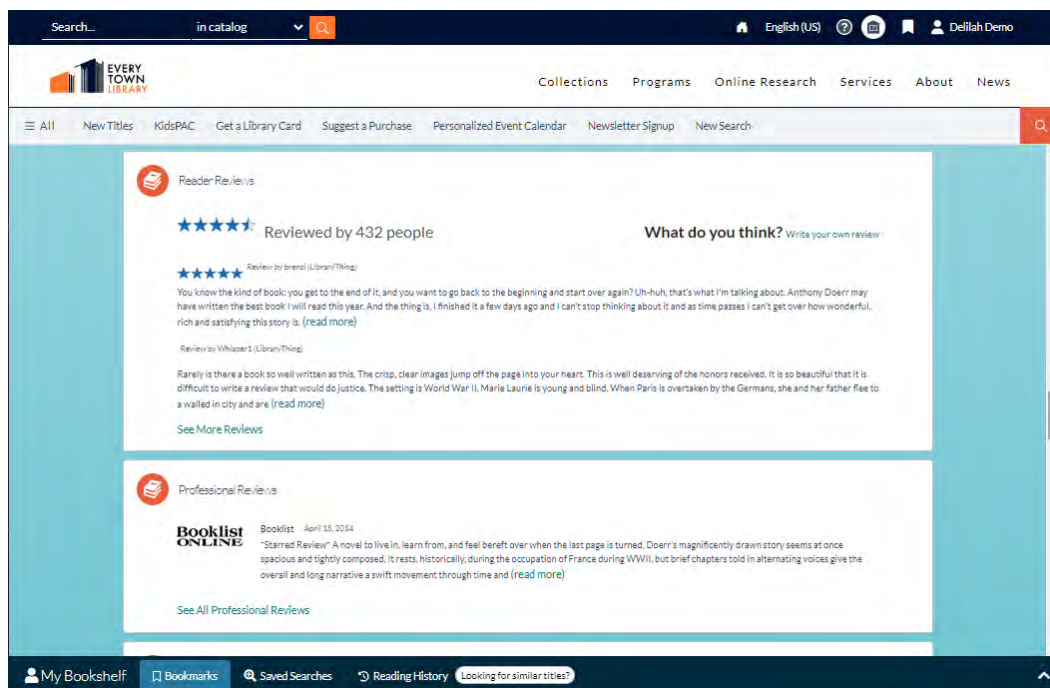


- **Syndetics Unbound** – Vega Discover Premium includes Syndetics Unbound enrichment content (as part of the solution – not an extra cost) that enhances the discovery experience by encouraging and guiding patrons to intuitively explore and connect with you. For each item, users can explore Reader Reviews, Series data, "You May Also Like" recommendations, book profiles, reading level (Lexile Measure, Accelerated Reader, Age/Grade Level) and browse by reading level, and awards.

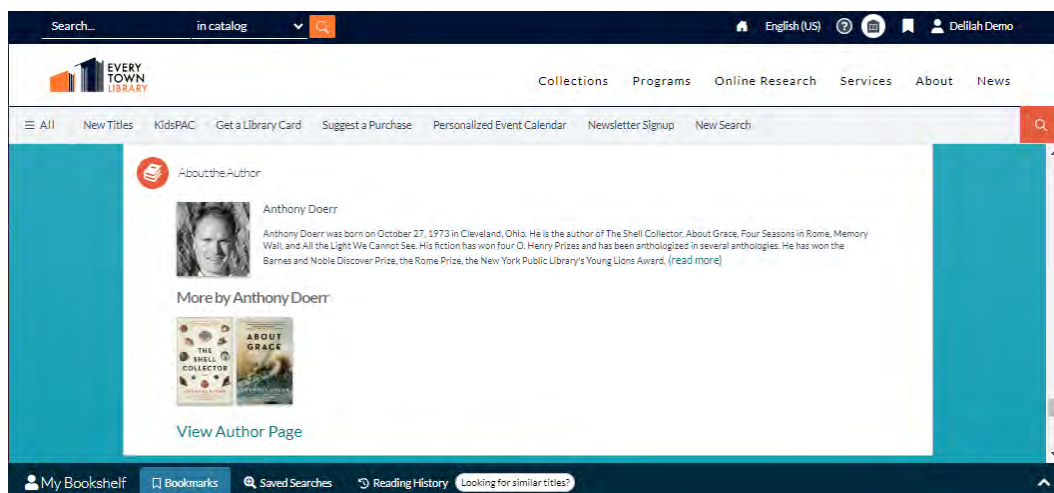
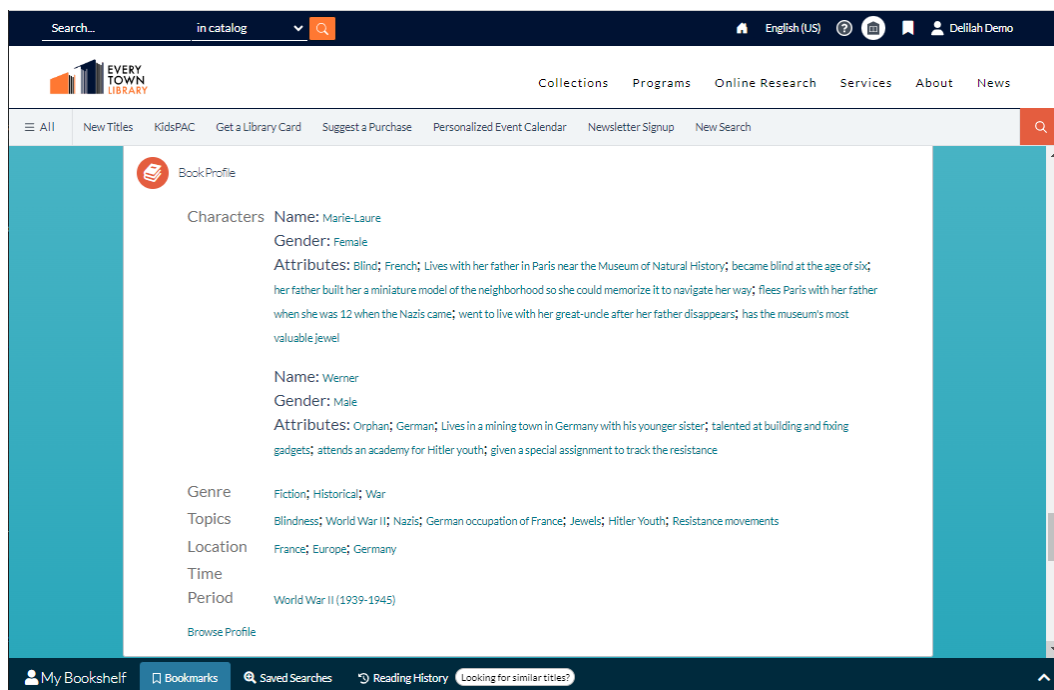






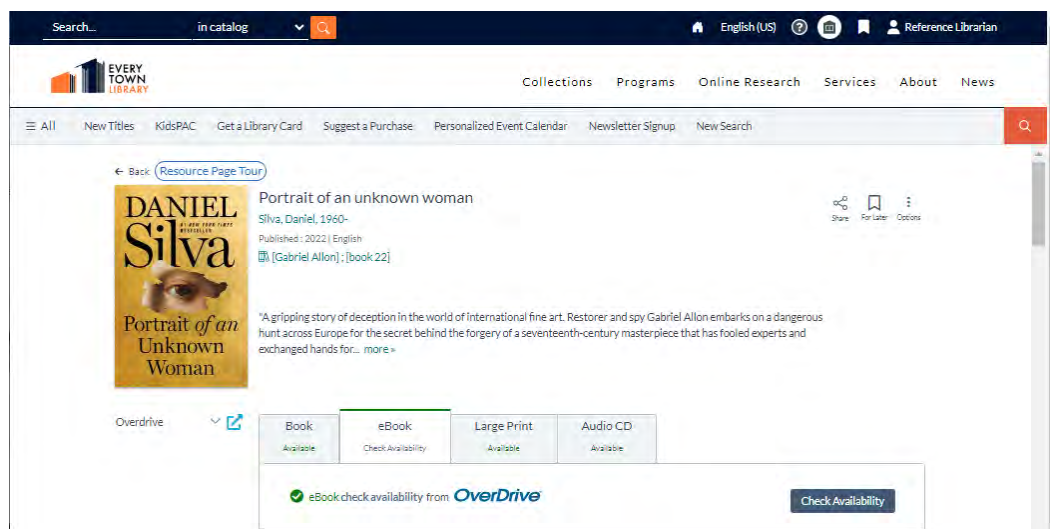




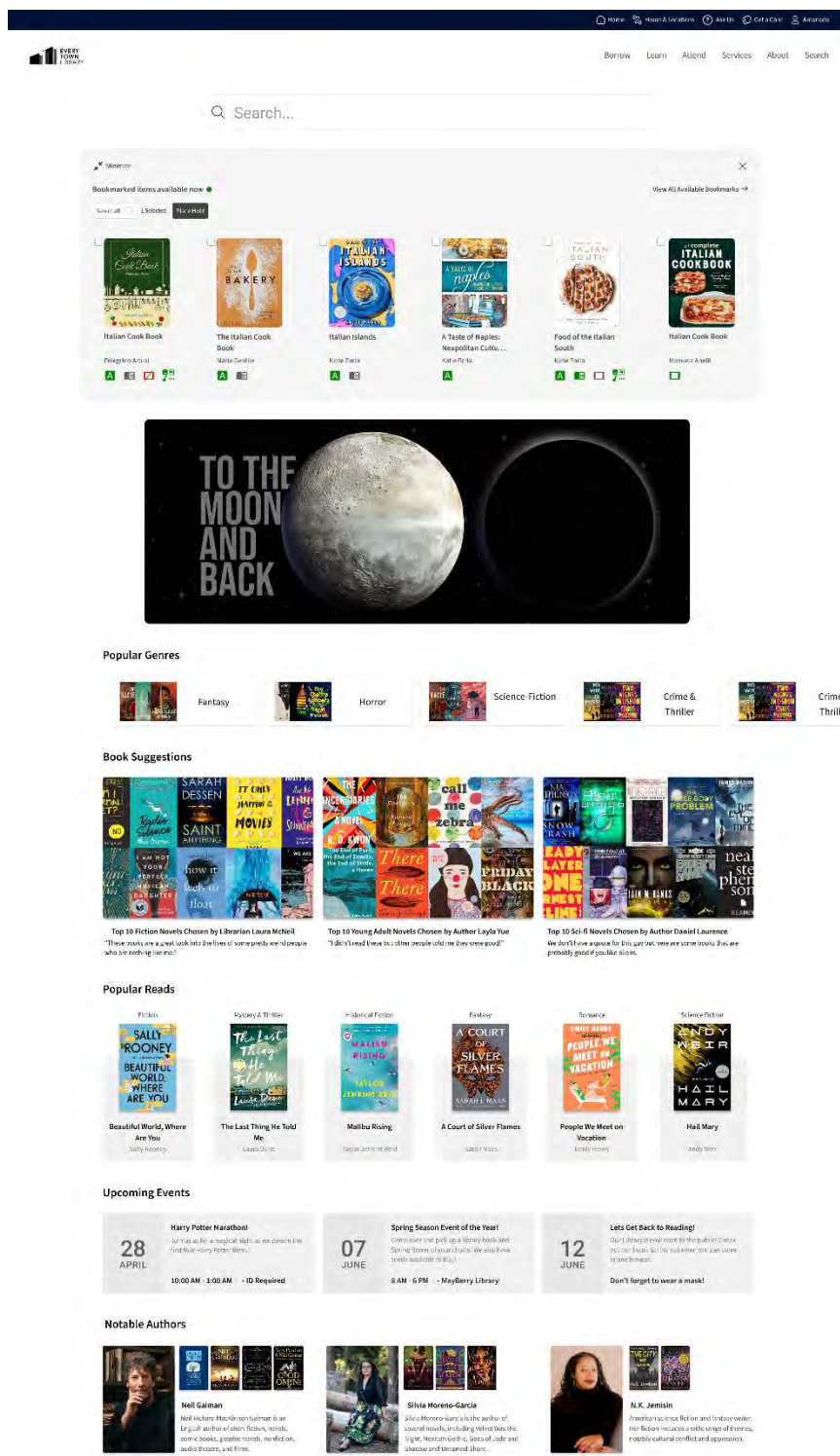


- **eResource integration for checkouts, holds, and access** – Vega Discover Premium has been designed to integrate with services like OverDrive, Hoopla, Bolinda BorrowBox, cloudLibrary, and Axis 360. This integration lets patrons find, reserve, checkout and download e-books and other e-content to their device directly from the catalog. E-content displays on separate tabs in the Work-Level Rollup, making it easy for patrons to see all the available formats.

Vega Discover Premium can be configured to ingest e-content records directly into our central repository, instead of requiring library staff to manually load and catalog the records in Polaris. The e-content management system automatically schedules a full extraction of your subscription content records from the vendor, as well as daily updates and weekly syncs (if required by the vendor). When the vendor adds or removes records from your subscription, Vega applies the updates to the records in the context engine and displays them in search results.

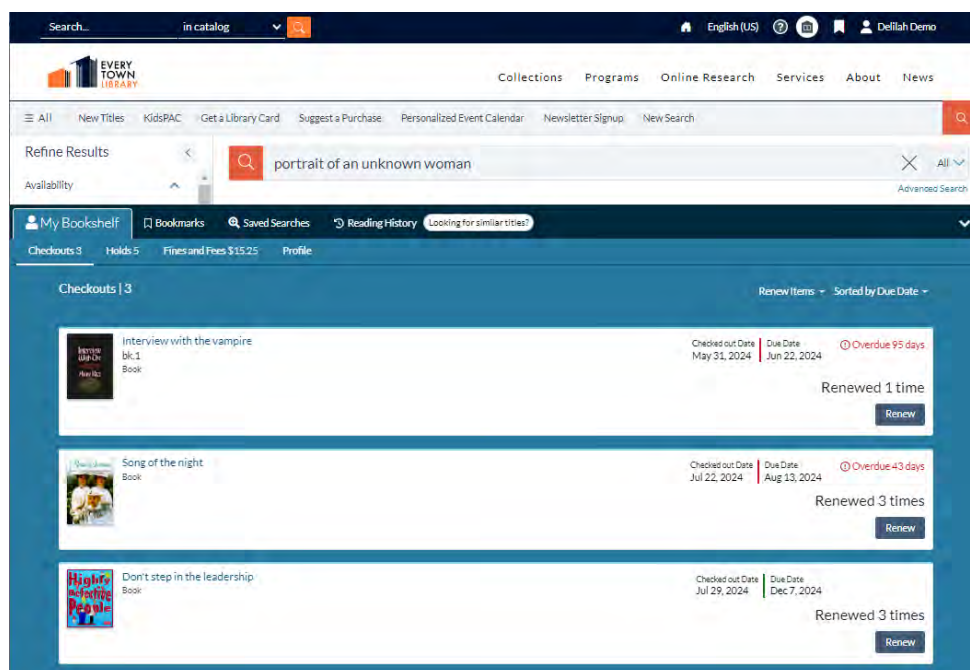


- **Home Page Customizations** – You can add showcases, feeds from Syndetics (Popular Titles, Recommended Authors), and events. You can also opt to show the available items from a patron's bookmarks at the top of the home page.



- **Patron Self Service Functions** - Vega Discover Premium provides an entire suite of My Account services designed for the patron to easily view a list of items out and renew items, access their holds and view their current requests, view and pay fines, update information and more. Users can also opt to maintain a reading history, save searches, and create, save, and email selected title lists.

## Checkouts





## Holds

The screenshot shows the 'Holds' section of the San Diego Public Library website. The user is logged in as 'Delilah Demo'. The page displays a list of 5 holds, sorted by status. The holds are:

- Ready for pickup**: Book 'Art! beg! catch! : dogs from A to Z'. Place in line: 0 - Ready for pickup. Pickup location: Montana Avenue Branch. Pickup date: December 6, 2024.
- Murder: Vintage Minis**: Book. Place in line: 1 - Waiting. Pickup location: Montana Avenue Branch. Hold ends on: December 28, 2024.
- The big bang theory: The complete 1st season**: DISK 1 Blu-ray Disc. Place in line: 1 - Waiting. Pickup location: Montana Avenue Branch. Hold ends on: January 26, 2025.

## Fines and Fees

The screenshot shows the 'Fines and Fees' section of the San Diego Public Library website. The user is logged in as 'Delilah Demo'. The page displays a list of fines and fees, including overdue items and library charges. The total amount is \$15.25.

| Item              | Amount | Fine Type | Creation date | Fine description |
|-------------------|--------|-----------|---------------|------------------|
| Song of the night | \$5.00 | Charge    | May 20, 2024  | Overdue Item     |
| Library Charge    | \$5.25 | Charge    | May 22, 2024  | Miscellaneous    |
| Blue dog          | \$5.00 | Charge    | July 29, 2024 | Overdue Item     |



## Profile

Search... in catalog

English (US) Delilah Demo

EVERY TOWN LIBRARY

Collections Programs Online Research Services About News

All New Titles KidsPAC Get a Library Card Suggest a Purchase Personalized Event Calendar Newsletter Signup New Search

Refine Results

Availability

portrait of an unknown woman

Advanced Search

My Bookshelf

Bookmarks Saved Searches Reading History Looking for similar titles?

Checkouts 3 Holds 5 Fines and Fees \$15.25 Profile

Name Delilah Demo

Nickname

Email address marialaudelli@gmail.com

+ Add Another

Mobile phone number

+ Add Another

Home phone number 813-985-5541

+ Add Another

Home library Montana Avenue Branch

Preferred pickup location

## Reading History

The screenshot shows the 'Reading History' section of the San Diego Public Library website. The page is titled 'My Reading History | 49' and features a search bar and a 'Sort by Checkout Date Descending' dropdown. The main content area displays a grid of 9 book covers, each with a title, author, format, and checkout date. The books are sorted by checkout date in descending order.

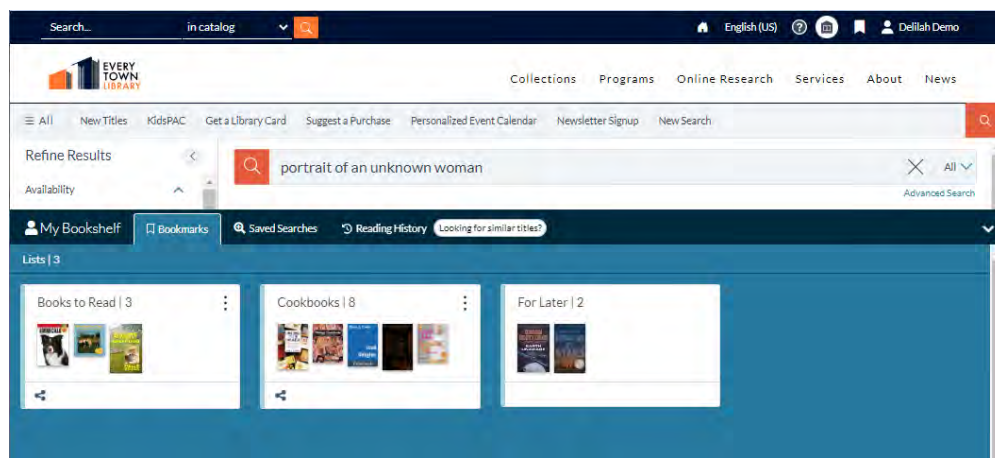
| Title                                                  | Author                           | Format        | Checkout Date      |
|--------------------------------------------------------|----------------------------------|---------------|--------------------|
| Sycamore Row                                           | by Grisham, John                 | Format: eBook | September 18, 2024 |
| Dracula                                                | by Stoker, Bram, 1847-1912       | Format: eBook | September 11, 2024 |
| Spare                                                  | by Harry, Prince, Duke of Sussex | Format: Book  | July 29, 2024      |
| Lean In                                                | by Sandberg, Sheryl              | Format: eBook | June 12, 2024      |
| Three Men in a Boat (To Say Nothing of the Dog)        | by Jerome, Jerome K              | Format: eBook | June 12, 2024      |
| Pride and prejudice                                    | by Austen, Jane, 1775-1817       | Format: eBook | June 5, 2024       |
| Pregnant bears & crawdad eyes: excursions &...         | by Schell, David                 | Format: Book  |                    |
| Do border collies dream of sheep?: two puppies grow... | by Robinson, Rachel              | Format: Book  |                    |
| Song of the night                                      | by McHugh, Fiona                 | Format: Book  |                    |

## Saved Searches

The screenshot shows the 'Saved Searches' section of the San Diego Public Library website. The page is titled 'My Bookshelf' and features a search bar and a 'Looking for similar titles?' dropdown. The main content area displays three saved search results, each with a title and a grid of book covers.

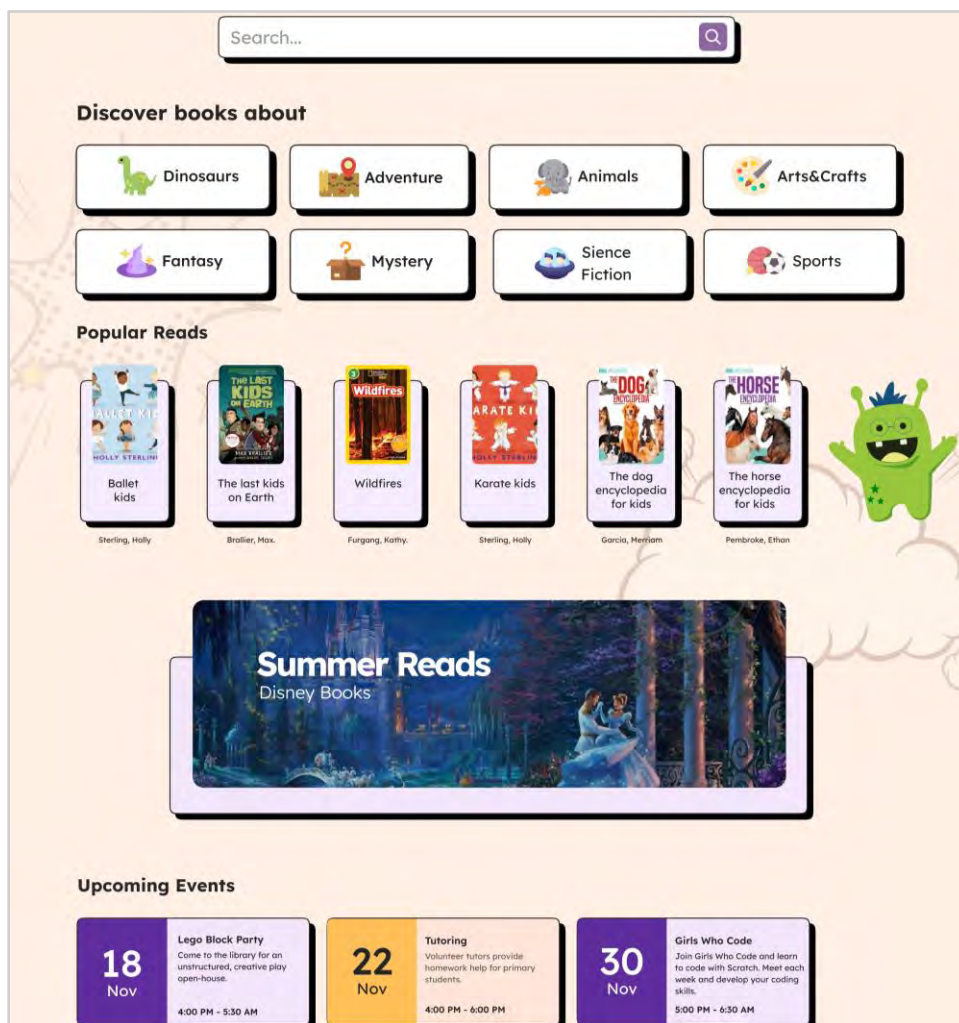
| Search Title                | Book Covers                                   |
|-----------------------------|-----------------------------------------------|
| Dog Man Series              | Grid of 5 book covers for the Dog Man series. |
| John Grisham dynamic search | Grid of 4 book covers for John Grisham books. |
| New large print             | Grid of 4 book covers for large print books.  |

## Bookmarks (Title Lists)



- **Kids Catalog** – Capture the imagination of your younger patrons with our engaging and fun Kids Catalog. The Vega Discover Premium Kids Catalog attracts attention through visual icons, buttons, and backgrounds, and lets you automatically limit search results to age-appropriate library material.

The Kids Catalog looks great “out-of-the-box” with our default design.





You can also encourage your staff to let their creativity flow to customize the Kids Catalog. You can make it your own with custom button designs and formatting.



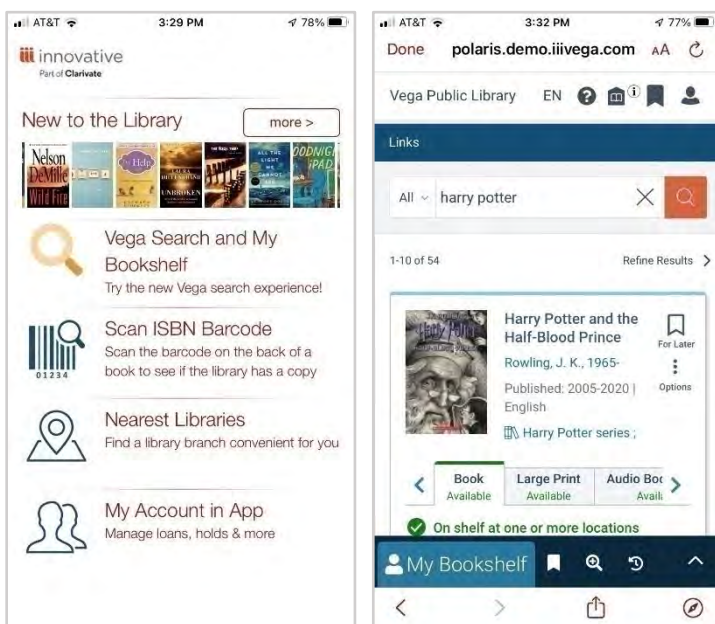
Customizing your Kids Catalog is easy! Your staff use the simple and elegant design tool that's built-in to our Vega LX admin interface.

You can create multiple kids catalogs for different audiences (elementary, juvenile, young adult) or themed catalogs for specific collections unique to your library (genealogy catalog, or local history catalog).

## Innovative Mobile

Innovative Mobile is an app expertly designed to meet today's challenges for libraries. With a focus on contactless interactions and self-service, Innovative Mobile encourages patrons to connect with the library anywhere and at any time. Unlike other mobile applications, Innovative Mobile puts the power of Polaris into patrons' hands offering discovery, patron account access, patron self-check via barcode or RFID, as well as "Click and Collect" for curbside pickup.

Anyone using the Innovative Mobile app can search the catalog with Vega Discover Premium, promoting consistency amongst different platforms. This allows patrons the ability to discover materials through Vega's BIBFRAME-based context engine with display of results presented in Vega Discover Premium's work-level rollups, where all formats available can be seen all together.



Fully featured and ready to meet the needs of you and your patrons – now

- Offers a quick and easy implementation that takes weeks, not months
- Works with Polaris public and academic libraries
- Enables users to manage accounts for the whole family
- Allows patrons to pay fines through the app through integrations with online fine payment services

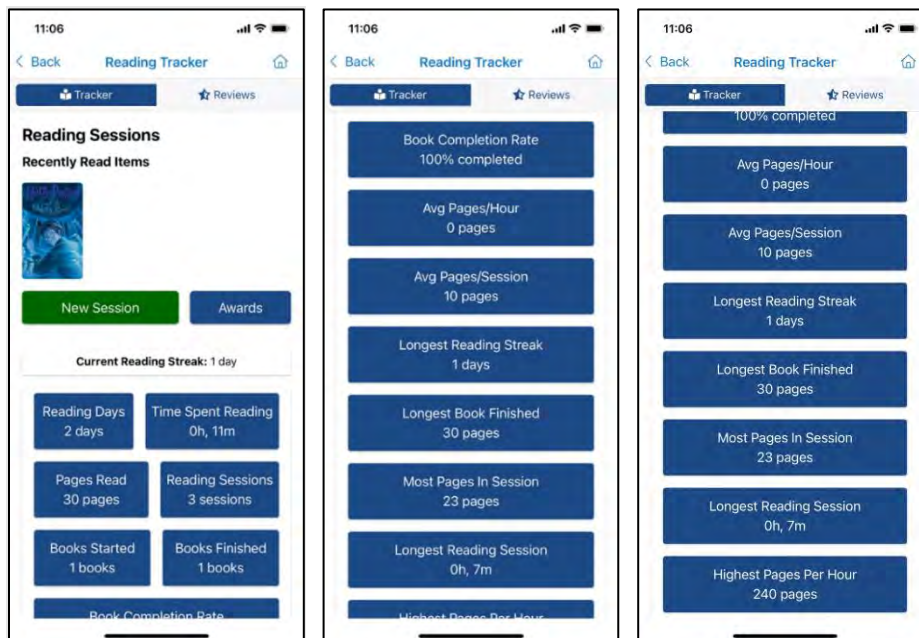
### Empowers self-service and contactless pick up

- Provides digital library card, full catalog searching, in-app access to electronic resources, fine payment, and curbside pickup
- Gives patrons the ability to borrow and return items in the library right from their device, using barcode or RFID (This is available as an option)
- Turns user and staff devices into self-service machines, reducing the need for existing and future self-service hardware
- "Click and Collect" allows patrons to reserve items in the app and receive notifications when their items are ready for pick up. Once the patron arrives at the library, they simply select the "I'm here" button to notify the library.

### Broadens the library's reach and brand through strong customization functionality

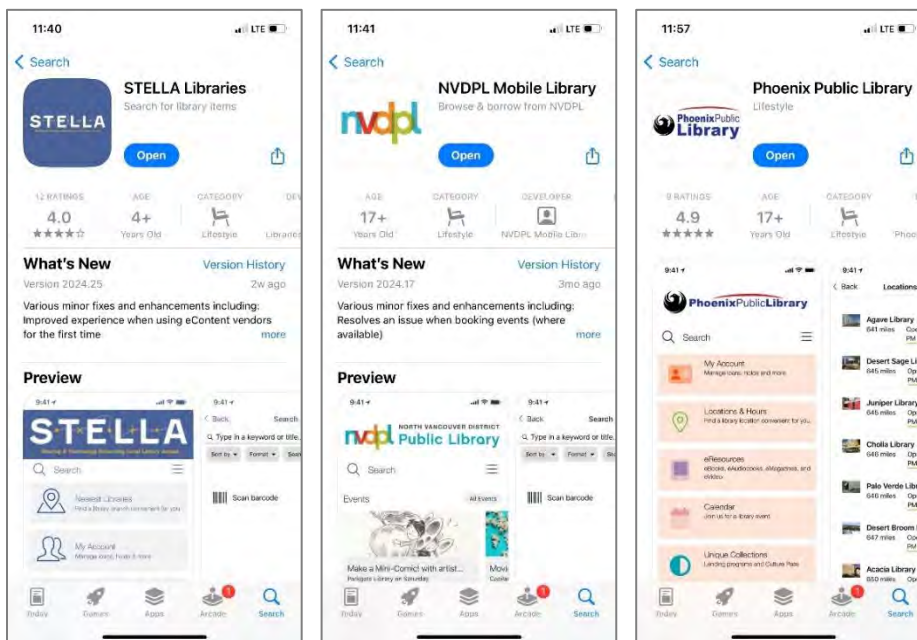
- Enables libraries to customize the app to the look and feel of their library with the ability to tailor the menu layout, app colors, and more
- Offers 20+ language options

One of the new features just introduced is the Reading Tracker that lets users track their reading, both for library materials (e-books and print books) as well as books they read that are not from the library.



You can view live “case studies” of how libraries are using the mobile app by downloading versions of the app published by individual libraries. We recommend:

- STELLA Libraries
- NVDPL Mobile Library
- Phoenix Public Library



## Narrative Descriptions for Exhibit F – Functional Requirements – OPAC

C.4.1 Provides federated search capability (i.e., can simultaneously search the catalog, subscription databases, and major web search engines).

### INNOVATIVE

No.

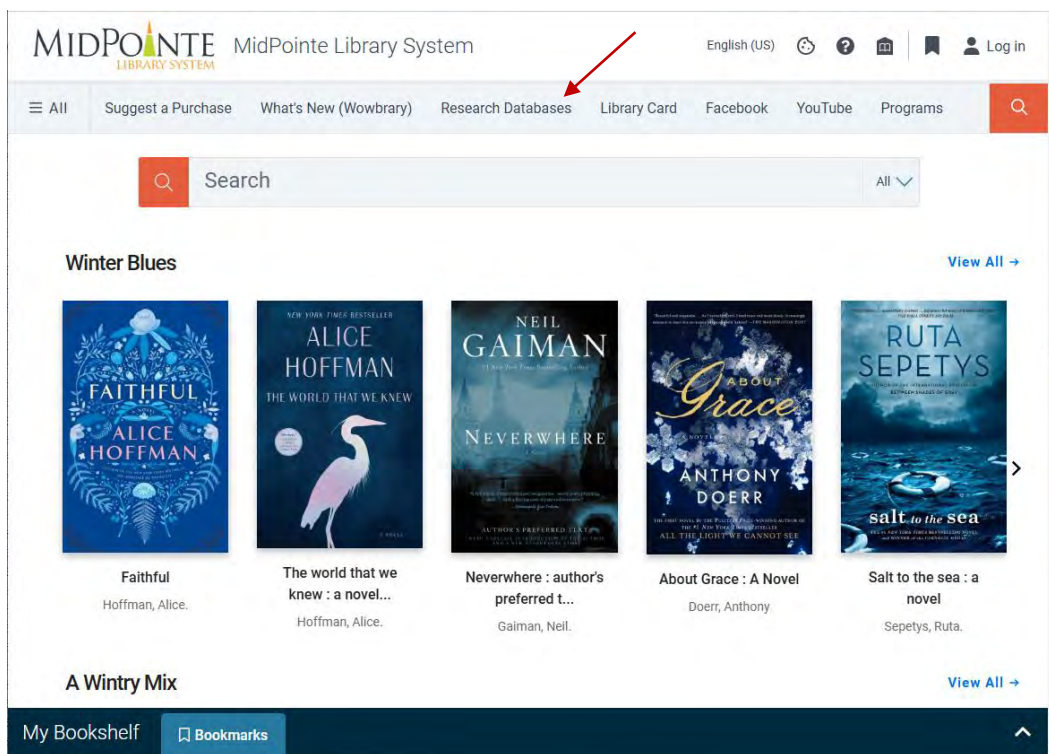
In development for resource sharing platforms like Circuit and Link+.

Today, there are multiple ways to connect your discovery tool or website to an external database. Some libraries choose to include one listing in their discovery tool to link to an external database.

Many of the libraries we work with are interested in further discussion on fully integrating existing external databases into their discovery tool. We would love to discuss further with you how this would be handled.



Example: <https://midpl.na.iiivega.com/>



C.4.2 Provides a web-based interface that it is compatible with major web browsers. In addition, Proposer shall describe extent of support for legacy browsers.

## INNOVATIVE

Yes.

Vega Discover Premium is compatible with any modern Web browser capable of supporting current Web standards and is designed to provide a responsive discovery experience across multiple devices, including smartphones, tablets, and other mobile device types. Innovative performs full testing of browsers with each Vega Discover Premium release and is committed to full support on the two (2) most recent publicly released, generally available desktop versions of Chrome, Firefox, Edge, and Safari browsers, across all current Innovative software and cloud services. Note that earlier versions can be used, but Innovative does not guarantee that all functionality in the current release will work under older browser versions.

C.4.3 Layout/appearance of the interface can be customized. In addition, Proposer shall describe how customization is accomplished (CSS, JavaScript, WYSIWYG editor, etc.)

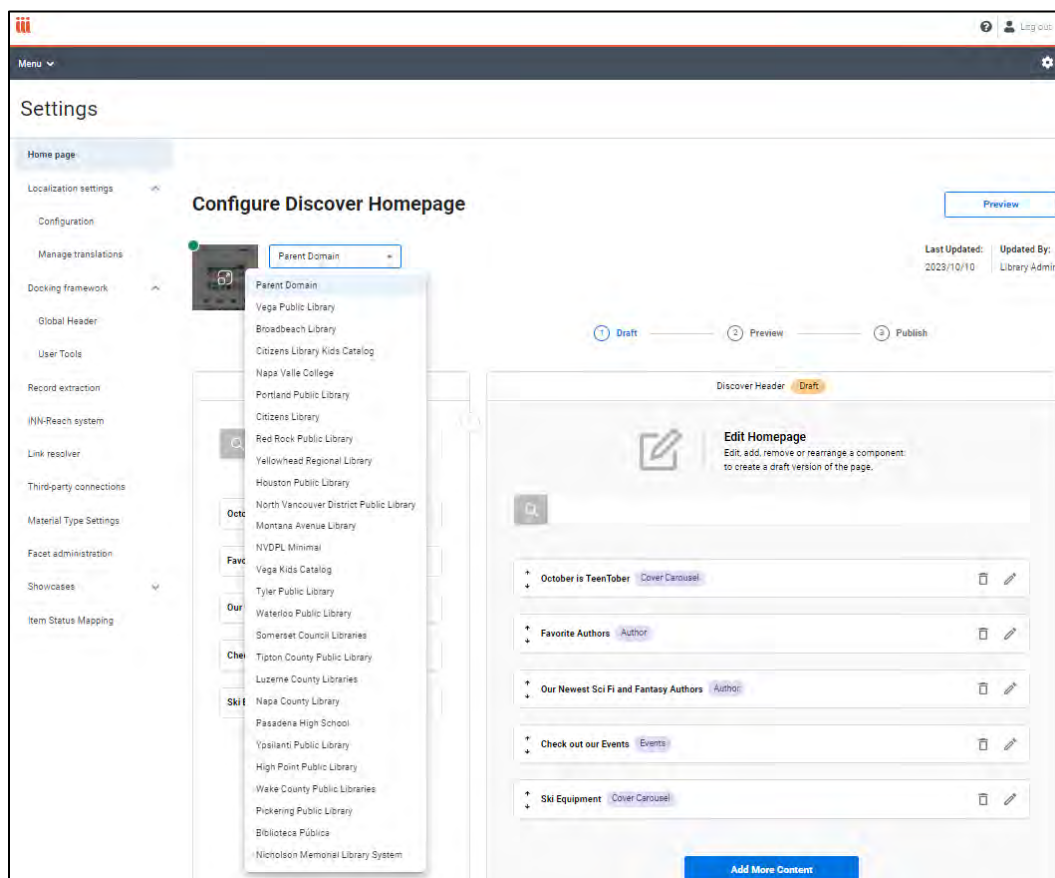
## INNOVATIVE

Yes.

The customization capabilities built into Vega Discover Premium are all managed by the library and include the ability to create collection sites for each member library to have their own custom branding.

The following can be customized differently for each collection site:

- Home page
- Ability to add Showcases to each Discover site homepage
- Logo
- Customizable header and footer
- Library location & hours
- External links (e.g., library home page, information screens, etc.)
- Language support and translation configurations
- Link to a local privacy policy
- Account information for eContent
- Localized kiosk sites
- Scoping of resources per member site (preferred location) level



*Vega Administration lets you control the user interface for each library. The homepage configuration page is shown above.*

Logos and header/footer content are also configurable for each library

C.4.4 Does not require installation of third-party plugins or applications (e.g., Adobe Flash Player).

## INNOVATIVE

Yes.

Installation of third-party plugins or applications is not required.

C.4.6 Web interface meets W3C standards.

## INNOVATIVE

Yes.

Innovative is committed to providing products that are accessible to all. We recognize that accessibility is beneficial to everyone, but it is essential to many. Our Software Development Life cycle (SDLC) addresses accessibility in both design and testing. For all new development, accessibility compliance with standards such as WCAG 2.2 and Section 508 and the ADA is built in from the start, in line with each product's specific requirements.

Accessibility is not an afterthought for us, it is baked into our development and part of our ethos. The Innovative development team includes software engineers who have studied and trained in accessibility. In addition, we have a UX department with over 25 UX professionals who are dedicated to reviewing and improving UX across all product lines. This department includes three full-time professionals dedicated to Innovative products, and one of these three has Web Accessibility Certification from the International Association of Accessibility Professionals. The team proactively reviews and assesses products internally, conducting user testing and initiating design improvements.

Our commitment to accessibility goes beyond good intentions to align with WCAG guidelines. We regularly submit our user interfaces to a professional accessibility auditor. The auditor conducts a thorough analysis of the user interfaces and prepares a Voluntary Product Accessibility Template (VPAT) for each interface that details the level of compliance and notes any issues. Compliance issues reported by the professional accessibility auditors are then addressed in product development to remedy any issues. We are committed to remediation of any problems found in testing to ensure that each release meets the same high accessibility standards.

Both the Polaris Leap staff interface and the Vega Discover Premium public interface have been assessed and meet WCAG 2.2 and Section 508 guidelines and we have VPATs documenting accessibility compliance for interfaces.

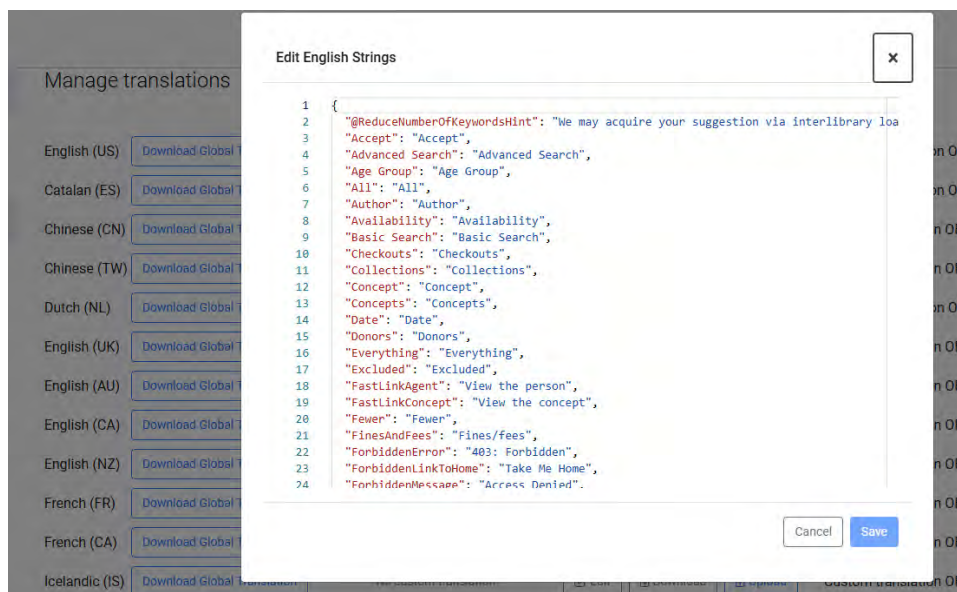
We are committed to ongoing accessibility testing to ensure that our user interfaces remain accessible with new releases as well as to remain in compliance with current WCAG guidelines. Our latest testing in December 2024 assessed the software against WCAG 2.2. We are monitoring the status of WCAG 3.0, currently in draft, and will assess against these new standards after they have been finalized.

C.4.7 Allows text labels to be modified.

## INNOVATIVE

Yes.

You can Edit English Strings in Vega Discover Administration.



C.4.8 Interface automatically logs out of user account after a configurable period of inactivity.

## INNOVATIVE

Yes.

Vega Discover Premium includes a library-defined timeout setting for in-house library workstations (kiosk sites). User sessions from personal devices do not timeout.

C.4.9 Provides a means for patrons to contact library staff with questions regarding holdings, technical problems, or other issues.

## INNOVATIVE

Yes.

You can configure an Ask Us link that will open a contact form.

Currently Under Development – Vega Interact provides for one-on-one conversations with patrons that include bi-directional information sharing so staff can respond to questions and listen to individual patrons through their preferred communication channel whether it be text, email, chat, or social media.

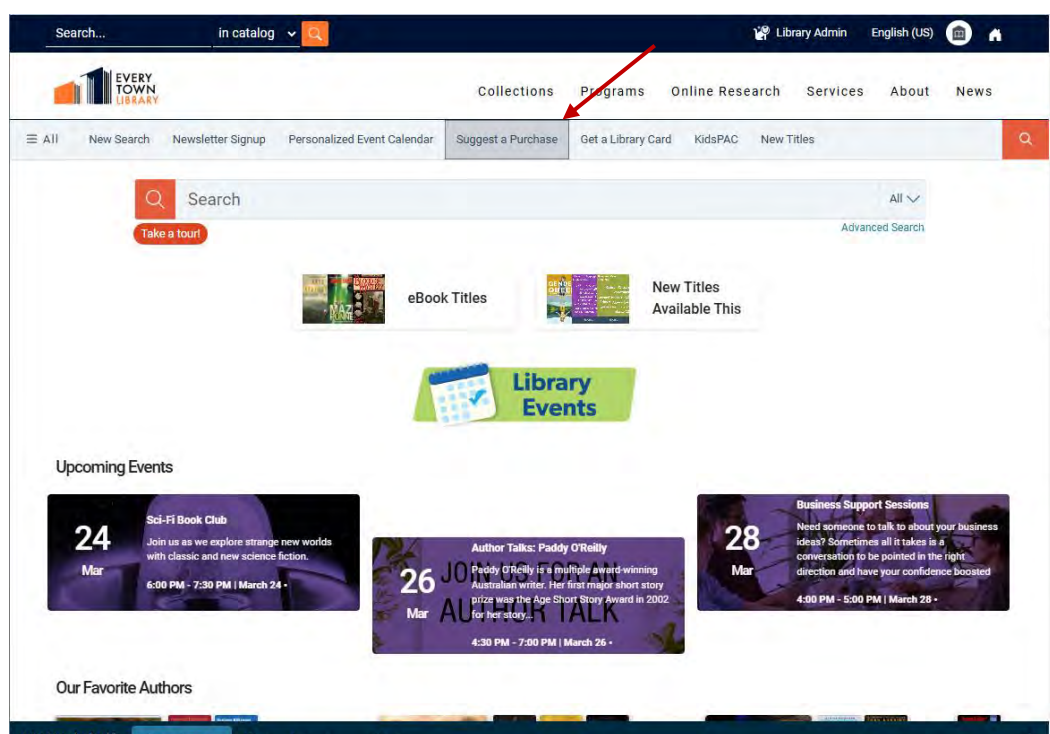


C.4.10 Provides a mechanism for patrons to submit purchase requests. In addition, Proposer shall describe how purchase requests are delivered to library staff.

## INNOVATIVE

Yes.

Patrons may submit requests for purchase from a link in the Vega Discover Premium header that links out to a request purchase form. Patrons can use this feature to send reference questions or purchase requests to a designated library e-mail address. The library can require a patron log-in or bypass the log-in and allow anyone to send a question.



The email produced by this method is automatically sent to the staff member(s) specified by the library, e.g. Collection Development staff. The staff will need to re-enter the bibliographic information using ordering workflows. The online form the patron fills out will generally have required a login (at the library's option) so staff can place the hold for the patron. When the item is checked in, the patron will automatically receive notification that the requested item has been received and is being held for them. If the vendor cannot fill the order, the library cancels the PO line item. In one operation, all encumbrances are reversed, on-order items are deleted, and the linked bib is masked from PAC display. The patron is alerted via a cancellation notice.

Moving forward, we're working with our Vega library partners to define a modern workflow that goes beyond a simple 'suggest a purchase' feature. We are looking at defining a more robust Patron Driven Acquisitions process with this definition in mind: *"Patron-driven acquisition (PDA), also referred to as demand-driven acquisition (DDA), is a model of library collection development in which a library only purchases material when it is clear that a patron wants them."*

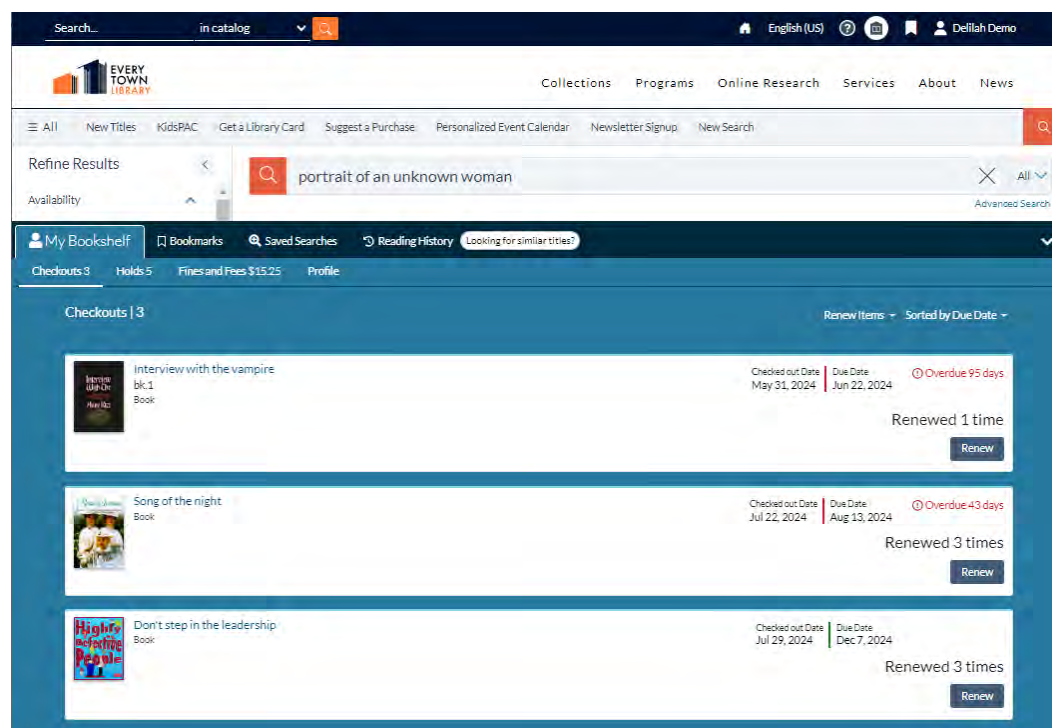
We envision a patron being able to select from a carousel of items that are available for voting or purchase suggestions. And alternatively allow a workflow where a patron decides to purchase an item from Amazon as a donation for the library so they can add more copies of a title that might have a long waiting list. With either scenario, we want to make sure it integrates with the Acquisitions module within the ILS, allowing staff to track the decision-making process, and through to ordering and receiving as needed, and notifying the patron who started the purchase suggestion.

C.4.11 Allows patrons to renew materials.

## INNOVATIVE

Yes.

Vega Discover Premium provides an entire suite of account services (My Bookshelf). After logging in, patrons can view their checked-out items and click the Renew button to renew an item.



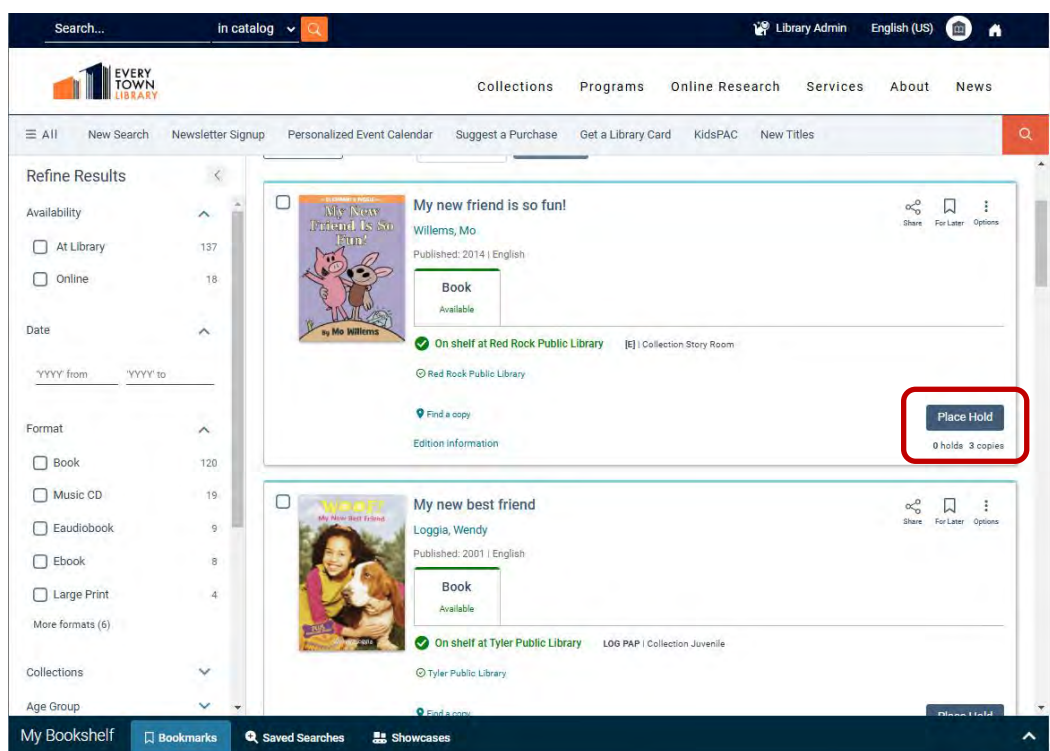


C.4.12 Allows patrons to place, modify, cancel, and suspend holds.

## INNOVATIVE

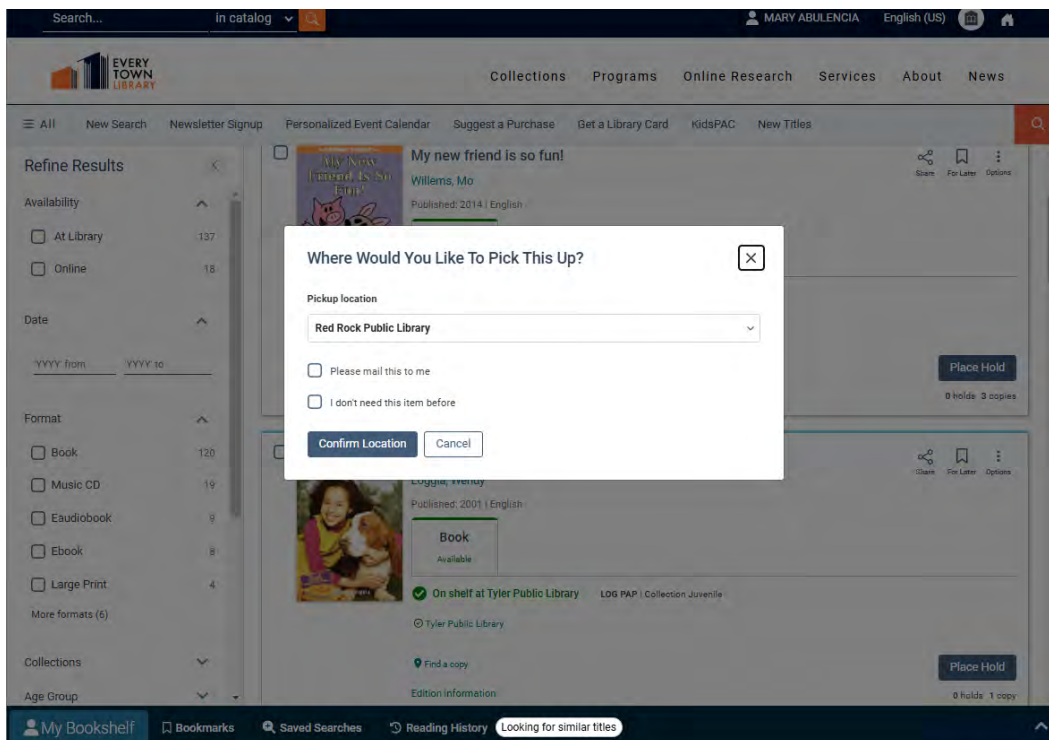
Yes.

In Vega Discover Premium, once a patron has logged in, they can place hold requests directly from the results display or from the full record display. Library staff can also place holds for a patron using a staff login. Requests can also be placed for on-order items. At the library's option, hold requests may or may not be placed on items that are currently on-shelf as well as for items that are checked out.

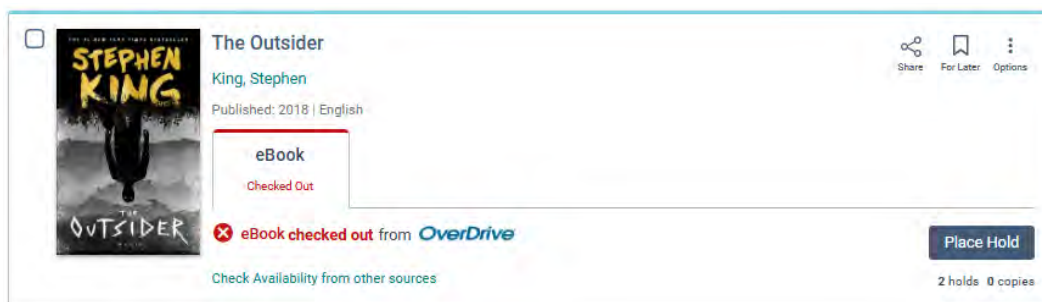


Vega Discover Premium makes it easy to see the availability and place a request without having to leave the results display

When a user requests an item, the user's home library is pre-selected as the default pickup location. The user has the option to select a different pickup location from a pull-down list of available locations when placing the request.

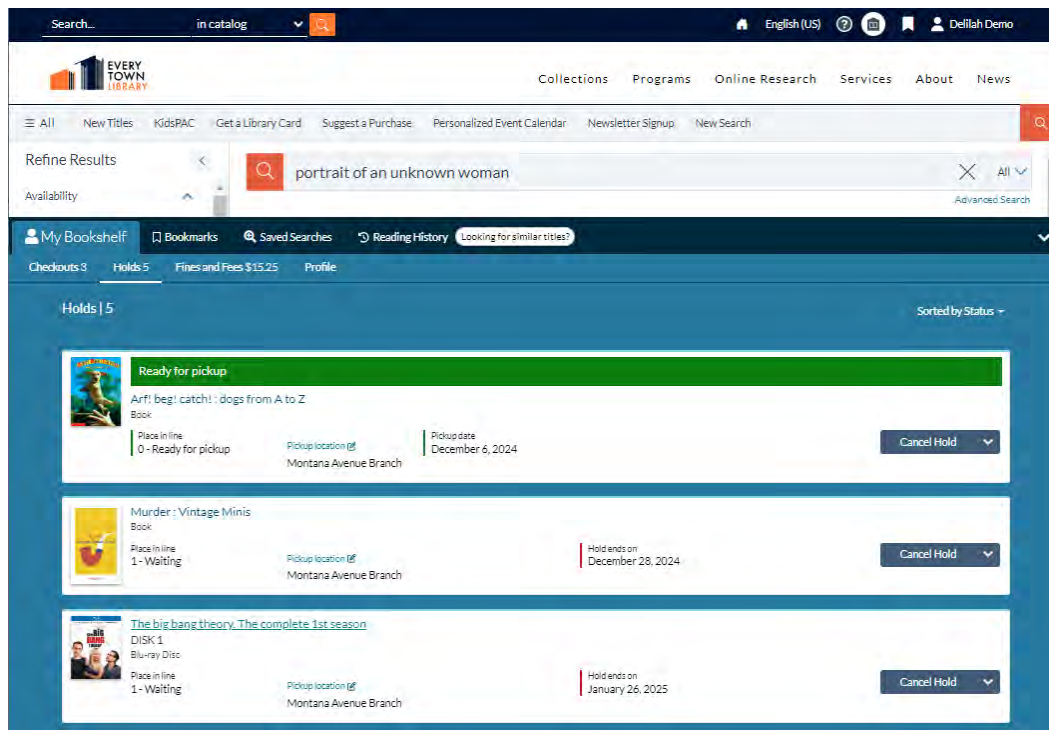


Patrons can also place holds on checked out e-books using the Place Hold button:



The user is notified that the hold is successful and also checks the item out to the patron automatically when it becomes available.

Patrons can view their holds and can cancel, freeze and unfreeze holds from the Holds tab of their personal account (My Bookshelf) in Vega Discover Premium. When a user freezes a hold, the hold will not be filled by an available item, but the user retains their position in the hold queue. Any hold can be frozen until it has been filled.



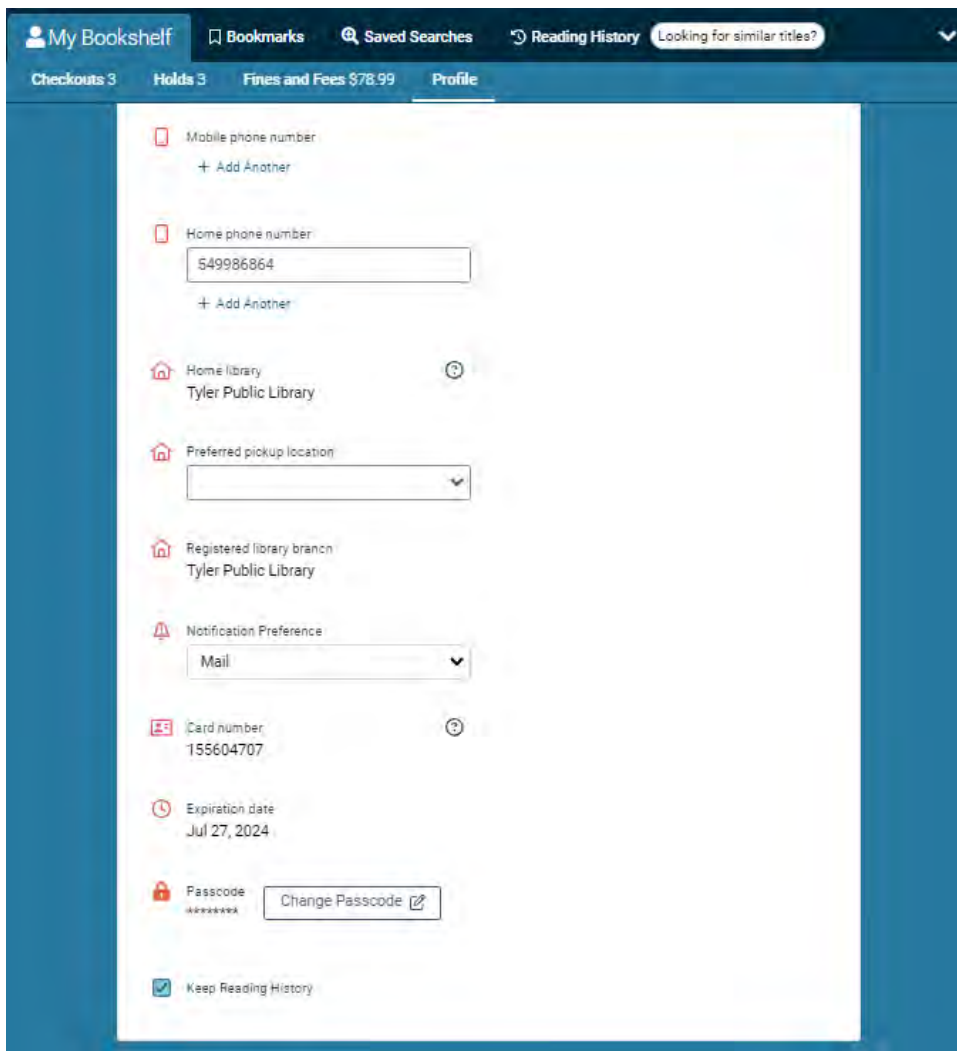
C.4.13 Allows patrons to update personal contact information (email, phone number, etc.).

## INNOVATIVE

Yes.

Patrons can edit their personal profile from My Bookshelf. The library can specify which profile information you want to allow patrons to edit from the list of editable fields:

- Email address
- Home address
- Home library
- Home phone number
- Mobile phone number
- Name
- Passcode
- Reading History Opt-in/Opt-out
- Email address

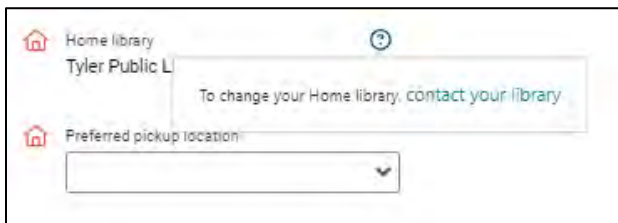


**My Bookshelf** | Bookmarks | Saved Searches | Reading History | Looking for similar titles?

Checkouts 3 | Holds 3 | Fines and Fees \$78.99 | **Profile**

- Mobile phone number: + Add Another
- Home phone number: 549986864 + Add Another
- Home library: Tyler Public Library ⓘ
- Preferred pickup location: [Dropdown]
- Registered library branch: Tyler Public Library
- Notification Preference: Mail [Dropdown]
- Card number: 155604707 ⓘ
- Expiration date: Jul 27, 2024
- Passcode: [Masked] [Change Passcode]
- ☒ Keep Reading History

A question mark icon appears next to fields that patrons are not allowed to edit. You can specify a URL to your library contact information, and patrons can select the icon to follow the link to request a change to information they are not allowed to change themselves.



Home library: Tyler Public L ⓘ

To change your Home library, [contact your library](#).

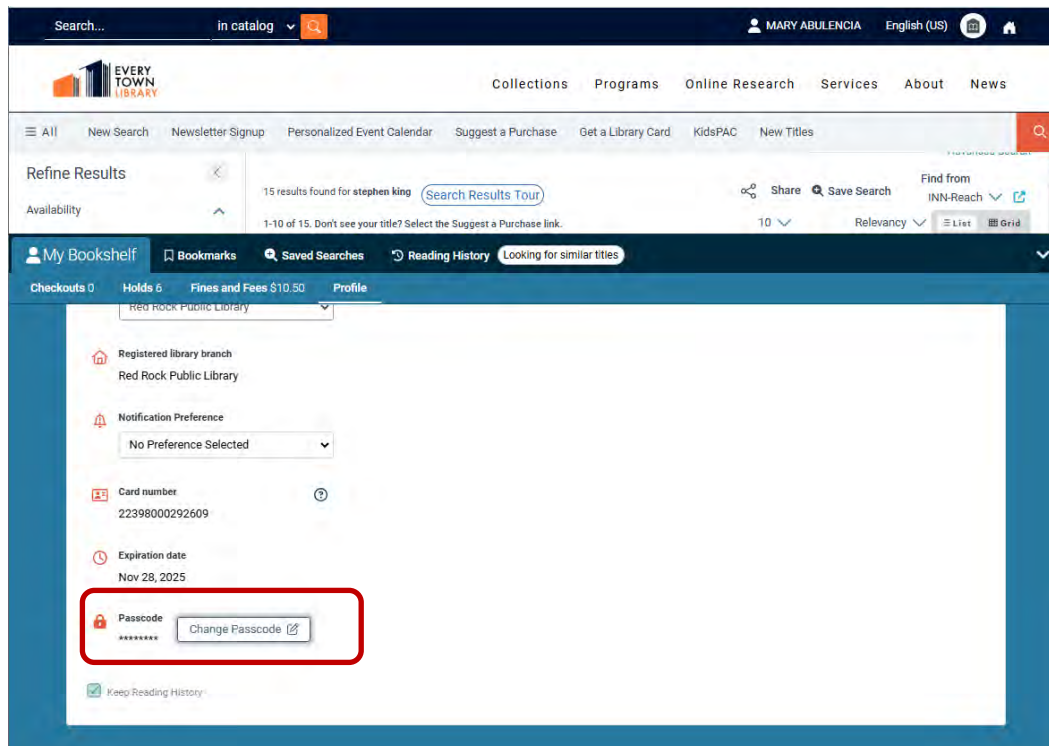
Preferred pickup location: [Dropdown]

C.4.14 Allows patrons to retrieve or reset their PIN/password.

## INNOVATIVE

Yes.

From their Profile in My Bookshelf, patrons can change their passcode.



×

Change Passcode

Current Passcode

New Passcode

Confirm New Passcode

Change Passcode

Cancel

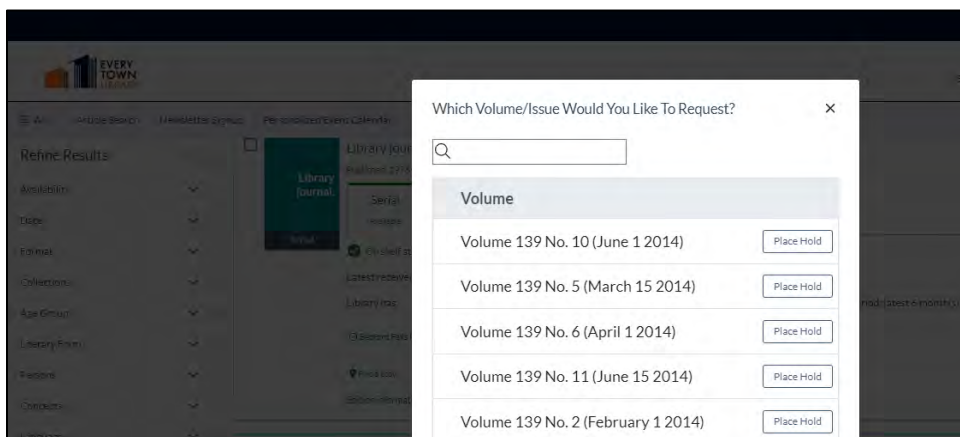


C.4.15 Supports placing holds on specific volumes (not copies) in bibliographic records (e.g., Scott Standard Postage Catalog Vol. 4)

## INNOVATIVE

Yes.

For multi-volume titles and serials, Vega Discover Premium lets the patron place a hold at the volume or issue level. When the patron clicks the hold button, Vega Discover Premium presents a pop-up prompting for the volume to be requested.

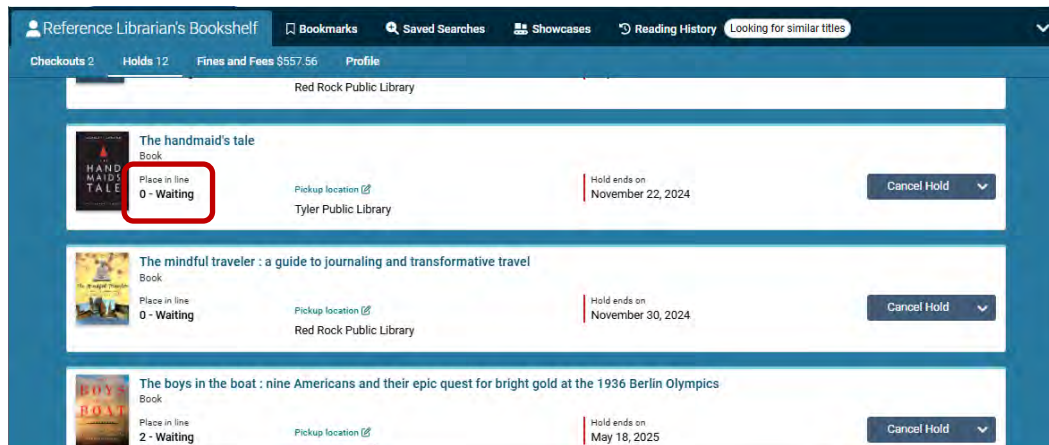


C.4.16 Allows display of patrons' rank/position on hold lists.

## INNOVATIVE

Yes.

Patrons can view their Place in line.



C.4.17 Provides an online borrower registration tool. Proposer shall describe extent to which submissions can be validated against library-specified requirements.

## INNOVATIVE

Yes.

For online patron self-registration, current capabilities provide a single configurable registration form for all patrons. This assigns patrons to a library-designated patron type for online registrations that allows limited access to library resources. Library staff then review and assign the patron to a permanent patron type after the patron visits the library for ID verification. Our roadmap includes self-registration enhancements and will include the ability to define multiple self-registration types and present context-specific registration forms. Self-registration enhancements also include the ability for patrons to self-renew.

C.4.18 Allows patrons to create user names for use in lieu of library card numbers.

## INNOVATIVE

Yes.

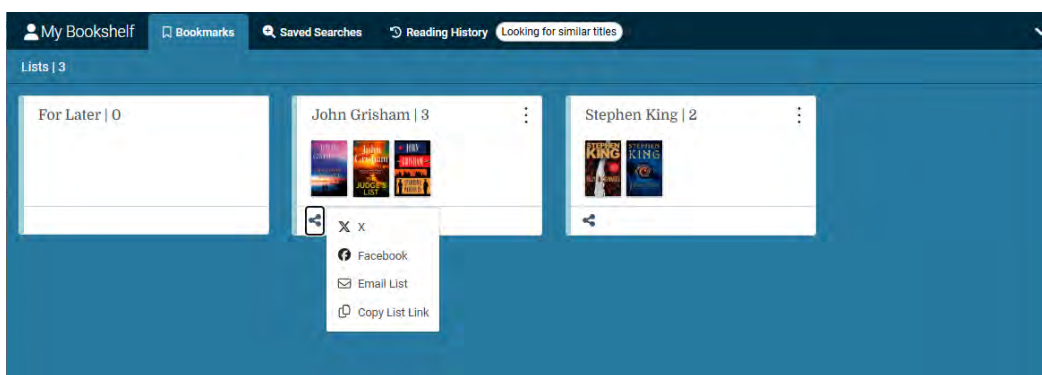
You can create a username for the patron in Polaris. The patron will then be able to use this username to log in to Vega Discover.

C.4.19 Allows patrons to create, save, and share bibliographic lists. Proposer shall describe any restrictions on list capability (maximum list length, maximum number of lists permitted, etc.) and how sharing is supported.

## INNOVATIVE

Yes.

Patrons can create bookmarks (title lists). There are no restrictions on length or the number of lists created. Lists can be shared via X, Facebook, Email or by using the list link.



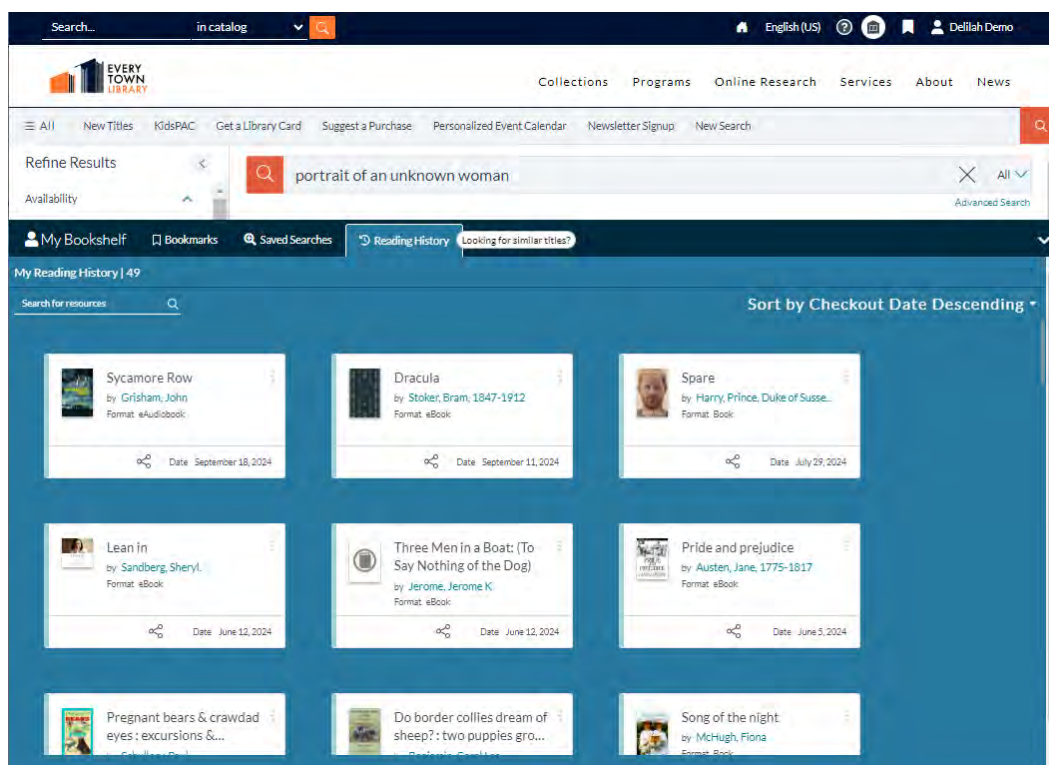
C.4.20 Allows patrons to specify if they want their borrowing history retained. Proposer shall describe any limitations on this feature (list size, list age, etc.).

## INNOVATIVE

Yes.

Patrons can choose to opt in to retaining their personal reading history in their personal Profile. This consent is stored in the patron record. Patrons can revoke their consent by editing their Profile and deselecting the consent box, which removes their saved reading history.



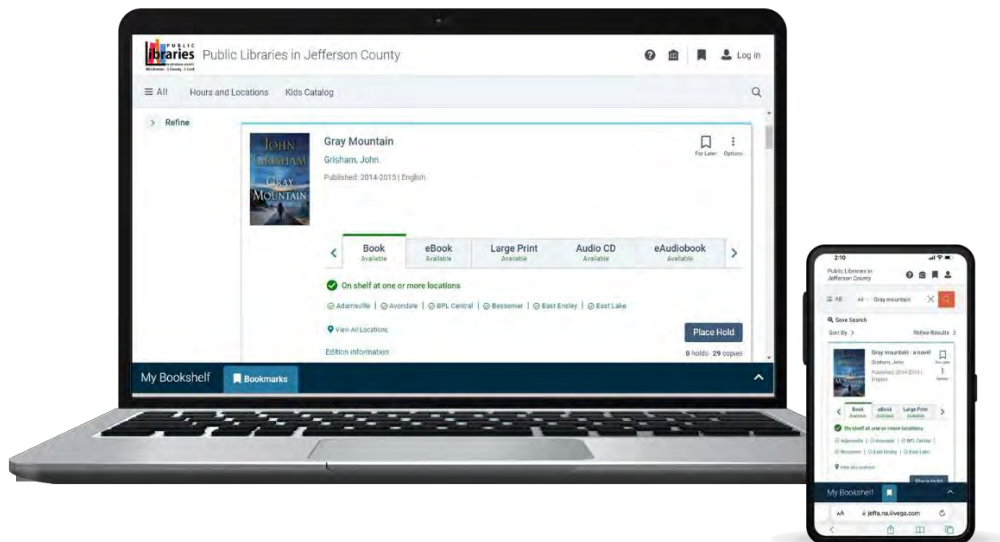


C.4.21 Provides a mobile solution (i.e., responsive website design for use with mobile devices and/or a mobile app). If an app is provided, Proposer shall list supported operating systems.

## INNOVATIVE

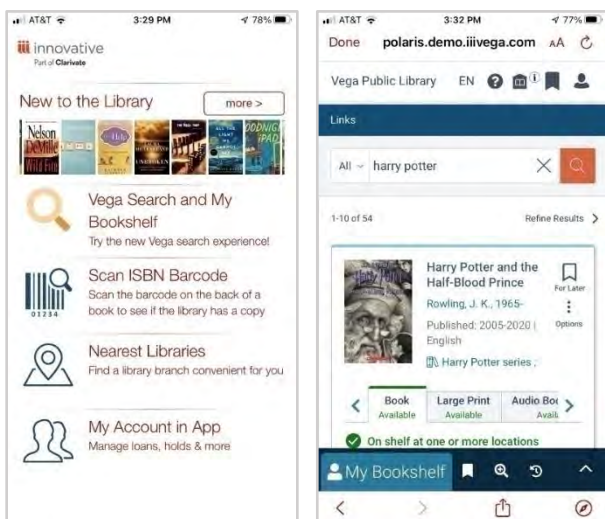
Yes.

Vega Discover Premium is mobile responsive, designed to seamlessly adapt to any device size, from desktops to smartphones.



In addition, our offer includes the Innovative Mobile app. Innovative Mobile is an app expertly designed to meet today's challenges for libraries. With a focus on contactless interactions and self-service, Innovative Mobile encourages patrons to connect with the library anywhere and at any time. Unlike other mobile applications, Innovative Mobile puts the power of Polaris into patrons' hands offering discovery, patron account access, patron self-check via barcode or RFID, as well as "Click and Collect" for curbside pickup.

Anyone using the Innovative Mobile app can search the catalog with Vega Discover Premium, promoting consistency amongst different platforms. This allows patrons the ability to discover materials through Vega's BIBFRAME-based context engine with display of results presented in Vega Discover Premium's work-level rollups, where all formats available can be seen all together.



Fully featured and ready to meet the needs of you and your patrons – now

- Offers a quick and easy implementation that takes weeks, not months
- Works with Polaris public and academic libraries
- Enables users to manage accounts for the whole family
- Allows patrons to pay fines through the app through integrations with online fine payment services

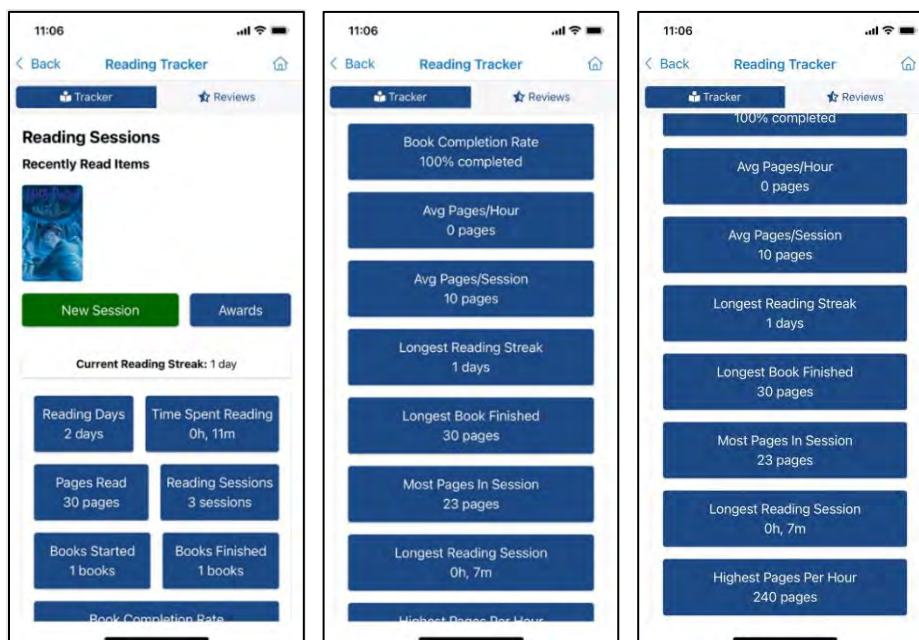
Empowers self-service and contactless pick up

- Provides digital library card, full catalog searching, in-app access to electronic resources, fine payment, and curbside pickup
- Gives patrons the ability to borrow and return items in the library right from their device, using barcode or RFID (This is available as an option)
- Turns user and staff devices into self-service machines, reducing the need for existing and future self-service hardware
- “Click and Collect” allows patrons to reserve items in the app and receive notifications when their items are ready for pick up. Once the patron arrives at the library, they simply select the “I’m here” button to notify the library.

Broadens the library’s reach and brand through strong customization functionality

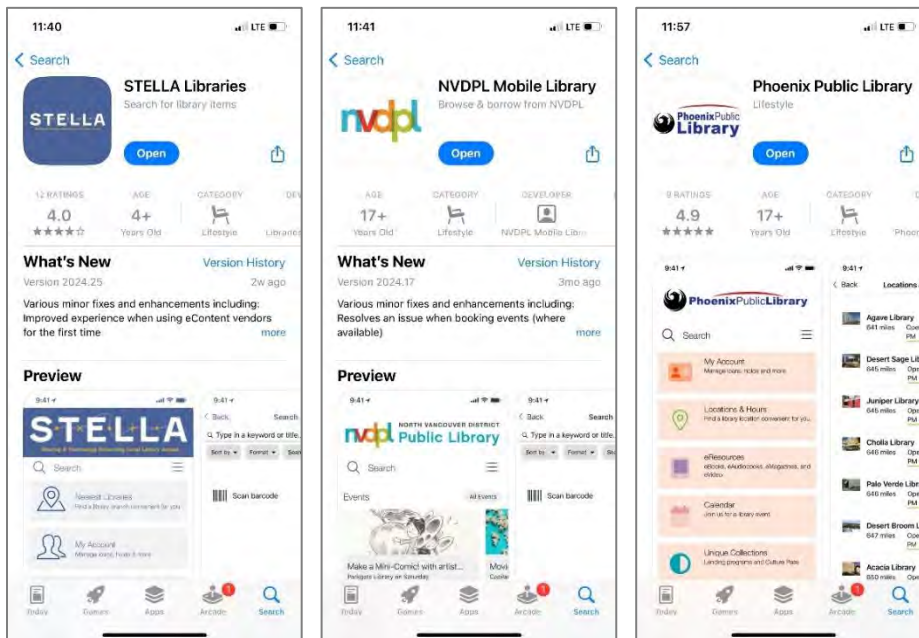
- Enables libraries to customize the app to the look and feel of their library with the ability to tailor the menu layout, app colors, and more
- Offers 20+ language options

One of the new features just introduced is the Reading Tracker that lets users track their reading, both for library materials (e-books and print books) as well as books they read that are not from the library.



You can view live “case studies” of how libraries are using the mobile app by downloading versions of the app published by individual libraries. We recommend:

- STELLA Libraries
- NVDPL Mobile Library
- Phoenix Public Library



C.4.22 Displays lists of new titles, bestsellers, staff recommendations, etc.

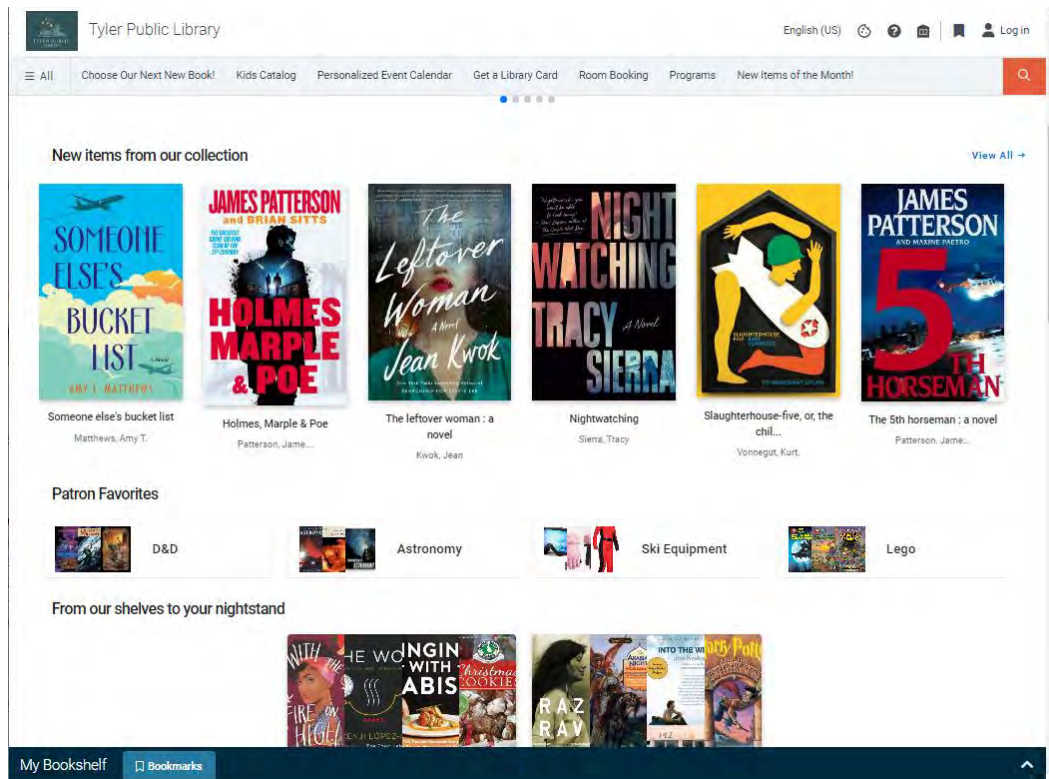
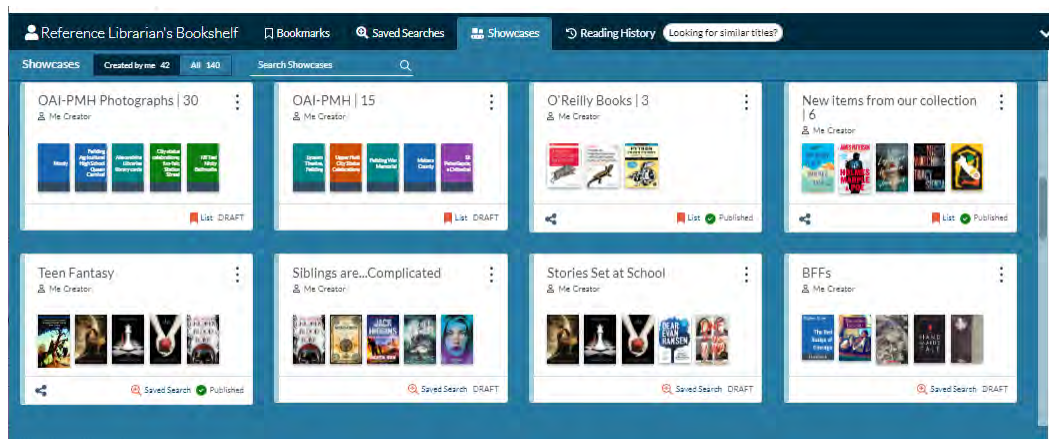
## INNOVATIVE

Yes.

Vega Discover Premium encourages an Exploration Journey for the patron to uncover additional areas of interest, whether materials, people, or topics. Showcases make linked data come to life, using linked data and the BIBFRAME backbone to provide in-context access to related materials, people, and topics in a highly visual interface.

Staff users create and manage showcases and can publish them at any time for display in the catalog as shown below.





C.4.23 Displays "reshelving" (or similar message) for materials for a library-specified period of time after being discharged.

## INNOVATIVE

Yes.

The library can set reshelving status to display as Unavailable.

C.4.24 Proposer shall encrypt all web-based data transfers using SSL/TLS or comparable technology.

## INNOVATIVE

Yes.

All data stored in the system is encrypted at rest using AES-256 encryption. Data is encrypted in transit using SSL (https) with TLS1.2.

C.4.26 Proposer shall provide a tool for gathering statistical information about patron use of the online catalog. In addition, Proposer shall describe what data is captured (top searches, number of searches by device type, number of user sessions, etc.)

## INNOVATIVE

Yes.

Vega Discover Premium usage analytics (search results views and total visitors to Vega Discover Premium) can be provided to you on a monthly basis by your Innovative support team.

We are also currently developing Vega Analyze. Vega Analyze focuses on outcomes, not simply actions. It is more important to understand if your actions were successful than to simply know how many times they were taken. Did a user find a title of interest? Was a limited resource budget well spent? Were emails received and opened? Are you maximizing ebook licenses instead of simply buying more and more unused ebooks? Vega Analyze is designed to guide the library, users, and the system to successful outcomes, ensuring satisfaction and elevating the library experience.

C.4.27 Proposer's OPAC shall display MARC, summary, and detailed holdings information for serials.

## INNOVATIVE

Yes.

The screenshot displays the Everytown Library OPAC interface. The top navigation bar includes a search bar, 'in catalog' dropdown, and user information for 'MARY ABULENCIA'. The main menu lists 'Collections', 'Programs', 'Online Research', 'Services', 'About', and 'News'. Below the menu, there are links for 'All', 'New Search', 'Newsletter Signup', 'Personalized Event Calendar', 'Suggest a Purchase', 'Get a Library Card', 'KidsPAC', and 'New Titles'. The main content area shows the 'Time' serial record. It includes a cover image, publication details ('Published: 1923- | English'), and a 'Find from' section with 'INN-Reach'. A 'Serial' tab is active, showing 'On shelf at Red Rock Public Library' and 'Latest received Vol. 165 No. 25 (Oct. 21 2013)'. A 'Place Hold' button is visible. Below this, an 'Edition information' section is expanded, showing a table with columns: Publication Date, Edition, Details, Publisher, Physical Description, and Availability. The table lists various editions of 'Time' with their respective locations, call numbers, and statuses.

| Publication Date | Edition | Details | Publisher                   | Physical Description | Availability |
|------------------|---------|---------|-----------------------------|----------------------|--------------|
| 1923-            | -       | ①       | [New York, etc., Time Inc.] | v. 28 cm.            | Available    |

| LOCATION                 | DETAILS | CALL NUMBER                        | STATUS     | DUE DATE | MESSAGE |
|--------------------------|---------|------------------------------------|------------|----------|---------|
| Jefferson Public Library | ①       | 051 Vol. 199 No. 3 (Aug. 15 2011)  | In         | -        |         |
| Jefferson Public Library | ①       | 051 Vol. 199 No. 1 (Aug. 1 2011)   | In-Process | -        |         |
| Jefferson Public Library | ①       | 051 Vol. 198 No. 26 (July 25 2011) | In-Process | -        |         |
| Jefferson Public Library | ①       | 051 Vol. 198 No. 25 (July 18 2011) | In-Process | -        |         |
| Jefferson Public Library | ①       | 051 Vol. 198 No. 24 (July 11 2011) | In-Process | -        |         |

The bottom of the interface features a dark blue footer with links for 'My Bookshelf', 'Bookmarks', 'Saved Searches', 'Reading History', and 'Looking for similar titles'.



C.4.28 Proposer's OPAC integrates with EnvisionWare's eCommerce credit card payment portal.

## INNOVATIVE

Yes.

With Vega Discover Premium, Polaris allows integration with a range of "Redirect and Postback" third party partners. Using this method, Polaris passes the amount owed to the payment processing service, which manages the financial transaction and send the amount paid to Polaris to record in the patron's fine/fee record. No financial information (credit card, bank information, etc.) is collected, processed or stored by Polaris or by your library. The transaction is exclusively handled between the patron and your selected processing service. The following are some of the systems that have been integrated with Polaris:

- EnvisionWare
- Comprise
- Jet Pay
- Paypal Payflow

C.4.29 Proposer's OPAC includes customizable registration tool which provides option to receive newsletters, announcements, etc.

## INNOVATIVE

Yes.

The patron self-registration form is available via a link in the header of Vega Discover Premium and can include the option to receive newsletters, announcements, etc.

C.4.32 Provides online help files/tutorials.

## INNOVATIVE

Yes.

Vega Guide for Discover allows libraries to create pop-up announcements, surveys and polls, and multi-step user walk throughs showing patrons how to use Discover. Staff can schedule a guide to appear to certain patrons based on their behavior. For example, someone who logs in for the first time in over six months, might receive a "welcome back" message with the option for a refresher walk-through on how to use the site. In this way, patrons see guides and content that is tailored to their behaviours and user patterns.

C.4.33 Displays patron's current checkouts, holds, hold availability, and fines.

## INNOVATIVE

Yes.

Vega Discover Premium provides an entire suite of My Account services designed for the patron to easily view a list of items out and renew items, access their holds and view their current requests, view and pay fines, update information and more. Users can also opt to maintain a reading history, save searches, and create, save, and email selected title lists.

C.4.34 Checkouts list information is customizable to include Item Call #, Author, Title, Item barcode, etc.

## INNOVATIVE

Yes.

The list of fields on the My Bookshelf checkouts list includes the following, but is not customizable:

- Title
- Format
- Checked out Date
- Due Date
- Renewals

Note that the title is hyperlinked and will take you to the record with all information included.

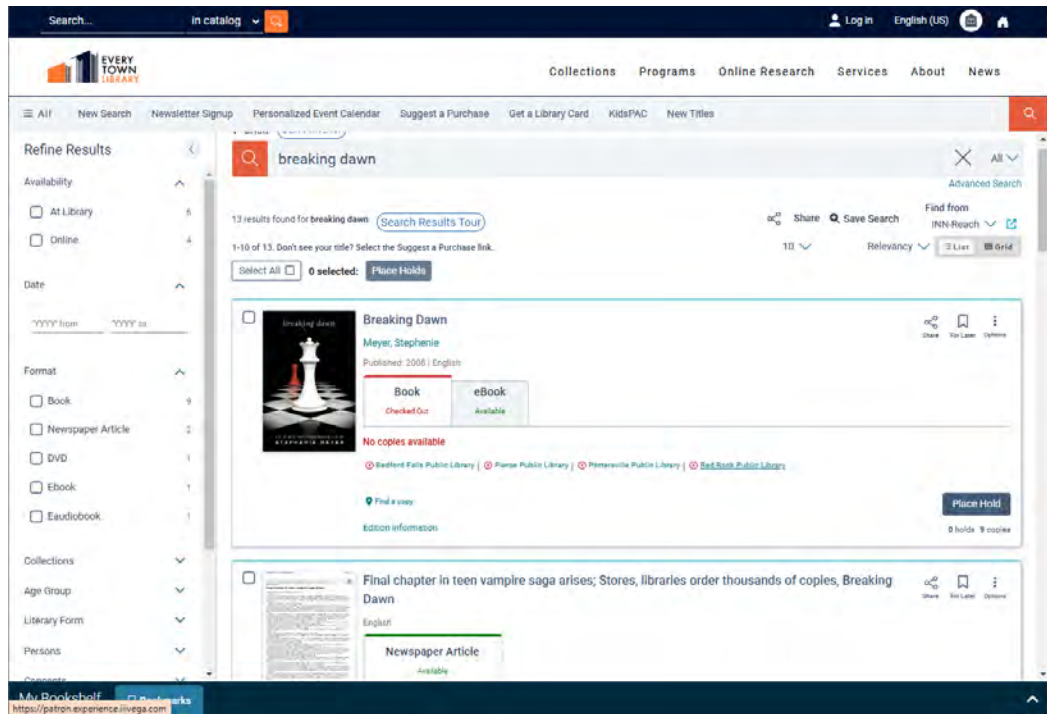
## 5. Search Capabilities

The proposed solution shall provide a public search interface that is intuitive and powerful. The search algorithms responsible for search results must be optimized to provide both high precision and high recall. The Contractor shall provide a narrative description of the search tool's features and unique capabilities, including which fields are indexed for searching by default.

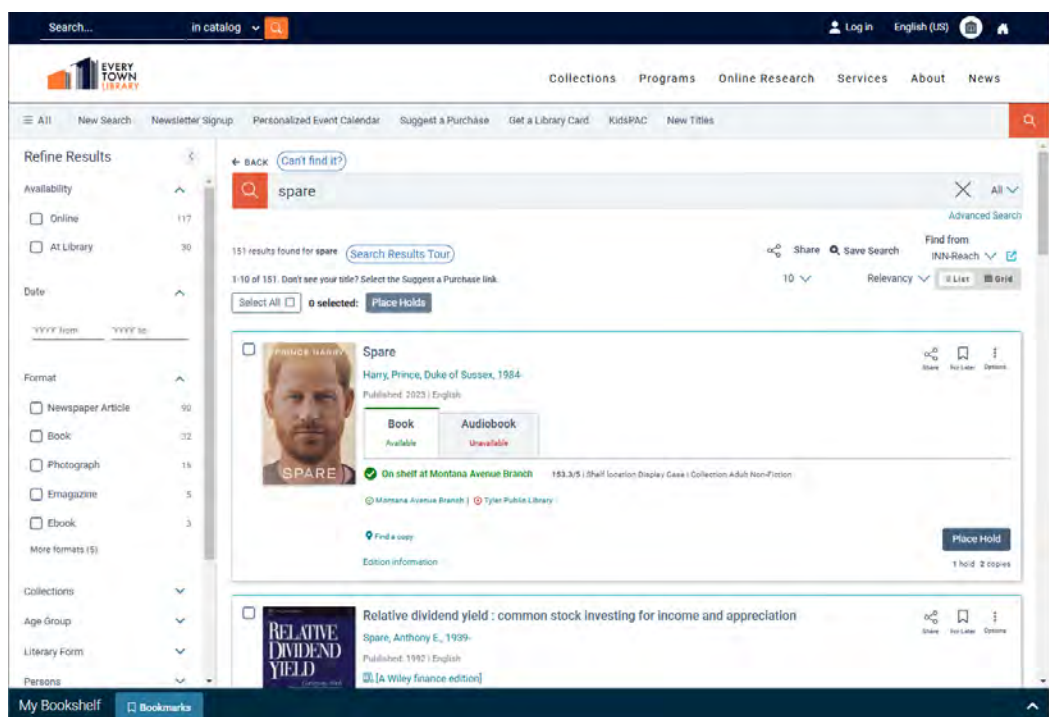
## INNOVATIVE

Vega Discover Premium provides an intuitive discovery experience for patrons, with a simple user interface that displays accurate and relevant search results with the option to digitally browse related resources, authors, topics, and featured showcases.

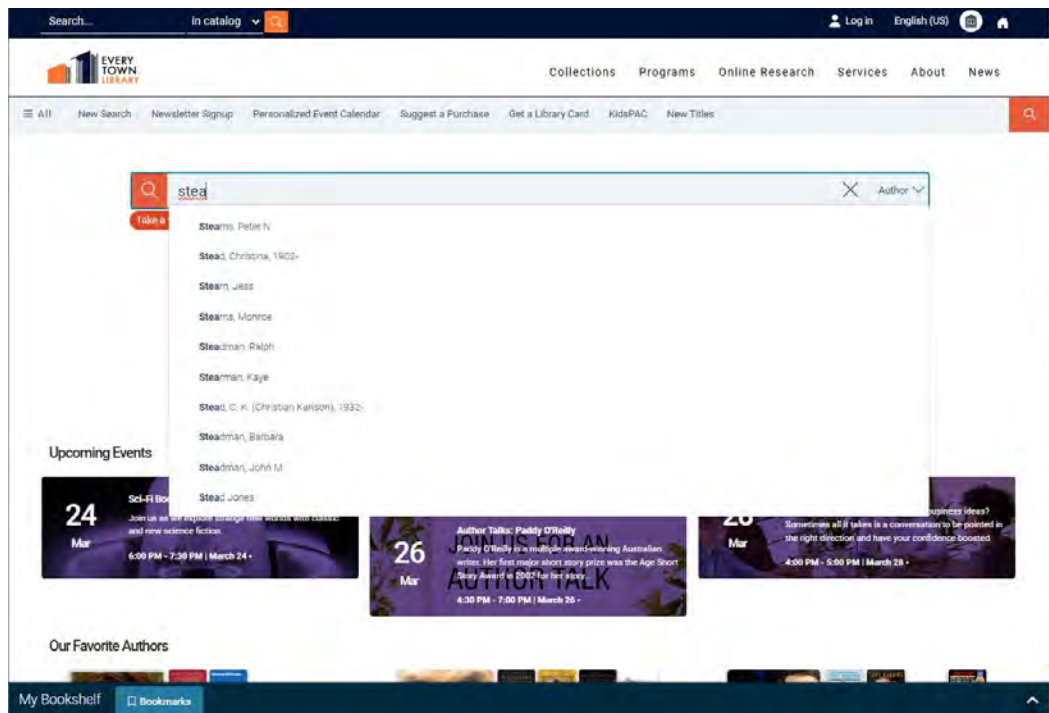
Vega Discover Premium uses sophisticated relevance algorithms that promote matches to the search term as entered. This produces results containing the search term at the top of the results list. Where a user enters a search for a known item, typically a title or a title/author combination, the exact matches will have the highest relevance and will appear at the top of the results list.



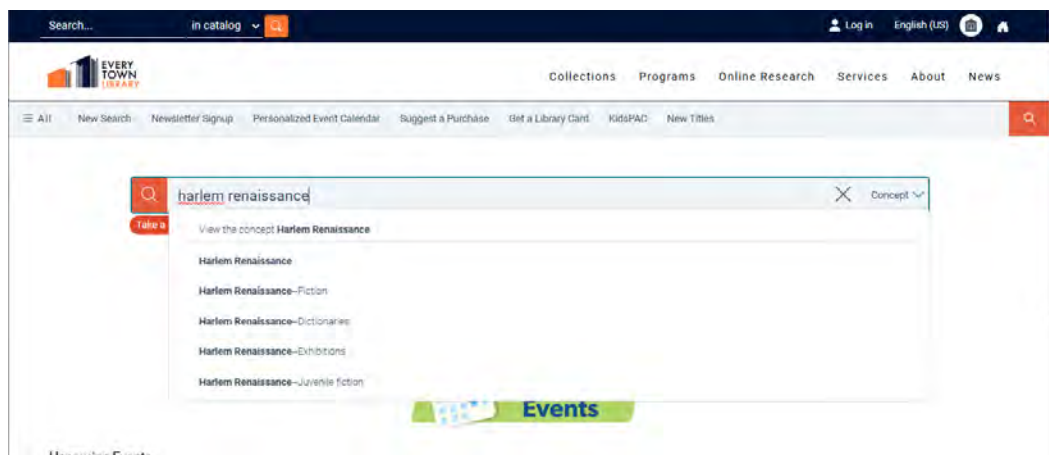
*Known item searching retrieves the exact match at the top of the results, whether searching a multi-word title (above) or a single word title (below)*



Vega Discover Premium also provides a ubiquitous Google-like search as a default, but also lets users select an index to search, including author, concept (topic), series and title searches. By selecting author search, the user can search for their search term among authors. Vega Discover Premium's search suggestions let the user begin typing and then select from a list of suggested authors as shown below.



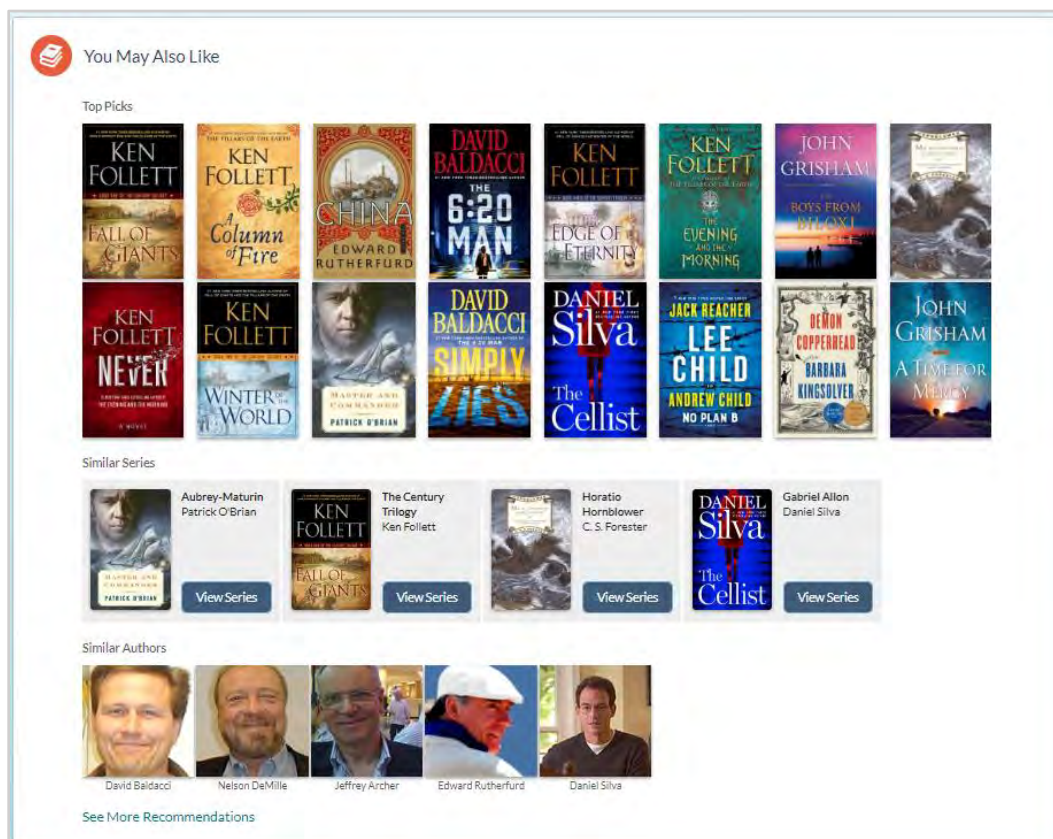
Users selecting a Concept search retrieve results based on the topic entered. Again, relevance algorithms are applied to present the results containing the topical terms entered to the top of the results list. Vega Discover Premium offers search suggestions to allow the user to select a specific topic as well as allowing them to continue with a search.



Traditional browse searching in library OPACs is presented as a simple index browse, listing names, titles or library of congress subject terms. Vega Discover Premium provides a more modern and dynamic user experience similar to what users get from Amazon or Netflix. By transforming MARC metadata to BIBFRAME, Vega Discover Premium creates and maintains linked data associations. These are presented in the user interface through visual showcases that are assembled based on linked data associations – not just an alphabetical listing, letting users browse book cover images rather than a list of names or titles.



Users are encouraged to begin browsing from the Vega Discover Premium landing page where they are presented with library-selected showcases. They can click on a book cover to view that item and then can explore similar materials. This lets the user browse based on actual associations and similarities, not just alphabetical proximity.



## Narrative Descriptions for Exhibit F – Functional Requirements – Search Capabilities

C.5.1 Provides both basic and advanced search interfaces. Proposer shall describe search options for both interfaces, including phrase, keyword, proximity, and Boolean operators.

### INNOVATIVE

Yes.

Yes. Vega Discover Premium offers a modern search experience for public library patrons with a simple user interface that displays accurate and relevant search results, with the option to digitally browse related resources, authors, topics, and featured showcases.

## Basic Search

With Vega Discover Premium, we have introduced the world's first BIBFRAME-based discovery platform that opens new avenues for patrons to search, explore and learn through the underlying linked data. When you search for library resources, you can enter search terms such as a book title, an author, or a particular subject. Discover displays items that match your search terms. You can refine a search to narrow the results (availability, date, format, age group, persons, concepts, language, locations). Discover allows the user to search without resorting to using an advanced search option. The user simply types what they want to find and Discover brings back the best matching results.

## Advanced Search

Vega Discover Premium supports advanced searches using Boolean operators and pre-selection of facets and filters. This lets you construct complex queries that can then be saved for future use. You can also use advanced search for browsing collections by selecting facets to set any combination of locations, formats, languages, genres, age groups, etc. and then entering "\*" as the search term to browse through resources meeting your selected criteria.

C.5.2 Provides ability to filter/facet/refine search results by user specified criteria (library, item type, etc.).  
Proposer shall describe available filter options.

## INNOVATIVE

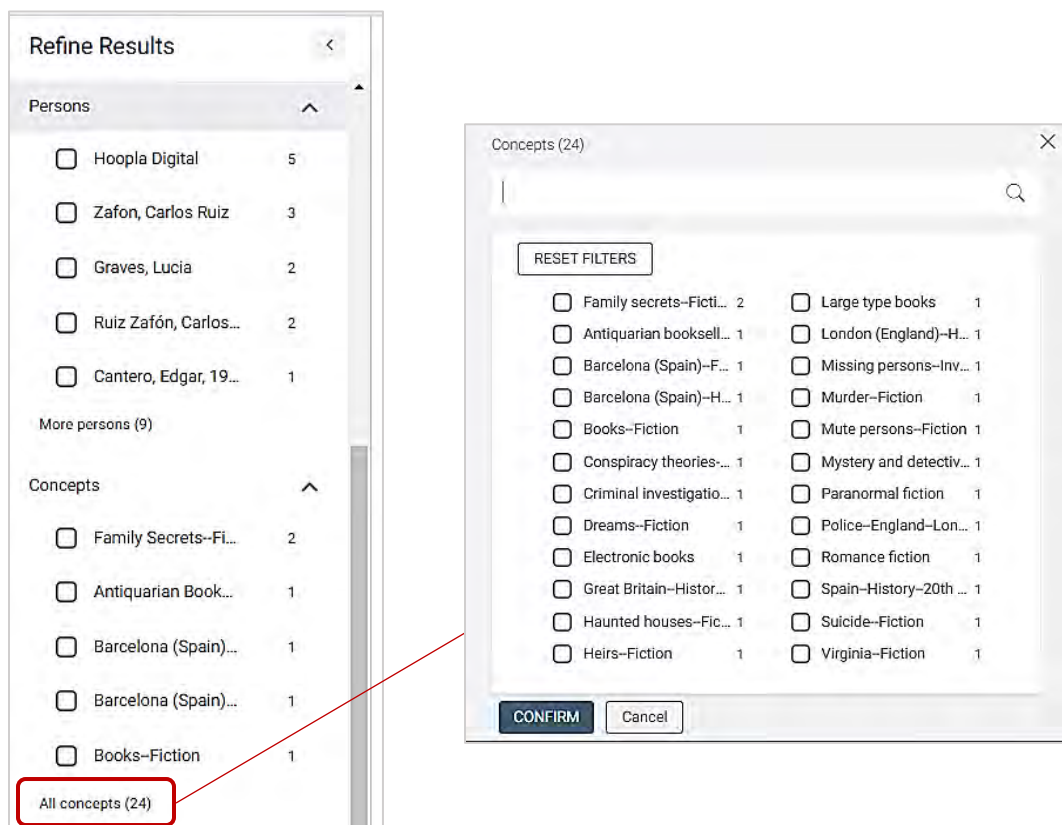
Yes.

Clickable facets appear to the left of the results, providing options for refining the search. Patrons can make multiple selections to apply to the results. Clicking the lock icon next to a facet keeps it selected in future searches.

Facet categories include: Availability, Date (range), Format, Collections, Age Group, Literary Form, Persons, Concepts, Language, Locations, Publishers, New Materials, Donors. The details in each category come from the ILS. Patrons can select multiple facets in any combination, choosing multiple concepts, formats or other criteria according to their needs.

Facets include Concepts and Persons to allow patrons to explore related subjects and names. These relationships are generated in the Vega Context Engine, which uses BIBFRAME metadata and "seed" data including Library of Congress authority data.

Often there will be a large number of options within a facet, which can be viewed by clicking "More persons" or "All concepts" at the bottom of the list to open a pop-up window with a complete list. A facet list and complete pop-up list are shown below.



C.5.3 Supports downloading, emailing, or printing bibliographic records.

## INNOVATIVE

Yes.

Titles can be shared via social media (X, Facebook) and email. You can export a citation. You can also save to a title list.

C.5.4 Provides scope notes, references, "see" and "see also" notes, and broader/narrower terms from authority records.

## INNOVATIVE

Yes.

Because your MARC data is converted to BIBFRAME in Vega Discover, this information is displayed via Topics or Contributors.



C.5.6 Allows the library to edit the stop word list.

## INNOVATIVE

No.

Vega Discover Premium does not use stop words. As such, Vega Discover Premium indexes and searches on every word that is input.

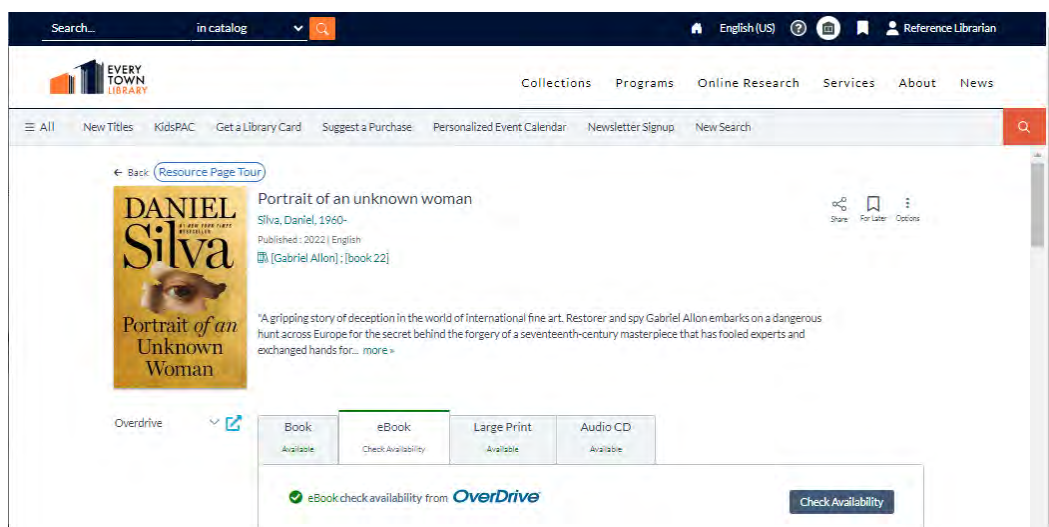
C.5.7 Integrates eBook and eAudiobook lending into the catalog interface. Proposer shall provide a narrative overview of the search, checkout, and download process for eBooks. Proposer shall list supported vendors.

## INNOVATIVE

Yes.

Vega Discover Premium has been designed to integrate with services like OverDrive, Hoopla, Bolinda BorrowBox, cloudLibrary, and Boundless (formerly Axis 360). This integration lets patrons find, reserve, checkout and download e-books and other e-content to their device directly from the catalog. E-content displays on separate tabs in the Work-Level Rollup, making it easy for patrons to see all the available formats.

Vega Discover Premium can be configured to ingest e-content records directly into our central repository, instead of requiring library staff to manually load and catalog the records in Polaris. The e-content management system automatically schedules a full extraction of your subscription content records from the vendor, as well as daily updates and weekly syncs (if required by the vendor). When the vendor adds or removes records from your subscription, Vega applies the updates to the records in the context engine and displays them in search results.



C.5.8 OPAC and staff client are able to sort and reverse sort hit lists by relevancy, title, author, subject heading, call number, and publication date.

## INNOVATIVE

Yes.

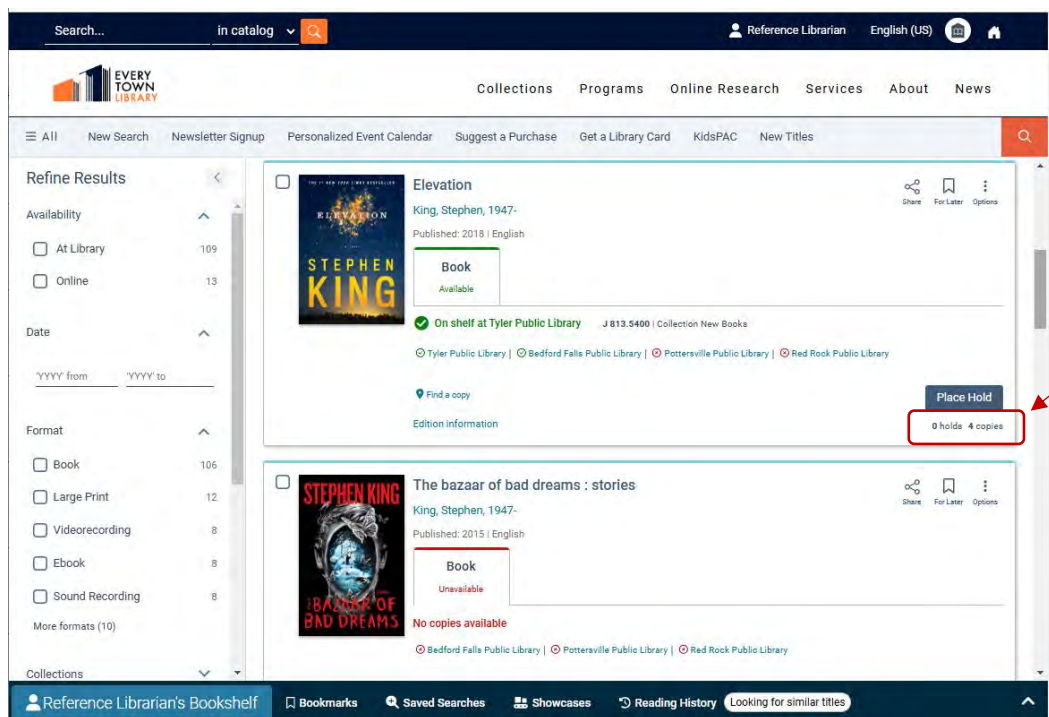
Vega Discover Premium supports sorting by relevance, date:newest, date:oldest, and new materials.

Polars Leap supports sorting by clicking any of the column headings in the Find Tool.

C.5.10 Displays the number of holds on a given title and number of copies available to fill the hold.

## INNOVATIVE

Yes.



C.5.12 Displays enhanced third party content (book jackets, reviews, etc). List which enhanced content providers are currently supported.

## INNOVATIVE

Yes.

Our solution includes Syndetics Unbound at no additional cost. With Syndetics Unbound, catalog enrichment elements are automatically linked to your records, including cover images, summaries, tables of contents, ratings, reviews and more. The full coverage of Syndetics Unbound will let you discontinue your subscriptions to Novelist and Content Cafe, saving money as well as the time you are currently spending to do monthly uploads to Novelist.

In addition to saving you money on subscription costs, with Syndetics Unbound there is no need for any added effort by your staff to export holdings on a regular basis – Syndetics Unbound is fully integrated with Discover and all enrichment efforts are linked automatically without any manual upload or holdings or manual linking of content.

Syndetics Unbound includes enrichment for all types of materials – not only fiction but also non-fiction as well as music and video content. In addition, you can link locally generated cover images, tables of contents, sample pages, etc. to catalog records by including links in the record, which can be used to enrich local materials not covered in Syndetics Unbound.

Syndetics Unbound delivers the following enrichment elements – all included in your Vega Discover Premium subscription at no added cost:

- **Premium Cover Service** – Syndetics Unbound offers the most comprehensive cover database in existence for libraries – over 25 million full-color cover images for books, videos, DVDs, and CDs, with thousands of new covers added every week. If a cover is missing for an item, Syndetics Unbound automatically generates a cover using the title, author, and media type.
- **Summary** – Over 18 million summaries and annotations covering fiction, non-fiction, and both trade and scholarly titles. Thousands of summaries are added each week.
- **About the Author** – This section includes the author biography and a shelf of other items by the author. The section is also adorned by a small author photo.
- **Look Inside** – Includes first chapters, book excerpts, and table of contents for millions of titles, enabling patrons to take a peek inside a book.
- **Series** – Shows a book's series, including the reading order. If the library is missing part of the series, those covers are shown, but grayed out.
- **You May Also Like** – Provides sharp, on-the-spot readers' advisory in your catalog, with the option to browse a larger world of suggestions, drawn from LibraryThing members and big-data algorithms. As with other enrichments, Syndetics Unbound only recommends items that your library owns.
- **Professional Reviews** – More than 5.4 million reviews are available from:
  - o Library Journal
  - o School Library Journal
  - o New York Times
  - o The Guardian
  - o The Horn Book
  - o BookList
  - o BookSeller + Publisher Magazine
  - o Choice
  - o Publishers Weekly
  - o Kirkus
  - o A la carte professional review options also include:
    - o Voice of Youth Advocates: VOYA
    - o Doody's Medical Reviews
    - o Quill and Quire
- **Reader Reviews and Ratings** – Includes more than 1.7 million vetted reader reviews from LibraryThing members. It also allows patrons and librarians to add their own ratings and reviews, right in their library's catalog, and then showcase them on a library's home page and social media.

- **Book Profile** – A newly dynamic version of what Bowker has done for years – analyzing thousands of new works of fiction, short story collections, biographies, autobiographies, and memoirs annually. With Syndetics Unbound every term is clickable, and patrons can search and browse over one million profiles.
- **Reading Level** – See and explore other books in the same age and grade range. Reading Level also includes Metametrics Lexile® Framework for Reading.
- **Awards** – Highlights the awards a title has won, and helps patrons find highly-awarded books in your collection. Includes well-known awards, like the National Book Award and the Booker Prize, but also smaller awards like the Bram Stoker Award and Oklahoma's Sequoyah Book Award.
- **Video and Music** – Syndetics Unbound offers a wealth of descriptive information for more than 4 million video and music titles including annotations, performers, track listings, release dates, genres, keywords, and themes.
- **Video Games** – The video game element enriches your catalog with game covers, ESRB Rating, Star Rating, Game Information, System Requirements, Game Features, Game Description, Game Reviews, and Screenshots.

Your library can choose which elements you want to display.

C.5.13 Allows the library to relabel and/or suppress MARC fields in the bibliographic record display.

## INNOVATIVE

No.

Plans to allow the modification of MARC records for display in the OPAC are currently in development. Presently, Vega Discover leverages the advanced BIBFRAME standard for all data mappings and display. Your collections will be seamlessly imported as MARC and converted to BIBFRAME. For detailed information, please refer to our comprehensive documentation here: <https://documentation.iii.com/vega/admin/admin/MARCToBibFrame.htm>.

C.5.15 Provides bibliographic citation tools.

## INNOVATIVE

Yes.

Vega Discover Premium supports exporting citations from the user's Bookmarks to Refworks, Easybib, Zotero, Mendeley, RIS File.

C.5.16 Provides high quality ranked search results. Proposer shall describe the search technology, including features that make it better than those of competing vendors.

## INNOVATIVE

Yes.

Based on BIBFRAME, Vega Discover Premium provides superior results through contextualized metadata in our revolutionary Context Engine. This enhances the patron experience, delivering more relevant results and enabling serendipitous discovery through an engaging and enjoyable user experience.

For known item searches, our goal is to display the title the user entered as the first item in the search results list whenever possible. To this end, we have developed special algorithms for handling single word serial and monograph titles – known items – such as “It” or “Beloved” to insure they are visible immediately. Vega Discover Premium also allows the user to search using specific known-item identifiers, such as ISBN, ISSN, or other standardized numbers, without resorting to using an advanced search. The user simply types what they want to find, and Vega Discover Premium brings back the best matching results.

Open-ended searching is just as easy in Vega Discover Premium. The user can enter any terms and the relevance-based search algorithms will bring back the best matching results, regardless of whether the terms entered are an author, subject, title, serial title, or various secondary fields (editionStatement, genreForm, tableOfContents, supplementaryContent, and other note fields) or some combination of the above.

For open-ended searches Vega also gives users results that only contain all specified terms when queries contain 3 or less terms. Vega provides fuzzier search results when a user enters 4 or more terms, first displaying results that contain all search terms and then returning additional results that contain some but not all search terms and indicating which terms from the query are missing from each result.

There are a variety of factors that affect relevancy in Vega Discover Premium:

- If a term is found in a highly prioritized field like Title or Author, the relevance score will be higher than if that term were found in a secondary field, such as description.
- If a term is found multiple times within a work, then the score is higher.
- If a term is used in the field where it was found in fewer records, it is assigned a higher score.
- If there are more matched terms in a work, a higher score will be assigned. That said, due to the previous points, a record with only one match doesn't mean automatically mean that that record will have a lower score than a record with two matches that occur in other fields.
- When a work has many copies it is also assigned a higher score.

C.5.17 Allows users to limit their searches to on order materials.

## INNOVATIVE

Yes.

The ability to limit searches in Vega Discover to on-order materials is in development.

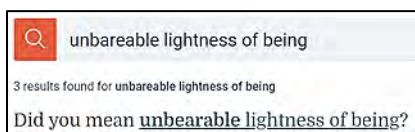
C.5.18 Offers suggested spellings/terminology when search strings approximately match indexed words/terms.

## INNOVATIVE

Yes.

Vega Discover Premium provides a number of features designed to minimize dead-end searches, including an autocomplete feature that allows the user to choose from search terms as they begin typing a query, allowing them to select matching concepts, persons or titles from a list rather than having to type them. Discover's "Did You Mean?" feature suggests close matches to the search term if no results are found.

"Did you mean?" guidance provides suggestions after the search has been entered.

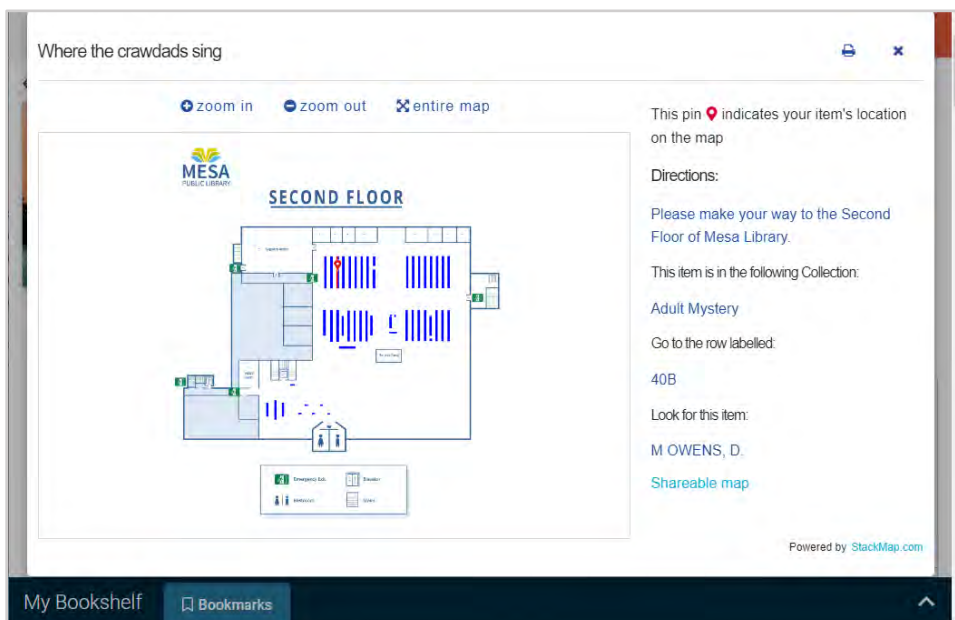
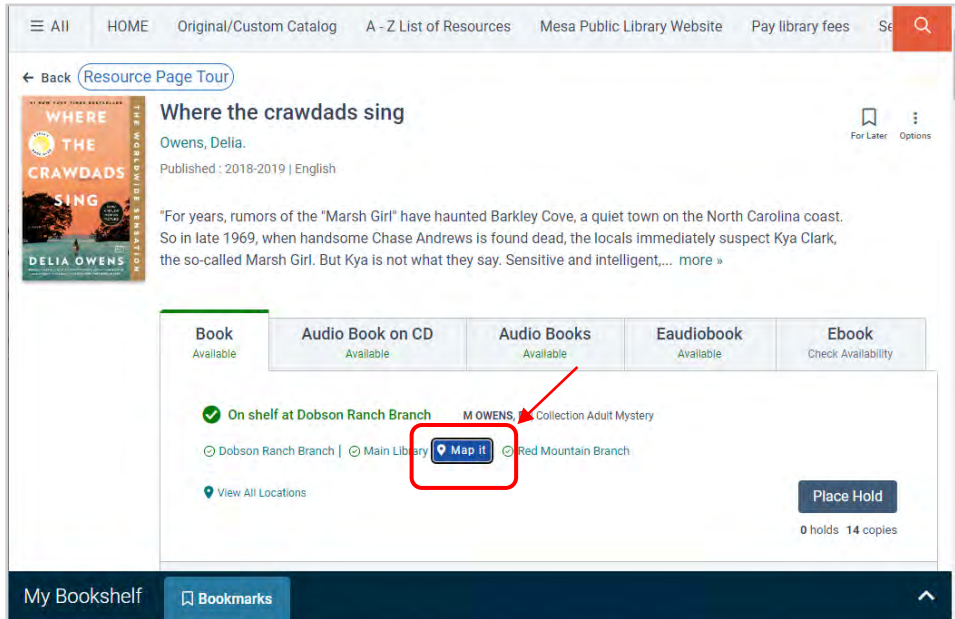




C.5.19 Supports display of building floor plans to show where an item is shelved.

## INNOVATIVE

Vega Discover Premium supports StackMap integration.





C.5.20 Ability, at the user's prompting, to pass through searches that retrieve zero hits to the San Diego Circuit union catalog (<https://circuit.sdsu.edu/>).

## INNOVATIVE

Yes.

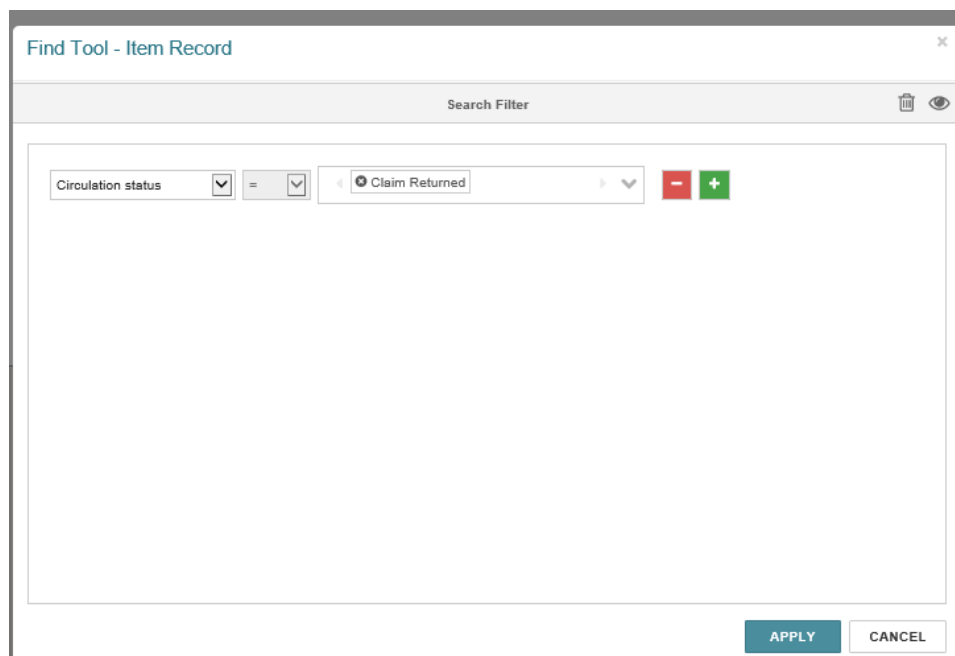
The magic of Polaris is that both LINK+ and SD Circuit (INN-Reach) is directly integrated into the Polaris staff workflows through the use of APIs. The INN-Reach Resource Sharing Broker (RSB/DCB) is not required. In Polaris, you can present your users with a special prompt in response to a zero hit result which gives them the option of passing their search term into Circuit where the search is automatically initiated.

C.5.21 Does not display items with "Claims returned" status.

## INNOVATIVE

Yes.

This can be accomplished by searching for items with a Claim Returned status in Polaris and performing a bulk change of the Display in PAC checkbox.



Find Tool - Item Record

Search Filter

Circulation status ☐ = ☐

**Find Tool - Item Record**

Item Record ▶ Basic Search ▶ All keyword fields ▶ Keyword (All) ▶

\* ✕ ☆ 📄 ↺ 🔍 ☰

| #                                   | Title                    | Assig...   | Colle...  | Mater... | Shelf ... | Call ... | V... | Status    | Barcode        | Last Activit... | R...  | Con... |
|-------------------------------------|--------------------------|------------|-----------|----------|-----------|----------|------|-----------|----------------|-----------------|-------|--------|
| <input checked="" type="checkbox"/> | 1, 2, 3 to the zoo.      | Potter...  | Adult ... | Book     |           | E AU...  |      | Claim ... | 31030003399417 | 12/5/2013       | Fi... | 628... |
| <input checked="" type="checkbox"/> | 1, 2, tie up my shoe ... | Pierce...  | Juven...  | Book     |           | CON...   |      | Claim ... | 32398001699222 | 2/26/2020       | Fi... | 386... |
| <input checked="" type="checkbox"/> | 1001 questions abo...    | Bedfor...  | Bests...  | Book     |           | 616.0... |      | Claim ... | 32398001799253 | 6/9/2014        | Fi... | 92385  |
| <input checked="" type="checkbox"/> | 1001 questions abo...    | Martin ... | Adult ... | Book     |           | 616.0... | 1    | Claim ... | 32398001799345 | 3/28/1994       | Fi... | 423... |
| <input checked="" type="checkbox"/> | 1876 : a novel           | Bedfor...  | Adult ... | Book     | Fiction   | FIC VID  |      | Claim ... | 35555000002081 | 12/19/2022      | Fi... | 177... |
| <input checked="" type="checkbox"/> | 8088 assembler lan...    | Monta...   | Adult ... | Book     |           | 001.6... |      | Claim ... | 32398000029629 | 4/4/2014        | Fi... | 2402   |
| <input checked="" type="checkbox"/> | After midnight           | Hardin...  | Adult ... | Book     |           | F ALB    |      | Claim ... | 32398000015388 | 10/15/2024      | Fi... | 1160   |
| <input checked="" type="checkbox"/> | All for love             | Clinto...  | Adult ... | Book     |           | F MAN    |      | Claim ... | 32398004514832 | 11/25/2000      | Fi... | 236... |
| <input checked="" type="checkbox"/> | Any friend of Oweyfs     | Harper...  | Juven...  | Book     |           | J BIE    |      | Claim ... | 32398000340257 | 9/19/2017       | Fi... | 19115  |
| <input checked="" type="checkbox"/> | The archaeology of I...  | Potter...  | Adult ... | Book     |           | 936.1... |      | Claim ... | 32398001704444 | 12/15/2011      | Fi... | 315... |
| <input checked="" type="checkbox"/> | The ark of the coven...  | Harris ... | Refer...  | Book     |           | OF M...  |      | Claim ... | 32398003020690 | 6/27/2014       | Fi... | 152... |

Ready Filtered to 175 of 10,000+ result(s)

☐ Count Only **BULK CHANGE** ADD TO RECORD SET ▼ OPEN CANCEL

**polaris** Scan or search FIND New Utilities Help mary.abulencia (RRPL)

**Item Record Bulk Change** UPDATE ITEMS SAVE AS TEMPLATE CANCEL

Template: (None) ▼

Error Record Set: ☐ Name Owner: mary.abulencia ▼

☒ Location ☐ Circulation ☒ Call Number ☐ Blocks and Notes ☒ Miscellaneous

Bib Control Number: (No change) FIND

Title:

Author:

Display in PAC: (No change) ▼  
☐ (No change)  
☐ Checked  
☒ Unchecked

Name of Piece: ☐

Item Barcode(s)\*:  ↵

☐ Use system assigned barcodes

C.5.22 Does not display bibliographic records when all copies are missing, discarded, lost, or claims returned.

## INNOVATIVE

Yes.

See response to [C.5.21](#) above.

C.5.23 Allows the user to view the full MARC record.

## INNOVATIVE

No

Vega Discover Premium enhances your catalog by converting the MARC metadata to BIBFRAME, which is a more modern and flexible format. This means there is no internal MARC metadata in Vega Discover Premium to display.

From the bib record in Polaris, staff can view the item in Vega Discover Premium. Making it easy for staff users to see both the bib record and the enhanced BIBFRAME record in Vega Discover Premium.

MARC record searching is planned for the future.

C.5.24 Indexes all data in every MARC field of the bibliographic record, not just select fields, and permits library staff to determine which fields are displayed in the OPAC.

## INNOVATIVE

Yes.

The Title Display: Configure setting in Polaris Administration allows the library to select which entities (fields) are displayed in PAC.

The Polaris ILS supports all MARC 21 bibliographic tabs and subfields, including those tags that are locally defined. Polaris also supports the inclusion of any tag/subfield combination in its indexes, including locally-defined tag/subfield combinations (for example, 9XX, X9X, and XX9).

The indexing scheme is not editable by the customer, and changes must flow through the Polaris Site Manager, but can be made. Full re-indexing is available for a nominal fee; however, subsets of records can be re-indexed simply by resaving them. In addition, all indexing schema changes take effect immediately on new (or newly saved) records.

The Polaris ILS architecture allows access to data without the need for a fixed collection of predefined indices. Specifically, within the Polaris architecture:

- Bib, Authority, and Item information is bridged
- All relevant tag/subfield information is indexed
- All searches may be scoped by fixed field information
- More categories of indices are available in Polaris:
  - o Browse (authority controlled tags)
  - o Keyword
  - o Exact match implicitly truncated
  - o Exact match explicitly truncated
  - o Phrase

In addition, the Polaris ILS comes with 135 indices built on bibliographic, item, and authority data.

### **Bibliographic Indices**

Polaris ILS comes standard with 61 indices on built on bibliographic records. These indices bridge both bibliographic and authority information contained in the bibliographic record. All of these indices may be scoped at the time of search using any number of the following five bibliographic fixed field element indices:

- Format
- Language
- Material Type (combination of data from the leader, 008, & 007)
- Publication date
- Target audience

Further, at the time of search you may further limit your Polaris search using various elements based on the item record such as item status, organization, collection, and material type.

The 61 predefined bibliographic indices include:

1. Title exact match (implicitly truncated)
2. Title exact match (explicitly truncated)
3. Title Browse
4. Title Keyword

5. Title phrase
6. Author exact match (implicitly truncated)
7. Author exact match (explicitly truncated)
8. Author Browse
9. Author Keyword
10. Author phrase
11. Subject exact match (implicitly truncated)
12. Subject exact match (explicitly truncated)
13. Subject Browse
14. Subject Keyword
15. Subject phrase
16. Series exact match (implicitly truncated)
17. Series exact match (explicitly truncated)
18. Series Browse
19. Series Keyword
20. Series phrase
21. Call Number exact match (implicitly truncated)
22. Call Number exact match (explicitly truncated)
23. Call Number Browse
24. Control Number exact match (implicitly truncated)
25. Control Number exact match (explicitly truncated)
26. CODEN exact match (implicitly truncated)
27. CODEN exact match (explicitly truncated)
28. Dewey exact match (implicitly truncated)
29. Dewey exact match (explicitly truncated)
30. LC Classification exact match (implicitly truncated)
31. LC Classification exact match (explicitly truncated)
32. NAL Classification exact match (implicitly truncated)
33. NAL Classification exact match (explicitly truncated)
34. NLC Classification exact match (implicitly truncated)
35. NLC Classification exact match (explicitly truncated)
36. NLM Classification exact match (implicitly truncated)
37. NLM Classification exact match (explicitly truncated)
38. UDC Classification exact match (implicitly truncated)
39. UDC Classification exact match (explicitly truncated)
40. Other System Control Number exact match (implicitly truncated)

41. Other System Control Number (explicitly truncated)
42. Notes Keyword
43. Notes Phrase
44. Genre Keyword
45. Genre Phrase
46. Gov Doc exact match (implicitly truncated)
47. Gov Doc exact match (explicitly truncated)
48. ISBN exact match (implicitly truncated)
49. ISBN exact match (explicitly truncated)
50. ISBN Keyword
51. ISSN exact match (implicitly truncated)
52. ISSN exact match (explicitly truncated)
53. Keyword (general) Keyword
54. Keyword (general) Phrase
55. LCCN exact match (explicitly truncated)
56. Publisher Keyword
57. Publisher Phrase
58. Publisher number (028) exact match (implicitly truncated)
59. Publisher number (028) exact Match (explicitly truncated)
60. STRN (Standard Technical report number) exact match (implicitly truncated)
61. STRN (Standard Technical report number) exact Match (explicitly truncated)

### **Authority Indices**

Authority specific indices are available as well. There are 28 authority-based indices:

1. Control Number exact match (implicitly truncated)
2. Control Number exact Match (explicitly truncated)
3. Heading exact match (implicitly truncated)
4. Heading exact Match (explicitly truncated)
5. LCCN exact match (implicitly truncated)
6. LCCN exact Match (explicitly truncated)
7. Other system control number exact match (implicitly truncated)
8. Other system control number exact match (explicitly truncated)
9. Conference Name Keyword
10. Conference Name Phrase
11. Corporate Name Keyword

12. Corporate Name Phrase
13. Genre/Form Subject Keyword
14. Genre/Form Subject Phrase
15. Geographic name Keyword
16. Geographic name Phrase
17. LC Children's subject keyword
18. LC Children's subject Phrase
19. LC subject keyword
20. LC subject Phrase
21. Name Keyword
22. Name Phrase
23. Personal name keyword
24. Personal name phrase
25. Subdivision heading keyword
26. Subdivision heading phrase
27. Topical term keyword
28. Topical term phrase

### **Item Indices**

The Polaris ILS also offers 40 indices that 'bridge' bibliographic, item, and authority information. These available item based indices include:

1. Title exact match (implicitly truncated)
2. Title exact match (explicitly truncated)
3. Title Browse
4. Title Keyword
5. Title phrase
6. Author exact match (implicitly truncated)
7. Author exact match (explicitly truncated)
8. Author Browse
9. Author Keyword
10. Author phrase
11. Subject exact match (implicitly truncated)
12. Subject exact match (explicitly truncated)
13. Subject Browse
14. Subject Keyword
15. Subject phrase

16. Series exact match (implicitly truncated)
17. Series exact match (explicitly truncated)
18. Series Browse
19. Series Keyword
20. Series phrase
21. Barcode exact match (implicitly truncated)
22. Barcode exact match (explicitly truncated)
23. Call Number exact match (implicitly truncated)
24. Call Number exact match (explicitly truncated)
25. Call Number Browse
26. Circulation Status exact match (implicitly truncated)
27. Circulation Status exact match (explicitly truncated)
28. Classification number exact match (implicitly truncated)
29. Classification number exact match (explicitly truncated)
30. Control Number exact match (implicitly truncated)
31. Control Number exact match (explicitly truncated)
32. Current borrower exact match (implicitly truncated)
33. Current borrower exact match (explicitly truncated)
34. Due date (range)
35. General Notes Keyword
36. General Notes Phrase
37. Genre Keyword
38. Genre Phrase
39. Record status exact match (implicitly truncated)
40. Record status exact match (explicitly truncated)

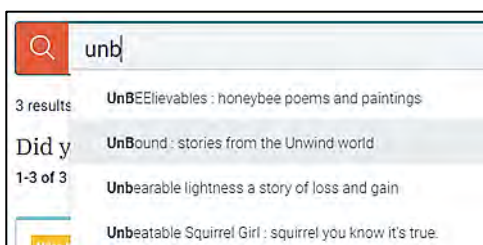


C.5.27 Dynamically suggests search terms while the user is entering data in the search field.

## INNOVATIVE

Yes.

Auto-suggest is designed to prevent misspelling by suggesting search terms as the user is typing.



C.5.28 Allows authorized staff to adjust search "fuzziness."

## INNOVATIVE

Yes.

Vega Discover Premium's relevance algorithms support fuzzy logic and relevance ranked searching based on linked data within Vega Discover Premium's Context Engine, which is based on BIBFRAME 2.0. Search tools provide proximity/adjacency searching, searching of special characters and single digits, combines alpha and numeric characters, keyword and phrase searching.

## 6. Cataloging

The cataloging module must fully support both original and copy cataloging. Contractor shall describe the general processes by which bibliographic records are created from scratch, imported into the ILS (via vendor provided records, Z39.50 sources, etc.), and modified by trained catalogers. Contractor shall describe size limitations, if any, on bibliographic records. Contractor shall describe how electronic resources (such as eBooks) are added to the ILS.

### INNOVATIVE

Record creation and editing in Polaris is performed using record templates. These fully configurable templates are available for all record types, including bibliographic, authority and item records. Using templates to create bibliographic records helps your library maintain consistent records and reduces the number of keystrokes required to create new records. You can create templates by manually entering data or by saving existing records as templates and then editing the data. For example, you can create separate bibliographic templates for books, music, audio books, electronic books, DVDs, Blu-ray discs, and other types of material. Depending on your cataloging needs, you can also name your templates for specific collections, genres, or audiences. Once the templates are created, they are available for selection when you create new records.

Cataloging workflows and processes are identical for both print and electronic resources, but the item type and specific fields use for different types of materials may vary. For example, e-resources will typically include a URL link to the electronic content.

Polaris permissions let you control who is allowed to create, edit, or delete each type of record. These functions are access through pulldown menus and onscreen buttons in the Polaris Leap web interface.

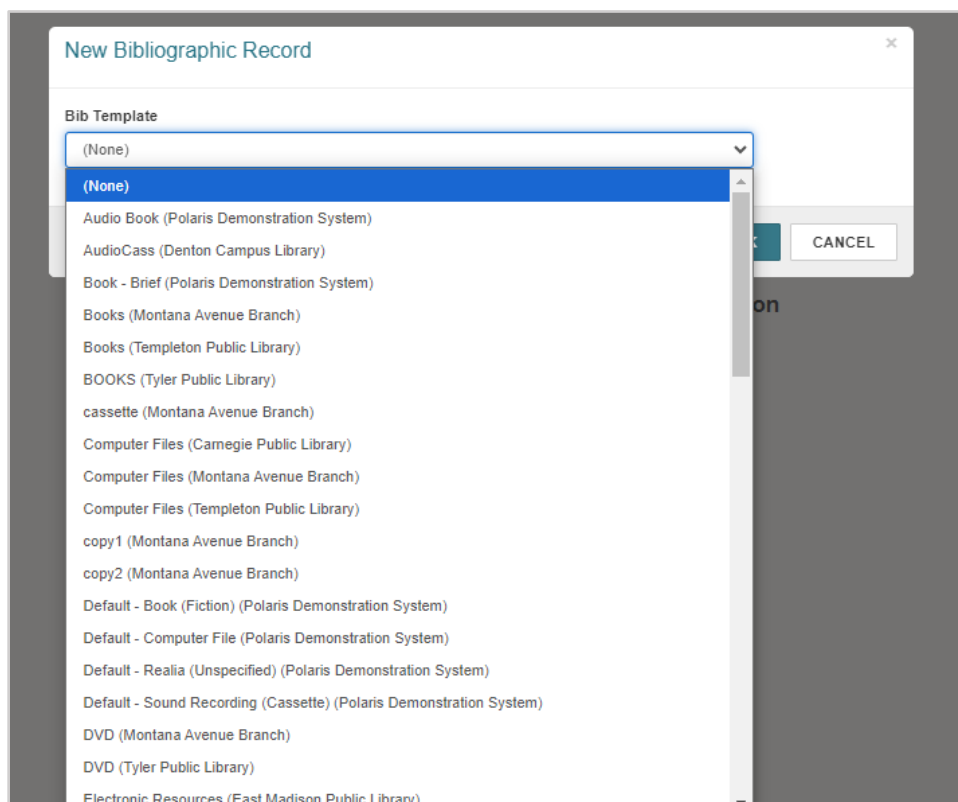
#### **Original Cataloging**

For original cataloging, you create a new record by first selecting the workform to use from the available templates. The new record workform appears with fields displayed according to the selected template. For bibliographic and authority records, the MARC editor lets you edit the Leader or an existing control field, edit an existing data field tag, add a new control field, add a new data field tag, reorder tags or delete a tag. You can use standard Windows keyboard shortcuts (cut, copy, paste) and MARC editor shortcuts (edit selected tag, insert tag, insert data field, delete tag).

You can also copy a record and edit it to create a new record. First you display the record to be copied, then select Copy from the Actions menu to open a copy of the record in the editor.

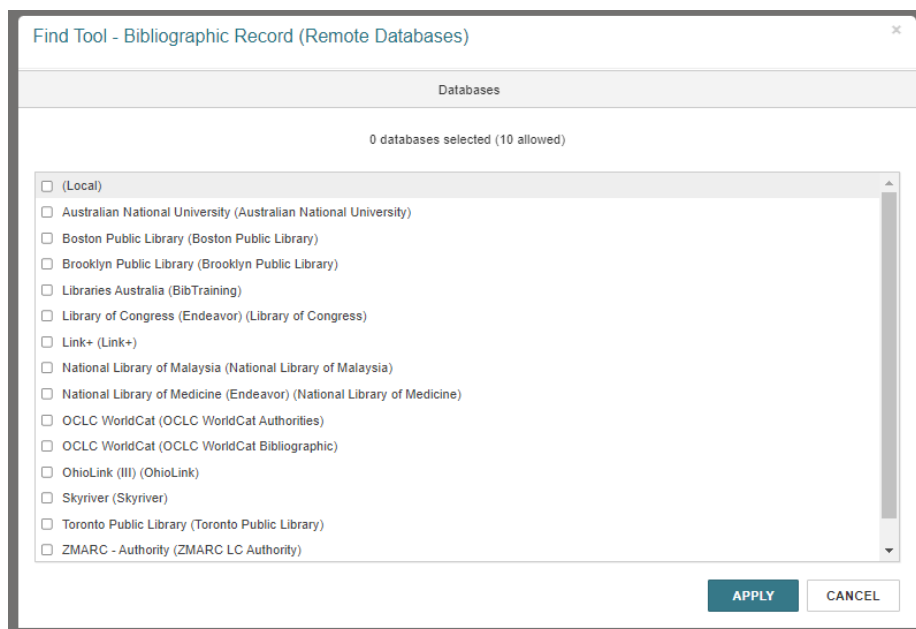
To edit an existing record, you simply open the record and select the MARC tab to access the editor. Record editing for each record type is controlled in user permissions.

Polaris supports the use of templates to make it easy to create and manage records. Using templates to create bibliographic, authority, and item records greatly reduces the time it takes to do original cataloging because so much of the information is already present in the template. In addition, templates ensure consistency in your records. You can create a template by renaming an existing template or by saving an item, bibliographic, or authority record as a template.

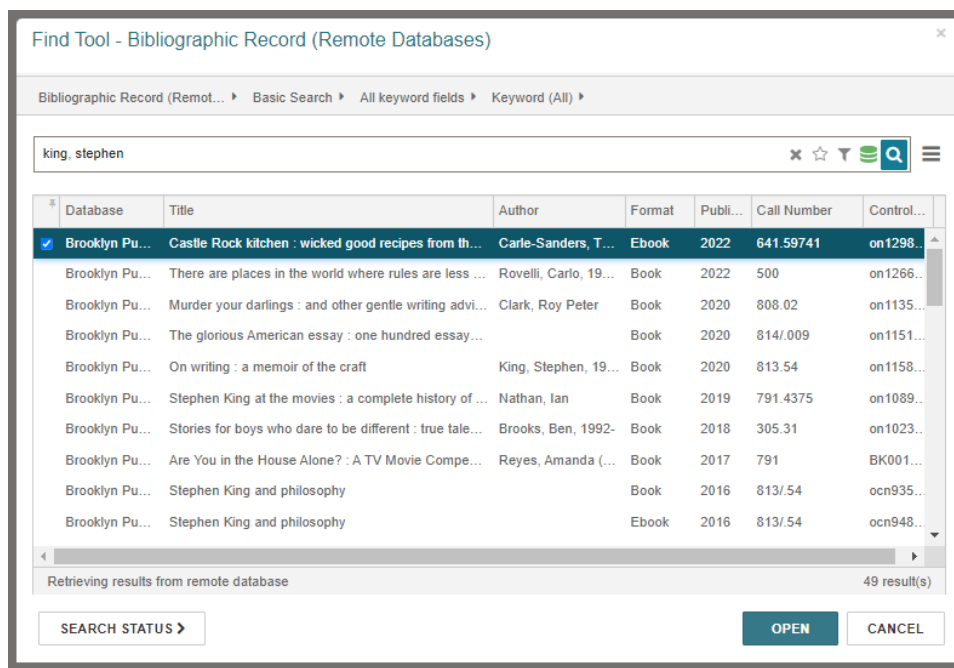


## Copy Cataloging

Polaris lets you search external systems via Z39.50 using the Polaris Find Tool and save the record directly to your Polaris database.



From the result list, open the desired record, edit as needed, and save.



**New Bibliographic Record 3**
SAVE RESULTS CLOSE



**Castle Rock kitchen : wicked good recipes from the world of Stephen King**  
 By *Carle-Sanders, Theresa*  
 Control number:   
 Owner:   
 Record status:  ☒ Display in PAC ☐ Do not overlay ☐ Host ☐ ILL

MARC

|     |   |                             |     |
|-----|---|-----------------------------|-----|
| LDR | > | cam .22     l\$1 \$500      |     |
| 001 | > | 0n1298714488                |     |
| 003 | > | 0CoLC                       | + - |
| 005 | > | 20221012102546.7            |     |
| 006 | > | n o d                       | + - |
| 007 | > | cr                          | + - |
| 008 | > | 22012152022 cau o 001 0 eng | +   |

## Import

Polaris provides a set of read-only import profiles with importing options already set. You can use these import profiles as they are, copy the Polaris import profiles and save them with different names so you can modify them, or create your own profiles.

Each Polaris import profile is designed to perform specific automatic processing. The default profile for importing bibliographic records checks MARC format and identifies duplicate records, while another profile creates item records from embedded holdings data in the imported bibliographic records.

### MARC Import Setup

**IMPORT** **CLOSE**

Profile Setup **Bibliographic Records** Item Records Authority Records Record Sets

#### Bibliographic Record Options

**Bibliographic Save Options**

☐ Save all records as final  
☐ Save all records as provisional  
☐ Do not save any records

☒ Display in PAC  
☐ Do not overlay

☐ Delete MARC Tags on Incoming Record  
☐ System defined deletion tags  
☐ Profile defined deletion tags

Owner: **Polaris Demonstration System (sys)**

#### When Saving Bibliographic Records as Final

☒ Perform MARC 21 Validation  
 If validation errors are found:  
☐ Save record as provisional  
☐ Ignore errors; save record as final

☒ Perform Duplicate Detection  
☐ Use system defined duplicate detection rules  
☐ Use profile defined duplicate detection rules

☐ Perform Authority Control  
 If no matching heading is found:  
☐ Automatically create new authority record; save bibliographic record as final  
☐ Do not create authority record; save bibliographic record as final  
☐ Do not create authority record; save bibliographic record as provisional

☐ Keep MARC Tags  
☐ System defined overlay retention tags  
☐ Profile defined overlay retention tags

☐ If a suspected duplicate is found:  
☐ Save incoming as provisional  
☐ Save incoming as final; do not replace database record  
☐ Save incoming as final; replace database record  
☐ Save record with highest encoding level. If encoding levels match:  
☐ Save incoming record as final; replace database record  
☐ Reject incoming record

## Modifying

An Advanced MARC Editor makes it easy for cataloging staff to edit MARC records.

### Bibliographic Record

**SAVE** **ACTIONS** **LINKS** **REFRESH** **RESULTS** **CLOSE**

**New fears : new horror stories by masters of the genre**

Control number: **1747992** Owner: **Qual Test Branch (br)**

Record status: **Final** ☒ Display in PAC ☐ Do not overlay ☐ Host

Preview Local Items All Items **MARC** Headings Statistics Record Sets Resources Outreach Patrons

|     |   |                            |                 |
|-----|---|----------------------------|-----------------|
| LDR | > | .cm a22                    | -1 4500         |
| 001 |   | 1747992                    |                 |
| 005 |   | 20220908143713.0           |                 |
| 003 |   | PolarisTest                |                 |
| 008 | > | 18012017                   | enk 000 1 eng d |
| 010 |   | 1a 2017209410              |                 |
| 020 |   | 1a178565523 (paperback)    |                 |
| 030 |   | 1a278178565524 (paperback) |                 |
| 035 |   | 1a(001L)ocn367395044       |                 |

Advanced MARC Editor

Fixed fields can be modified directly in the text entry field or expanded to modify via drop-down menus

*When the help/info is enabled, users can click the icon to see the MARC definition data for that row*

A split screen MARC editor provides a way for staff to edit multiple bibliographic records on a single screen.

**Compare Records**

12348348392

Current Record - Control Number: 12348348392

Compare Records - Control Number: 12348348392

| Tag 1 | Ind | Data                        |
|-------|-----|-----------------------------|
| 001   |     | cam 22 Mc 4500              |
| 011   |     | 1319515                     |
| 005   |     | 2202000017049               |
| 008   |     | 060104s2006 xvu 000 0 eng d |
| 016   | 7   | 1a013-5626922uk             |
| 020   |     | 1a017-5626922uk             |

## Electronic Resources

Using APIs, Vega Discover Premium supports record loading and circulation management (requesting and direct checkout/download) from the following e-content providers:

- 3M cloudLibrary
- Boundless (formerly Axis 360)
- Bolinda BorrowBox
- Hoopla
- OverDrive

## Narrative Descriptions for Exhibit F – Functional Requirements – Cataloging

C.6.1 Records and displays the creation and edit dates for all bibliographic, call number, and item records.

## INNOVATIVE

Yes.

You can view record properties for a record by selecting  on a record workform.



**polaris** Scan or search  **FIND** New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

**CHECK IN** **NEW PATRON** **PRINT**

### Bibliographic Record ⓘ

**SAVE** **ACTIONS ▾** **LINKS ▾** **REFRESH** **RESULTS** **CLOSE**

**BIBLIOGRAPHIC RECORD PROPERTIES**

BIBLIOGRAPHIC RECORD ID: 887668  
 RECORD STATUS: FINAL  
 CREATOR: CARRIE.PEARSON  
 CREATION DATE: 10/19/2021 4:21:01 PM  
 MODIFIER: TERRY.MORRIS  
 MODIFICATION DATE: 1/9/2023 8:00:03 AM  
 IMPORT/OVERLAY DATE: 10/19/2021 4:21:02 PM  
 IMPORT FILE: VENTURA-VENDOR-CART.MRC  
 FIRST AVAILABLE DATE:

ation System (sys) ▾

☐ Do not overlay ☐ Host ☐ ILL

**Preview** **Statistics** **Record Sets** **Resources** **Outreach Patrons**

005 20230109080005.0

008 210122s2021 nyu 000 1 eng

010 ta2021002597

**polaris** Scan or search  **FIND** New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

**CHECK IN** **NEW PATRON** **PRINT**

### Item Record ⓘ

**SAVE** **ACTIONS ▾** **LINKS ▾** **REFRESH** **CLOSE**

**ITEM RECORD PROPERTIES**

ITEM RECORD ID: 1773971  
 BARCODE:  
 RECORD STATUS: FINAL  
 CREATOR: CARRIE.PEARSON  
 CREATION DATE: 10/19/2021 4:28:32 PM  
 MODIFIER: CARRIE.PEARSON  
 MODIFICATION DATE: 10/19/2021 4:31:50 PM  
 FIRST AVAILABLE DATE:

☐ ILL ☐ Non-circulating ☐ eContent ☐ Display in PAC

Record status: **Final**  
 Bib control number: [887668](#)  
 Parent item:  
 Assigned branch: **Tyler Public Library**

Issue:  
 Issue control number:  
 Price: **\$30.00**  
 Circulation status: **In-Process || 10/19/2021 4:31:50 PM**

**History** **Statistics** **Record Sets** **Notices** **Source and Donor**

Current borrower:  
 Loaning branch:  
 Held for:  
 Held at:

Check-out date:  
 Original due date:

Last location  
 Check-in at:  
 Ck-in date:  
 Wkstn/user:

Last use  
 Borrower:  
 Loaning branch:  
 Circ date:

In-transit/Transferred  
 From:  
 Sent:  
 To:  
 Received:

C.6.2 Supports batch loading of records from OCLC, LC, Marcive, and other sources of bibliographic records through a Z39.50 interface.

## INNOVATIVE

Yes.

Using an import profile, records can be imported from Z39.50 sources.

### **Polaris Import Profiles**

Polaris provides a set of read-only import profiles with importing options already set. You can use these import profiles as they are, copy the Polaris import profiles and save them with different names so you can modify them, or create your own profiles.

Each Polaris import profile is designed to perform specific automatic processing. The default profile for importing bibliographic records checks MARC format and identifies duplicate records, while another profile creates item records from embedded holdings data in the imported bibliographic records. Other import profiles are designed to facilitate acquisitions tasks like importing brief bibliographic records with 970 tags to create purchase orders or importing full MARC records with embedded holdings data to update on-order items to shelf-ready items. If your library uses the Polaris Authorities Weekly service, the updated authority records can be imported using a pre-set import profile.

Polaris provides many options for importing bibliographic and authority records, and for creating item records from embedded holdings data in imported bibliographic records. You can set permissions so that some staff members can change these options when they import records, while other staff members can import records but not change the settings.

### **Import Options for Bibliographic Records**

When you import bibliographic records, you can set options to save records as final or provisional; check MARC format; check for duplicates using system-defined or profile-defined duplicate detection rules; reject incoming duplicates or save the record with the higher encoding level; retain system-defined or profile-defined tags when records are overlaid; perform authority control; and create a record set for the imported records.

If you have a subscription to the Polaris ZMARC or OCLC authority database and has purchased the Polaris Automated Authority Control service, the headings in the incoming bibs are matched to authority records in the remote database if no matching authority records are found in the local database. The authority records from the remote database are automatically saved to the local database and linked to the incoming bibs as the records are imported.

New ▾
Utilities ▾
Help ▾
mary.abulencia (RRPL)

# MARC Import Setup

IMPORT
CLOSE

Profile Setup
Bibliographic Records
Item Records
Authority Records
Record Sets

## Bibliographic Record Options

**Bibliographic Save Options**

- ☒ Save all records as final
- ☐ Save all records as provisional
- ☐ Do not save any records

☒ Display in PAC

☐ Do not overlay

☐ Delete MARC Tags on Incoming Record

- ☐ System defined deletion tags
- ☐ Profile defined deletion tags

Owner

Polaris Demonstration System (sy)

## When Saving Bibliographic Records as Final

☒ Perform MARC 21 Validation

If validation errors are found

- ☒ Save record as provisional
- ☐ Ignore errors; save record as final

☐ Perform Authority Control

If no matching heading is found

- ☐ Automatically create new authority record; save bibliographic record as final
- ☐ Do not create authority record; save bibliographic record as final
- ☐ Do not create authority record; save bibliographic record as provisional

☒ Perform Duplicate Detection

- ☒ Use system defined duplicate detection rules
- ☐ Use profile defined duplicate detection rules

If a suspected duplicate is found

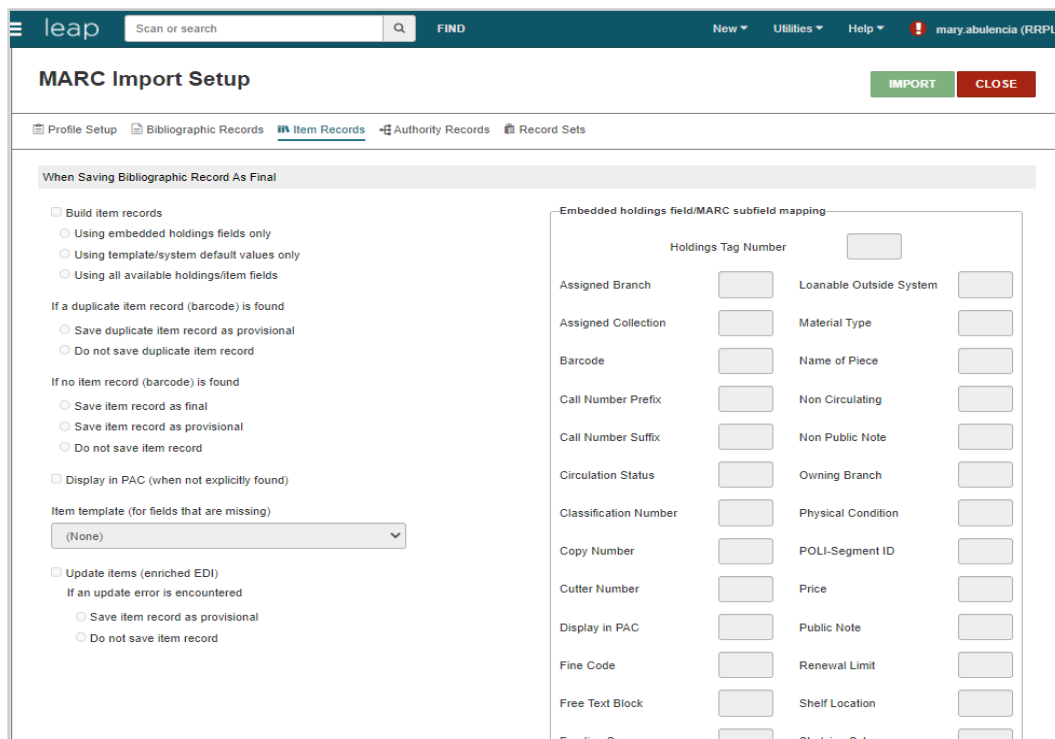
- ☒ Save incoming as provisional
- ☐ Save incoming as final; do not replace database record
- ☐ Save incoming as final; replace database record
- ☐ Save record with highest encoding level. If encoding levels match
  - ☐ Save incoming record as final; replace database record
  - ☐ Reject incoming record

☐ Keep MARC Tags

- ☐ System defined overlay retention tags
- ☐ Profile defined overlay retention tags

### Import Options for Item Records (embedded holdings)

If you opt to create item records from embedded holding tags in the imported bibliographic records, you can open the Item Records tab to specify the tag number and subfields to map to the fields in the item record. You can also specify an item record template to use to fill in any fields that might be missing from the embedded holdings information.



The screenshot shows the 'leap' application interface for 'MARC Import Setup'. The 'Item Records' tab is selected. The interface includes a search bar at the top and a navigation menu. The main content area is divided into two sections: 'When Saving Bibliographic Record As Final' and 'Embedded holdings field/MARC subfield mapping'.

**When Saving Bibliographic Record As Final**

- ☐ Build item records
  - ☐ Using embedded holdings fields only
  - ☐ Using template/system default values only
  - ☐ Using all available holdings/item fields
- If a duplicate item record (barcode) is found
  - ☐ Save duplicate item record as provisional
  - ☐ Do not save duplicate item record
- If no item record (barcode) is found
  - ☐ Save item record as final
  - ☐ Save item record as provisional
  - ☐ Do not save item record
- ☐ Display in PAC (when not explicitly found)
- Item template (for fields that are missing)
  - (None) ▼
- ☐ Update items (enriched EDI)
  - If an update error is encountered
    - ☐ Save item record as provisional
    - ☐ Do not save item record

**Embedded holdings field/MARC subfield mapping**

| Holdings Tag Number   |                         |
|-----------------------|-------------------------|
| Assigned Branch       | Loanable Outside System |
| Assigned Collection   | Material Type           |
| Barcode               | Name of Piece           |
| Call Number Prefix    | Non Circulating         |
| Call Number Suffix    | Non Public Note         |
| Circulation Status    | Owning Branch           |
| Classification Number | Physical Condition      |
| Copy Number           | POLI-Segment ID         |
| Cutter Number         | Price                   |
| Display in PAC        | Public Note             |
| Fine Code             | Renewal Limit           |
| Free Text Block       | Shelf Location          |
| Funding Source        | Shelving Scheme         |

## **Import Options for Authority Records**

When you import authority records, you can perform MARC validation, duplicate detection, and See Also From reference checking. You can also specify whether duplicate authority records are saved as provisional or merged based on the preferred cataloging source.

The screenshot shows the 'leap' application interface for 'MARC Import Setup'. The 'Authority Records' tab is selected. Under 'Authority Record Options', the 'Authority Save Options' section has 'Save all records as final' selected. The 'When Saving Authority Records as Final' section has 'Perform MARC 21 Validation' checked, with 'Save record as provisional' selected if errors are found. 'Perform Duplicate Detection' is also checked, with 'Use system duplicate detection rules' selected. If a suspected duplicate is found, 'Save incoming as provisional' is selected. The 'Preferred cataloging source for' dropdown is set to '(None)'. There are 'IMPORT' and 'CLOSE' buttons at the top right.

After the records have been imported, you can check the import report to see if there were validation problems or duplicates. If you have specified a record set for the imported records, you can review all the imported records in one place. You can also make any necessary global changes to all the records in an item or bibliographic record set.

C.6.3 Supports real-time loading of individual records from OCLC, LC, etc. using Z39.50.

## **INNOVATIVE**

Yes.

Polaris lets you search external systems via Z39.50 using the Polaris Find Tool and save the record directly to your Polaris database.

Find Tool - Bibliographic Record (Remote Databases)

Databases

0 databases selected (10 allowed)

☐ (Local)
 ☐ Australian National University (Australian National University)
 ☐ Boston Public Library (Boston Public Library)
 ☐ Brooklyn Public Library (Brooklyn Public Library)
 ☐ Libraries Australia (BibTraining)
 ☐ Library of Congress (Endeavor) (Library of Congress)
 ☐ Link+ (Link+)
 ☐ National Library of Malaysia (National Library of Malaysia)
 ☐ National Library of Medicine (Endeavor) (National Library of Medicine)
 ☐ OCLC WorldCat (OCLC WorldCat Authorities)
 ☐ OCLC WorldCat (OCLC WorldCat Bibliographic)
 ☐ OhioLink (III) (OhioLink)
 ☐ Skyriver (Skyriver)
 ☐ Toronto Public Library (Toronto Public Library)
 ☐ ZMARC - Authority (ZMARC LC Authority)

APPLY

CANCEL

From the result list, open the desired record, edit as needed, and save.

Find Tool - Bibliographic Record (Remote Databases)

Bibliographic Record (Remot... Basic Search All keyword fields Keyword (All)

king, stephen

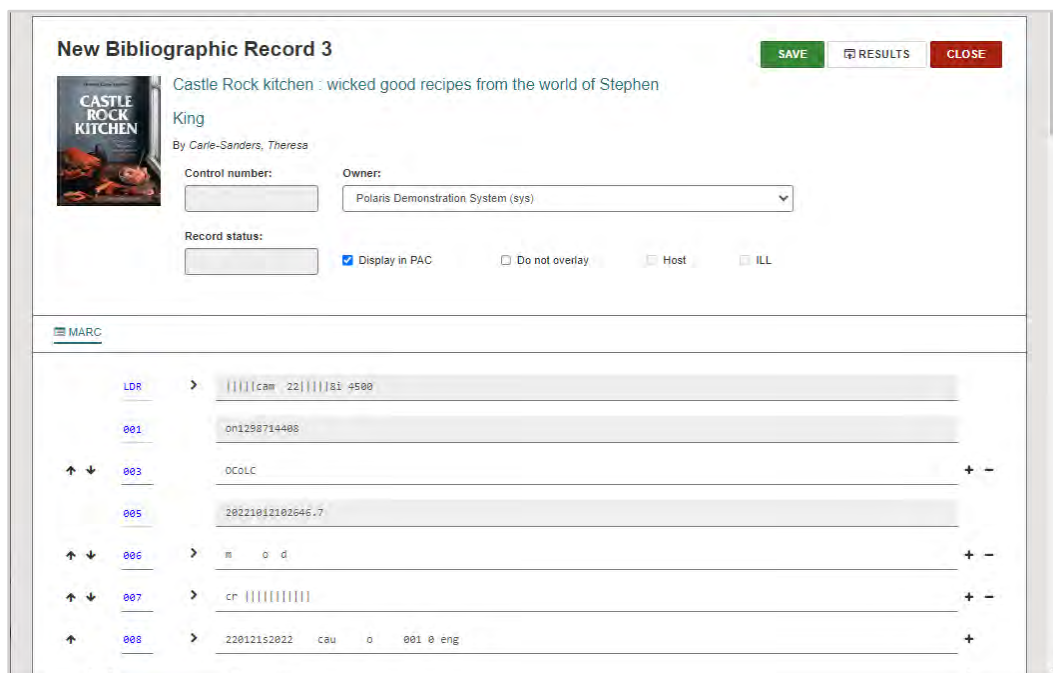
| #  | Database       | Title                                                    | Author                | Format | Publ... | Call Number | Control... |
|----|----------------|----------------------------------------------------------|-----------------------|--------|---------|-------------|------------|
| 1  | Brooklyn Pu... | Castle Rock kitchen : wicked good recipes from th...     | Carle-Sanders, T...   | Ebook  | 2022    | 641.59741   | on1298...  |
| 2  | Brooklyn Pu... | There are places in the world where rules are less ...   | Rovelli, Carlo, 19... | Book   | 2022    | 500         | on1266...  |
| 3  | Brooklyn Pu... | Murder your darlings : and other gentle writing advi...  | Clark, Roy Peter      | Book   | 2020    | 808.02      | on1135...  |
| 4  | Brooklyn Pu... | The glorious American essay : one hundred essay...       |                       | Book   | 2020    | 814/.009    | on1151...  |
| 5  | Brooklyn Pu... | On writing : a memoir of the craft                       | King, Stephen, 19...  | Book   | 2020    | 813.54      | on1158...  |
| 6  | Brooklyn Pu... | Stephen King at the movies : a complete history of ...   | Nathan, Ian           | Book   | 2019    | 791.4375    | on1089...  |
| 7  | Brooklyn Pu... | Stories for boys who dare to be different : true tale... | Brooks, Ben, 1992-    | Book   | 2018    | 305.31      | on1023...  |
| 8  | Brooklyn Pu... | Are You in the House Alone? : A TV Movie Compe...        | Reyes, Amanda (...)   | Book   | 2017    | 791         | BK001...   |
| 9  | Brooklyn Pu... | Stephen King and philosophy                              |                       | Book   | 2016    | 813/.54     | ocn935...  |
| 10 | Brooklyn Pu... | Stephen King and philosophy                              |                       | Ebook  | 2016    | 813/.54     | ocn948...  |

Retrieving results from remote database 49 result(s)

SEARCH STATUS >

OPEN

CANCEL



C.6.4 Supports the creation of bibliographic records from scratch (i.e., original cataloging).

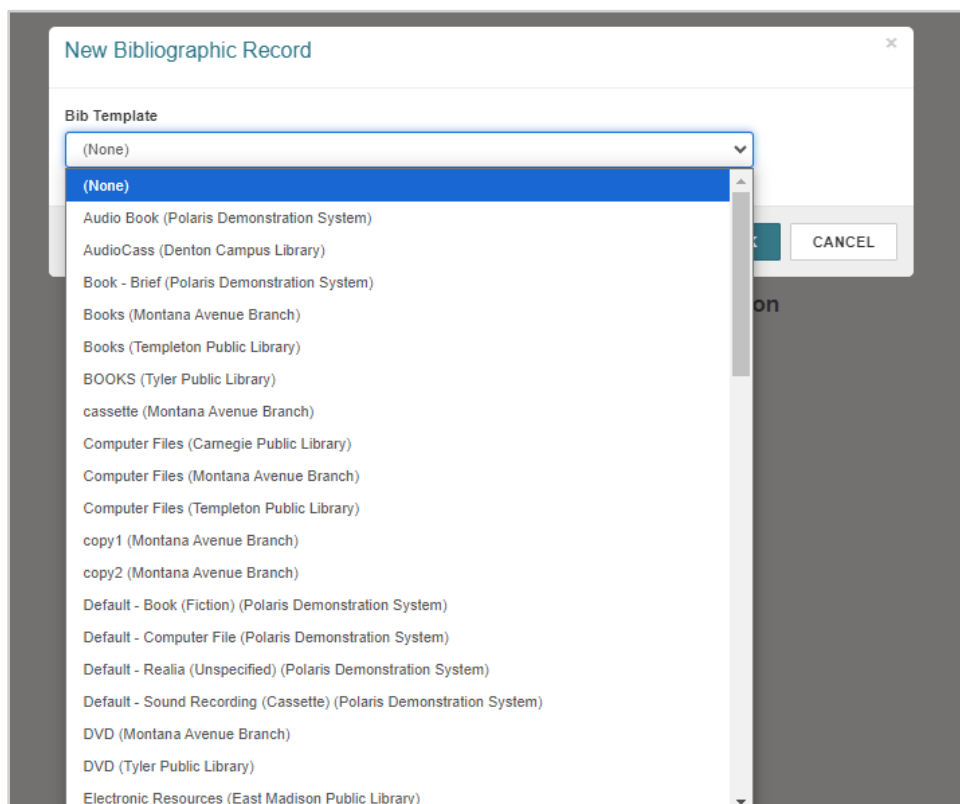
## INNOVATIVE

Yes.

For original cataloging, you create a new record by first selecting the workform to use from the available templates. The new record workform appears with fields displayed according to the selected template. For bibliographic and authority records, the MARC editor lets you edit the Leader or an existing control field, edit an existing data field tag, add a new control field, add a new data field tag, reorder tags or delete a tag. You can use standard Windows keyboard shortcuts (cut, copy, paste) and MARC editor shortcuts (edit selected tag, insert tag, insert data field, delete tag).

You can also copy a record and edit it to create a new record. First you display the record to be copied, then select Copy from the Actions menu to open a copy of the record in the editor.

Polaris supports the use of templates to make it easy to create and manage records. Using templates to create bibliographic, authority, and item records greatly reduces the time it takes to do original cataloging because so much of the information is already present in the template. In addition, templates ensure consistency in your records. You can create a template by renaming an existing template or by saving an item, bibliographic, or authority record as a template.



C.6.5 Supports importing, exporting, updating, retrieving and indexing of MARC21 bibliographic records.

## INNOVATIVE

Yes.

### Importing

See response to [C.6.2](#) above.

### Exporting

Polaris provides an export utility to export MARC records. The utility includes options for limiting the extracted records by status, modification date, record ID, or owner. You can also include embedded item holdings information in the exported records.

Using the find tool, you can create the set of records you would like to export. You can use any criteria in any indexed field in Boolean combinations to determine this selection, including title and copy data, record modified dates, status, and many other criteria. Once you have set your



criteria, you can save results to a Polaris record set for review. You can add or remove records from the record set as needed. Once your record set is ready, you simply select Export from the Actions menu.

Bibliographic, authority and item records can be exported using this process for export of data in real time.

Authority headings included in the bibliographic record are exported with the record.

Routine export jobs can be scheduled using Export Express, which is a utility within the Simply Reports tool. The following export options are available:

- For Item and Bibliographic records:
  - o MARC file with or without holdings, and select the character encoding (MARC-8, UTF-8, or LDR/09 for each record).
  - o MARC file - custom. Select a custom profile to use for the export. See Custom Profiles for Export Express. The default profile used for exporting holdings data gathers the holdings data in the 852 tag. See Default Holdings Data in 852 Tags.
  - o Other formats - Dublin core (XML), MARC XML, LibraryThing (MARC 21)
- For Authority records:
  - o MARC file, and select the character encoding (MARC-8, UTF-8, or LDR/09 for each record).
  - o Other formats - MARC XML

## Updating

Records can be updated individually, or in bulk (using record set functionality). See response to [C.3.6](#) for bulk change details.

## Retrieving

With over 600 access points as well as relevancy ranking, sorting, limiting, proximity searching, CCL queries, scoping, SQL searches, and automatic suggestions, the Polaris Find Tool provides search options for all staff members. See response to [C.3.12](#) for more details.

## Indexing

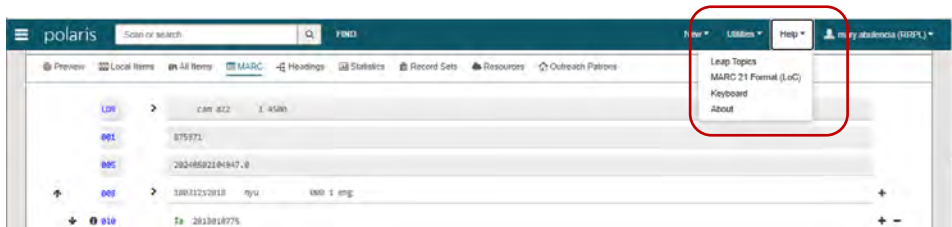
See response to [C.5.24](#) for details.

C.6.6 Provides access to RDA Toolkit from within the cataloging module.

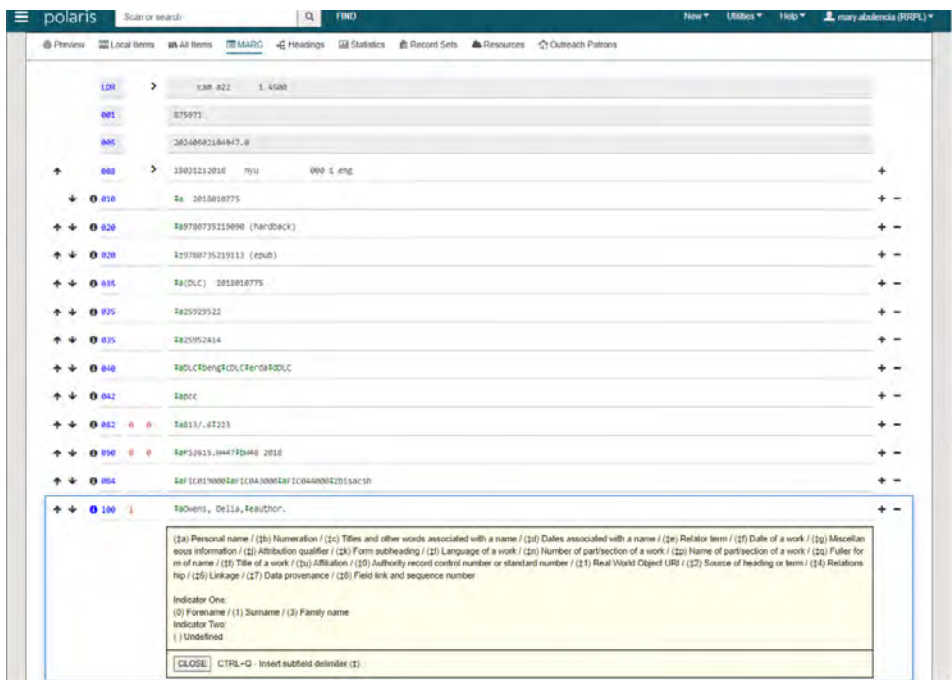
## INNOVATIVE

Yes.

You can add a link in the Help dropdown menu to outside sites like the RDA Toolkit.



In addition, Polaris provides MARC help by clicking on the  icon.



#### C.6.8 Supports locally-defined templates for bibliographic, holdings, and authority records.

### INNOVATIVE

Yes.

Polaris offers templates to create bibliographic, authority, and item records. Using templates to create bibliographic records helps your library maintain consistent records and reduces the number of keystrokes required to create new records. You can create templates by manually entering data or by saving existing records as templates and then editing the data. To ensure that your records are coded correctly and display the correct type of material icon in the PAC, you can create separate bibliographic templates for books, music, audio books, electronic books, DVDs, Blu-ray discs, and other types of material. Depending on your cataloging needs, you can also name your templates for specific collections, genres, or audiences.

Once the templates are created, they are available for selection when you create new records.

#### C.6.9 Validates MARC tags and subfields for all imported and manually created records.

### INNOVATIVE

Yes.

When you save a bibliographic record, Polaris:

- Verifies that the record contains both a Leader and an 008 control field.
- Performs record validation (if automatic MARC validation is enabled). If automatic MARC validation is enabled, Polaris performs the record validation specified in your library's MARC Validation: Bibliographic profile. If record validation determines that required tags are missing when you attempt to save a record, Polaris prompts you to add the required tag(s). If record validation determines that there are other validation errors, Polaris displays the validation errors and prompts you to do one of the following:
  - o Select **CONTINUE** to save the record despite the validation errors.
  - o Select **CANCEL** to stop saving and return to editing the record.

If you return to editing a record with validation errors, Leap displays a MARC Validation Results sidebar that lists the validation errors.

- Performs authority control. Polaris checks for matching authority records and performs remote authority control.

C.6.12 Provides a 'review area' for storing bibliographic records that still need work or approval.

## INNOVATIVE

Yes.

Bibliographic records have a record status feature. Every record is either:

- Final
- Provisional
- Deleted.

Provisional status can be used to identify records which are "not ready for prime time".

C.6.13 Supports spine label formatting and printing.

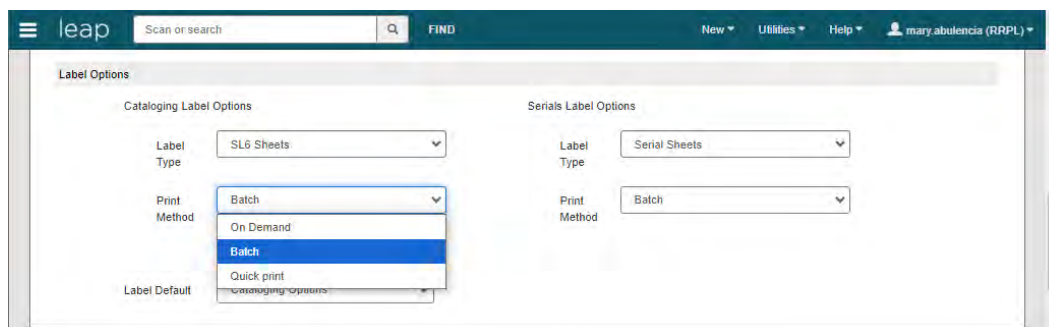
## INNOVATIVE

Yes.

Polaris supports the printing of spine labels by selecting "Print label" from the Actions menu in the item record. Polaris provides tools for configuring the label size you use, the content to be printed on the label and the printing method (On Demand, Batch, or Quick Print). The classification number is taken from the item record for item level classification numbers. Item records inherit the classification number from the bibliographic record if unique item classification numbers are not used.

The Polaris User Settings offers a Label Options section where you select the Label Type and the Print Method.

The screenshot shows the Polaris User Settings interface. At the top, there is a navigation bar with the 'leap' logo, a search bar, and a 'FIND' button. Below the navigation bar, the 'Label Options' section is visible. It is divided into two main areas: 'Cataloging Label Options' and 'Serials Label Options'. In the 'Cataloging Label Options' area, there is a dropdown menu for 'Label Type' currently set to 'SL6 Sheets', and a 'Print Method' dropdown set to 'Batch'. In the 'Serials Label Options' area, there is a 'Label Type' dropdown set to 'Serial Sheets' and a 'Print Method' dropdown set to 'Batch'. The interface also includes a 'Label Default' section and a 'Spine Continuous feed rolls' option.



Print Methods choices are:

- On Demand – Leap opens Label Manager when you request a label so that you can view the label before printing it. The On Demand method works best if you want to edit your label content before printing.
- Batch – Leap queues the label when you request it, so you can print labels in bulk later. The batch option works well for creating sheets of labels for multiple items. Batch printing is limited to 500 labels at a time.
- Quick Print – Leap prints the label at the designated printer without opening Label Manager in leap. The Quick Print method works best with continuous-feed printers.

Except for the Quick Print option that immediately prints, you can review labels to be printed before printing if desired.

Once configured, all classification numbers will be printed to the configured labels. If there are classification numbers that have unusual characteristics and require special handling, or are unusually long and exceed the capacity of your standard label stock, the label manager lets you configure the label contents and specify a different printer to handle special requirements.

C.6.14 Allows for the suppression of bibliographic records, item/copy records, and holdings information in the public catalog while still allowing access in the staff interface.

## INNOVATIVE

Yes.

This is controlled by the Display in PAC checkbox.

C.6.15 Provides the ability to overlay bibliographic records with imported records, allowing the user to select matching elements and to specify overlay-exempt fields during the overlay process.

## INNOVATIVE

Yes.

This is supported using the Polaris import profiles as described in response to [C.6.2](#) above.

C.6.16 Allows the cataloger to perform global updates to bibliographic records, holdings records, and item records.

## INNOVATIVE

Yes.

Global updates are supported as described in response to [C.3.6](#) above.

C.6.17 Detects duplicate records during the import process and warns the cataloger.

## INNOVATIVE

Yes.

When a bibliographic record is saved, it is checked for duplicates based on the Bibliographic Deduplication table. This table contains the rules that determine if a bibliographic record is a duplicate of an existing record. Two bibliographic records are identified as potential duplicates based on the rules groups in the Bibliographic Deduplication table. Each rules group contains one or more rules. Two bibliographic records must meet all the rules in at least one group to be potential duplicates.

The library can select the rules, how they are grouped, and the order of precedence in which they are applied.

| Rule                                                                                              | Comment                                                                                                                                                                                                                                                                                                                      |
|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. The 001 tag of the imported record matches the 035 \$a of an existing record.                  | Applies only to imported records. The 001 tag must match the numeric portion of the 035 tag (normalized). The parenthetical information in the 035 tag is ignored.                                                                                                                                                           |
| 2. The 001/003 tags of the imported record matches any 035\$a subfield in the existing record.    | Applies only to imported records. The 001 tag must match the numeric portion of the 035 tag (normalized). If the incoming record contains a 003 tag, the 003 data must match the parenthetical information in the 035 tag. If the incoming record lacks an 003 tag, the parenthetical information in the 035 tag is ignored. |
| 3 The 010\$a subfield of the incoming record matches the 010\$a subfield in the existing record.  | For LCCNs, the prefix, year, and serial number (the first 12 characters) must match. Suffixes and revision dates are ignored.                                                                                                                                                                                                |
| 4. The ISBN in the incoming record matches any ISBN in the existing record.                       | The alphanumeric ISBN must match. Parenthetical and other information is ignored. This rule is applied to any 020 tag and also to any 024 tag where the first indicator = 3.                                                                                                                                                 |
| 5. Any 022\$a subfield in the incoming record matches any 022\$a subfield in the existing record. | The 8-digit alphanumeric ISSN must match. Parenthetical and other information is ignored.                                                                                                                                                                                                                                    |
| 6. The LDR/06 value in the incoming record matches the LDR/06 in the existing record.             | The value in the Record Type position of the Leader must match exactly.                                                                                                                                                                                                                                                      |
| 7. The LDR/07 value in the incoming record matches the LDR/07 in the existing record.             | The value in the Bibliographic Level position of the Leader must match exactly.                                                                                                                                                                                                                                              |
| 8. The 1xx\$a subfield in the incoming record matches the 1xx\$a subfield in the existing record. | The entire text of \$a subfield of both records must match. Punctuation is ignored. Tag and indicator values need not match.                                                                                                                                                                                                 |

|                                                                                                              |                                                                                                                                                                                                                     |
|--------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 9. The 245\$a subfield in the incoming record matches the 245\$a subfield in the existing record.            | The entire text of \$a subfield must match. Punctuation is ignored. Indicator values need not match.                                                                                                                |
| 10. The 245\$a subfield in the incoming record matches any 246\$a subfield in the existing record.           | The entire text of \$a subfield must match. Punctuation is ignored. Indicator values need not match.                                                                                                                |
| 11. Any 246\$a subfield in the incoming record matches the 245\$a subfield of the existing record.           | The entire text of \$a subfield must match. Punctuation is ignored. Indicator values need not match.                                                                                                                |
| 12. Any 247\$a subfield in the incoming record matches the 245\$a subfield in the existing record.           | The entire text of \$a subfield must match. Punctuation is ignored. Indicator values need not match.                                                                                                                |
| 13. The 008/07-10 values in the incoming record match the 008/07-10 in the existing record.                  | The date in the Beginning Date of Publication must match exactly in both records.                                                                                                                                   |
| 14. The last 260\$c subfield in the incoming record matches the last 260\$c subfield in the existing record. | The entire text of the \$c subfield must match in both records. Punctuation is ignored.                                                                                                                             |
| 15. The 035a of the incoming record matches the 035\$a of an existing record.                                |                                                                                                                                                                                                                     |
| 16. Any 035\$a subfield in the incoming record matches the 001 tag in the existing record.                   | This rule should be enabled only when a library is importing records that have been previously exported from the same Polaris database, when the intent is to have the incoming record replace the existing record. |
| 17. The Bib record owner value in the incoming record matches the value in the existing record.              |                                                                                                                                                                                                                     |
| 18. The UPC of the incoming record matches the UPC of the existing record.                                   | This rule is applied to any 024 tag where the first indicator value =1.                                                                                                                                             |
| 19. The 024\$a (excluding ISBN and UPC) of the incoming record matches the 024\$a                            | This rule is applied to any 024 tag where the first indicator value is other than 1 or 3.                                                                                                                           |

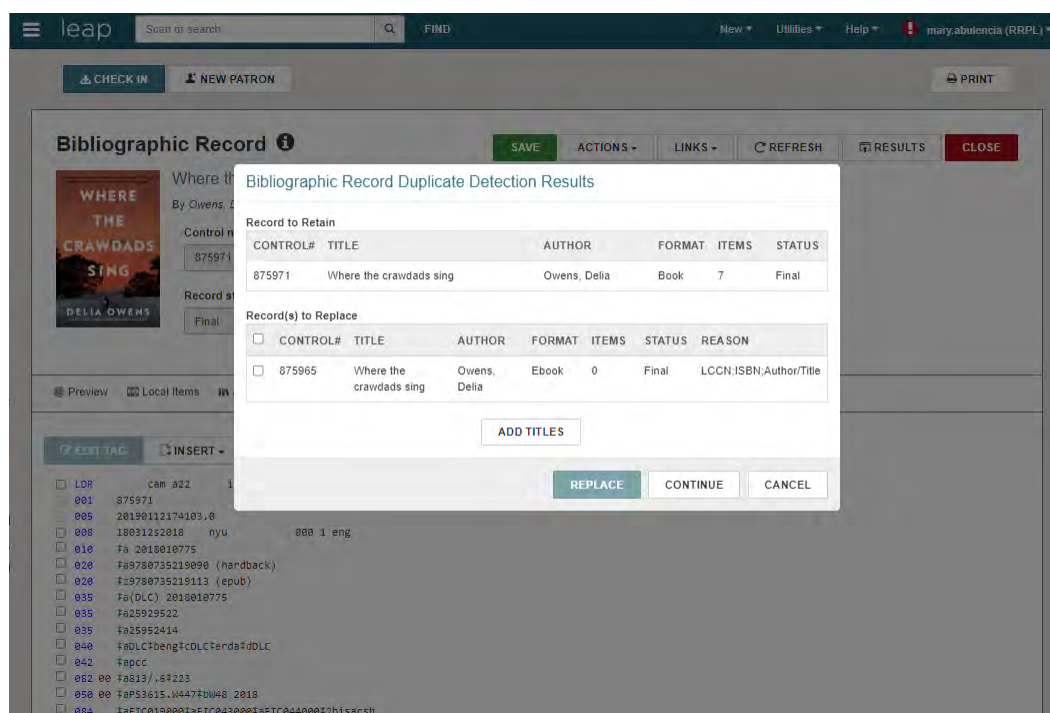


|                                                                                 |  |
|---------------------------------------------------------------------------------|--|
| (excluding ISBN and UPC) of an existing record.                                 |  |
| 20. The 028\$a of the incoming record matches the 028\$a of an existing record. |  |
| 21. The 037\$a of the incoming record matches the 037\$a of an existing record. |  |

For bulk record loading, import profiles define overlay rules and let you specify fields to be protected/preserved when records are overlaid with the following options:

- Specify tags to retain from overlaid records using system- or profile-defined tags
- Specify tags to delete using system- or profile-defined tags
- Check the preferred cataloging source when merging duplicate authority records
- Create or update item records from embedded holdings data in the bibliographic records
- Protect the incoming records from being overlaid in the future

For interactive cataloging, merging of records is done by the process of “check duplicate bibliographic records” and replace them with a new or existing record.



During the bib record overlay process, all associated items are attached to the merged record and their hold queues are transferred into a single queue, preserving the date/time queue order.

C.6.19 Supports customized tag, field, and subfield validation rules for record import/creation.

## INNOVATIVE

Yes.

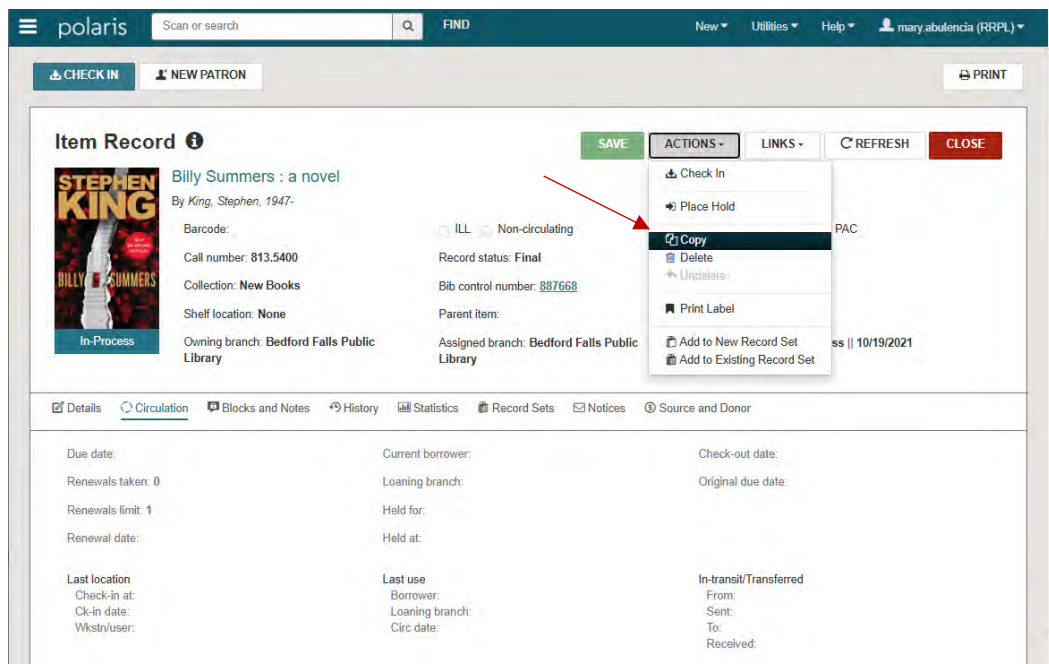
This is supported using the Polaris import profiles as described in response to [C.6.2](#) above.

C.6.20 Allows the cataloger to copy an existing record as a basis for creating a new record.

## INNOVATIVE

Yes.

Bibliographic and Item records can be copied by selecting the Copy link in the Actions drop-down menu.



When you copy an Item record, the following information and settings are copied:

- Details view – most of the header information and additional item information is copied.
- Circulation view – the renewal limit is copied.
- Blocks and Notes view – all blocks and notes are copied except the System Block setting.

- History view – no information is copied
- Statistics view – no information is copied
- Record Sets view – no information is copied
- Notices view – no information is copied
- Source and Donor view – the information in the Funding Source field is copied; the other information on this view are not copied.

C.6.24 Allows the library to specify which fields/subfields are indexed for searching.

## INNOVATIVE

Yes.

Polaris indexing is described in response to [C.5.24](#) above.

C.6.25 Retains a record of who created, imported, modified, or deleted a bibliographic record.

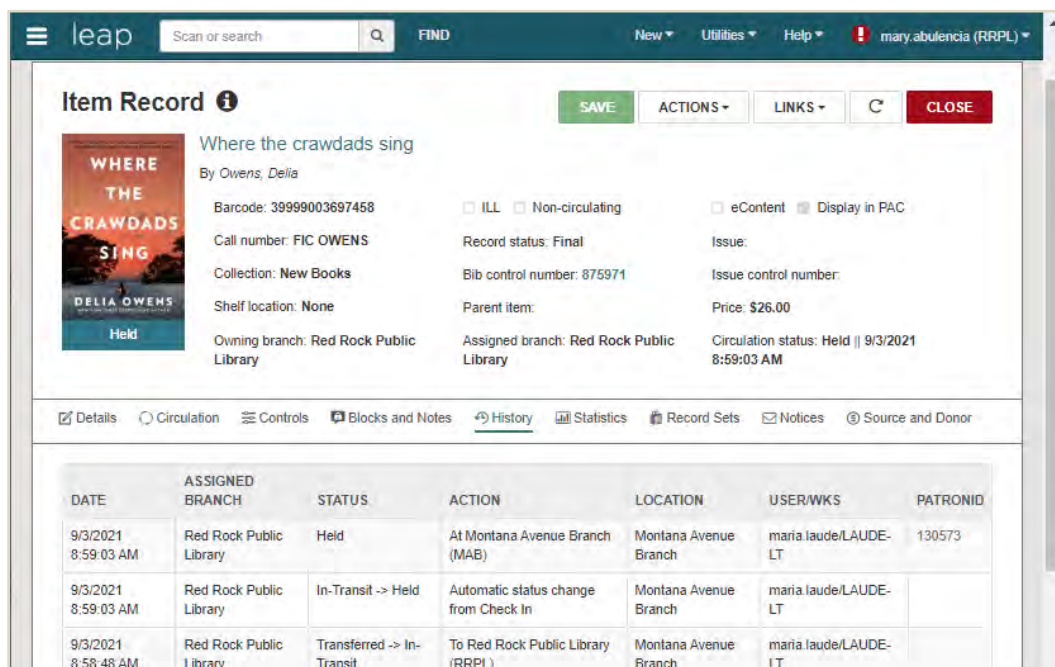
## INNOVATIVE

Yes.

All primary transactions are logged to a transaction log in the SQL database. Create, updates, and deletes are detailed for all records. It is from this transaction log that all primary statistical and audit reports are generated. The Polaris transaction log records when an action occurs, the identification number of the user who did the action, and the records that the action affected. You can use the log to track operational statistics, troubleshoot problems, and generate reports. You determine what kinds of actions are logged, out of the thousands of Polaris transactions that can occur every day.

Entries in the Transaction Logging database table determine which transactions are logged. The Transaction Logging table is available from the Administration Explorer and lets you enable or disable logging for each transaction type.

Many primary data objects also contain a separate historical record (i.e., every historical status change to the Item Record as shown below).



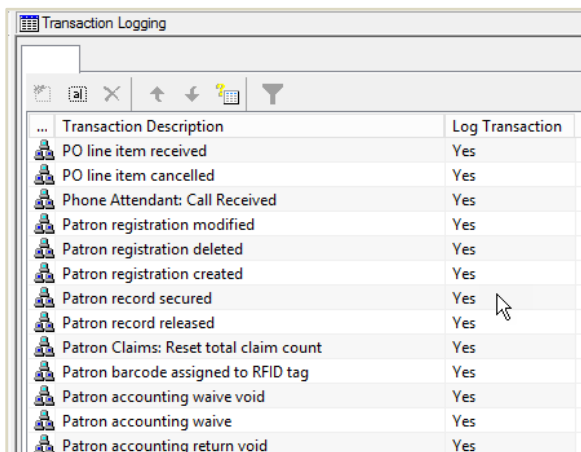
| DATE                | ASSIGNED BRANCH         | STATUS                    | ACTION                                | LOCATION              | USER/WKS             | PATRONID |
|---------------------|-------------------------|---------------------------|---------------------------------------|-----------------------|----------------------|----------|
| 9/3/2021 8:59:03 AM | Red Rock Public Library | Held                      | At Montana Avenue Branch (MAB)        | Montana Avenue Branch | maria.laude/LAUDE-LT | 130573   |
| 9/3/2021 8:59:03 AM | Red Rock Public Library | In-Transit -> Held        | Automatic status change from Check In | Montana Avenue Branch | maria.laude/LAUDE-LT |          |
| 9/3/2021 8:58:48 AM | Red Rock Public Library | Transferred -> In-Transit | To Red Rock Public Library (RRPL)     | Montana Avenue Branch | maria.laude/LAUDE-LT |          |

The raw transaction logging that goes into the transactions database never gets automatically purged. The library can request an SQL script to truncate all the data that's older than x years (or months) old, if desired.

Logging that is visible through the patron account display shows current, unresolved fines, fees, etc. You can change the account view and review the Transaction Summary. The library determines how many months or years to retain this data.

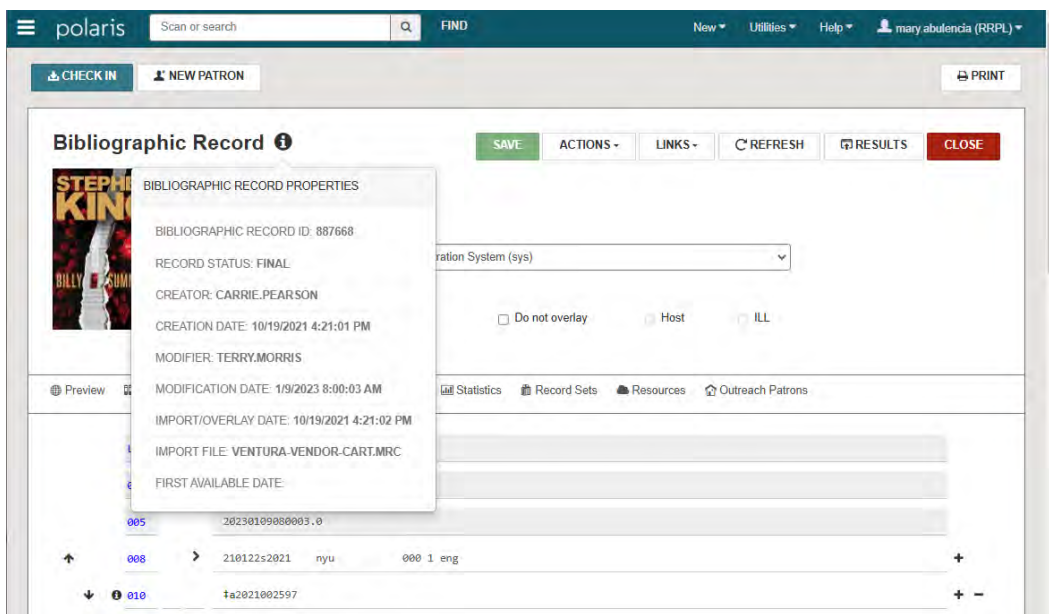
**Patron Record Modifications Log**  
adds, deletes and changes since 1/1/2022 12:00:00 AM

| Transaction Date      | Action Performed             | Staff Member   | Workstation           | Patron ID | Patron Name     |
|-----------------------|------------------------------|----------------|-----------------------|-----------|-----------------|
| 6/15/2022 4:15:52 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 3:28:41 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 3:28:36 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 3:28:20 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 3:22:29 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 2:23:06 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 2:22:59 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 2:22:40 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 283096    | McCrae, Patrick |
| 6/15/2022 2:21:50 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 283096    | McCrae, Patrick |
| 6/15/2022 2:21:10 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 2:20:20 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/15/2022 2:18:45 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515      | MCCRAE, FINN    |
| 6/13/2022 12:17:01 PM | Patron registration modified | carey.miller   | Carey Miller's Laptop | 283241    | Zych, Betsey    |



| Transaction Description                | Log Transaction |
|----------------------------------------|-----------------|
| PO line item received                  | Yes             |
| PO line item cancelled                 | Yes             |
| Phone Attendant: Call Received         | Yes             |
| Patron registration modified           | Yes             |
| Patron registration deleted            | Yes             |
| Patron registration created            | Yes             |
| Patron record secured                  | Yes             |
| Patron record released                 | Yes             |
| Patron Claims: Reset total claim count | Yes             |
| Patron barcode assigned to RFID tag    | Yes             |
| Patron accounting waive void           | Yes             |
| Patron accounting waive                | Yes             |
| Patron accounting return void          | Yes             |

In addition, you can view record properties for a record by selecting  on a record workform.



**Bibliographic Record** 

**BIBLIOGRAPHIC RECORD PROPERTIES**

- BIBLIOGRAPHIC RECORD ID: 887668
- RECORD STATUS: FINAL
- CREATOR: CARRIE.PEARSON
- CREATION DATE: 10/19/2021 4:21:01 PM
- MODIFIER: TERRY.MORRIS
- MODIFICATION DATE: 1/9/2023 8:00:03 AM
- IMPORT/OVERLAY DATE: 10/19/2021 4:21:02 PM
- IMPORT FILE: VENTURA-VENDOR.CART.MRC
- FIRST AVAILABLE DATE:

005 20230109080003.0

008 210122s2021 nyu 000 1 eng

010 +a2021002597

C.6.26 Supports addition and removal of holdings to/from OCLC WorldCat.

## INNOVATIVE

Yes.

A SQL job can be set up that automatically pushes holdings updates to OCLC.

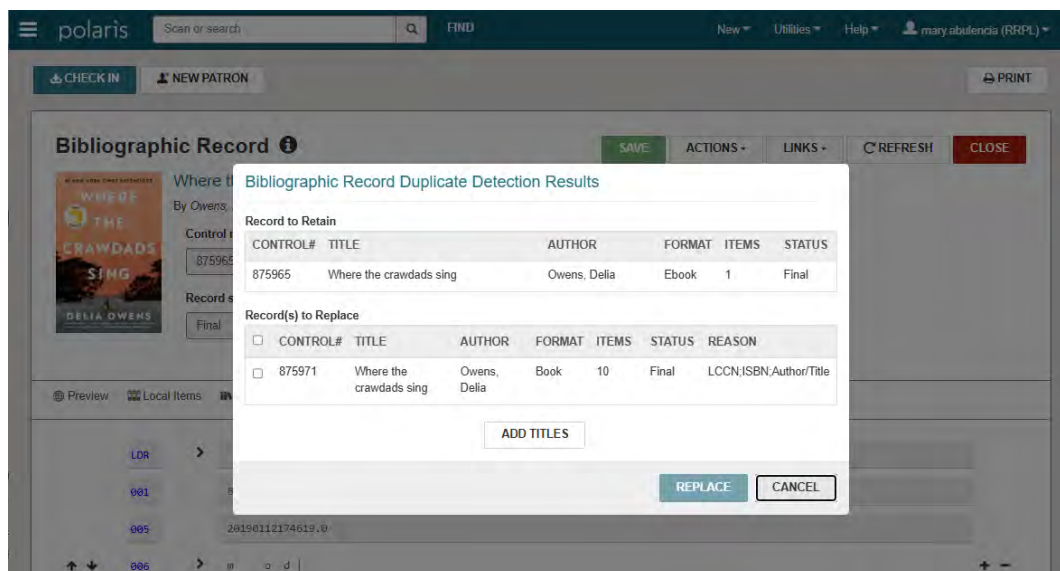
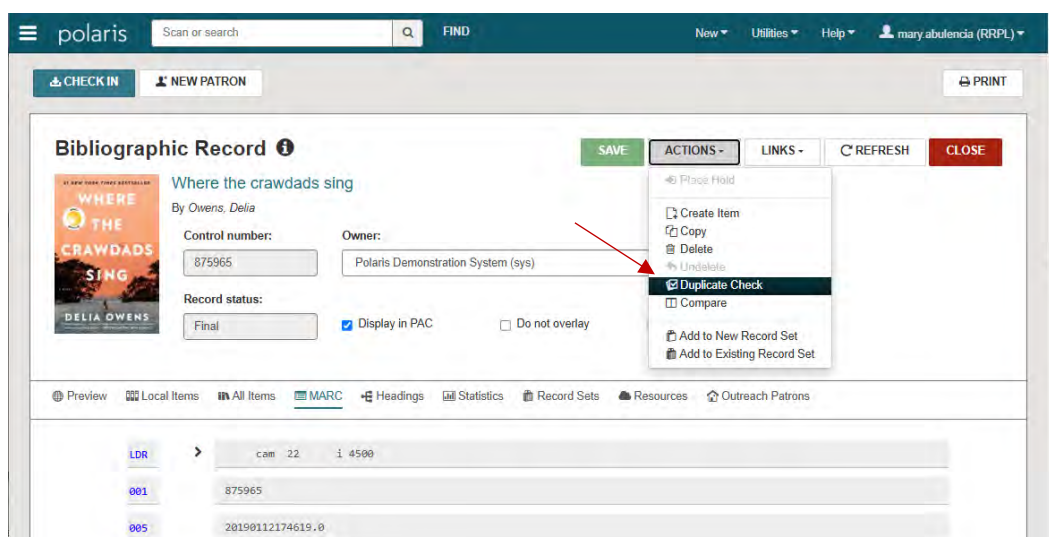


C.6.28 Allows bibliographic records to be merged. Proposer shall describe any limitations that may apply and how item holds are handled in the merge process.

## INNOVATIVE

Yes.

From the bibliographic record you can check for duplicates and replace them with a new or existing record. You can specify which fields are transferred to the new record.



During the bib record overlay process, hold queues are transferred into the existing queue, preserving the date/time queue order.

C.6.30 Allows items to be transferred from one bibliographic record to another.

## INNOVATIVE

Yes.

This is done by simply editing the Bib Control Number field.

The screenshot shows the Polaris 'Item Record' interface for the book 'Where the Crawdads Sing' by Delia Owens. The record is currently in 'In-Process' status. A red arrow points to the 'Bib Control Number' field, which contains the value '875965'. Below the record details, there is a form with various fields for editing the record, including Barcode, Owing Branch, Assigned Branch, Collection, Shelf Location, Price, Circulation Status, and Bib Control Number. The 'Bib Control Number' field is highlighted with a red arrow.

## 7. Authority Control

Contractor shall provide a description of authority file-related services included in the proposal.

## INNOVATIVE

When an authority record exists in Polaris, it is checked each time a bibliographic record is saved to the database. Each library determines which tags in the bibliographic record are checked and authorized against the authority file.

If the system detects a heading that is incorrect, or not present in the authority file, you are given the opportunity to edit the bibliographic record to match any authority heading that is currently in the database, have the Polaris system automatically create a new authority record (based on the bibliographic record), create a new authority record manually, or simply leave the heading unauthorized.

If the system finds a matching authority record for a bibliographic heading, the system links the bibliographic heading to that authority record. This link allows changes in the authority to be propagated to the bibliographic record, and also serves as a mechanism to retrieve linked bibliographic records when searching on authority headings.

### **Authorities Weekly**

Ongoing authorities can be done with Polaris ZMARC Automatic Authority Control with Weekly Updates. With this service, you automatically receive weekly updates to your authority records in ready-to-import MARC format. This service will automatically compare your database's authority records, by matching the LCCN numbers, with a weekly authority update from the Library of Congress. Any of your records that need updating are sent to you for downloading at your convenience, eliminating the need to batch output or manually update your records. Polaris ZMARC Automatic Authority Control with Weekly Updates takes the burden of authority control off you and your staff and ensures the integrity of your database.

## **Narrative Descriptions for Exhibit F – Functional Requirements – Authority Control**

C.7.2 Allows authority records to be batch and individually loaded from OCLC and other sources.

### **INNOVATIVE**

Yes.

This is supported using the Polaris import profiles as described in response to [C.6.2](#) above.

C.7.3 Allows authority records to be overlaid through import.

### **INNOVATIVE**

Yes.

This is supported using the Polaris import profiles as described in response to [C.6.2](#) above.



## C.7.5 Detects unauthorized headings.

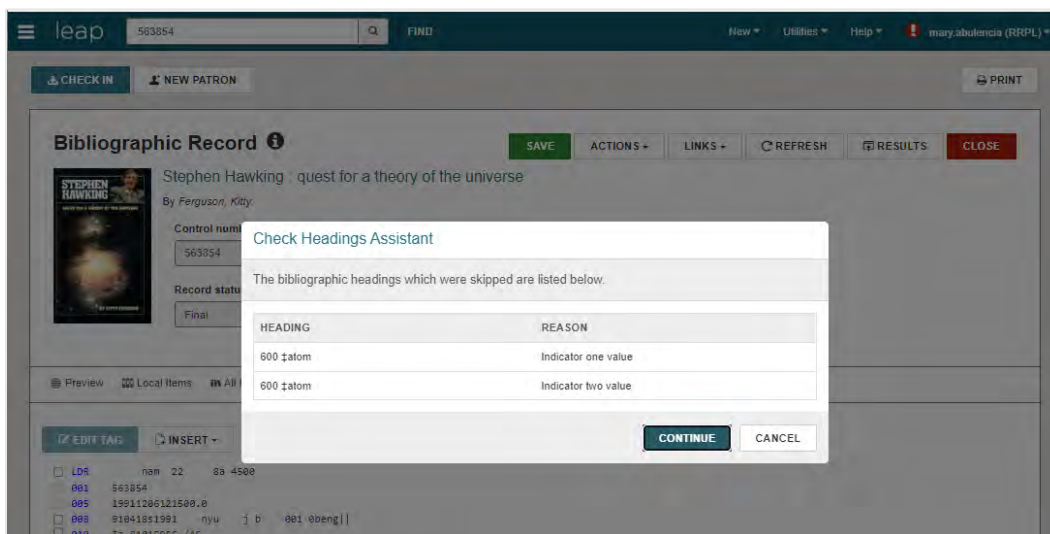
## INNOVATIVE

Yes.

Polaris checks for matching authority records and links the bibliographic record to the appropriate authority record(s). If automatic remote authority control is enabled, Polaris also checks for matching authority records in the remote database your library has specified.

If the bibliographic record contains headings with no exact authority matches, Polaris displays the headings in the Check Headings Assistant dialog and prompts you to do one of the following:

- Select CONTINUE to save the record.
- Select CANCEL to stop saving and return to editing the record.



C.7.7 Provides a 'review area' for storing authority records that still need additional work.

## INNOVATIVE

Yes.

Authority records have a record status feature. Every record is either:

- Final
- Provisional
- Deleted

Provisional status can be used to identify authority records which are "not ready for prime time."

C.7.8 Proposer provides monthly authority file updates.

## INNOVATIVE

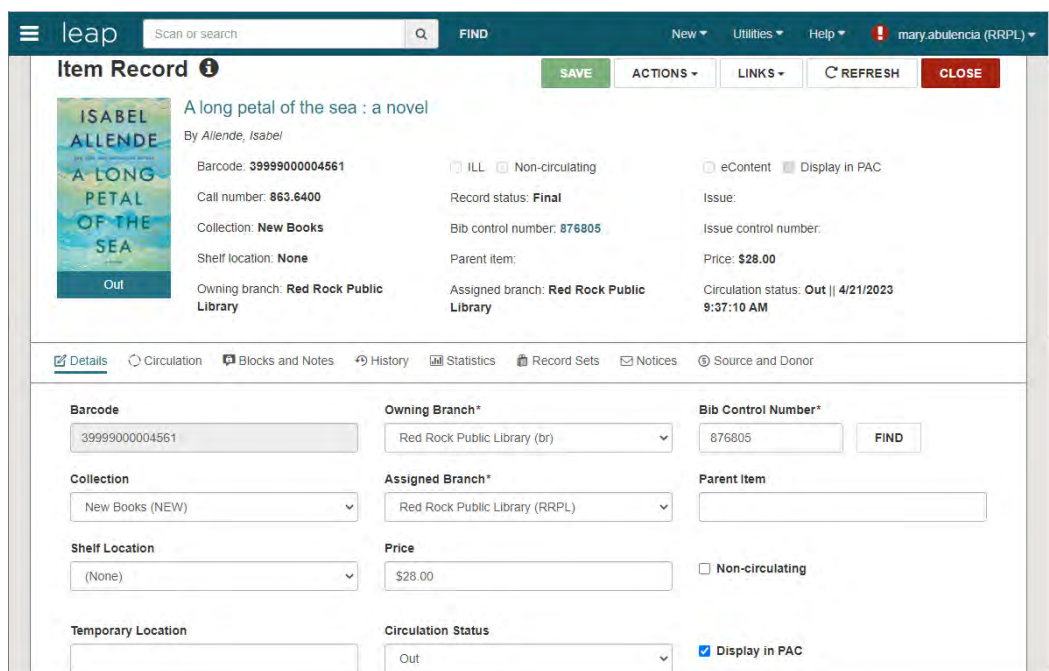
Yes.

Ongoing authorities can be done with Polaris ZMARC Automatic Authority Control with Weekly Updates. With this service, you automatically receive weekly updates to your authority records in ready-to-import MARC format. This service will automatically compare your database's authority records, by matching the LCCN numbers, with a weekly authority update from the Library of Congress. Any of your records that need updating are sent to you for downloading at your convenience, eliminating the need to batch output or manually update your records. Polaris ZMARC Automatic Authority Control with Weekly Updates takes the burden of authority control off you and your staff and ensures the integrity of your database.

## 8. Item Records

Contractor shall describe what kind of item information is tracked in the ILS (date created, last checkout date, total charges, etc.) and how that information is linked to bibliographic records. Contractor shall describe any limits on the number of items that may be attached to a single bibliographic record. Contractor shall describe when deleting a last copy, what happens to the bibliographic record.

### INNOVATIVE



The screenshot shows the 'Item Record' form in the Innovative Leap system. The header includes a search bar, 'FIND' button, and navigation links like 'New', 'Utilities', 'Help', and a user profile. The main section displays item details for 'A long petal of the sea : a novel' by Isabel Allende, including a barcode, call number, collection, shelf location, and owning branch. Below this is a detailed form with fields for Barcode, Owing Branch, Bib Control Number, Collection, Assigned Branch, Parent Item, Shelf Location, Price, Temporary Location, Circulation Status, and checkboxes for 'Non-circulating' and 'Display in PAC'.

The item record workform includes a header which displays the following information:

- The Information icon and Properties window – When you hover over the  icon, the Properties window displays the following information:
  - o Item Record ID
  - o Barcode
  - o Record Status
  - o Creator
  - o Creation Date
  - o Modifier
  - o Modification Date
  - o First Available Date
- The book jacket image

The ACTIONS menu includes the following options:

- Check In
- Place Hold
- Copy
- Delete
- Undelete
- Add to New Record Set
- Add to Existing Record Set

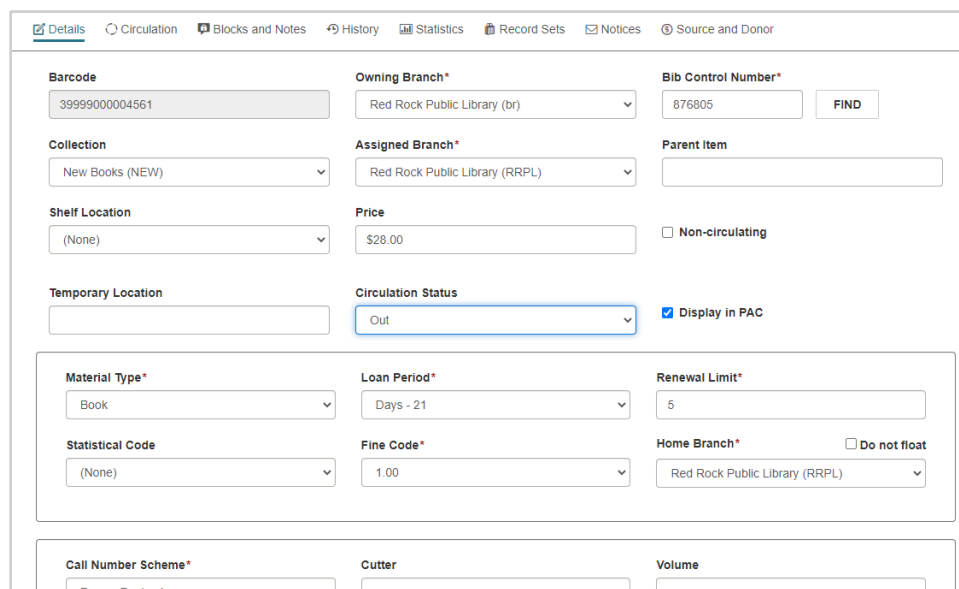
The LINKS menu provides links to:

- Holds Queue

### Item Record Views

The bottom part of the page changes depending on the selected view: Details, Circulation, Blocks and Notes, History, Statistics, Record Set, Notices, or Source and Donor. You can specify the view that appears by default by configuring Workform User Defaults. If there are blocks or notes associated with the item record, the Blocks and Notes icon appears in red.

- Details View – This view displays header information and other information about the item record. You can edit information on the Details view if you have the appropriate permissions.



The screenshot shows the 'Details' view of an item record. The top navigation bar includes links for Details, Circulation, Blocks and Notes, History, Statistics, Record Sets, Notices, and Source and Donor. The main form is divided into several sections:

- Barcode:** 3999900004561
- Owning Branch\*:** Red Rock Public Library (br)
- Bib Control Number\*:** 876805
- Collection:** New Books (NEW)
- Assigned Branch\*:** Red Rock Public Library (RRPL)
- Parent Item:** (empty field)
- Shelf Location:** (None)
- Price:** \$28.00
- Non-circulating:** ☐
- Temporary Location:** (empty field)
- Circulation Status:** Out
- Display in PAC:** ☒
- Material Type\*:** Book
- Loan Period\*:** Days - 21
- Renewal Limit\*:** 5
- Statistical Code:** (None)
- Fine Code\*:** 1.00
- Home Branch\*:** Red Rock Public Library (RRPL)
- Do not float:** ☐
- Call Number Scheme\*:** Dewey Decimal
- Cutter:** (empty field)
- Volume:** (empty field)

- **Circulation View** – This view displays circulation information for the item.

Details Circulation Blocks and Notes History Statistics Record Sets Notices Source and Donor

|                                                                                                                                                |                                                                                                                    |                                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| Due date: 5/12/2023 11:59:58 PM                                                                                                                | Current borrower: 29999000525073                                                                                   | Check-out date: 4/21/2023 9:37:10 AM                         |
| Renewals taken: 0                                                                                                                              | Loaning branch: Red Rock Public Library                                                                            | Original due date: 5/12/2023 11:59:59 PM                     |
| Renewals limit: 5                                                                                                                              | Hold for:                                                                                                          |                                                              |
| Renewal date:                                                                                                                                  | Hold at:                                                                                                           |                                                              |
| Last location<br>Check-in at: Red Rock Public Library<br>Ck-in date: 4/21/2023 9:37:05 AM<br>Wkstn/user: Dennis Todd's<br>Thinkpad/dennis.todd | Last use<br>Borrower: 29999000525073<br>Loaning branch: Red Rock Public Library<br>Circ date: 4/21/2023 9:37:10 AM | In-transit/Transferred<br>From:<br>Sent:<br>To:<br>Received: |

- **Blocks and Notes View** – This view displays blocks and notes associated with the item.

Details Circulation Blocks and Notes History Statistics Record Sets Notices Source and Donor

**Library Assigned Block**  
(None)

**Free Text Block**

**System Block**

**Public Note**

**Non-Public Note**

**Physical Condition**

- **History View** – This view displays the transaction history for the items. You can select the patron ID to go to the patron record associated with the transaction.

Details Circulation Blocks and Notes History Statistics Record Sets Notices Source and Donor

| DATE                 | ASSIGNED BRANCH         | STATUS      | ACTION                                              | LOCATION                | USER/WKS                    | PATRONID |
|----------------------|-------------------------|-------------|-----------------------------------------------------|-------------------------|-----------------------------|----------|
| 5/27/2023 6:01:59 AM | Red Rock Public Library | Out         | Second overdue notice: Email                        | Red Rock Public Library | PolansExecw04demo-p-sq11    | 282480   |
| 5/20/2023 6:02:08 AM | Red Rock Public Library | Out         | First overdue notice: Email                         | Red Rock Public Library | PolansExecw04demo-p-sq11    | 282480   |
| 5/10/2023 6:02:22 AM | Red Rock Public Library | Out         | Reminder notice: Email                              | Red Rock Public Library | PolansExecw04demo-p-sq11    | 282480   |
| 4/21/2023 9:37:10 AM | Red Rock Public Library | In -> Out   | Checked out                                         | Red Rock Public Library | dennis.todd@CLVITN-PC1679AC | 282480   |
| 4/21/2023 9:37:05 AM | Red Rock Public Library | Lost -> In  | Checked in - item was previously lost by the patron | Red Rock Public Library | dennis.todd@CLVITN-PC1679AC | 282480   |
| 3/1/2023 6:02:25 AM  | Red Rock Public Library | Out -> Lost | Modified by automatic billed to lost processing     | Red Rock Public Library | PolansExecw04demo-p-sq11    | 282480   |

- Statistics View – This view displays circulation and inventory statistics for the item.

|                                                                                           |                                                                                               |                                                                                                    |                                                                                           |                                                                                                     |                                                                                               |                                                                                           |                                                                                                      |
|-------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
|  Details |  Circulation |  Blocks and Notes |  History |  <b>Statistics</b> |  Record Sets |  Notices |  Source and Donor |
| Year-to-date circulation: <b>16</b>                                                       |                                                                                               | Year-to-date in-house use: <b>0</b>                                                                |                                                                                           | Inventory date:                                                                                     |                                                                                               |                                                                                           |                                                                                                      |
| Previous year-to-date circulation: <b>0</b>                                               |                                                                                               | Previous year-to-date in-house use: <b>0</b>                                                       |                                                                                           |                                                                                                     |                                                                                               |                                                                                           |                                                                                                      |
| Lifetime circulation: <b>16</b>                                                           |                                                                                               | Lifetime in-house use: <b>0</b>                                                                    |                                                                                           |                                                                                                     |                                                                                               |                                                                                           |                                                                                                      |

- Record Sets View – This view displays a table listing all the record sets to which the item record belongs. You can select a record set to open it in the Item Record Set workform. When you close the Item Record Set workform, you are returned to this view. If you do not have the required permissions for the record set, an error message appears.

| Details                                                       | Circulation | Blocks and Notes | History       | Statistics                                                          | <b>Record Sets</b> | Notices | Source and Donor |
|---------------------------------------------------------------|-------------|------------------|---------------|---------------------------------------------------------------------|--------------------|---------|------------------|
| Filter record sets:                                           |             |                  |               |                                                                     |                    |         |                  |
| NAME                                                          | OWNER       | TOTAL RECORDS    | CREATION DATE | NOTE                                                                |                    |         |                  |
| Checked out items_20220608162951                              | dennis.todd | 3078             | 6/8/2022      |                                                                     |                    |         |                  |
| Item set_20211013175357                                       | mmonroy     | 1468             | 10/13/2021    | Created from patron record set "Patrons at Red Rock_20211013145306" |                    |         |                  |
| Laude-Items Out_20220114160164                                | maria.laude | 3017             | 1/14/2022     |                                                                     |                    |         |                  |
| Laude-Items that haven't circulated in 5 years_20230208202025 | maria.laude | 1954             | 2/8/2023      |                                                                     |                    |         |                  |
| RRPL Items Out_20220506065823                                 | dennis.todd | 25               | 5/6/2022      |                                                                     |                    |         |                  |

- Notices View – This view displays the notices associated with the item.

|                                |             |                                   |         |            |             |                |                  |
|--------------------------------|-------------|-----------------------------------|---------|------------|-------------|----------------|------------------|
| Details                        | Circulation | Blocks and Notes                  | History | Statistics | Record Sets | <b>Notices</b> | Source and Donor |
| Reminder: 5/10/2023 8:02:22 AM |             |                                   |         |            |             |                |                  |
|                                |             | 1st overdue: 5/20/2023 8:02:08 AM |         | Bill       |             |                |                  |
|                                |             | 2nd overdue: 5/27/2023 8:01:59 AM |         | Hold       |             |                |                  |
|                                |             | 3rd overdue:                      |         |            |             |                |                  |

- **Source and Donor View** – This view displays source and donor information for the item, including import information for econtent items.

There are **no limits** to how many items can be attached to a bibliographic record.

**Deleting a last copy** – When you delete an item that is the last copy linked to a bibliographic record, the Last Copy Options dialog appears with the following options:

- **Delete** – The bibliographic record is either deleted or marked for deletion.
- **Suppress from PAC** – The Display in PAC flag is removed, and the bibliographic record no longer appears in the PAC.
- **Retain** – No changes are made to the bibliographic record.



## Narrative Descriptions for Exhibit F – Functional Requirements – Item Records

C.8.1 Item records contain and display the following: item ID, owning library, shelving location, call number, volume number (if applicable), circulation status, count of checkouts, price, date of last activity, number of holds, item-specific notes, inventory date, content/staff notes.

### INNOVATIVE

Yes.

See response [above](#) for details on what is contained within the item record.

C.8.3 Allows authorized staff to assign items to temporary as well as permanent locations.

### INNOVATIVE

Yes.

The screenshot displays the 'Item Record' page in the Polaris system. The top navigation bar includes a search bar, 'FIND' button, and user profile 'mary.abulencia (RRPL)'. The main content area shows details for 'Billy Summers : a novel' by Stephen King. A red box highlights the 'Shelf Location' dropdown menu, which is currently set to '(None)'. Other visible fields include 'Barcode', 'Collection' (New Books (NEW)), 'Owning Branch' (Tyler Public Library (tr)), 'Assigned Branch' (Tyler Public Library (TYLER)), 'Price' (\$30.00), 'Circulation Status' (In-Process), and 'Display in PAC' (checked). The bottom of the form has tabs for 'Details', 'Circulation', 'Blocks and Notes', 'History', 'Statistics', 'Record Sets', 'Notices', and 'Source and Donor'.



C.8.4 Allows catalogers to specify default values for item record data that can be stored as templates.

## INNOVATIVE

Yes.

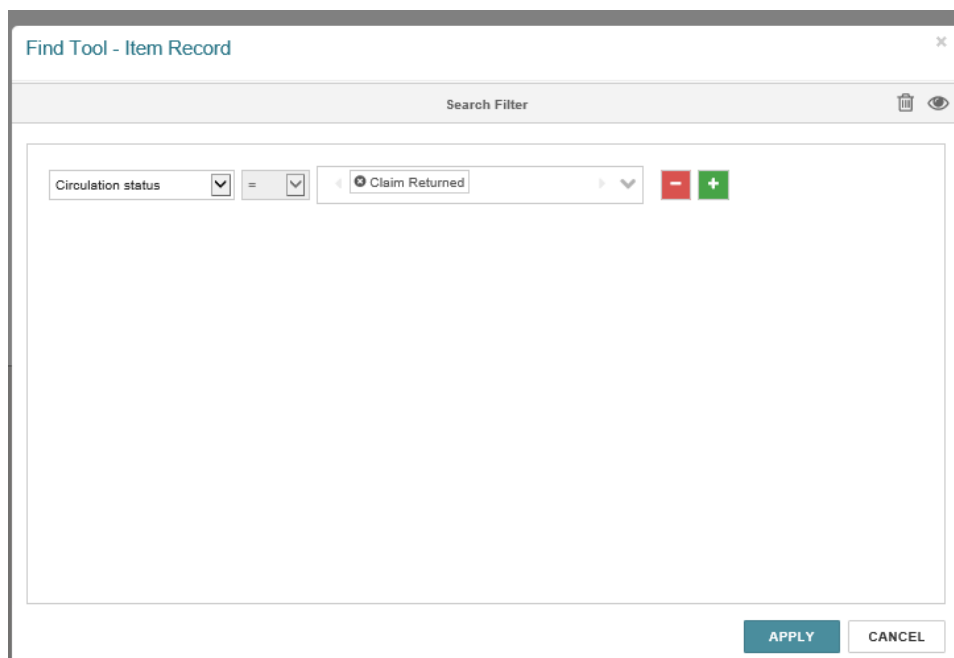
Cataloging templates help your library maintain consistent records and reduce the number of keystrokes required to create new records. The library can create bibliographic, authority, and item templates by manually entering data or by saving existing records as templates, and then editing the data.

C.8.5 Allows item records to be automatically suppressed in the catalog based on library specified criteria or rules.

## INNOVATIVE

Yes.

This can be accomplished by searching for items with a specific status in Polaris and performing a bulk change of the Display in PAC checkbox.



Find Tool - Item Record

Item Record ▶ Basic Search ▶ All keyword fields ▶ Keyword (All) ▶

\* ✕ ☆ 📄 🔄 🔍 ☰

| # | Title                    | Assig...   | Colle...  | Mater... | Shelf ... | Call ... | V... | Status    | Barcode         | Last Activit... | R...  | Con... |
|---|--------------------------|------------|-----------|----------|-----------|----------|------|-----------|-----------------|-----------------|-------|--------|
| ✓ | 1, 2, 3 to the zoo.      | Potter...  | Adult ... | Book     |           | EAU...   |      | Claim ... | 31030003399417  | 12/5/2013       | Fi... | 628... |
| ✓ | 1, 2, tie up my shoe ... | Pierce...  | Juven...  | Book     |           | CON...   |      | Claim ... | 32398001699222  | 2/26/2020       | Fi... | 386... |
| ✓ | 1001 questions abo...    | Bedfor...  | Bests...  | Book     |           | 616.0... |      | Claim ... | 32398001799253  | 6/9/2014        | Fi... | 92385  |
| ✓ | 1001 questions abo...    | Martin ... | Adult ... | Book     |           | 616.0... | 1    | Claim ... | 32398001799345  | 3/28/1994       | Fi... | 423... |
| ✓ | 1876 : a novel           | Bedfor...  | Adult ... | Book     | Fiction   | FIC VID  |      | Claim ... | 35555000002081  | 12/19/2022      | Fi... | 177... |
| ✓ | 8088 assembler lan...    | Monta...   | Adult ... | Book     |           | 001.6... |      | Claim ... | 32398000029629  | 4/4/2014        | Fi... | 2402   |
| ✓ | After midnight           | Hardin...  | Adult ... | Book     |           | F ALB    |      | Claim ... | 32398000015388  | 10/15/2024      | Fi... | 1160   |
| ✓ | All for love             | Clinto...  | Adult ... | Book     |           | F MAN    |      | Claim ... | 323980004514832 | 11/25/2000      | Fi... | 236... |
| ✓ | Any friend of Owneyfs    | Harper...  | Juven...  | Book     |           | J BIE    |      | Claim ... | 32398000340257  | 9/19/2017       | Fi... | 19115  |
| ✓ | The archaeology of l...  | Potter...  | Adult ... | Book     |           | 936.1... |      | Claim ... | 32398001704444  | 12/15/2011      | Fi... | 315... |
| ✓ | The ark of the coven...  | Harris ... | Refer...  | Book     |           | OF M...  |      | Claim ... | 32398003020690  | 6/27/2014       | Fi... | 152... |

Ready Filtered to 175 of 10,000+ result(s)

☐ Count Only **BULK CHANGE** ADD TO RECORD SET ▼ OPEN CANCEL

**polaris** Scan or search FIND New ▼ Utilities ▼ Help ▼ mary.abulencia (RRPL) ▼

**Item Record Bulk Change** UPDATE ITEMS SAVE AS TEMPLATE CANCEL

Template  
(None) ▼

Error Record Set  
☐ Name Owner  
mary.abulencia ▼

Location ☐ Circulation ☒ Call Number ☐ Blocks and Notes ☒ Miscellaneous

Bib Control Number  
(No change) FIND

Title

Author

Display in PAC  
(No change) ▼  
(No change)  
Checked  
**Unchecked**

Name of Piece

Item Barcode(s)\*

☐ Use system assigned barcodes

C.8.6 Allows staff to create item records 'on the fly.' Proposer shall outline the steps needed to do this.

## INNOVATIVE

Yes.

On the fly records can be created at check-out and a block can be set that informs staff that a brief item record was created, and the item requires full cataloging.

**Brief Item Entry**

Barcode  
32399002709061

☒ Set OTF Block

Title \*  
[Empty field]

Material Type  
Book

Author  
[Empty field]

Loan Period  
Days - 21

Call Number  
[Empty field]

Fine Code  
1.00

Free Text Block  
Send to technical services.

**CONTINUE** **CANCEL**

C.8.7 Supports batch editing of permanent and temporary locations of items, item types, call numbers, etc.

## INNOVATIVE

Yes.

This is supported with the bulk change process as described in response to [C.3.6](#) above.

C.8.8 Supports laser scanning and RFID scanning of item IDs into the cataloging interface.

## INNOVATIVE

Yes.

RFID scanning can be used for searching in the find tool, circulation, and adding to record sets via the find tool. In addition, RFID is available from the quick search, and auto-polling is supported so that adding items to record sets becomes as easy as placing a stack of items on the reader.

C.8.9 Allows items to be moved from one record to another. Describe any limitations that may apply.

## INNOVATIVE

Yes.

Item records can be moved from one bibliographic record to another, while maintaining all circulation information such as holds, fines, etc. There are no limitations.

C.8.10 ILS retains a record of who created, modified, or deleted an item.

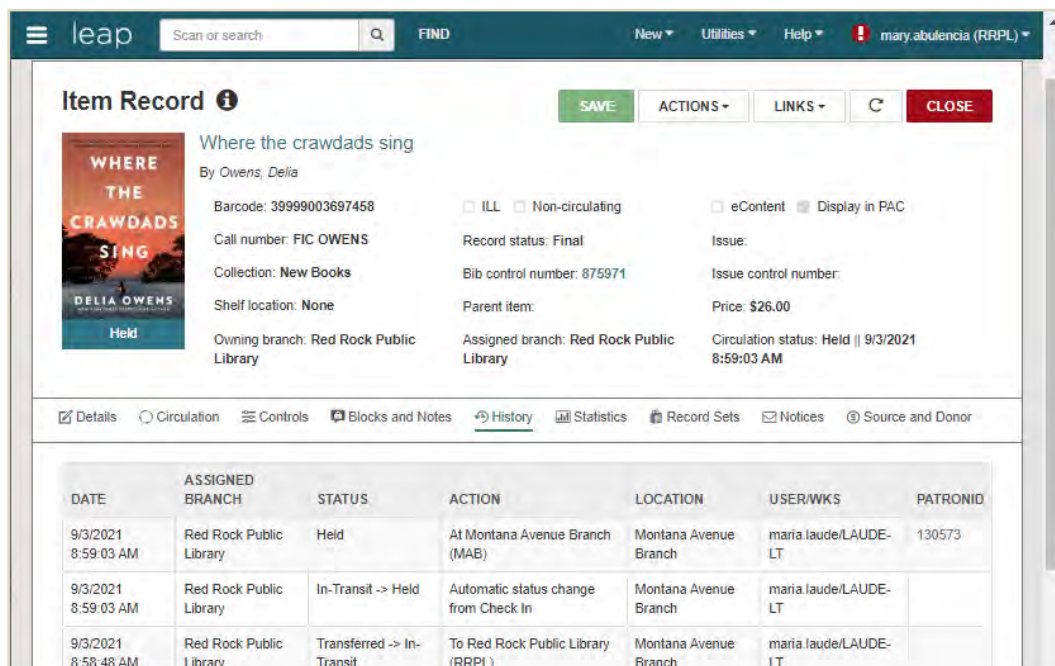
## INNOVATIVE

Yes.

All primary transactions are logged to a transaction log in the SQL database. Create, updates, and deletes are detailed for all records. It is from this transaction log that all primary statistical and audit reports are generated. The Polaris transaction log records when an action occurs, the identification number of the user who did the action, and the records that the action affected. You can use the log to track operational statistics, troubleshoot problems, and generate reports. You determine what kinds of actions are logged, out of the thousands of Polaris transactions that can occur every day.

Entries in the Transaction Logging database table determine which transactions are logged. The Transaction Logging table is available from the Administration Explorer and lets you enable or disable logging for each transaction type.

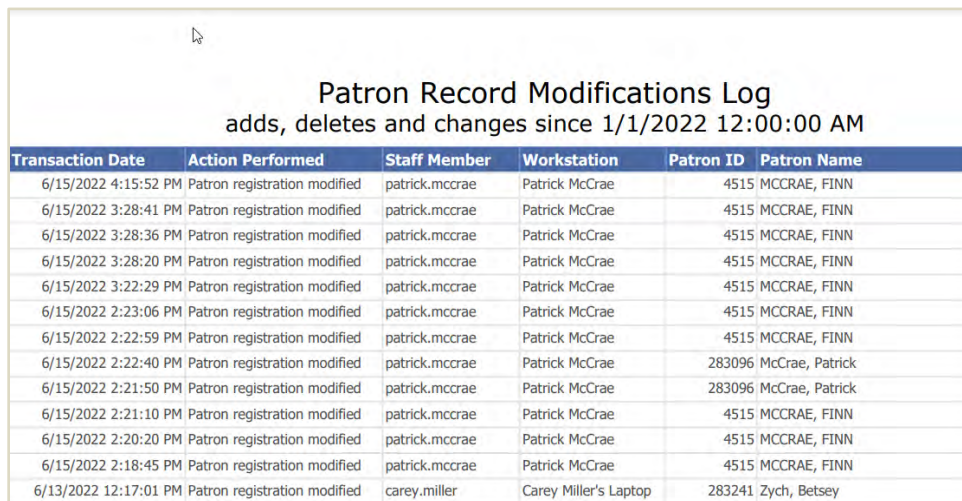
Many primary data objects also contain a separate historical record (i.e., every historical status change to the Item Record as shown below).



| DATE                | ASSIGNED BRANCH         | STATUS                    | ACTION                                | LOCATION              | USER/WKS             | PATRONID |
|---------------------|-------------------------|---------------------------|---------------------------------------|-----------------------|----------------------|----------|
| 9/3/2021 8:59:03 AM | Red Rock Public Library | Held                      | At Montana Avenue Branch (MAB)        | Montana Avenue Branch | maria.laude/LAUDE-LT | 130573   |
| 9/3/2021 8:59:03 AM | Red Rock Public Library | In-Transit -> Held        | Automatic status change from Check In | Montana Avenue Branch | maria.laude/LAUDE-LT |          |
| 9/3/2021 8:58:48 AM | Red Rock Public Library | Transferred -> In-Transit | To Red Rock Public Library (RRPL)     | Montana Avenue Branch | maria.laude/LAUDE-LT |          |

The raw transaction logging that goes into the transactions database never gets automatically purged. The library can request an SQL script to truncate all the data that's older than x years (or months) old, if desired.

Logging that is visible through the patron account display shows current, unresolved fines, fees, etc. You can change the account view and review the Transaction Summary. The library determines how many months or years to retain this data.



| Transaction Date      | Action Performed             | Staff Member   | Workstation           | Patron ID              | Patron Name |
|-----------------------|------------------------------|----------------|-----------------------|------------------------|-------------|
| 6/15/2022 4:15:52 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 3:28:41 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 3:28:36 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 3:28:20 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 3:22:29 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 2:23:06 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 2:22:59 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 2:22:40 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 283096 McCrae, Patrick |             |
| 6/15/2022 2:21:50 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 283096 McCrae, Patrick |             |
| 6/15/2022 2:21:10 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 2:20:20 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/15/2022 2:18:45 PM  | Patron registration modified | patrick.mccrae | Patrick McCrae        | 4515 MCCRAE, FINN      |             |
| 6/13/2022 12:17:01 PM | Patron registration modified | carey.miller   | Carey Miller's Laptop | 283241 Zych, Betsey    |             |

| Transaction Logging                    |                 |
|----------------------------------------|-----------------|
| Transaction Description                | Log Transaction |
| PO line item received                  | Yes             |
| PO line item cancelled                 | Yes             |
| Phone Attendant: Call Received         | Yes             |
| Patron registration modified           | Yes             |
| Patron registration deleted            | Yes             |
| Patron registration created            | Yes             |
| Patron record secured                  | Yes             |
| Patron record released                 | Yes             |
| Patron Claims: Reset total claim count | Yes             |
| Patron barcode assigned to RFID tag    | Yes             |
| Patron accounting waive void           | Yes             |
| Patron accounting waive                | Yes             |
| Patron accounting return void          | Yes             |

In addition, you can view record properties for a record by selecting  on a record workform.

**polaris** Scan or search  FIND New Utilities Help mary.abulencia (RRPL)

**CHECK IN** **NEW PATRON** **PRINT**

**Item Record** 

**ITEM RECORD PROPERTIES**

ITEM RECORD ID: 1773971  
 BARCODE:  
 RECORD STATUS: FINAL  
 CREATOR: CARRIE.PEARSON  
 CREATION DATE: 10/19/2021 4:28:32 PM  
 MODIFIER: CARRIE.PEARSON  
 MODIFICATION DATE: 10/19/2021 4:31:50 PM  
 FIRST AVAILABLE DATE:

☐ ILL ☐ Non-circulating ☐ eContent ☒ Display in PAC

Record status: Final Issue:  
 Bib control number: [887668](#) Issue control number:  
 Parent item: Price: \$30.00  
 Assigned branch: Tyler Public Library Circulation status: In-Process || 10/19/2021 4:31:50 PM

History Statistics Record Sets Notices Source and Donor

Current borrower: Check-out date:  
 Loaning branch: Original due date:  
 Held for:  
 Held at:  
 Last use  
 Borrower:  
 Loaning branch:  
 Circ date:  
 In-transit/Transferred  
 From:  
 Sent:  
 To:  
 Received:

Renewals taken: 0  
 Renewals limit: 1  
 Renewal date:  
 Last location  
 Check-in at:  
 Ck-in date:  
 Wkstn/user:

**SAVE** **ACTIONS** **LINKS** **REFRESH** **CLOSE**

## 9. Circulation, Holds, and Inventory

The circulation module must provide an efficient means for library staff to: charge and discharge materials using barcode scanners and RFID pads; process patron fines; place holds on behalf of patrons; receive holds from delivery; place holds in transit to other library locations.

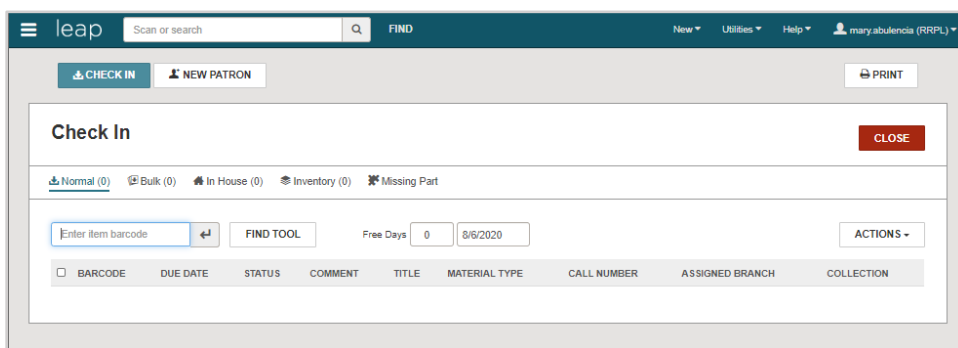
### INNOVATIVE

Polaris provides an intuitive and fully web-based circulation interface. In a time where mobile applications increasingly allow people to access information and consume services wherever they may be, Polaris allows staff to get out from behind the desk and still have access to vital data and functionality with flexible, intuitive workflows for all circulation functions. Polaris differs from other mobile circulation offerings because it is not a subset of functions. The same software and user interface are used behind the desk, or out with patrons. Full functionality is available on any device.

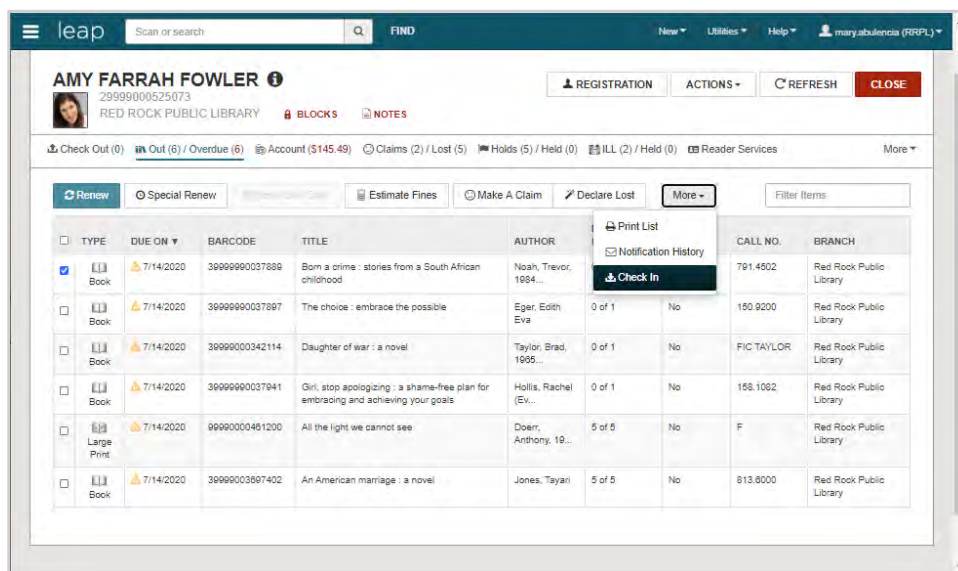
Polaris manages the checkin and checkout of materials to patrons, including fine management. Circulation screens provide a clean intuitive interface with additional information available with just "one click", allowing staff to easily link to fines and fees, holds, notes and notification history and much more. Full web-based functionality allows staff to meet patrons where they are without any loss of functionality.

#### Checkin/Checkout

As items are checked in, messages may appear for items that are overdue and have a fine; items for which holds have been placed; or items that have other blocks.







leap Scan or search FIND

AMY FARRAH FOWLER 29999000525073 RED ROCK PUBLIC LIBRARY

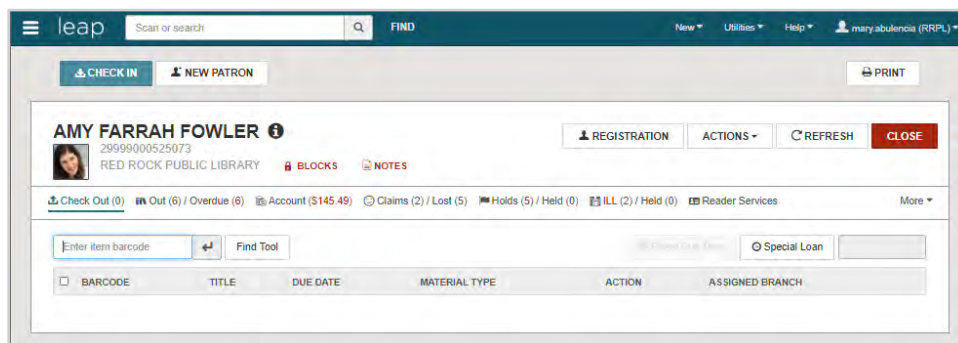
REGISTRATION ACTIONS REFRESH CLOSE

Check Out (0) Out (6) / Overdue (6) Account (\$145.49) Claims (2) / Lost (5) Holds (5) / Held (0) ILL (2) / Held (0) Reader Services

Renew Special Renew Estimate Fines Make A Claim Declare Lost More Filter Items

| TYPE        | DUE ON    | BARCODE        | TITLE                                                                             | AUTHOR                | CALL NO.   | BRANCH                  |
|-------------|-----------|----------------|-----------------------------------------------------------------------------------|-----------------------|------------|-------------------------|
| Book        | 7/14/2020 | 39999990037889 | Born a crime : stories from a South African childhood                             | Noah, Trevor, 1984... | 791.4502   | Red Rock Public Library |
| Book        | 7/14/2020 | 39999990037897 | The choice : embrace the possible                                                 | Eger, Edith Eva       | 150.9200   | Red Rock Public Library |
| Book        | 7/14/2020 | 39999000342114 | Daughter of war : a novel                                                         | Taylor, Brad, 1965... | FIC TAYLOR | Red Rock Public Library |
| Book        | 7/14/2020 | 39999990037841 | Girl, stop apologizing : a shame-free plan for embracing and achieving your goals | Hollis, Rachel (Ev... | 158.1062   | Red Rock Public Library |
| Large Print | 7/14/2020 | 99990000451200 | All the light we cannot see                                                       | Doerr, Anthony, 19... | F          | Red Rock Public Library |
| Book        | 7/14/2020 | 39999003597402 | An American marriage : a novel                                                    | Jones, Tayan          | 813.8000   | Red Rock Public Library |

When you open a patron's record, the Check Out tabbed view appears, and the cursor is in the box where you can scan a barcode to check out an item.



leap Scan or search FIND

AMY FARRAH FOWLER 29999000525073 RED ROCK PUBLIC LIBRARY

REGISTRATION ACTIONS REFRESH CLOSE

Check Out (0) Out (6) / Overdue (6) Account (\$145.49) Claims (2) / Lost (5) Holds (5) / Held (0) ILL (2) / Held (0) Reader Services

Check In NEW PATRON PRINT

Enter item barcode Find Tool

| BARCODE | TITLE | DUE DATE | MATERIAL TYPE | ACTION | ASSIGNED BRANCH |
|---------|-------|----------|---------------|--------|-----------------|
|---------|-------|----------|---------------|--------|-----------------|

## Fines

Administration tables and parameters, combined with settings in the item and patron records, control how fines are calculated. If an item is overdue at check in, the fine is automatically calculated based on these settings and posted to the patron's account.

Fine amounts are set based on the patron code of the person being charged and the fine code assigned to the item. You can specify a different fine amount for each combination of patron code and fine code, as well as a maximum fine and a grace period for each combination.

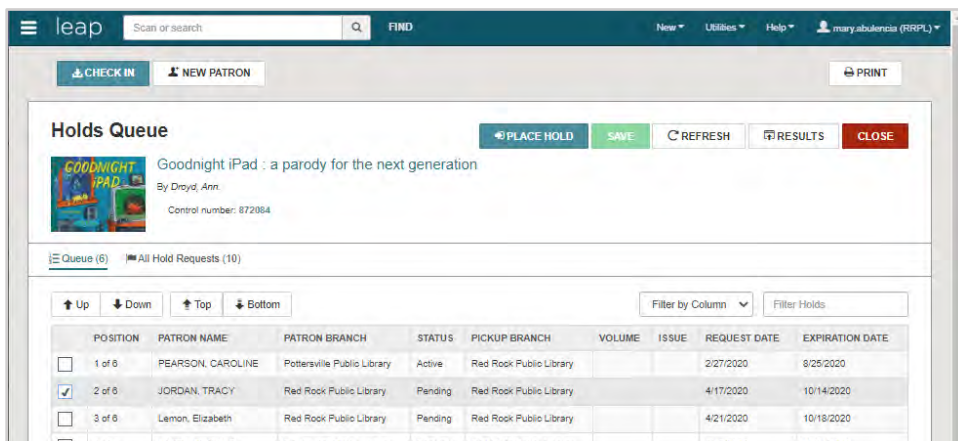
## Hold Placement/Modification/Cancellation

Hold requests may be placed directly by the patron from PAC, or by library staff using Polaris. Polaris permits both item-specific and title-level hold requests, as well as group requests. Requests can also be placed for On-order items. At the library's option, hold requests may or may not be placed on items that are currently checked in.

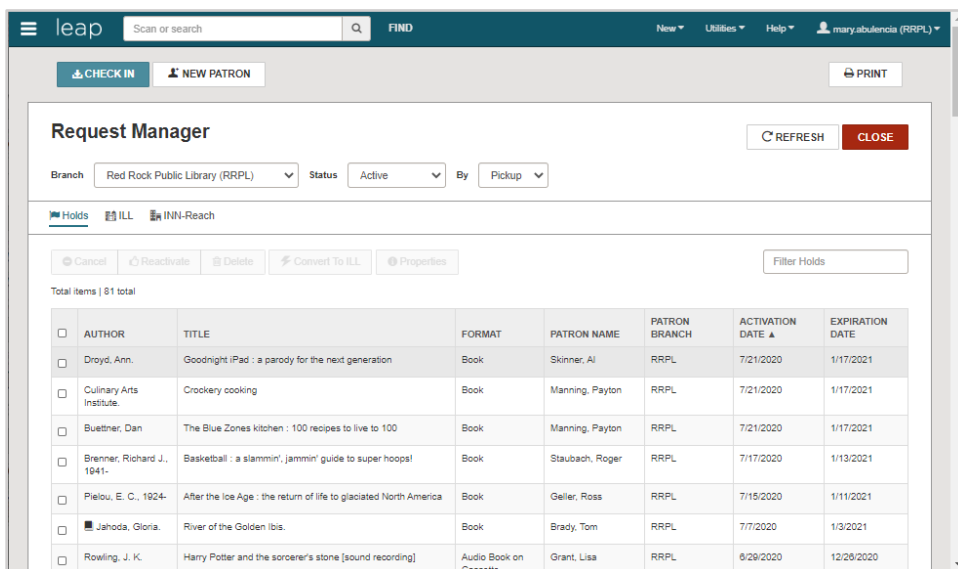


The hold request is linked to the patron record and the status of the request can be viewed by the patron from PAC and by staff in the patron record. Patrons can manage their hold requests, including suspending/reactivating, cancelling, and changing the pickup location.

When a patron cancels their request in the PAC, the hold request record, the patron's record, and the request manager in Polaris records the cancellation.



| POSITION | PATRON NAME       | PATRON BRANCH               | STATUS  | PICKUP BRANCH           | VOLUME | ISSUE | REQUEST DATE | EXPIRATION DATE |
|----------|-------------------|-----------------------------|---------|-------------------------|--------|-------|--------------|-----------------|
| 1 of 6   | PEARSON, CAROLINE | Pottersville Public Library | Active  | Red Rock Public Library |        |       | 2/27/2020    | 8/25/2020       |
| 2 of 6   | JORDAN, TRACY     | Red Rock Public Library     | Pending | Red Rock Public Library |        |       | 4/17/2020    | 10/14/2020      |
| 3 of 6   | Lemon, Elizabeth  | Red Rock Public Library     | Pending | Red Rock Public Library |        |       | 4/21/2020    | 10/18/2020      |



| AUTHOR                     | TITLE                                                             | FORMAT                 | PATRON NAME     | PATRON BRANCH | ACTIVATION DATE | EXPIRATION DATE |
|----------------------------|-------------------------------------------------------------------|------------------------|-----------------|---------------|-----------------|-----------------|
| Droyd, Ann.                | Goodnight iPad : a parody for the next generation                 | Book                   | Skinner, Al     | RRPL          | 7/21/2020       | 1/17/2021       |
| Culinary Arts Institute.   | Crockery cooking                                                  | Book                   | Manning, Payton | RRPL          | 7/21/2020       | 1/17/2021       |
| Buettner, Dan              | The Blue Zones kitchen : 100 recipes to live to 100               | Book                   | Manning, Payton | RRPL          | 7/21/2020       | 1/17/2021       |
| Brenner, Richard J., 1941- | Basketball : a slammin', jammin' guide to super hoops!            | Book                   | Staubach, Roger | RRPL          | 7/17/2020       | 1/13/2021       |
| Pielou, E. C., 1924-       | After the Ice Age : the return of life to glaciated North America | Book                   | Geller, Ross    | RRPL          | 7/15/2020       | 1/11/2021       |
| Jahoda, Gloria.            | River of the Golden Isles.                                        | Book                   | Brady, Tom      | RRPL          | 7/7/2020        | 1/3/2021        |
| Rowling, J. K.             | Harry Potter and the sorcerer's stone [sound recording]           | Audio Book on Cassette | Grant, Lisa     | RRPL          | 6/29/2020       | 12/26/2020      |

The proposed ILS platform must provide a notification system that alerts patrons via email or regular mail about the status of their account, holds, and checkouts. Contractor shall list and describe the types of notices that can be automatically generated and sent to patrons (overdue notices, courtesy reminders, hold pick up notices, billing notices, etc.). Contractor shall describe text formatting options available in the system.

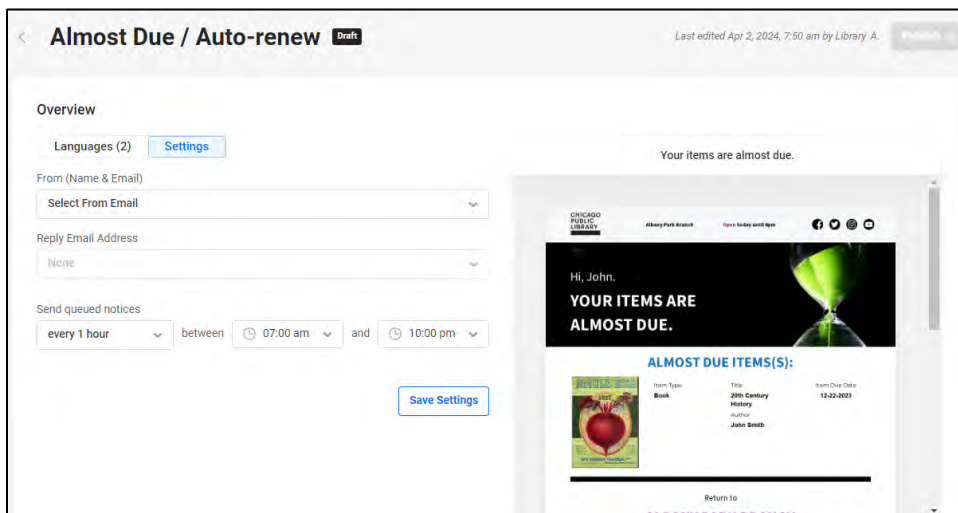
## INNOVATIVE

Polaris offers the following types of notices:

- Reminder notices (sometimes called pre-overdue or courtesy notices)
- Overdue and billing notices
- Hold notices
- Fine notices
- Combined notices
- Patron billing statements

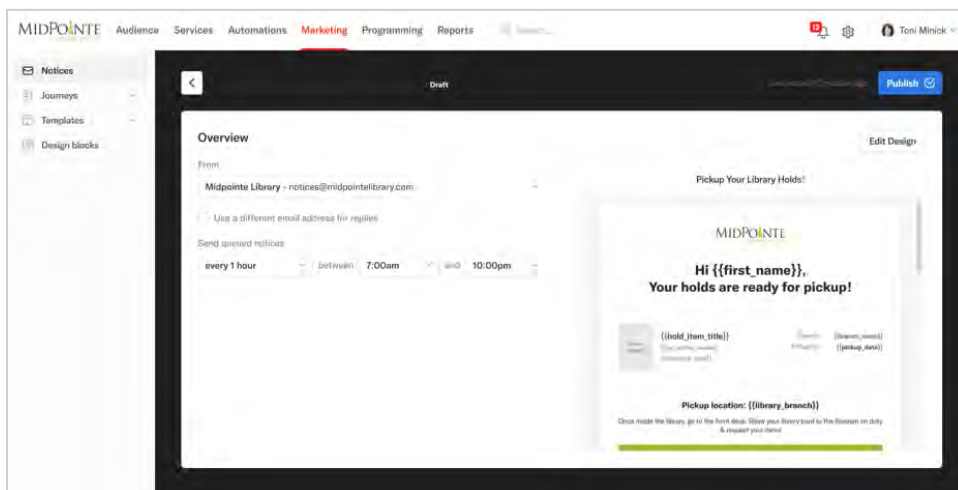
Notification options are set in Vega LX Starter for e-mail notices and in Polaris Admin for SMS notices (where applicable) at the system, library, or branch level. These settings specify the types of notices the library sends, the library that generates the notices, the delivery methods (print, e-mail, text message to mobile phone, telephone, or patron preference), the notice intervals, the notice language, and other options. Then, based on these settings, Polaris periodically processes the notices, identifying which patrons and items should be included in the next notification cycle and placing them in the notice queue until the actual notices are produced. The notices in the queue are sent according to the specified delivery method.

The library can customize notices so that they include specific data elements and can use the Polaris Language Editor to customize the notice text. In addition, because notices are generated with Polaris Reports, the library can customize the standard Polaris notice formats and any system-generated information using Report Manager and Visual Studio.net. Vega LX Starter e-mail notices let you design engaging and highly graphical notices, as shown below.

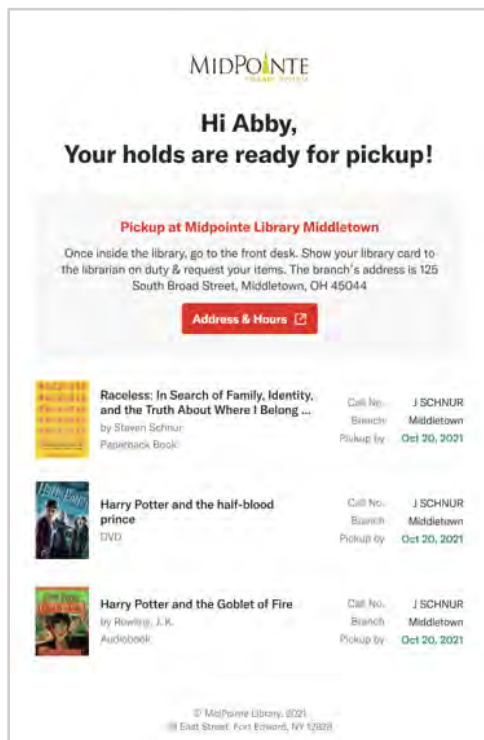


Your libraries will have the option to use our Vega Connect integration to manage the design and sending of email notices in the LX Admin tool. Modern email templates for frequently used patron notices are included. Libraries can edit the email templates to match library branding and select which notices to turn on and off.

An example of hold notice admin and the hold notice email follow:



Hold Notice Admin

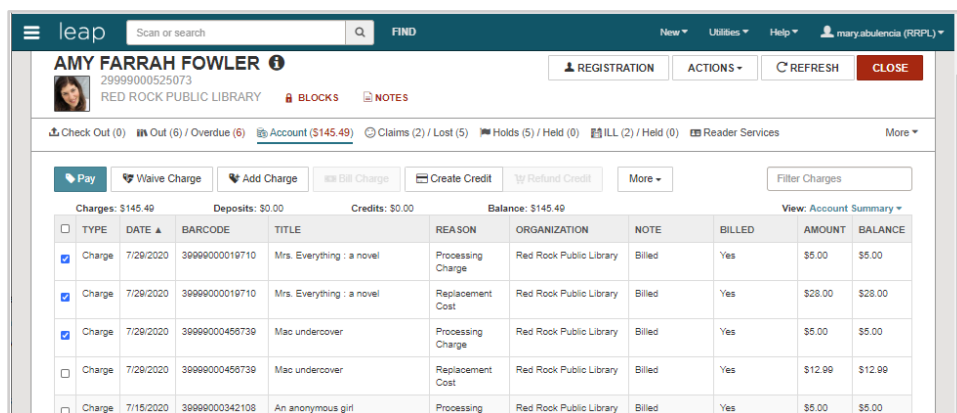


Hold Notice

The library must maintain accurate records of monies owed by patrons as well as payments made by patrons. Contractor shall describe the ILS's ability to retain patron-related financial information (such as fines paid/owed) for a period of time specified by the library.

## INNOVATIVE

From the patron's account, you can pay/waive charges, add a charge, bill a charge, or create/refund credit.



**AMY FARRAH FOWLER**  
29999000525073  
RED ROCK PUBLIC LIBRARY

[BLOCKS](#) [NOTES](#)

Check Out (0) Out (6) / Overdue (6) **Account (\$145.49)** Claims (2) / Lost (5) Holds (5) / Held (0) ILL (2) / Held (0) Reader Services

[Pay](#) [Waive Charge](#) [Add Charge](#) [Bill Charge](#) [Create Credit](#) [Refund Credit](#) [More](#)

| Charges: \$145.49                          |           | Deposits: \$0.00 |                           | Credits: \$0.00   |                         | Balance: \$145.49 |        | View: Account Summary |         |
|--------------------------------------------|-----------|------------------|---------------------------|-------------------|-------------------------|-------------------|--------|-----------------------|---------|
| TYPE                                       | DATE      | BARCODE          | TITLE                     | REASON            | ORGANIZATION            | NOTE              | BILLED | AMOUNT                | BALANCE |
| <input checked="" type="checkbox"/> Charge | 7/29/2020 | 30999000019710   | Mrs. Everything : a novel | Processing Charge | Red Rock Public Library | Billed            | Yes    | \$5.00                | \$5.00  |
| <input checked="" type="checkbox"/> Charge | 7/29/2020 | 30999000019710   | Mrs. Everything : a novel | Replacement Cost  | Red Rock Public Library | Billed            | Yes    | \$28.00               | \$28.00 |
| <input checked="" type="checkbox"/> Charge | 7/29/2020 | 309990000456739  | Mac undercover            | Processing Charge | Red Rock Public Library | Billed            | Yes    | \$5.00                | \$5.00  |
| <input type="checkbox"/> Charge            | 7/29/2020 | 309990000456739  | Mac undercover            | Replacement Cost  | Red Rock Public Library | Billed            | Yes    | \$12.99               | \$12.99 |
| <input type="checkbox"/> Charge            | 7/15/2020 | 309990000342108  | An anonymous girl         | Processing        | Red Rock Public Library | Billed            | Yes    | \$5.00                | \$5.00  |

You can also view a patron's account transaction summary of history of payments, fines/fees, etc.

**SYLVIA FREMONT**  
29999000056477  
RED ROCK PUBLIC LIBRARY

REGISTRATION ACTIONS REFRESH CLOSE

Check Out (0) Out (3) / Overdue (3) Account (\$0.00) Claims (0) / Lost (0) Holds (0) / Held (0) ILL (0) / Held (0) Reader Services More

History Properties Credit Refund Print List Filter Transactions

View: Transaction Summary

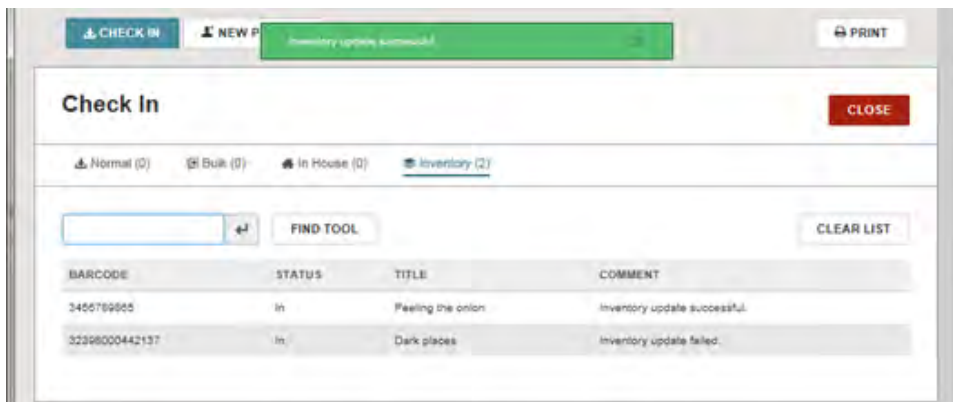
| DATE                 | TYPE   | REASON            | TITLE                                  | BARCODE        | AMOUNT  | NOTE                                           |
|----------------------|--------|-------------------|----------------------------------------|----------------|---------|------------------------------------------------|
| 7/2/2019 11:41:08 PM | Pay    | Overdue Item      | My passion for design / A Private Tour | 32002000007383 | \$2.20  |                                                |
| 7/2/2019 11:41:08 PM | Pay    | Processing Charge | My passion for design / A Private Tour | 32002000007383 | \$5.00  |                                                |
| 7/2/2019 11:41:08 PM | Pay    | Replacement Cost  | My passion for design / A Private Tour | 32002000007383 | \$60.00 |                                                |
| 8/24/2018 6:00:54 AM | Charge | Overdue Item      | My passion for design / A Private Tour | 32002000007383 | \$2.20  | Billed with replacement and processing charges |
| 8/24/2018 6:00:54 AM | Charge | Processing Charge | My passion for design / A Private Tour | 32002000007383 | \$5.00  | Billed                                         |
| 8/24/2018 6:00:53 AM | Charge | Replacement Cost  | My passion for design / A Private Tour | 32002000007383 | \$60.00 | Billed                                         |
| 7/17/2016 9:52:55 PM | Pay    | Overdue Item      | A case for Jenny Archer                | 30830000949002 | \$10.00 | Billed and checked in                          |
| 7/17/2016 9:52:55 PM | Charge | Overdue Item      | A case for Jenny Archer                | 30830000949002 | \$10.00 | Billed and checked in                          |

The SDPL periodically inventories its holdings. Contractor shall provide a description of how an inventory of the library system's holdings would be accomplished using the proposed ILS. With few exceptions, library materials are barcoded, and RFID tagged.

## INNOVATIVE

Inventory control monitors and controls the inventory of all items in Polaris. Each item is assigned a unique barcode that provides for tracking and control. The system provides for easy tracking of barcode numbers, reports of inventoried and un-inventoried items, comparisons of circulation records, and entry of inventory date into each item record. Statistical capabilities are also included that assist library staff in weeding collections.

The Leap Web interface is tablet compatible, allowing mobile inventory using the actual staff web interface rather than a simplified tool. You can use the Inventory mode on the Leap Check In workform to take an inventory of items on the shelf by scanning item barcodes or reading RFID tags. When scanned, the Last inventory date field in the item record is updated. Polaris provides an alert when an item is scanned during inventory that has a status other than on-shelf/available (Unexpected Status alert). Polaris also provides an alert when an item is encountered that has a location other than the inventory location. Any problems identified can be corrected on the spot, for example updating an item status, with all Leap functions available on the same mobile tablet.



| BARCODE        | STATUS | TITLE             | COMMENT                      |
|----------------|--------|-------------------|------------------------------|
| 345678905      | In     | Peeling the onion | Inventory update successful. |
| 32368000442137 | In     | Dark places       | Inventory update failed.     |

While using Leap on a tablet lets users immediately correct issues, in the course of an inventory there is a good possibility not everything will get corrected. Polaris generates inventory reports to catch issues that were not apparent while working in the stacks or that may have been overlooked during the physical inventory process. Standard inventory reports include:

- Inventory Exception - Incorrect Status: This report lists items in a specified call number range with a status of In that were not accounted for during inventory.
- Inventory Exception – Misshelved: This report lists items in a specified call number range that were misshelved at the time of the inventory
- Inventory Shelflist: This report lists items inventoried using the Update Inventory Date view on the Check In workform.

Polaris makes it easy to identify items that do not have a current inventory date and assign them to a record set. Because the last inventory date is stored in an item record field, you can identify records without an inventory date within a specified range (or without any inventory date at all) using the Polaris Find Tool and save this as a Record Set. The record set of items missed in inventory can be used for in-library searches and manual verification. Once a library-defined interval has elapsed, any items remaining in the record set can be marked as missing with a single global change.

## Narrative Descriptions for Exhibit F – Functional Requirements –Circulation, Holds, Inventory

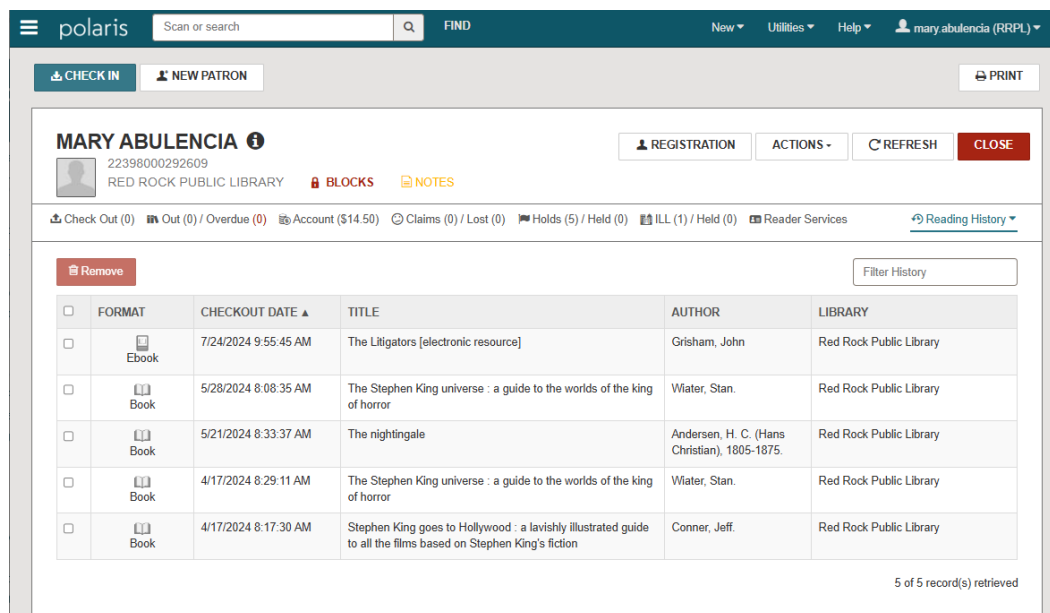
C.9.1 Allows checkout histories be retained in the ILS at the library patron's discretion.

### INNOVATIVE

Yes.

Your library can offer the ability to save a reading history. It includes the title, author, check-out date, and loaning library for each item checked out. You can limit the length of the reading history. If the patron has an active reading history, they can stop the history and clear it from their patron account. A new history can be started at any time.

Staff view of reading history in Polaris:

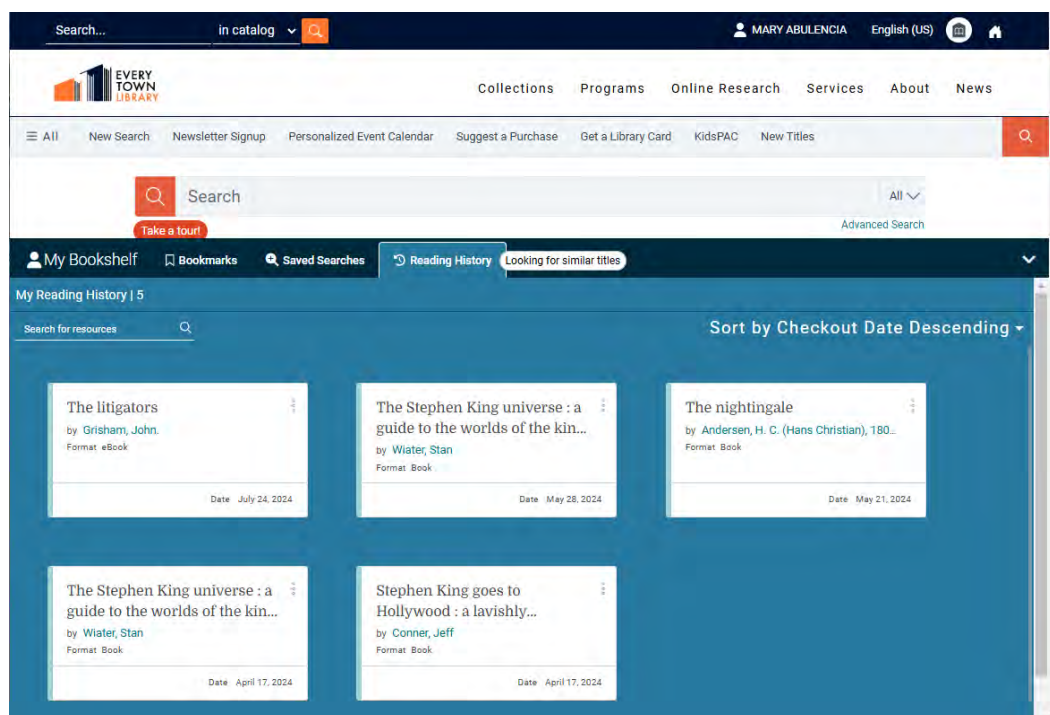


The screenshot shows the Polaris interface for a staff member viewing a patron's reading history. The patron's name is MARY ABULENCIA, with ID 22398000292609, associated with the RED ROCK PUBLIC LIBRARY. The interface includes buttons for CHECK IN, NEW PATRON, and PRINT. Below the patron information, there are tabs for REGISTRATION, ACTIONS, REFRESH, and CLOSE. A summary bar shows various statistics: Check Out (0), Out (0), Overdue (0), Account (\$14.50), Claims (0), Lost (0), Holds (5), Held (0), ILL (1), Held (0), Reader Services, and a link to Reading History. The main section displays a table of checkout records with columns for FORMAT, CHECKOUT DATE, TITLE, AUTHOR, and LIBRARY. The table lists five records, all from the Red Rock Public Library, including 'The Litigators' (ebook), 'The Stephen King universe' (book), 'The nightingale' (book), 'The Stephen King universe' (book), and 'Stephen King goes to Hollywood' (book). A 'Filter History' button is present, and a note at the bottom indicates '5 of 5 record(s) retrieved'.

| FORMAT | CHECKOUT DATE        | TITLE                                                                                                          | AUTHOR                                       | LIBRARY                 |
|--------|----------------------|----------------------------------------------------------------------------------------------------------------|----------------------------------------------|-------------------------|
| Ebook  | 7/24/2024 9:55:45 AM | The Litigators [electronic resource]                                                                           | Grisham, John                                | Red Rock Public Library |
| Book   | 5/28/2024 8:08:35 AM | The Stephen King universe : a guide to the worlds of the king of horror                                        | Wiater, Stan.                                | Red Rock Public Library |
| Book   | 5/21/2024 8:33:37 AM | The nightingale                                                                                                | Andersen, H. C. (Hans Christian), 1805-1875. | Red Rock Public Library |
| Book   | 4/17/2024 8:29:11 AM | The Stephen King universe : a guide to the worlds of the king of horror                                        | Wiater, Stan.                                | Red Rock Public Library |
| Book   | 4/17/2024 8:17:30 AM | Stephen King goes to Hollywood : a lavishly illustrated guide to all the films based on Stephen King's fiction | Conner, Jeff.                                | Red Rock Public Library |



Patron view of reading history in Vega Discover Premium:



C.9.2 Supports the determination of different circulation parameters (loan period, fees, renewal permissions, etc.) based on item type, patron profile, and location.

## INNOVATIVE

Yes.

Each patron type and possible loan period are separately defined in System Administration, then combined in a single table to determine what patron type can circulate material for what loan period.

Renewal limits are set in the item record.

Patron/Material Type Loan Limit Blocks are also set in System Administration.

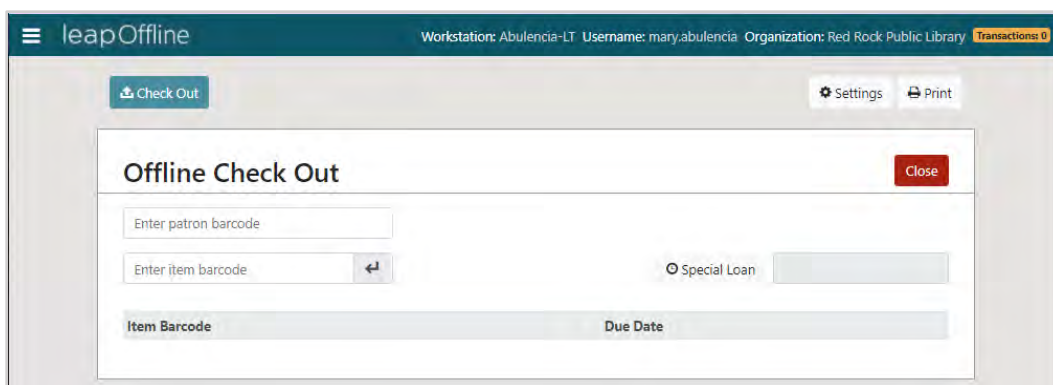
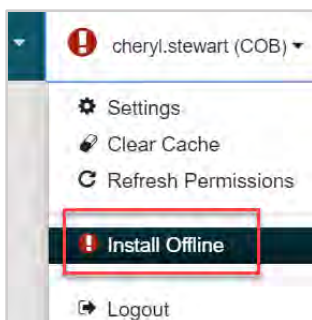


C.9.4 Provides an offline mode for circulation transactions when network access is down. Describe circulation capabilities and procedures during offline mode.

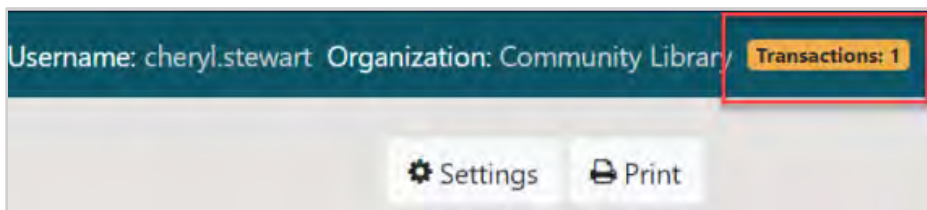
## INNOVATIVE

Yes.

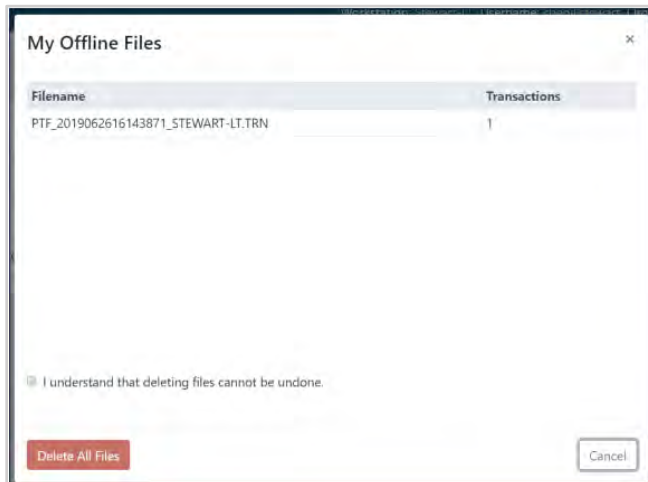
Permission-based Leap Offline allows you to circulate materials while your database server or network are unavailable. Users who are authorized by the library to use Leap Offline, will see a warning icon within the Polaris Leap staff client to prompt them to install the application, which is accomplished with a single click.



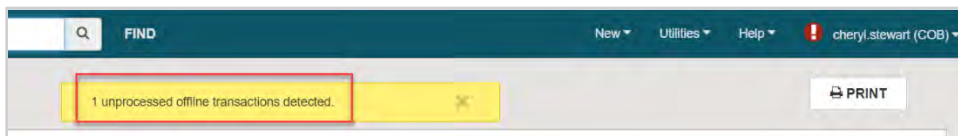
Offline transactions are stored in the local storage of the user's browser until the user chooses to send them to the server for processing or to delete them. As you work in Leap Offline, you will see your transaction count increment with each checkout. The Transactions badge will keep you informed of your progress.



Selecting the Transactions badge opens a dialog showing all the offline transaction files you have generated, with an option to delete them.

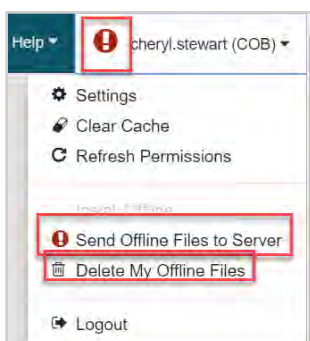


If you have unprocessed offline transactions when you sign into Leap, you will see the following message:



The User profile icon is also set to the Warning icon. Select the icon to access options to process the offline transactions.

- The *Send Offline Files to Server* option sends all unprocessed offline transactions to the server for processing. All transactions sent to the server will be processed and uploaded using the Automatic Offline Upload process.
- The *Delete My Offline Files* option deletes all unprocessed offline transactions from the browser. The deleted transactions cannot be recovered.

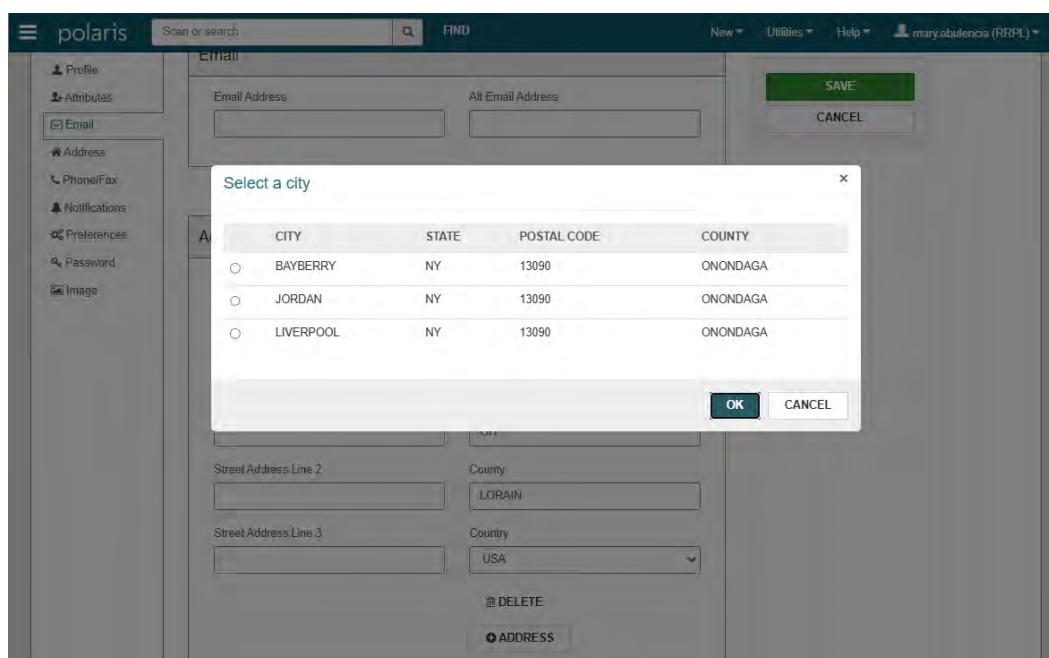


C.9.5 Provides data entry validation/normalization to prevent inconsistencies in how patron information is entered (e.g., ensuring that "Boulevard" is always saved as "Blvd").

## INNOVATIVE

Yes.

For U.S. zip codes, Polaris automatically fills in the City, State, and County boxes; or displays a pop-up dialog with option to select correct city-state-county combination.



C.9.6 Staff circulation module provides visible and/or audible cues to indicate when an item transaction needs attention.

## INNOVATIVE

Yes.

Polaris provides pop-up dialogs when a checkin or checkout requires further attention.

C.9.7 Alerts staff to patron account issues immediately upon accessing account.

## INNOVATIVE

Yes.

Polaris provides pop up dialogs when a patron account requires further attention.

C.9.8 Retains record of when and by whom a patron record was last modified.

## INNOVATIVE

Yes.

The Misc. Info view of the patron registration record identifies Creator, Creation Date, Modifier, Modification Date.

The screenshot shows the 'Misc. Information' view in the Polaris system. The record ID is 6032. The YTD Circ Count is 56. The Registered On date is 3/28/1981. The Lifetime Circ Count is 56. The Creator is PolarisExec. The Creation Date is 3/28/1981. The Modifier is mary.abulencia. The Modification Date is 7/11/2024. The YTD You Saved Amount is \$783.18. The Lifetime You Saved Amount is \$783.18. The Merge Date is empty. The Merge Barcode is empty. The Last Activity is 1/8/2025 10:04:38 AM. A red box highlights the Creator, Creation Date, Modifier, and Modification Date fields.

C.9.9 Allows setting borrowing limits based on combined dollar value and quantity of items checked out.

## INNOVATIVE

Yes/No.

Polaris allows the library to define borrowing limits based on patron code and material type. Patrons are blocked based on fine levels, not dollar value of material checked out.

C.9.10 Allows setting borrowing limits based on total number of items checked out.

## INNOVATIVE

Yes.

See response to [C.9.2](#) above.

C.9.11 Allows the library to specify the maximum number of holds permitted per user account.

## INNOVATIVE

Yes.

This is defined in System Administration – Patron/Material Type Loan Limit Blocks.

C.9.12 Automatically updates user profiles based on library-specified criteria (e.g., change user profile from juvenile to adult based on date of birth).

## INNOVATIVE

Yes.

Custom programming through a SQL script will be provided.

C.9.15 Supports automatic renewal of materials on their due date if there is no holds list.

## INNOVATIVE

Yes.

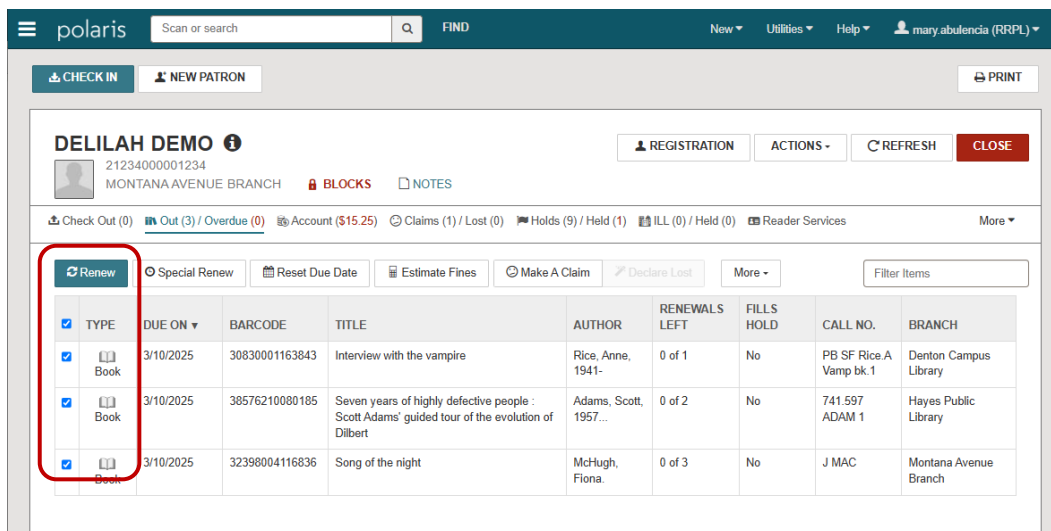
You can specify whether automatic renewals are performed. Automatic renewals are completed as part of the Notices Processing SQL job. When the job runs, it automatically renews eligible items for which the item's assigned branch has the Renewal: Auto-renew parameter set to Yes. A patron's items will be auto-renewed based on the number of days specified in the Notice options, Reminders setting for the patron's registered branch.

C.9.18 Supports individual and group item renewal in staff and public interfaces.

## INNOVATIVE

Yes.

Staff can renew an individual item or multi-select and renew multiple items at one time.



**DELILAH DEMO** 21234000001234  
MONTANA AVENUE BRANCH

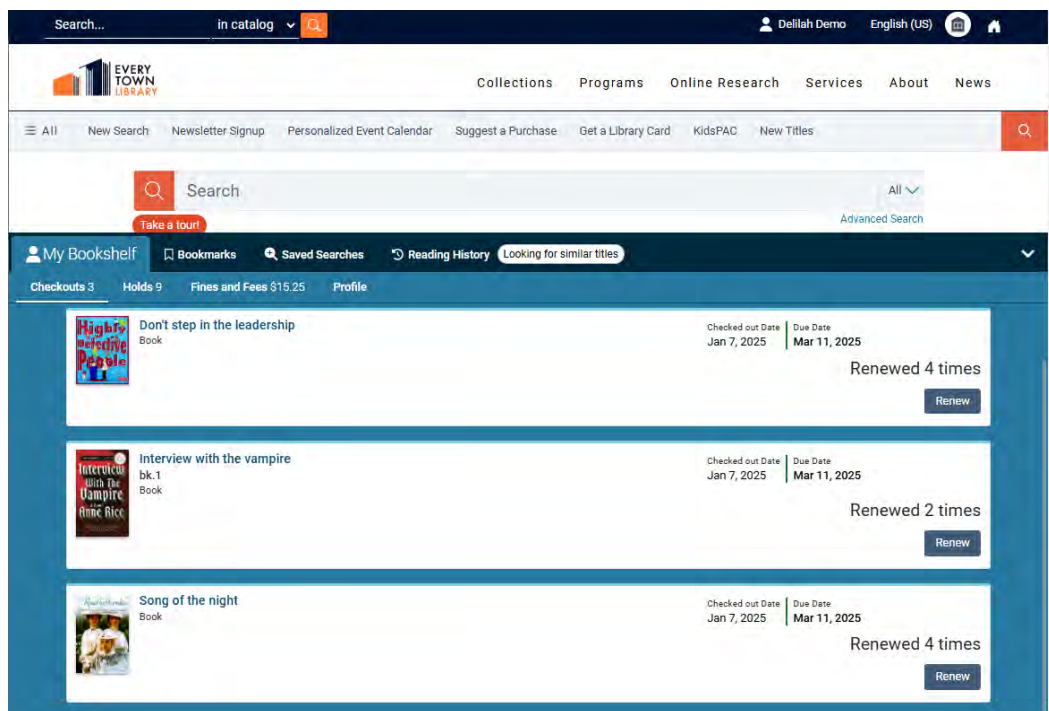
REGISTRATION ACTIONS REFRESH CLOSE

Check Out (0) Out (3) / Overdue (0) Account (\$15.25) Claims (1) / Lost (0) Holds (9) / Held (1) ILL (0) / Held (0) Reader Services More

**Renew** Special Renew Reset Due Date Estimate Fines Make A Claim Declare Lost More Filter Items

| TYPE                                     | DUE ON    | BARCODE        | TITLE                                                                                         | AUTHOR                | RENEWALS LEFT | FILLS HOLD | CALL NO.                | BRANCH                |
|------------------------------------------|-----------|----------------|-----------------------------------------------------------------------------------------------|-----------------------|---------------|------------|-------------------------|-----------------------|
| <input checked="" type="checkbox"/> Book | 3/10/2025 | 30830001163843 | Interview with the vampire                                                                    | Rice, Anne, 1941-     | 0 of 1        | No         | PB SF Rice A Vamp bk. 1 | Denton Campus Library |
| <input checked="" type="checkbox"/> Book | 3/10/2025 | 38576210080185 | Seven years of highly defective people : Scott Adams' guided tour of the evolution of Dilbert | Adams, Scott, 1957... | 0 of 2        | No         | 741.597 ADAM 1          | Hayes Public Library  |
| <input checked="" type="checkbox"/> Book | 3/10/2025 | 32398004116836 | Song of the night                                                                             | McHugh, Fiona.        | 0 of 3        | No         | J MAC                   | Montana Avenue Branch |

Patrons can renew individual items in Vega Discover Premium.



C.9.19 Allows holds lists to be modified by authorized library staff and retains a record of who modified the list.

## INNOVATIVE

Yes.

Hold rankings can be changed in the Holds Queue. Requests can be moved Up or Down or moved to the Top or Bottom of the list.



### Holds Queue



Alfred Hitchcock and the three investigators in The mystery of the shrinking house  
By Arden, William, 1924-  
Control number: 8

Queue (2) All Holds Requests (4)

Up Top

|                                     | POSITION | PATRON NAME          | PATRON BRANCH         | STATUS  | PICKUP |
|-------------------------------------|----------|----------------------|-----------------------|---------|--------|
| <input type="checkbox"/>            | 1 of 2   | Stowell, Christopher | Montana Avenue Branch | Shipped | Montan |
| <input checked="" type="checkbox"/> | 2 of 2   | Stowell, Christopher | Montana Avenue Branch | Shipped | Montan |

Entries in the Transaction Logging database table determine which transactions are logged for statistical and reporting purposes and can include holds queue modification.

C.9.20 Staff circulation module displays holds lists with borrower information, date placed, expiration date, rank, and pickup location.

## INNOVATIVE

Yes.

The Picklist displays/provides access to all this information.

polaris Scan or search FIND New Utilities Help mary.abulencia (RRPL)

CHECK IN NEW PATRON PRINT

### Picklist

Red Rock Public Library REFRESH CLOSE

Pending (7) Located (0) Holds to Action (33) Unclaimed ILL (10)

Located Ask Me Later Missing Deny Properties INN-Reach Only Filter requests

Total Items | 7 total

|                          | COLLECTION        | SHELF LOCATION            | CALL NUMBER   | AUTHOR                       | TITLE                                                                          | MATERIAL TYPE | PICKUP BRANCH | BARCODE        | PENDING DATE |
|--------------------------|-------------------|---------------------------|---------------|------------------------------|--------------------------------------------------------------------------------|---------------|---------------|----------------|--------------|
| <input type="checkbox"/> | Adult Fiction     |                           | FIC DICKENS   | Dickens, Charles, 1812-1870. | A tale of two cities                                                           | Book          | TRUMAN        | 38576210279449 | 10/16/2024   |
| <input type="checkbox"/> | Adult Fiction     | Fiction                   | FICTION       | Austen, Jane, 1775-1817.     | Pride and prejudice                                                            | Book          | RRPL          | 2020284740302- | 11/22/2024   |
| <input type="checkbox"/> | Adult Non-Fiction |                           | 641.6383 SIM  | Simonds, Nina.               | A spoonful of ginger : irresistible, health-giving recipes from Asian kitchens | Book          | VINE          | 31031003098264 | 10/30/2024   |
| <input type="checkbox"/> | DVD               |                           | DVD 791.43/72 |                              | World War Z                                                                    | DVD- PG13     | RRPL          | 38888000000988 | 8/30/2024    |
| <input type="checkbox"/> | Juvenile Fiction  | Children's Room, Basement | JB Pilkey     | Pilkey, Dav, 1966-           | Cat Kid Comic Club. 1                                                          | Book          | RRPL - Lobby  | 51006123456789 | 11/13/2024   |



Clicking on a hold in the Picklist opens the Hold Request for access to more information.

The screenshot shows the Polaris web interface for a 'Hold Request'. The top navigation bar includes a search bar, 'FIND' button, and user information. The main header has 'CHECK IN' and 'NEW PATRON' buttons. The 'Hold Request' section displays the book title 'A tale of two cities' by Charles Dickens, along with request details: Request ID: 267373, Status: Pending 10/16/2024, Request date: 10/16/2024, Origin: Patron, Bib control number: 580661, Patron barcode: 21006123456789, Patron name: Michael Marc Monroy, Registered at: Truman Public Library, and Notification option. Below this, there are tabs for 'Details', 'Notes', 'Satisfied By', 'History', and 'All Hold Requests'. The 'Details' tab is active, showing a form with fields for Pickup Branch (Truman Public Library), Pickup Area (None), Activation (10/16/2024), Expiration (4/14/2025), Borrow by Mail (checkbox), Tracking Number, Title (A tale of two cities), Barcode, Format (Book), Author (Dickens, Charles, 1812-1870), ISBN/ISSN (1561381144), Pages, Series, Edition, and Issue.

C.9.21 Supports print and email notifications (date due, overdue, billing, hold availability, etc.).

## INNOVATIVE

Yes.

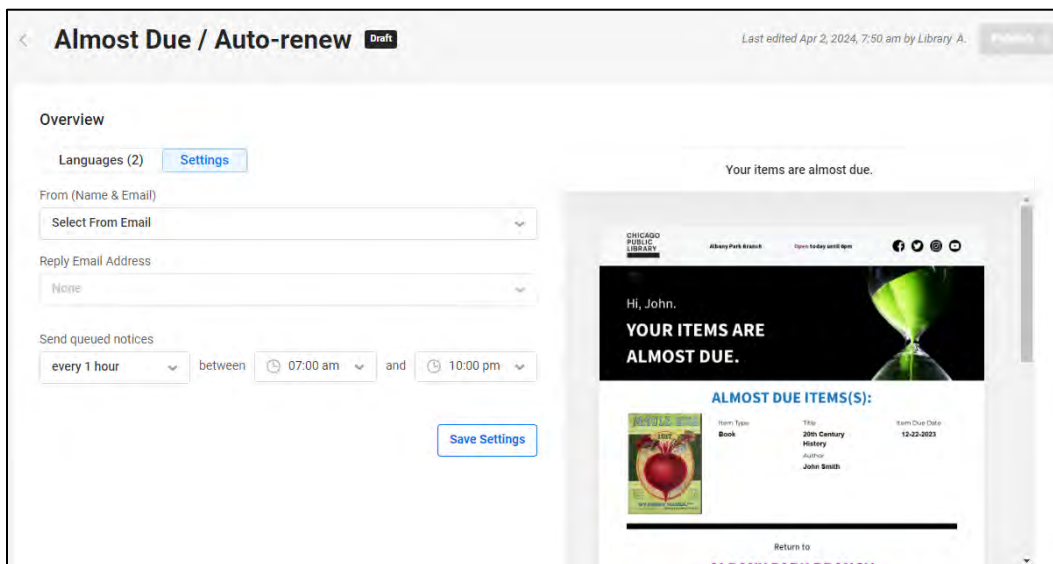
Polaris offers the following types of notices:

- Reminder notices (sometimes called pre-overdue or courtesy notices)
- Overdue and billing notices
- Hold notices
- Fine notices
- Combined notices
- Patron billing statements

Notification options are set in Vega LX Starter for e-mail notices and in Polaris Admin for SMS notices (where applicable) at the system, library, or branch level. These settings specify the types of notices the library sends, the library that generates the notices, the delivery methods (print, e-mail, text message to mobile phone, telephone, or patron preference), the notice intervals, the

notice language, and other options. Then, based on these settings, Polaris periodically processes the notices, identifying which patrons and items should be included in the next notification cycle and placing them in the notice queue until the actual notices are produced. The notices in the queue are sent according to the specified delivery method.

The library can customize notices so that they include specific data elements and can use the Polaris Language Editor to customize the notice text. In addition, because notices are generated with Polaris Reports, the library can customize the standard Polaris notice formats and any system-generated information using Report Manager and Visual Studio.net. Vega LX Starter e-mail notices let you design engaging and highly graphical notices, as shown below.



**Almost Due / Auto-renew** Draft Last edited Apr 2, 2024, 7:50 am by Library A. Policies

**Overview**

Languages (2) [Settings](#)

From (Name & Email)

Reply Email Address

Send queued notices  
 between  and

[Save Settings](#)

Your items are almost due.

CHICAGO PUBLIC LIBRARY  
 Albany Park Branch  
 Open today until 8pm

Hi, John,

**YOUR ITEMS ARE ALMOST DUE.**

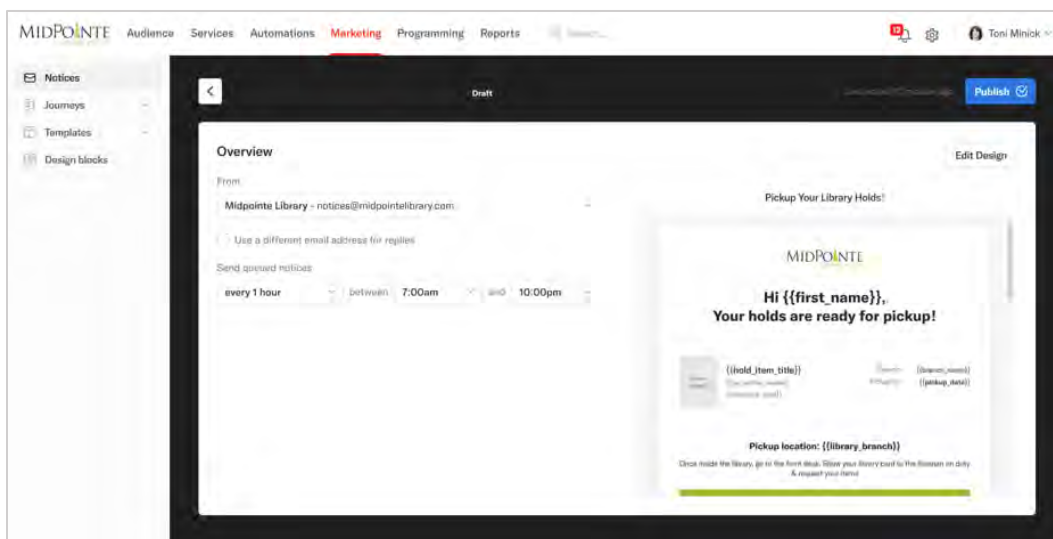
**ALMOST DUE ITEM(S):**

| Item Title | Title                                      | Item Due Date |
|------------|--------------------------------------------|---------------|
| Book       | 20th Century History<br>Author: John Smith | 12-23-2023    |

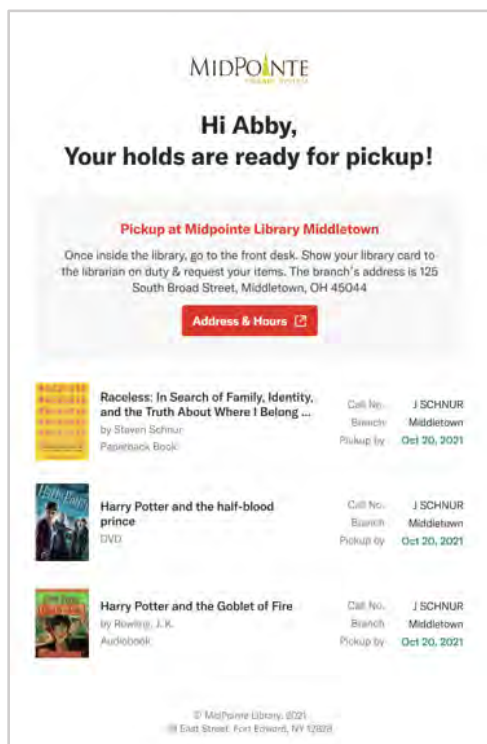
Return to  
 ALBANY PARK BRANCH

Your libraries will have the option to use our Vega Connect integration to manage the design and sending of email notices in the LX Admin tool. Modern email templates for frequently used patron notices are included. Libraries can edit the email templates to match library branding, and select which notices to turn on and off.

An example of hold notice admin and the hold notice email follow:



Hold Notice Admin



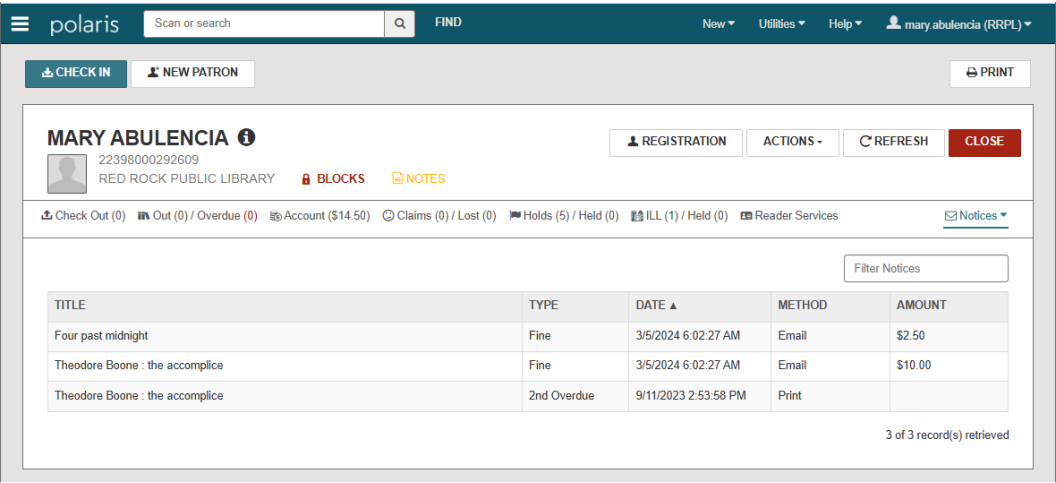
Hold Notice

C.9.26 ILS retains a record of when notices were sent to patrons.

INNOVATIVE

Yes.

The list of notices sent is retained in the Patron record.



| TITLE                           | TYPE        | DATE                 | METHOD | AMOUNT  |
|---------------------------------|-------------|----------------------|--------|---------|
| Four past midnight              | Fine        | 3/5/2024 6:02:27 AM  | Email  | \$2.50  |
| Theodore Boone : the accomplice | Fine        | 3/5/2024 6:02:27 AM  | Email  | \$10.00 |
| Theodore Boone : the accomplice | 2nd Overdue | 9/11/2023 2:53:58 PM | Print  |         |

3 of 3 record(s) retrieved

C.9.27 Allows staff to specify bill payment types (check, cash, etc.).

INNOVATIVE

Yes.

Payment type can be specified.

polaris

Scan or search

FIND

New Utilities Help mary.abulencia (RRPL)

CHECK IN NEW PATRON PRINT

MARY ABULENCIA

22398000292609

RED ROCK PUBLIC LIBRARY

BLOCKS NOTES

REGISTRATION ACTIONS REFRESH CLOSE

Check Out (0) In Out (0) / Overdue (0) Account (\$14.50) Claims (0) / Lost (0) Holds (5) / Held (0) ILL (1) / Held (0) Reader Services More

Pay Waive Charge Add Charge Bill Charge Create Credit Refund Credit Print List More Filter Charges

Balance: \$3.00

Amount: \$3.00

Method: Cash

Note: Cash

PAY CANCEL

Charges: \$10.50 Deposits: \$0.00 Credits: \$25.00 Balance: (\$14.50) View: Account Summary

|                                     | TYPE   | DATE      | BARCODE        | TITLE                           | REASON       | ORGANIZATION            | NOTE | BILLED | AMOUNT    | BALANCE   |
|-------------------------------------|--------|-----------|----------------|---------------------------------|--------------|-------------------------|------|--------|-----------|-----------|
| <input checked="" type="checkbox"/> | Charge | 10/6/2023 | 39999990037801 | Theodore Boone : the accomplice | Overdue Item | Red Rock Public Library |      |        | \$5.00    | \$3.00    |
| <input type="checkbox"/>            | Charge | 7/18/2023 | 39999990037801 | Theodore Boone : the accomplice | Overdue Item | Red Rock Public Library |      |        | \$5.00    | \$5.00    |
| <input type="checkbox"/>            | Credit | 7/18/2023 |                |                                 |              | Red Rock Public Library |      |        | (\$25.00) | (\$25.00) |
| <input type="checkbox"/>            | Charge | 6/2/2023  | 31234000003028 | Four past midnight              | Overdue Item | Red Rock Public Library |      |        | \$5.00    | \$2.50    |

C.9.28 Circulation module is able to retain a history of paid, waived, and active fees/bills.

INNOVATIVE

Yes.

A transaction summary is retained in the patron record.

polaris

Scan or search

FIND

New

Utilities

Help

mary.abulencia (RRPL)

CHECK IN

NEW PATRON

PRINT

MARY ABULENCIA

22398000292609

RED ROCK PUBLIC LIBRARY

BLOCKS

NOTES

REGISTRATION

ACTIONS

REFRESH

CLOSE

Check Out (0)

In Out (0)

Overdue (0)

Account (\$14.50)

Claims (0) / Lost (0)

Holds (5) / Held (0)

ILL (1) / Held (0)

Reader Services

More

History

Properties

Credit

Refund

Print List

Filter Transactions

View: Transaction Summary

| DATE                  | TYPE   | REASON            | TITLE                                                                   | BARCODE        | AMOUNT  | NOTE           |
|-----------------------|--------|-------------------|-------------------------------------------------------------------------|----------------|---------|----------------|
| 10/11/2024 6:27:36 AM | Waive  | Overdue Item      | The nightingale                                                         | 31030000317826 | \$5.00  |                |
| 7/2/2024 10:22:41 AM  | Pay    | Overdue Item      | Theodore Boone : the accomplice                                         | 39999990037801 | \$2.00  |                |
| 7/2/2024 10:22:41 AM  | Pay    | Overdue Item      | Sparring partners                                                       | 35555000002313 | \$5.00  |                |
| 7/2/2024 8:31:30 AM   | Pay    | Overdue Item      | Adventures                                                              | 38576210032723 | \$5.00  |                |
| 6/26/2024 8:37:03 AM  | Waive  | Overdue Item      | The Stephen King universe : a guide to the worlds of the king of horror | 31031003112032 | \$5.00  |                |
| 6/26/2024 8:32:03 AM  | Waive  | Overdue Item      | Sparring partners                                                       | 35555000002339 | \$5.00  |                |
| 10/6/2023 8:01:05 AM  | Charge | Overdue Item      | Sparring partners                                                       | 35555000002313 | \$5.00  |                |
| 6/2/2023 9:44:07 AM   | Pay    | Overdue Item      | Four past midnight                                                      | 31234000003028 | \$2.50  |                |
| 5/18/2023 7:49:38 AM  | Waive  | Processing Charge | The Stephen King universe : a guide to the worlds of the king of horror | 31031003112032 | \$5.00  | Lost and found |
| 5/18/2023 7:49:38 AM  | Waive  | Replacement Cost  | The Stephen King universe : a guide to the worlds of the king of horror | 31031003112032 | \$35.00 | Lost and found |
| 5/18/2023 7:48:11 AM  | Charge | Processing Charge | The Stephen King universe : a guide to the                              | 31031003112032 | \$5.00  | Declared Lost  |

C.9.29 Circulation module is able to retain a history of patron holds and their status (filled, cancelled, expired, etc.).

INNOVATIVE

Yes.

polaris

Scan or search

FIND

New

Utilities

Help

mary.abulencia (RRPL)

CHECK IN

NEW PATRON

PRINT

MARY ABULENCIA

22398000292609

RED ROCK PUBLIC LIBRARY

BLOCKS

NOTES

REGISTRATION

ACTIONS

REFRESH

CLOSE

Check Out (0)

In Out (0)

Overdue (0)

Account (\$14.50)

Claims (0) / Lost (0)

Holds (5) / Held (0)

ILL (1) / Held (0)

Reader Services

More

New Hold

Cancel

Reactivate

Delete

Suspend/Reactivate

Fill Now

Convert To ILL

More

Filter Holds

| AUTHOR               | TITLE                       | FORMAT | CALL NUMBER | ACTIVATION DATE | STATUS   | PICKUP BRANCH                   | QUEUE | HOLD UNTIL | GROUP |
|----------------------|-----------------------------|--------|-------------|-----------------|----------|---------------------------------|-------|------------|-------|
| Hellyer, Barbara.    | Sewing magic!               | Book   |             | 7/2/2025        | Inactive | Red Rock Public Library         |       |            |       |
| King, Stephen, 1947- | Silver bullet               | Book   |             | 6/26/2024       | Expired  | Red Rock Public Library - Lobby |       |            |       |
| King, Stephen, 1947- | Carrie                      | Book   |             | 6/26/2024       | Expired  | Red Rock Public Library - Lobby |       |            |       |
| King, Stephen, 1947- | Sleeping beauties : a novel | Book   |             | 6/26/2024       | Expired  | Red Rock Public Library - Lobby |       |            |       |
| King, Stephen, 1947- | Elevation                   | Book   |             | 6/26/2024       | Expired  | Red Rock Public Library - Lobby |       |            |       |

C.9.30 Automatically assesses a card replacement fee upon issuance of a replacement card.

## INNOVATIVE

Yes/No.

The library can assess a fee for issuance of a replacement card, but this is not done automatically.

C.9.31 Allows authorized staff manually to assess bills and fees (interlibrary loan, copy services, etc.)

## INNOVATIVE

Yes.

Patron accounting includes charging fines and fees to patrons and reconciling these charges. The library can charge patrons for overdue, lost, and damaged items, and for special services.

C.9.32 ILS calculates due dates and fines based on a library defined calendar that specifies closures, holidays, etc.

## INNOVATIVE

Yes.

The Dates Closed Policy Table is used to specify the dates that the branch is closed due to holidays or other events.

The Patron Services parameter Hours of Operation is used to specify the days of the week when a branch is ordinarily closed, such as Sunday.

C.9.33 ILS is capable of generating paper or email receipts for payment of bills and items checked out via the ILS or shelfcheck machines.

## INNOVATIVE

Yes.

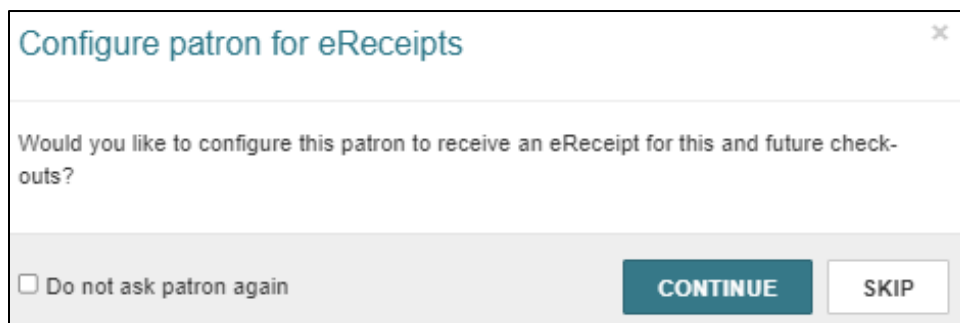
In today's paperless world, most libraries choose to provide e-receipts and encourage their patrons to use this option. Polaris eReceipts (email and/or text message receipts) can be sent to patrons who prefer either of these options. eReceipts are available for check out, renewal, and payment receipts from the staff client; and renewals from Discover or Innovative Mobile app. These receipts are sent within a few moments of the transaction. eReceipts are enabled at the library branch level, and the text of each eReceipt is customizable. Once enabled for a branch, Staff members can set the eReceipt option on the Patron Registration workform, specifying the patron's preference for e-mail receipts, TXT message receipts, or both (All).

When eReceipts are enabled for the branch and the patron receives only eReceipts, an alert appears in Leap when checking in, checking out or paying fines so that staff know not to wait for a printed receipt.

When staff enter a fine payment in Polaris, the following message appears if the patron receives only eReceipts: *EReceipt submitted for fine payment.*

When checking out an item to a patron in Leap, the following message appears if the patron receives only eReceipts: *EReceipt submitted for check out/renewal.*

You can also set an eReceipt prompt *Would you like to configure this patron to receive an eReceipt for this and future check-outs?* to appear in Leap when checking out items to patrons whose eReceipt option is set to **None** in the Patron Record options. The prompt also includes an option to enable eReceipts for the patron.





Polaris also generates the following print receipt types which can be customized for each library. Receipts include are designed to be brief and mainly include text that is pulled from the system. Each receipt is configurable by selecting data elements to include in each receipt type in Polaris Admin:

- Check Out Receipt

The Check Out Receipt lists the items checked out or renewed for a patron. Check Out Receipts can be printed from the Check Out workform; renewal receipts can be printed from the Check Out workform and from the Patron Status workform. Check Out Receipts always display the library name, date/time, type of receipt, item titles, and due dates. The following information can be added: call number (item), item barcode, item count (total number of items), library phone number, material type, patron barcode (limited – last 5 digits of the patron barcode), patron name, staff record number (unique identification number from the staff member record), web address (library URL defined in the organization record), any user-defined fields from the patron record.

- Check In Receipt

The Check In Receipt can be manually printed from the Check In workform. When a patron's items have been checked in, staff can select one or more items in the list and print a receipt. Check In Receipts include the item barcode, title, author, material type, call number, and patron's limited barcode. The following informational fields are also available for use: author, due date, item's assigned branch, full patron barcode, patron name, status. These options can be set at the system, library, or branch level.

- Items Out Receipt

The Items Out Receipt lists all the items a patron currently has checked out. The header always includes the library name and date/time. The library can include the following header data: author, call number, collection, due date, any custom note set for printed receipts, items' assigned branch, item barcode, item count, library phone, material type, limited patron barcode, patron name, renewals left, title, library web address, and user-defined fields.

You can add a "you saved" message to the printed Items Out list. The message helps to remind patrons of the value of library service by displaying how much it would cost to purchase the items.

- Fine (Payment) Receipt

Payment Receipts record the fines paid or waived for overdue items, replacement items, and other fees for a patron. They always include the library name, date/time, type of receipt, title, item barcode, reason (from the charge transaction), the amount paid or waived, and total charges.

C.9.34 ILS alerts staff of potential duplicate accounts when registering new patron accounts.

## INNOVATIVE

Yes.

Duplicate detection ensures that patron barcode numbers are unique and that each patron is registered only once. When you attempt to save the patron record, it is automatically checked for duplicate barcodes. If the barcode is a duplicate, you have the option of either entering a new barcode or cancelling the registration.

After checking the barcode, the patron's full name (first, middle, and last) and birth date (if present) are checked for duplicates. Your library may specify the following additional fields for patron duplicate detection.

- Phone
- E-mail address
- Any two user-defined fields (UDFs)

If any possible duplicate records exist, they are displayed in the Duplicate Patrons dialog box.

C.9.35 ILS supports the creation and editing of patron profiles that determine borrowing privileges.

## INNOVATIVE

Yes.

Each patron type and possible loan period are separately defined, then combined in a single table to determine what patron type can circulate material for what loan period.

Renewal limits are set in the item record.

Patron/Material Type Loan Limit Blocks are also set in System Administration.

C.9.36 ILS automatically assesses user fees based on user profile (e.g., \$32 annual fee for non-resident profile).

## INNOVATIVE

Yes.

Each patron code has a fee associated with it (or no fee) which gets assessed every time the patron record is either created or renewed.

C.9.37 Allows freezing of borrowing privileges on cards that have been reported lost.

## INNOVATIVE

Yes.

A blocking note can be placed on the patron record.

C.9.38 Allows patrons to create and edit their own PIN/password. Proposer shall describe any character type or length limits on this feature.

## INNOVATIVE

Yes.

The library can set Log In options in the Patron Access Options Profile in System Administration.

C.9.40 Allows patron records to be searched by name, address, phone number, and email. Describe additional search fields supported by the ILS.

## INNOVATIVE

Yes.

Polaris has many search access points and filters depending on the type of record being searched for.

**Find Tool - Patron**

Patron ▸ Basic Search ▸ **Name (Last, First Middle)** ▾ Keyword (All) ▸

Account charges  
Address  
Address check date  
All keyword fields  
Barcode  
Birth date  
Book Club  
Drivers License

Street City S... Zip Birth Da... Library

**Find Tool - Patron**

Patron ▸ Basic Search ▸ **Name (Last, First Middle)** ▾ Keyword (All) ▸

Email address  
Expiration date  
Fax  
Former barcode  
Free text block  
Has patron associations  
Homeroom  
Internet Enabled

Street City S... Zip Birth Da... Library

**Find Tool - Patron**

Patron ▸ Basic Search ▸ **Name (Last, First Middle)** ▾ Keyword (All) ▸

Language  
Last activity date  
Library-assigned block  
Name (First Middle Last)  
**Name (Last, First Middle)**  
Newsletter  
Notes  
Patron code

Street City S... Zip Birth Da... Library

**Find Tool - Patron**

Patron ▸ Basic Search ▸ **Name (Last, First Middle)** ▾ Keyword (All) ▸

Patron's registered library  
Phone  
Postal code  
Record ID  
Record set ID  
Registration date  
Responsible Adult  
Statistical class

Street City S... Zip Birth Da... Library

## Filters

**Find Tool - Patron**

**Search Filter**

- Account charges
- Address
- Address check date
- All keyword fields**
- Barcode
- Birth date
- Book Club
- Drivers License
- Email address
- Expiration date
- Fax
- Former barcode
- Free text block
- Has patron associations
- Homeroom
- Internet Enabled
- Language
- Last activity date
- Library-assigned block
- Name (First Middle Last)
- Name (Last, First Middle)
- Newsletter
- Notes
- Patron code
- Patron record is secured
- Patron's registered library
- Phone
- Postal code
- Record ID
- Record set ID

ALL  - +

APPLY CANCEL

C.9.41 Supports more than one address per patron account (e.g., secondary and tertiary addresses).

## INNOVATIVE

Yes.

**Address**

Street Address Line 3: ONONDAGA

Country: USA

Address Type: Work

Postal Code: 13088 Zip+4: City: LIVERPOOL

Street Address: 456 Business Lane State: NY

Street Address Line 2: County: ONONDAGA

Street Address Line 3: Country: USA

DELETE ADDRESS

RESET PASSWORD

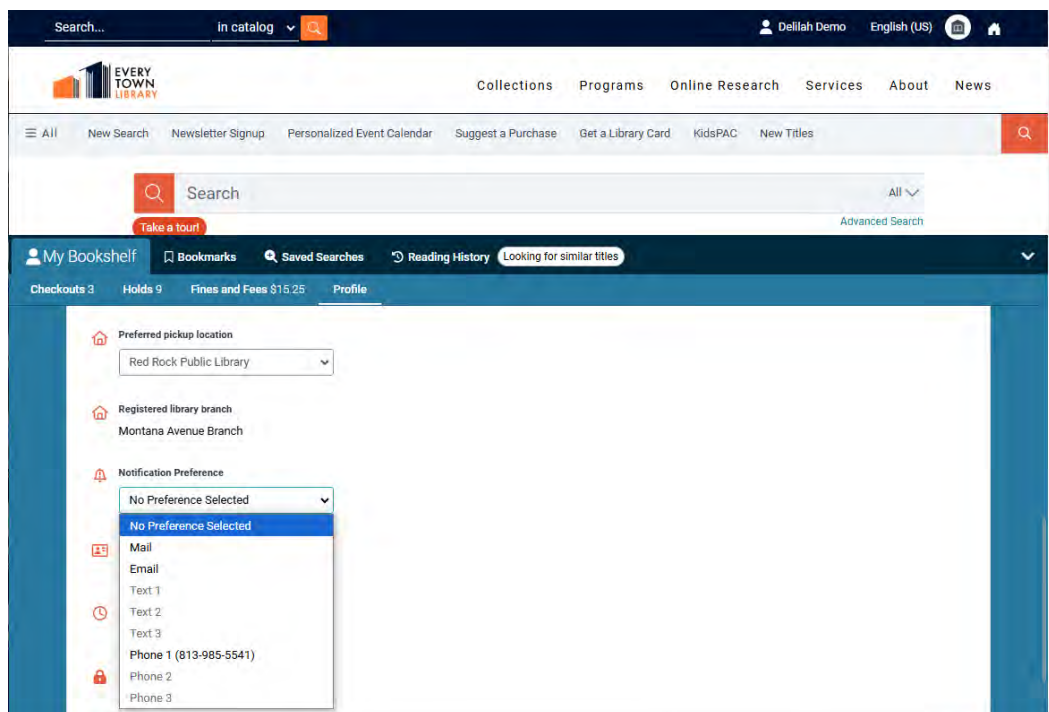
COPY MERGE DELETE SECURE

C.9.42 ILS provides 'preferred method of contact' option.

## INNOVATIVE

Yes.

In Vega Discover Premium, the patron can select their preference for receiving library notices.



C.9.43 Patron records have a 'notes' field that is visible only to library staff.

## INNOVATIVE

Yes.

The patron record contains fields for non-blocking and blocking notes.

The screenshot shows the Polaris patron record for Mary Abulencia. The interface includes a header with the Polaris logo, a search bar, and navigation links. The main section displays the patron's name, ID (22396000292609), and library affiliation (RED ROCK PUBLIC LIBRARY). It also shows various status indicators like 'BLOCKS' and 'NOTES'. Below this, there are tabs for 'NON-BLOCKING NOTES' and 'BLOCKING NOTES'. The 'NON-BLOCKING NOTES' tab is active, showing a text area with the note 'Lost earring is in drawer behind circ desk'. There is an 'UPDATE NOTES' button at the bottom right of the notes section.

C.9.44 ILS supports bulk purging of expired accounts.

## INNOVATIVE

Yes.

When a patron record is deleted, it is permanently removed from the Polaris database. Patron records can be deleted manually or automatically, as well as individually or as a group. Automatic deletion occurs overnight, when the system finds and deletes patron records that have been inactive for a period of time as specified by your library in Polaris Administration.

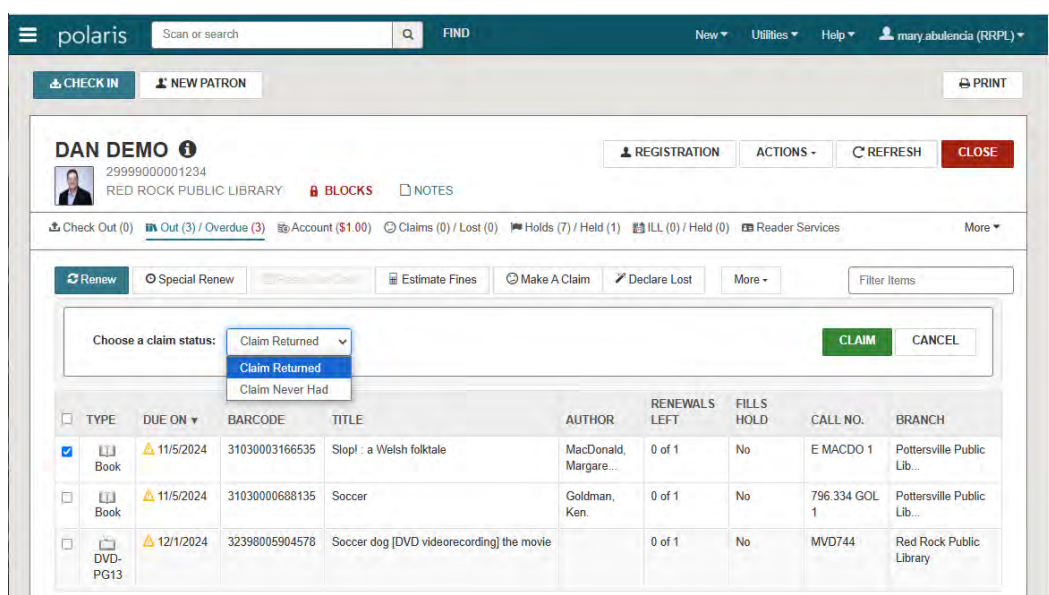


C.9.45 ILS offers a 'claimed returned' option for use when patron disputes status of an item. Proposer shall describe how this option works in the ILS.

## INNOVATIVE

Yes.

When an item is listed a checked out to a patron, but the patron claims they never checked out the item or has already returned it, a claim status can be assigned to the item.



The screenshot shows the Polaris ILS interface for a patron named DAN DEMO. The interface includes a search bar, navigation tabs (CHECK IN, NEW PATRON, PRINT), and a patron profile section with registration, actions, refresh, and close buttons. Below the profile, there are statistics for Check Out (0), In Out (3), Overdue (3), Account (\$1.00), Claims (0), Lost (0), Holds (7), Held (1), ILL (0), and Reader Services. A 'Choose a claim status' dropdown menu is open, showing options: 'Claim Returned', 'Claim Returned', and 'Claim Never Had'. Below the dropdown is a table of checked-out items.

| TYPE                                     | DUE ON    | BARCODE        | TITLE                                     | AUTHOR                | RENEWALS LEFT | FILLS HOLD | CALL NO.      | BRANCH                     |
|------------------------------------------|-----------|----------------|-------------------------------------------|-----------------------|---------------|------------|---------------|----------------------------|
| <input checked="" type="checkbox"/> Book | 11/5/2024 | 31030003166535 | Slopt : a Welsh folktale                  | MacDonald, Margare... | 0 of 1        | No         | E MACDO 1     | Pottersville Public Lib... |
| <input type="checkbox"/> Book            | 11/5/2024 | 31030000688135 | Soccer                                    | Goldman, Ken.         | 0 of 1        | No         | 796.334 GOL 1 | Pottersville Public Lib... |
| <input type="checkbox"/> DVD-PG13        | 12/1/2024 | 32398005904578 | Soccer dog [DVD videorecording] the movie |                       | 0 of 1        | No         | MVD744        | Red Rock Public Library    |

C.9.46 Allows authorized staff to modify (individually and in batch) item due dates.

## INNOVATIVE

Yes.

Authorized staff can modify a due date on one or multiple items in the patron's Out list.

| <input checked="" type="checkbox"/> | TYPE | DUE ON ▼  | BARCODE      | TITLE                                                                                                       |
|-------------------------------------|------|-----------|--------------|-------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> | Book | 1/20/2025 | 9656215212   | 365 quick & easy tips. Home cleaning : simple techniques to keep your home spotless and polished year round |
| <input checked="" type="checkbox"/> | Book | 1/20/2025 | 784521312321 | Get organized without losing it                                                                             |
| <input checked="" type="checkbox"/> | Book | 1/20/2025 | 78954323212  | Organizing for dummies                                                                                      |

Jan 2025

Su Mo Tu We Th Fr Sa

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31

RESET DUE DATE CANCEL

C.9.47 Items can be marked 'used' for in-house usage statistics.

## INNOVATIVE

Yes.

Polaris supports an In-House check in mode.

polaris Scan or search FIND New Utilities Help mary.abulencia (RRPL)

CHECK IN NEW PATRON PRINT

Check In CLOSE

Normal (0) Bulk (0) In House (0) Inventory (0) Missing Part Damaged Shelf-Ready INN-Reach

Enter item barcode FIND TOOL ACTIONS -

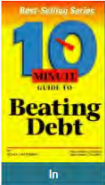
| BARCODE | TITLE | COMMENT | SHELF LOCATION | COLLECTION |
|---------|-------|---------|----------------|------------|
|---------|-------|---------|----------------|------------|

The item's history is updated with **Checked in via In House** and Statistics is updated.

**polaris** Scan or search  **FIND** New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

**CHECK IN** **NEW PATRON** **PRINT**

**Item Record ⓘ** **SAVE** **ACTIONS ▾** **LINKS ▾** **REFRESH** **CLOSE**

 **10 minute guide to beating debt**  
By Abentrod, Susan.

Barcode: 3857631066530 ☐ ILL ☐ Non-circulating ☐ eContent ☐ Display in PAC  
Call number: 332.024 ABEN 1 Record status: **Final** Issue:  
Collection: **Adult Non-Fiction** Bib control number: 131 Issue control number:  
Shelf location: **None** Parent item: Price: **\$10.95**  
Owning branch: **Red Rock Public Library** Assigned branch: **Red Rock Public Library** Circulation status: In || 2/27/2024 11:01:34 AM

☒ Details ☐ Circulation ☐ Blocks and Notes ☒ **History** ☐ Statistics ☐ Record Sets ☐ Notices ☐ Source and Donor

| DATE                  | ASSIGNED BRANCH         | STATUS     | ACTION                                | LOCATION                | USER/WKS                      | PATRONID |
|-----------------------|-------------------------|------------|---------------------------------------|-------------------------|-------------------------------|----------|
| 1/8/2025 11:36:12 AM  | Red Rock Public Library | In         | Checked in via In House               | Red Rock Public Library | mary.abulencia/CLVITN-443XV93 |          |
| 5/8/2024 11:25:48 AM  | Red Rock Public Library | In         | Modified via Item Bulk Change         | Red Rock Public Library | dennis.todd/CLVITN-PC1679AC   |          |
| 2/27/2024 11:01:34 AM | Red Rock Public Library | Held -> In | Automatic status change from Check In | Red Rock Public Library | dennis.todd/CLVITN-PC1679AC   |          |

**polaris** Scan or search  **FIND** New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

**CHECK IN** **NEW PATRON** **PRINT**

**Item Record ⓘ** **SAVE** **ACTIONS ▾** **LINKS ▾** **REFRESH** **CLOSE**

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☒ Details ☐ Circulation ☐ Blocks and Notes ☒ **History** ☒ **Statistics** ☐ Record Sets ☐ Notices ☐ Source and Donor

Year-to-date circulation: 0 Year-to-date in-house use: 1 Inventory date:  
Previous year-to-date circulation: 0 Previous year-to-date in-house use: 0  
Lifetime circulation: 0 Lifetime in-house use: 1

C.9.48 Supports keyboard shortcuts for commonly used circulation module functions.

## INNOVATIVE

Yes.

Polaris supports keyboard shortcuts.

| Keyboard Shortcuts    |                       |                                    |                          |
|-----------------------|-----------------------|------------------------------------|--------------------------|
| Actions               | Patron Views          | MARC Editor                        |                          |
| <i>Ctrl + Shift +</i> | <i>Ctrl + Shift +</i> | <i>Ctrl +</i>                      | <i>Shift +</i>           |
| New Patron            | y Check Out           | 1 Insert subfield delimiter (\$) q | Move tag up Up arrow     |
| Check In              | / Out/Overdue         | 2 Insert tag i                     | Move tag down Down arrow |
| Filter                | f Account             | 3 Delete tag d                     |                          |
| Complete Checkout     | . Claims/Lost         | 4 Move focus up Up arrow           |                          |
| Save                  | z Holds/Held          | 5 Move focus down Down arrow       |                          |
|                       | Notes                 | 6 Display/hide hint h              |                          |
|                       | Reading History       | 7 Control fields                   |                          |
|                       | Associations          | 8 Open/Close e                     |                          |
|                       | Notices               | 9 Save changes and close s         |                          |
|                       | Registration          | :                                  |                          |

C.9.49 Offers a fine-free check-in option.

## INNOVATIVE

Yes.

Polaris check in features a Free Days setting that identifies the number of days omitted from overdue fine calculations. Free Days are used to cover unexpected closings when books might be checked in late and the library does not want to charge overdues for the unexpected closing.

The screenshot shows the Polaris web interface for checking in items. At the top, there's a navigation bar with 'polaris', a search bar, and user information. Below this, there are buttons for 'CHECK IN' and 'NEW PATRON'. The main section is titled 'Check In' and includes a 'CLOSE' button. Underneath, there are tabs for different check-in methods: 'Normal (0)', 'Bulk (0)', 'In House (1)', 'Inventory (0)', 'Missing Part', 'Damaged', 'Shelf-Ready', and 'INN-Reach'. The 'Normal (0)' tab is selected. In the form area, there's a field for 'Enter item barcode', a 'FIND TOOL' button, a 'Free Days' field set to '0', and a date field set to '1/8/2025'. At the bottom, there's an 'ACTIONS -' dropdown menu and a table header with columns: 'BARCODE', 'DUE DATE', 'STATUS', 'COMMENT', 'TITLE', 'MATERIAL TYPE', 'CALL NUMBER', 'ASSIGNED BRANCH', and 'COLLECTION'.

C.9.50 Supports backdating check-in dates (e.g., checking in book drop items using the previous day's date).

## INNOVATIVE

Yes.

Backdating a check in is supported using Free Days functionality.

The screenshot shows the Polaris library system interface. At the top, there is a navigation bar with the Polaris logo, a search bar, and user information. Below this, there are tabs for 'CHECK IN' and 'NEW PATRON'. The main section is titled 'Check In' and includes a 'CLOSE' button. There are filters for item status: Normal (0), Bulk (0), In House (1), Inventory (0), Missing Part, Damaged, Shelf-Ready, and INN-Reach. A 'Find Tool' section contains a barcode input field, a 'FIND TOOL' button, and a 'Free Days' dropdown set to 7. A date selection calendar is open, showing January 2025, with the date 1/1/2025 selected. The calendar is a standard grid with days of the week (Su, Mo, Tu, We, Th, Fr, Sa) and dates (1-31). Below the calendar, there are tabs for 'BARCODE', 'DUE DATE', 'STATUS', 'COMMENT', 'TITLE', and 'MATER'. To the right of the calendar, there are buttons for 'ASSIGNED BRANCH' and 'COLLECTION'.

C.9.51 ILS alerts staff of an issue with a patron's account (e.g., outstanding fines) before charge or discharge transactions can take place.

## INNOVATIVE

Yes.

Polaris provides pop up dialogs when a checkin or checkout requires further attention, or when a patron account requires further attention.

C.9.52 ILS can generate paper check-in receipts.

## INNOVATIVE

Yes.

Polaris provides the following printed circulation receipts:

- Check-out/renewal receipt
- Items out receipt
- Check-in receipt
- Fine receipt

The library can also send eReceipts (e-mail and/or text message receipts) to customers who prefer either of these options. They can be sent to customers for check-outs, renewals, and paid fines from the staff or web client; renewals from PAC; check-out and renewals from self-check. No overnight processing is required, so these receipts are sent within a few moments of the transaction. All eReceipts are sent in plain text format. One checked out or renewed item is listed per text message (TXT) receipt to limit the length of the message.

C.9.53 ILS can generate email check-in receipts.

## INNOVATIVE

No.

Check-in receipts can be printed. See response to [C.9.52](#) above.

C.9.54 ILS can automatically generate transit and hold pickup slips.

## INNOVATIVE

Yes.

Hold slips/hold call slips are printed automatically when an item's status becomes Held at the Check In workform, Check Out workform, Item Record workform, Patron Status workform - Items Out view, Hold Request workform, or Receive Shipment workform. Polaris Administration settings control the specific information that appears on the hold slip, and which hold slips are available.

Polaris provides four types of hold slips:

- Default hold slip – Prints automatically when an item's status becomes Held at a circulation transaction. Libraries typically place the hold slip with the held material for identification purposes.
- Hold call slip – For libraries that call their patrons for held items. It includes extended information and is laid out so that the title information is exposed when placed in a book.
- Hold/ILL pick-up slip – For libraries where patrons to pick up their own held items. The hold pick-up slip is inserted in the book so that the patron's name, partial name, and/or barcode and the pick-up date are visible on the shelf. This slip is printed horizontally or vertically on the receipt paper.
- If configured in Polaris Administration, a combined in-transit/hold slip will print when the item is sent in-transit. Then, instead of the pickup library printing a hold slip when the item arrives, the same slip can be used as a wrapper for the held item.

In-transit slips are printed automatically when an item's status changes to Transferred (because the item will fill a hold and needs to be sent to the pick-up library) or In Transit (because the item belongs to another branch), and when you transfer an item for a hold from the Hold Request workflow. You can place the in-transit slip with the item to be sent to the other branch. You can also choose to print an in-transit slip only when the item status changes to Transferred because it will fill a hold. Polaris Administration settings control the information included on the slip

C.9.55 ILS interfaces with automated materials handling ILSs. List supported AMH ILSs.

## INNOVATIVE

Yes.

Polaris supports automated materials handling via SIP2.

C.9.56 ILS supports floating collections by item type and library group. Proposer shall describe how floating is managed in the ILS.

## INNOVATIVE

Yes.

In Polaris, floating collections processing is the ability to allow certain items to remain at the branch where they were last checked in. If an item is called to another branch, for example to fill a hold request, the item will stay at that branch when it is returned. The items move among branches as they are used, not according to a rotation schedule. Floating collections allow high-



demand items to remain at high-traffic organizations, and collection contents to change with demand. They also reduce the cost of returning materials to a single starting point after each use at another branch. A staff member can check in an item at branch B that belongs to branch A and, rather than putting the item in transit back to A, let it remain at B. The item's Assigned Branch changes from branch A to branch B.

Polaris floating collection functions are optional. If your library system consists of organizations that do their own purchasing and processing, and item ownership is important to each organization, floating collections may not be useful. If the system does central purchasing and processing, then distributes items to branch organizations, floating collection processing is very useful.

Some libraries allow nearly all items to float. Others exert more control over what items may float and to what locations. Floating options can be configured at the branch level, so that each "home" branch can determine if any of its items are allowed to float and to which branches. You can also decide that not all materials from all collections should float; some material types should always return to their original home branch.

In setting up floating collections, the library first determines what collections are eligible to float for which home branches. The home branch's policies determine if an item from the eligible collection should float. For each branch that enables floating collections, the library sets the following additional limits:

- Which branches can receive the home branch's floating items
- Which material types may not float regardless of whether the item belongs to an eligible collection
- For each eligible material type, how many items attached to the same bibliographic record will be accepted at the receiving branch (load balancing collection limit)

If floating is enabled for an item's home branch, when the item is checked in at a receiving branch, the system checks the collection, material type and receiving limit of items by material type. If all conditions permit floating, the item is checked in at the new branch and the item's assigned branch automatically changes to the new branch. If the item does not match the floating conditions, the system puts it in-transit to the library branch that most has need of that item. (If floating collections are not used, the item's home branch and assigned branch are typically the same. The home branch value is used only for floating collections and does not affect any other item processing.)



From within the item record, you can set specific items to not float.

**Item Record** ⓘ

**Where the crawdads sing**  
By Owens, Delia

Barcode: 39999003697459  
Call number: FIC OWENS  
Collection: New Books  
Shelf location: None  
Owning branch: Tyler Public Library

☐ ILL ☐ Non-circulating  
Record status: Final  
Bib control number: 875971  
Parent item:  
Assigned branch: Tyler Public Library

☐ eContent ☐ Display in PAC  
Issue:  
Issue control number:  
Price: \$26.00  
Circulation status: In-Transit || 12/5/2022 2:21:53 PM

**Details** | Circulation | Blocks and Notes | History | Statistics | Record Sets | Notices | Source and Donor

Barcode: 39999003697459  
Owning Branch\*: Tyler Public Library (br)  
Bib Control Number\*: 875971  
Collection: New Books (NEW)  
Assigned Branch\*: Tyler Public Library (TYLER)  
Parent Item:  
Shelf Location: (None)  
Price: \$26.00  
☐ Non-circulating  
Temporary Location:  
Circulation Status: In-Transit  
☒ Display in PAC

Material Type\*: Book  
Loan Period\*: Days - 21  
Renewal Limit\*: 1  
Statistical Code: Juvenile Fiction  
Fine Code\*: 0.10  
Home Branch\*: Tyler Public Library (TYLER) ☐ Do not float

Polaris Floating Collections processes are designed to maintain balanced collections based on library-defined parameters. For example, if you check in an item from another branch that exceeds your branch's limits for floating items you can select Yes to continue to check in the item and override the limit if that is your branch's policy. Alternatively, you select No to put the item in-transit, or you can cancel the check-in. If you choose to put the item in-transit, it floats to the branch with lowest ratio of the number of items to collection limit.

Polaris generates the following reports to help libraries review the current status of floating items in order to determine any manual adjustments that might be required.

- Floating Items by Assigned Branch: This report counts how many items from the home branch have floated to other branches. The report includes the following information:
  - o Home branch
  - o Date range
  - o Collection
  - o Float to branches
  - o Total number of items that have floated

- Floating Items by Home Branch: This report counts how many items from other branches have been checked into the receiving branch. The report includes the following information:
  - o Receiving branch
  - o Date range
  - o Collection
  - o Material type
  - o Previous branch
  - o Home branch
  - o Total number of items received
- Floating Items Setup: This is a summary report for the home branch showing the branch's floating settings. This report includes the following information for each selected home branch:
  - o All collections selected for floating
  - o All material types selected for floating
  - o All branches selected for receiving
  - o On-shelf item limit for receiving branches
  - o Total item limit for receiving branches
  - o No matching collection allowed (yes/no)
  - o Blank collection allowed (yes/no)
  - o Floating enabled (yes/no)

C.9.57 Provides tools for managing loans to homebound patrons.

## INNOVATIVE

Yes.

Polaris Outreach Services allows staff to automatically select titles that interest your homebound patrons based on each patron's preferences, and have the materials delivered to the patrons. When you designate a patron for outreach services, you create a profile of reading preferences and other characteristics. Based on this profile, Polaris generates a selection list of titles from which you select available items for a pick list, pull the items on the list, and check them out.

The screenshot shows the LEAP system interface for a patron's account. At the top, there's a navigation bar with 'leap', a search bar, and a 'FIND' button. Below this, there are buttons for 'CHECK IN' and 'NEW PATRON'. The main header area displays the patron's name 'EVAN DRAKE' with a profile picture, ID '29904000000007', and library 'RED ROCK PUBLIC LIBRARY'. There are tabs for 'REGISTRATION', 'ACTIONS', 'REFRESH', 'RESULTS', and 'CLOSE'. Below the header, a summary bar shows various statistics: Check Out (0), In Out (3), Overdue (3), Account (\$0.00), Claims (0), Lost (0), Holds (0), Held (0), ILL (0), and Held (0). The 'Reader Services' tab is selected. The main content area has a 'Preferences' dropdown menu open, showing options like 'General', 'Subject', 'Author', 'Genre', and 'Other'. The 'Outreach Services' section includes a 'Status' dropdown set to 'Active', a 'Number of items to Send' field set to '0', and a 'Note' field. The 'Delivery Options' section shows 'Mode' as 'Library Van', 'Schedule' as 'Monthly', and 'Pickup Person' as '1/10/2010'. There are also fields for 'Last Service' (5/18/2020) and 'Next Service' (6/18/2020), and a checkbox for 'Patron Selection Only'. A 'Save' button is visible in the top right of the main content area.

Patron Account – Reader Services View

## Outreach Services Preferences

The screenshot shows the 'Preferences: Author' dialog box. It has two main sections: 'Authors to Include' and 'Authors to Exclude'. The 'Authors to Include' section has a list box containing 'Grisham', 'Patterson', and 'Connelly'. The 'Authors to Exclude' section has a list box containing 'Koontz'. At the bottom, there are 'SAVE' and 'CANCEL' buttons.

## Outreach Services – Selection List

**ORS Selection List**

Patron Name: DRAKE, EVAN Phone: 556-3437 Delivery Mode: Library Van  
 Barcode: 2990400000007 Expiration Date: 11/28/2020 Delivery Route: 1st Tuesday  
 Address: 217 HORSESHOE RD Number of Items to send: 0 Delivery Stop: Leesburg Adult Day Center  
 LIVERPOOL NY 13088 Last Service Date: 5/18/2020 Delivery Schedule: Monthly

☒ Selection List ☐ Pick List

<Default Branches> ☒ Build List Preferences Find Tool Place Hold

| <input type="checkbox"/>            | TITLE                                                                                                              | AUTHOR           | FORMAT | PUB DATE |
|-------------------------------------|--------------------------------------------------------------------------------------------------------------------|------------------|--------|----------|
| <input checked="" type="checkbox"/> | After sorrow : an American among the Vietnamese                                                                    | Borton, Lady.    | Book   | 1995     |
| <input type="checkbox"/>            | Air courier bargains : how to travel world-wide for next to nothing / by Kelly Monaghan.                           | Monaghan, Kelly. | Book   | 1995     |
| <input type="checkbox"/>            | Alan S. Davis' the fun also rises international travel guide : the world's most fun places to be at the right time | Davis, Alan S.   | Book   | 1999     |

318 record(s) found!

☒ Add To Pick List ☐ Remove From Pick List Place Hold...

| <input type="checkbox"/> | BRANCH                  | COLLECTION                | MATERIAL TYPE | CALL NUMBER    | STATUS | BARCODE        | SHELF LOCATION |
|--------------------------|-------------------------|---------------------------|---------------|----------------|--------|----------------|----------------|
| <input type="checkbox"/> | Red Rock Public Library | Adult Non-Fiction (ANFIC) | Book          | 915.9704 B739a | In     | 32398004233805 |                |

If the outreach services patron has designated an individual to pick up the items, you contact the individual, and the items circulate in the normal way. Or, after pulling the items on the pick list, you may process them for delivery. You can set the packed items aside for the delivery drivers, or if the delivery method is by mail, you can print mailing labels or export patron address information to another application. You can also manage outreach services for multiple patrons, based on the next scheduled delivery date or delivery method and route.

**Outreach Services**

Update Last Service Date Preferences ☒ Selection List ☒ Outreach Enabled Save

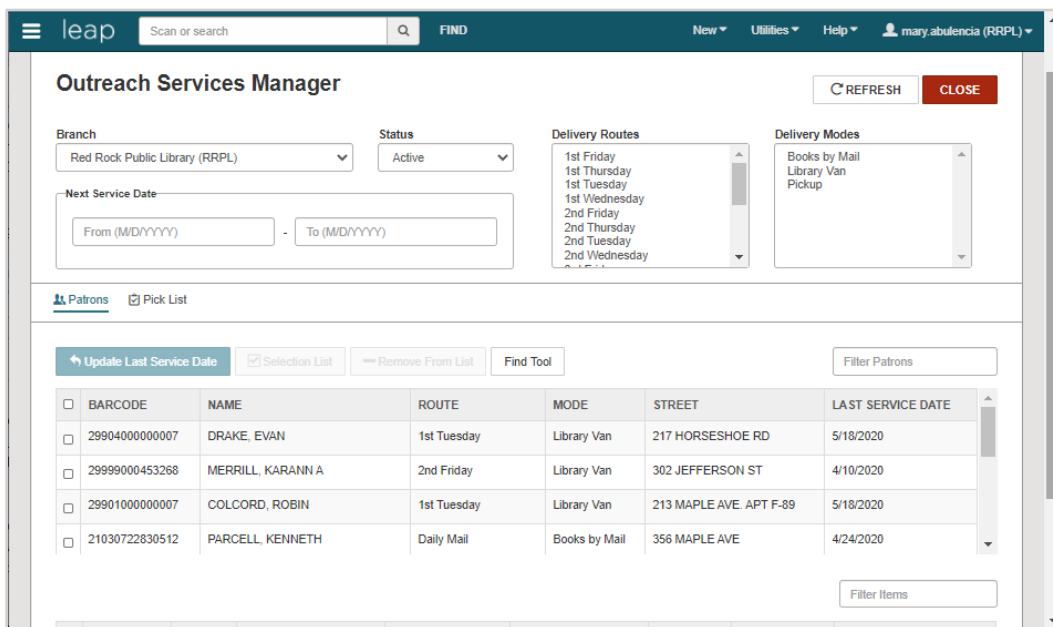
Status: Active Reactivate: 1/10/2010 Last Service: 5/18/2020 Next Service: 6/18/2020  
 Number of items to Send: 0 ☐ Patron Selection Only ☐ Allow previous items to be resent  
 Months to Wait: 120  
 Note:

**Delivery Options**

Mode: Library Van Schedule: Monthly 1/10/2010 Pickup Person:  
 Route: 1st Tuesday Every 1 day(s) Note:  
 Stop: Leesburg Adult Day Center

Your library may also collect title ratings from outreach services patrons. You send a packing list to the patron along with the items checked out, and the patron returns the packing list with title ratings when the items are returned. You then enter the ratings in the patron's reading history.

The default values and available options for outreach services are set in Polaris Administration.



**Outreach Services Manager**

Branch: Red Rock Public Library (RRPL) Status: Active

Next Service Date: From (M/D/YYYY) - To (M/D/YYYY)

Delivery Routes: 1st Friday, 1st Thursday, 1st Tuesday, 1st Wednesday, 2nd Friday, 2nd Thursday, 2nd Tuesday, 2nd Wednesday

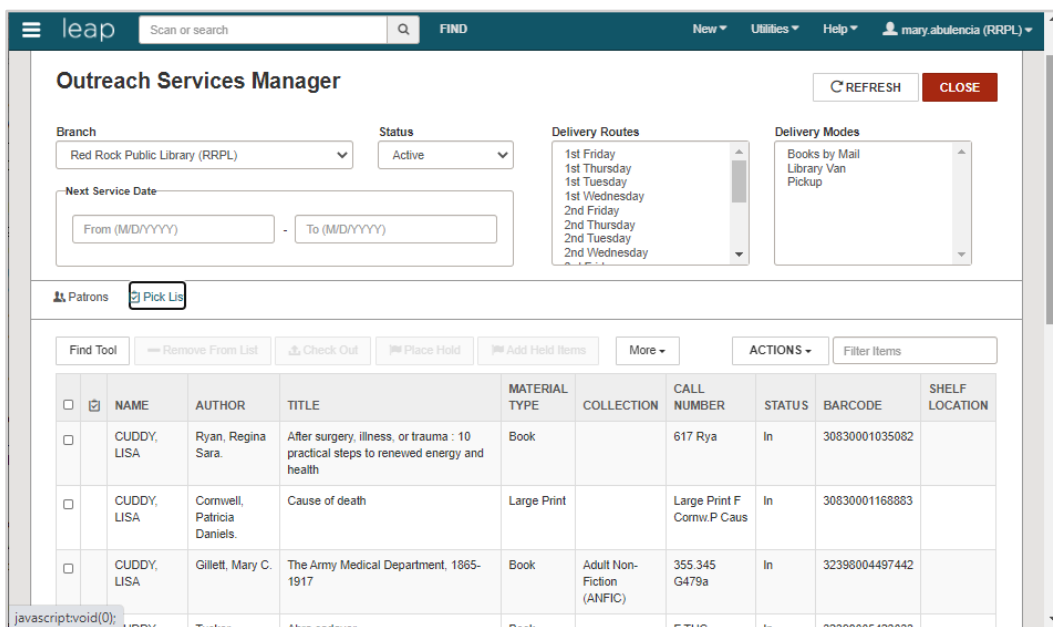
Delivery Modes: Books by Mail, Library Van, Pickup

Patrons

Update Last Service Date Selection List Remove From List Find Tool Filter Patrons

| Barcode        | Name              | Route       | Mode          | Street                  | Last Service Date |
|----------------|-------------------|-------------|---------------|-------------------------|-------------------|
| 2990400000007  | DRAKE, EVAN       | 1st Tuesday | Library Van   | 217 HORSESHOE RD        | 5/18/2020         |
| 29999000453268 | MERRILL, KARANN A | 2nd Friday  | Library Van   | 302 JEFFERSON ST        | 4/10/2020         |
| 2990100000007  | COLCORD, ROBIN    | 1st Tuesday | Library Van   | 213 MAPLE AVE. APT F-89 | 5/18/2020         |
| 21030722830512 | PARCELL, KENNETH  | Daily Mail  | Books by Mail | 356 MAPLE AVE           | 4/24/2020         |

Filter Items



**Outreach Services Manager**

Branch: Red Rock Public Library (RRPL) Status: Active

Next Service Date: From (M/D/YYYY) - To (M/D/YYYY)

Delivery Routes: 1st Friday, 1st Thursday, 1st Tuesday, 1st Wednesday, 2nd Friday, 2nd Thursday, 2nd Tuesday, 2nd Wednesday

Delivery Modes: Books by Mail, Library Van, Pickup

Patrons Pick List

Find Tool Remove From List Check Out Place Hold Add Hold Items More ACTIONS Filter Items

| Name        | Author                      | Title                                                                               | Material Type | Collection                | Call Number                | Status | Barcode        | Shelf Location |
|-------------|-----------------------------|-------------------------------------------------------------------------------------|---------------|---------------------------|----------------------------|--------|----------------|----------------|
| CUDDY, LISA | Ryan, Regina Sara.          | After surgery, illness, or trauma : 10 practical steps to renewed energy and health | Book          |                           | 617 Rya                    | In     | 30830001035082 |                |
| CUDDY, LISA | Cornwell, Patricia Daniels. | Cause of death                                                                      | Large Print   |                           | Large Print F Cornw P Caus | In     | 30830001168883 |                |
| CUDDY, LISA | Gillett, Mary C.            | The Army Medical Department, 1865-1917                                              | Book          | Adult Non-Fiction (ANFIC) | 355.345 G479a              | In     | 32398004497442 |                |

javascriptvoid(0);

C.9.58 ILS supports collection inventory.

## INNOVATIVE

Yes.

Inventory control monitors and controls the inventory of all items in Polaris. Each item is assigned a unique barcode that provides for tracking and control. The system provides for easy tracking of barcode numbers, reports of inventoried and uninventoried items, comparisons of circulation records, and entry of inventory date into each item record. Statistical capabilities are also included that assist library staff in weeding collections.

The screenshot shows the 'Check In' interface in the LEAP system. A green banner at the top indicates 'Inventory update successful.' Below this, there are tabs for 'Normal (0)', 'Bulk (0)', 'In House (0)', 'Inventory (3)', 'Missing Part', and 'Shelf-Ready'. A search bar with 'Enter item barcode' and a 'FIND TOOL' button is present. A table lists the updated items:

| BARCODE        | STATUS | CALL NUMBER | TITLE                                                   | SHELF LOCATION | COMMENT                      |
|----------------|--------|-------------|---------------------------------------------------------|----------------|------------------------------|
| 3999900034610  | In     | 813/.54     | Rogue lawyer                                            |                | Inventory update successful. |
| 39999004763338 | In     | 345.7660    | The innocent man : murder and injustice in a small town |                | Inventory update successful. |
| 39999009009910 | In     | FIC GRISHAM | A time for mercy                                        |                | Inventory update successful. |

The screenshot shows the 'Item Record' interface for the book 'Rogue lawyer' by John Grisham. The record includes fields for Barcode (3999900034610), Call number (813/.54), Collection (New Books), Shelf location (None), Owning branch (Red Rock Public Library), and Assigned branch (Red Rock Public Library). It also shows circulation statistics and a table with various fields:

|                            |                                                 |                       |                |
|----------------------------|-------------------------------------------------|-----------------------|----------------|
| ILL                        | Non-circulating                                 | eContent              | Display in PAC |
| Record status: Final       | Issue:                                          | Issue control number: | Price: \$25.00 |
| Bib control number: 672518 | Circulation status: In    12/31/2015 8:24:15 AM |                       |                |

At the bottom, there are tabs for Details, Circulation, Blocks and Notes, History, Statistics, Record Sets, Notices, and Source and Donor. The 'Inventory date: 5/3/2023' is highlighted with a red box and an arrow.

C.9.59 Upon discharging Lost items, ILS removes Lost/processing bill and substitutes overdue bills.

## INNOVATIVE

Yes.

If the lost/processing bill has not been paid yet, Polaris removes the assessed amount. If the bill has been paid (and it is still within a library-defined time threshold), Polaris will credit the patron's account.

C.9.61 ILS provides 'ephemeral' charge option (discharge immediately following charge).

## INNOVATIVE

Yes.

Using Polaris Quick-Circ, you can circulate items that are not intended for full cataloging and generate circulation statistics for these items. For example, items suitable for quick-circ circulation might include old mass-market paperbacks or pamphlets.

Quick-circ items differ from regular items in that they have no conventional Polaris item records. They circulate with no due dates, no fines, and no overdue processing. They cannot fill hold requests. They do not count against any patron borrowing limits, and they are not displayed in the patron's items out list or in a patron's reading history. A quick-circ item is identified only by a barcode, assigned branch and collection, and material type. The primary advantage of Polaris Quick-Circ is in tracking and reporting circulation of these kinds of items.

C.9.62 Allows the library to specify when and how often notices are sent.

## INNOVATIVE

Yes.

Notification options are set in System Administration.



Notification options

General Overdue & Bill Hold Request & Cancellation Fine Reminder Serial

**Notification method**

☒ Print

☒ Export

☒ Available in PAC

☒ E-mail

☒ Available in PAC

☒ Phone

☒ Export

☒ Available in PAC

☒ TXT Message

☒ Export

☒ Include with phone

☒ Available in PAC

☐ Display SMS terms

[Languages...](#)

**E-mail notice**

From: demo@polarislibrary.com

Reply-to:

E-mail address to use: Use both E-mail and Alt t

☐ Send report for e-mail notice processing

**Export**

Print

FTP Server URI: 10.12.12.12

Logon name: pelton

Password: \*\*\*\*\*

**Phone**

FTP Server URI: libftp.cgsis.com

Logon name: ppa\_demo

Password: \*\*\*\*\*

**Txt Message**

FTP Server URI: libftp.cgsis.com

Logon name: ppa\_demo

Password: \*\*\*\*\*

☒ Save a local copy ☒ Enhanced profile

Save Cancel Apply Help

Notification options

General Overdue & Bill Hold Request & Cancellation Fine Reminder Serial

☒ Overdue

☒ Export

**First overdue**

Notice interval: 1 days

☐ Include claimed items

Notification method: Patron preference

☒ Send additional TXT message

Notification library: Lending branch

Return address: Use optional address Polaris Demonstration S

**Second overdue**

Notice interval: 7 days

Notification method: Patron preference

☒ Send additional TXT message

**Third overdue**

Notice interval: 14 days

Notification method: Patron preference

☒ Send additional TXT message

☒ Bill

Notice interval (does not apply to manually-billed charges): 21 days

☐ Export

Notification method: Patron preference

☐ Send additional TXT message

Notification library: Lending branch

Return address: Use notification library

☐ Combine patron notices

Notification method: Patron preference

☐ Send additional TXT message

Save Cancel Apply Help

Notification options

General Overdue & Bill Hold Request & Cancellation Fine Reminder Serial

☒ Request

☒ Export

Notification method: Patron preference

☒ Send additional TXT message

☒ 2nd hold notice

Notification method: Patron preference

☐ Send additional TXT message

Notice interval (days): 1

☒ Cancelled request

Notification method: Patron preference

☐ Send additional TXT message

☐ EContent request

Notification method: E-mail

☐ Cancelled eContent request

Notification method: E-mail

Save Cancel Apply Help

Notification options

General Overdue & Bill Hold Request & Cancellation Fine Reminder Serial

☒ Fine

☐ Export

Notification method: Patron preference

☐ Send additional TXT message

Notification library: Patron's branch

Return address: Use notification library

User defined field for Guardian: <None>

Minimum balance: \$5.00

Fine age (days): 1

\*\*\*Note: If fine notices are used in conjunction with collection agency functionality, the 'Fine age' value entered here should be less than the corresponding value specified for collection agency reporting in order to ensure that the patron receives the fine notice before being reported.

Save Cancel Apply Help



C.9.63 Alerts staff upon item discharge when item has a hold.

## INNOVATIVE

Yes.

Polaris provides pop up dialogs when a checkin requires further attention, such as to fill a hold.

C.9.64 Alerts staff upon item discharge when item is flagged for transfer.

## INNOVATIVE

Yes.

Polaris provides pop up dialogs when a checkin requires further attention, such as to put in transit.

C.9.65 Alerts staff upon item discharge when special treatment is needed (e.g., "Check for included DVD").

## INNOVATIVE

Yes.

A block can be set on an item record to "check for included DVD" (or other note) and Polaris will display a pop up dialog when the item is checked in.

## 10. Interlibrary Loan

The SDPL provides interlibrary loan services to its patrons and lends its materials to other institutions via WorldShare. Contractor shall provide a narrative description of how a patron-initiated interlibrary loan request would be processed in the proposed ILS. Contractor shall describe how a loan to a requesting institution would be processed in the proposed ILS.

## INNOVATIVE

Polaris includes capabilities relating to the management of ILL and supports both Inter-Library Loan (ILL) and Intra-system Loans (hold requests).

Both ILL and hold requests can be placed by the patron from Vega Discover Premium or by library staff in the Polaris ILS staff client. Both types of requests can be enabled or disabled in Vega Discover Premium according to the library's preference. The patron can view a list of all current requests and their status online.

Patron-initiated request via a request form in Vega Discover Premium: - Patrons can search remote databases from Vega Discover Premium and place an ILL request on a title found during the search. The request is placed in Polaris at which point it can be reviewed by staff and then printed or manually keyed into third-party ILL fulfilment software, or sent to OCLC Direct Request.

### **Polaris ILL functionality with no integrated 3<sup>rd</sup> party**

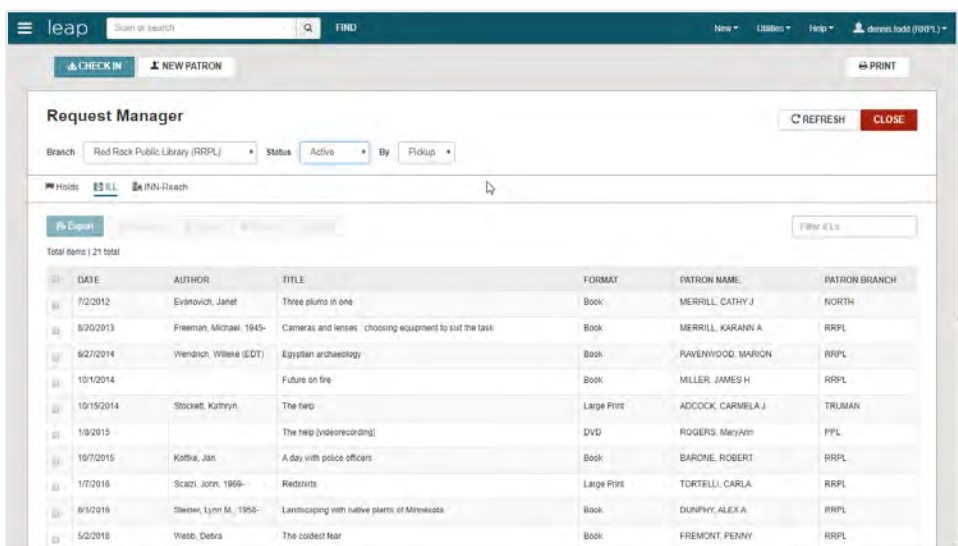
As Lender, sending the item: To track items lent to institutions external to shared environment members, and provide alerts when loans are due, the items are checked out to an institutional patron. The system would print or send a notice per standard circulation processing when the item was due.

Polaris provides the following functionality to the library as Requestor (receiving the item):

- Create a temporary bib and item record to track the item as it circulates.
- Notify the patron that the item has been received (if the request was generated in Polaris as described above).

- At check-out and check-in, staff are notified that the item is ILL for special processing.
- When the item is returned, the temporary ILL bib and item records are deleted.
- Separate circulation statistics on ILL circulation

Staff manage Polaris ILL requests from the Request Manager workflow - ILL views:



The screenshot shows the 'Request Manager' interface with a table of ILL requests. The table has columns for DATE, AUTHOR, TITLE, FORMAT, PATRON NAME, and PATRON BRANCH. The data is as follows:

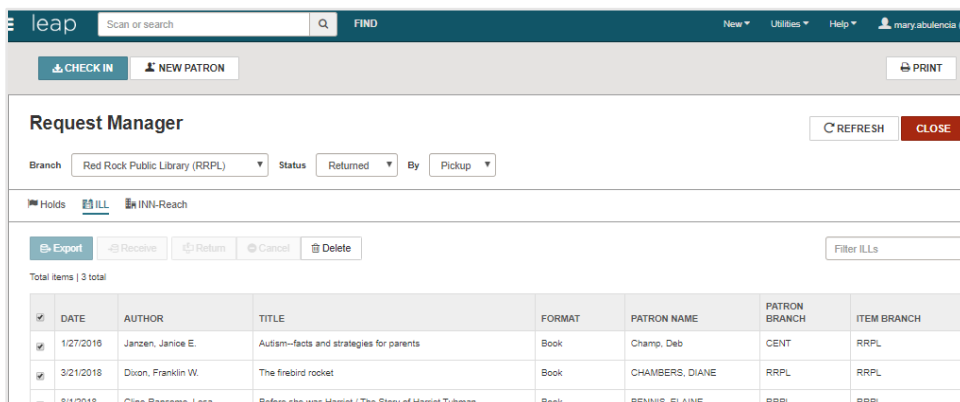
| DATE       | AUTHOR                  | TITLE                                                    | FORMAT      | PATRON NAME        | PATRON BRANCH |
|------------|-------------------------|----------------------------------------------------------|-------------|--------------------|---------------|
| 7/2/2012   | Evanovich, Janet        | Three plums in one                                       | Book        | MERRILL, CATHY J   | NORTH         |
| 8/20/2013  | Freeman, Michael. 1945- | Cameras and lenses : choosing equipment to suit the task | Book        | MERRILL, KARANNA A | RRPL          |
| 9/27/2014  | Wendrich, Willem (ED.)  | Egyptian archaeology                                     | Book        | RAVENHOOD, MARION  | RRPL          |
| 10/1/2014  |                         | Future on fire                                           | Book        | MILLER, JAMES H    | RRPL          |
| 10/15/2014 | Stockwell, Kathryn      | The help                                                 | Large Print | ADCOCK, CARMELA J  | TRUMAN        |
| 1/9/2015   |                         | The help (videorecording)                                | DVD         | ROGERS, MaryAnn    | PPL           |
| 10/7/2015  | Kotke, Jan              | A day with police officers                               | Book        | BARONE, ROBERT     | RRPL          |
| 1/7/2016   | Scatzi, John. 1969-     | Radiobirds                                               | Large Print | TORTORELLI, CARLA  | RRPL          |
| 9/5/2016   | Steiner, Lynn M. 1958-  | Landscaping with native plants of Minnesota              | Book        | DUNPHY, ALEXA      | RRPL          |
| 5/2/2018   | Webb, Debra             | The coldest fear                                         | Book        | FREMONT PENNY      | RRPL          |

Ill request statuses include:

- Inactive: Request has been placed but not yet reviewed by staff or exported
- Active: The request has been Exported. Staff will "Export" requests to make them active, even if no OCLC connection is configured.
- Received: This status is applied when the item is received in the library and the staff member executes the Receive command to generate the temporary bib and item record.
- Returned: the item has circulated and returned to the lending institution.
- Cancelled: the request has been cancelled by staff or the patron

Note that the commands are all issued against a request by highlighting the request and selecting the appropriate action.

When a requested item has been returned to the lender, the request can be deleted. Deleting the request will delete the temporary bib and item.



**Request Manager**

Branch: Red Rock Public Library (RRPL) Status: Returned By: Pickup

Buttons: REFRESH, CLOSE

Buttons: Export, Receive, Return, Cancel, Delete

Filter ILLs

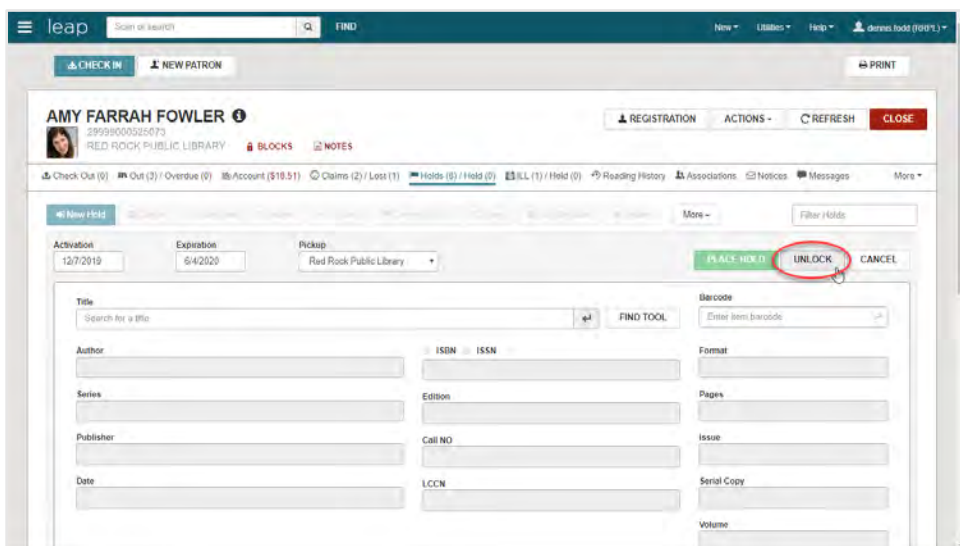
Total items | 3 total

| DATE      | AUTHOR              | TITLE                                                | FORMAT | PATRON NAME     | PATRON BRANCH | ITEM BRANCH |
|-----------|---------------------|------------------------------------------------------|--------|-----------------|---------------|-------------|
| 1/27/2018 | Janzen, Janice E.   | Autism—facts and strategies for parents              | Book   | Champ, Deb      | CENT          | RRPL        |
| 3/21/2018 | Dixon, Franklin W.  | The firebird rocket                                  | Book   | CHAMBERS, DIANE | RRPL          | RRPL        |
| 8/1/2018  | Cline-Ransome, Lesa | Before she was Harriet / The Story of Harriet Tubman | Book   | BENNIS, ELAINE  | RRPL          | RRPL        |

ILL requests also display in the patron record. Depending on the library's workflow it may be desirable to manage some ILL requests from there. The available commands are the same.

Typical workflow for staff created ILL requests either with or without an OCLC connection:

- Create a hold request in Polaris.
- Click/tap the Unlock button.



**AMY FARRAH FOWLER**

REGISTRATION ACTIONS REFRESH CLOSE

Check Out (0) Out (2) / Overdue (0) Account (\$18.31) Claims (2) / Lost (1) Holds (8) / Hold (0) ILL (1) / Hold (0) Reading History Associations Notices Messages More

Buttons: New Hold, Filter Holds

Activation: 12/9/2019 Expiration: 6/4/2020 Pickup: Red Rock Public Library

Buttons: PLACE NEW ILL, UNLOCK, CANCEL

Form fields: Title, Author, Series, Publisher, Date, ISBN, ISSN, Edition, Call NO, LCCN, Barcode, Format, Pages, Issue, Serial Copy, Volume

This opens up the bibliographic data fields for free text data entry.

- Fill in the bibliographic information and save the request.
- From the patron record, right-click on the newly created unlocked hold and select "Convert to ILL."

The screenshot shows the 'leap' system interface for a patron named AMY FARRAH FOWLER. The patron's ID is 29999000525073 and they are associated with RED ROCK PUBLIC LIBRARY. The interface includes tabs for CHECK IN, NEW PATRON, and PRINT. Below the patron information, there are buttons for REGISTRATION, ACTIONS, REFRESH, and CLOSE. A summary bar shows various statistics: Check Out (0), In Out (3), Overdue (0), Account (\$18.51), Claims (2), Lost (1), Holds (8) / Held (0), ILL (1) / Held (0), Reading History, Associations, and Notices. A 'New Hold' dialog is open, showing a table of holds. The table has columns for AUTHOR, TITLE, FORMAT, CALL NUMBER, ACTIVATION DATE, STATUS, PICKUP BRANCH, QUEUE, HOLD UNTIL, and GROUP. The holds listed are for 'Ninth house', 'The American West on film', 'Atomic habits', 'Stars of Alabama', 'Altered egos', and 'The white darkness'.

| AUTHOR                | TITLE                                                                                                         | FORMAT | CALL NUMBER | ACTIVATION DATE | STATUS | PICKUP BRANCH           | QUEUE | HOLD UNTIL | GROUP |
|-----------------------|---------------------------------------------------------------------------------------------------------------|--------|-------------|-----------------|--------|-------------------------|-------|------------|-------|
| Bardugo, Leigh        | Ninth house                                                                                                   | Book   |             | 10/28/2019      | Active | Red Rock Public Library | 1     |            |       |
| Boggs, Jonny D.       | The American West on film                                                                                     | Book   |             | 10/8/2019       | Active | Red Rock Public Library | 1     |            |       |
| Clear, James          | Atomic habits : tiny changes, remarkable results : an easy & proven way to build good habits & break bad ones | Book   |             | 10/28/2019      | Active | Red Rock Public Library | 1     |            |       |
| Dietrich, Sean, 1962- | Stars of Alabama                                                                                              | Book   |             | 9/4/2019        | Active | Red Rock Public Library | 1     |            |       |
| Feinberg, Todd E.     | Altered egos : how the brain creates the self                                                                 | Book   |             | 7/1/2019        | Active | Red Rock Public Library | 1     |            |       |
| Grann, David          | The white darkness                                                                                            | Book   |             | 7/19/2019       | Active | Red Rock Public Library | 1     |            |       |

The request becomes an ILL. The status will be Active or Inactive depending on the library's Polaris Administration settings. To place Active requests, leave the Moderated option unchecked.

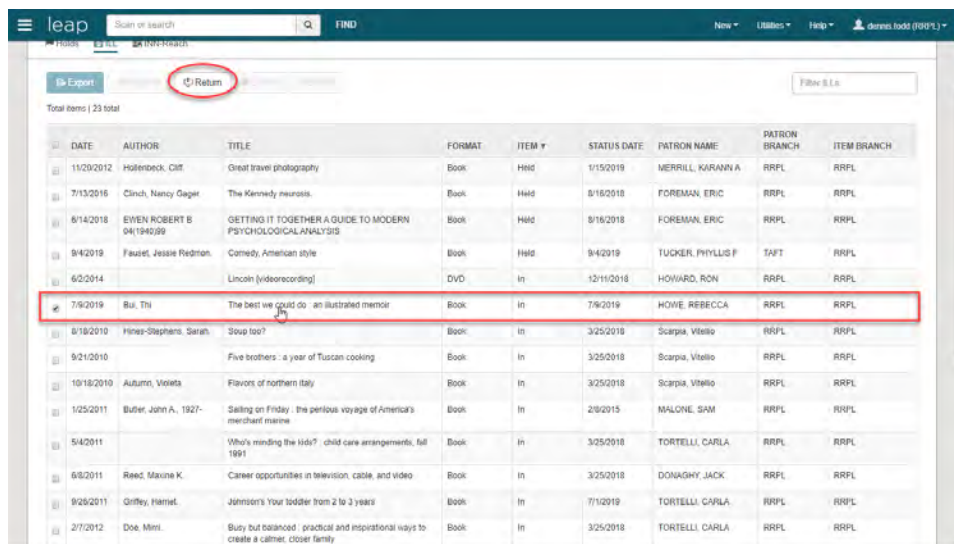
When the requested item is received at the library, the staff member opens the Request Manager workflow, right-clicks the request, and selects Receive. This opens an ILL item dialog, where the staff member fills in the appropriate values.

The screenshot shows the 'leap' system interface with a 'Brief Item Entry' dialog open. The dialog is for creating a new ILL item. It includes fields for Barcode, Title, Author, Call Number, Material Type (set to ILL), Loan Period (set to Days - 28), Fine Code (set to 1.00), and Free Text Block (set to Return to ILL department at check in). The background shows a list of items with columns for DATE, AUTHOR, TITLE, FORMAT, CALL NUMBER, STATUS, and PICKUP BRANCH. The items listed include 'Landscaping with native plants of Minnesota', 'The training of the librarian', 'Ebert, Friedrich Adolf, 1791-1834', 'Cline-Ransome, Le...', 'Boriz, Fred, 1944-', and 'Spoon : a guide to spoon carving and the new wood culture'.

The library must have created an ILL item template in advance in order to complete this step. The template will supply default values that the staff member can change if necessary. Some libraries always include "ILL" in the call number to make the items easier to find.

The item will now be held and the patron notified. The item will circulate and return.

When the item returns, go to the Request Manager workflow, check the title(s) being returned and then click the Return button indicate the item has been sent back to the lender.



| DATE       | AUTHOR                   | TITLE                                                                                 | FORMAT | ITEM | STATUS DATE | PATRON NAME       | PATRON BRANCH | ITEM BRANCH |
|------------|--------------------------|---------------------------------------------------------------------------------------|--------|------|-------------|-------------------|---------------|-------------|
| 11/29/2012 | Hollenbeck, Citi         | Great travel photography                                                              | Book   | Held | 1/15/2019   | MERRILL, KARANNA  | RRPL          | RRPL        |
| 7/13/2016  | Clinch, Nancy Gager      | The Kennedy neurosis                                                                  | Book   | Held | 5/16/2018   | FOREMAN, ERIC     | RRPL          | RRPL        |
| 5/14/2018  | EYEN ROBERT B 04/1940/89 | GETTING IT TOGETHER: A GUIDE TO MODERN PSYCHOLOGICAL ANALYSIS                         | Book   | Held | 5/16/2018   | FOREMAN, ERIC     | RRPL          | RRPL        |
| 9/4/2019   | Faulet, Jesse Redmon     | Comedy, American style                                                                | Book   | Held | 9/4/2019    | TUCKER, PHYLLIS F | TAFT          | RRPL        |
| 6/2/2014   |                          | Lincoln (videorecording)                                                              | DVD    | In   | 12/11/2018  | HOWARD, RON       | RRPL          | RRPL        |
| 7/9/2019   | Bui, Thi                 | The best we could do: an illustrated memoir                                           | Book   | In   | 7/9/2019    | HOWE, REBECCA     | RRPL          | RRPL        |
| 5/18/2010  | Hines-Stephens, Sarah    | Soup too?                                                                             | Book   | In   | 3/25/2018   | Scarpia, Vitello  | RRPL          | RRPL        |
| 9/21/2010  |                          | Five brothers: a year of Tuscan cooking                                               | Book   | In   | 3/25/2018   | Scarpia, Vitello  | RRPL          | RRPL        |
| 10/18/2010 | Autumn, Violeta          | Flavors of northern Italy                                                             | Book   | In   | 3/25/2018   | Scarpia, Vitello  | RRPL          | RRPL        |
| 1/25/2011  | Butler, John A., 1927-   | Sailing on Friday: the perilous voyage of America's merchant marine                   | Book   | In   | 2/9/2015    | MALONE, SAM       | RRPL          | RRPL        |
| 5/4/2011   |                          | Who's minding the kids?: child care arrangements, fall 1991                           | Book   | In   | 3/25/2018   | TORTELLI, CARLA   | RRPL          | RRPL        |
| 6/8/2011   | Reed, Maxine K.          | Career opportunities in television, cable, and video                                  | Book   | In   | 3/25/2018   | DONAGHY, JACK     | RRPL          | RRPL        |
| 9/29/2011  | Griffey, Henriel         | Johnson's Your toddler from 2 to 3 years                                              | Book   | In   | 7/12/2019   | TORTELLI, CARLA   | RRPL          | RRPL        |
| 2/7/2012   | Doe, Mini                | Busy but balanced: practical and inspirational ways to create a calmer, closer family | Book   | In   | 3/25/2018   | TORTELLI, CARLA   | RRPL          | RRPL        |

When the item has successfully returned to its home library, go to the Returned requests, and Delete.

This action deletes the temporary bib and item records. The transactions remain in Polaris for reporting purposes.

If the library allows patrons to submit ILL requests from PAC, the workflow is very similar. In that case, assuming the library mediated ILL requests from PAC, staff will access the request review for accuracy, then select Export to make the request Active (and send to OCLC if enabled). From there staff will follow the same process to Receive, Return and Delete the requests.

Required permissions: Every branch that handles interlibrary loan requests must assign the following permissions for the branch:

- Access List and display loan requests originating from the branch.
- Convert a hold request to an interlibrary loan request. This permission allows a staff member to decide if a hold request can be filled from a library outside of the library system.
- Delete interlibrary loan requests that originated at the branch.
- Modify existing loan requests.



**OCLC Interlibrary Loan Direct Request Service**

OCLC ILL Direct Request Service is an OCLC Online Computer Library Center service that streamlines the interlibrary loan process. Functioning as an ILL broker, OCLC ILL Direct Request automatically receives ILL requests from Polaris and sends those requests to the OCLC Interlibrary Loan service. OCLC tracks and routes ILL requests to potential lenders. Polaris adheres to OCLC standards so that OCLC member libraries can use Polaris with Direct Requests to manage ILL requests.

Patron-placed requests may be sent directly to OCLC or mediated by staff according to the library's preference. Requests may also be printed and re-directed manually to other suppliers. This way the library can use traditional ILL methods and still use Polaris to track the requests and display information to the patron. When a requested item is received, the patron is automatically notified.

**Narrative Descriptions for Exhibit F – Functional Requirements – Interlibrary Loan**

C.10.1 ILS supports interlibrary loan transfer requests.

**INNOVATIVE**

Yes.

Polaris supports both Inter-Library Loan (ILL) and Intra-system Loans (hold requests).

Both ILL and hold requests can be placed by the patron from PAC or by library staff in the Polaris ILS staff client. Both types of request can be enabled or disabled at PAC according to the library's preference. The patron can view a list of all current requests and their status online.

Patron-initiated request via a request form in PAC: - Patrons can search remote databases from the PowerPAC and place an ILL request on a title found during the search. The request is placed in Polaris at which point it can be reviewed by staff and then printed or manually keyed into third-party ILL fulfilment software, or sent to OCLC Direct Request.

**Polaris ILL functionality with no integrated 3<sup>rd</sup> party**

As Lender, sending the item: To track items lent to institutions external to consortium members, and provide alerts when loans are due, the items are checked out to an institutional patron. The system would print or send a notice per standard circulation processing when the item was due.

Polaris provides the following functionality to the library as Requestor (receiving the item):

- Create a temporary bib and item record to track the item as it circulates.
- Notify the patron that the item has been received (if the request was generated in Polaris as described above).
- At check-out and check-in, staff are notified that the item is ILL for special processing.
- When the item is returned, the temporary ILL bib and item records are deleted.
- Separate circulation statistics on ILL circulation

Staff manage Polaris ILL requests from the Request Manager workflow.

ILL request statuses are:

- Inactive: Request has been placed but not yet reviewed by staff or exported
- Active: The request has been Exported. Staff will "Export" requests to make them active, even if no OCLC connection is configured.
- Received: This status is applied when the item is received in the library and the staff member executes the Receive command to generate the temporary bib and item record.
- Returned: the item has circulated and returned to the lending institution.
- Cancelled: the request has been cancelled by staff or the patron

Note that the commands are all issued against a request by highlighting the request and selecting the appropriate action.

When a requested item has been returned to the lender, the request can be deleted. Deleting the request will delete the temporary bib and item.

ILL requests also display in the patron record. Depending on the library's workflow it may be desirable to manage some ILL requests from there. The available right-click commands are the same.

Typical workflow for staff created ILL requests either with or without an OCLC connection:

- Create a hold request in Polaris.
- Select the Tools, Unlock Request option.

This opens up the bibliographic data fields for free text data entry.

- Fill in the bibliographic information and save the request.
- From the patron record, right-click on the newly created, unlocked hold and select "Convert to ILL."

The request becomes an ILL. The status will be Active or Inactive depending on the library's Polaris Administration settings. To place Active requests, leave the Moderated option unchecked.



When the requested item is received at the library, the staff member opens the Request Manager workflow, right-clicks the request, and selects Receive. This opens an ILL item dialog, where the staff member fills in the appropriate values.

The library must have created an ILL item template in advance in order to complete this step. The template will supply default values that the staff member can change if necessary. Some libraries always include "ILL" in the call number to make the items easier to find.

The item will now be held and the patron notified. The item will circulate and return.

When the item returns, go to the Request Manager workflow, right-click and select Return to indicate the item has been sent back to the lender.

When the item has successfully returned to its home library, go to the Returned requests, right-click and Delete.

This action deletes the temporary bib and item records. The transactions remain in Polaris for reporting purposes.

If the library allows patrons to submit ILL requests from PAC, the workflow is very similar. In that case, assuming the library mediated ILL requests from PAC, staff will access the request review for accuracy, then select Export to make the request Active (and send to OCLC if enabled). From there staff will follow the same process to Receive, Return and Delete the requests.

Required permissions: Every branch that handles interlibrary loan requests must assign the following permissions for the branch:

- Access List and display loan requests originating from the branch.
- Convert a hold request to an interlibrary loan request. This permission allows a staff member to decide if a hold request can be filled from a library outside of the library system.
- Delete interlibrary loan requests that originated at the branch.
- Modify existing loan requests.

OCLC ILL Direct Request Service is an OCLC Online Computer Library Center service that streamlines the interlibrary loan process. Functioning as an ILL broker, OCLC ILL Direct Request automatically receives ILL requests from Polaris and sends those requests to the OCLC Interlibrary Loan service. OCLC tracks and routes ILL requests to potential lenders. Polaris adheres to OCLC standards so that OCLC member libraries can use Polaris with Direct Requests to manage ILL requests.

Patron-placed requests may be sent directly to OCLC or mediated by staff according to the library's preference. Requests may also be printed and re-directed manually to other suppliers. This way the library can use traditional ILL methods and still use Polaris to track the requests and display information to the patron. When a requested item is received, the patron is automatically notified.

C.10.2 ILS can generate reports of item requested through interlibrary loan.

## INNOVATIVE

Yes.

Polaris provides the following pre-defined ILL reports:

- ILL Held Items – This report lists all the held items obtained through interlibrary loan that are awaiting pickup by patrons; includes information about the items and patrons.
- ILL Request Statistics – For a specified date range, this report identifies how many interlibrary loan requests have been created for each patron code.
- ILL Request Statistics by Workstation – This report tracks how many interlibrary loan requests were placed at each workstation during a specified time period.
- Unclaimed ILL Items – This report lists the unclaimed ILL items with a HoldTillDate less than the date on which the report is generated.

C.10.3 ILS can interface with San Diego Circuit, a consortium of libraries in San Diego County, including University of California San Diego (UCSD) Library, University of San Diego (USD) Library, California State University San Marcos (CSUSM) Library, San Diego State University (SDSU) Library, and San Diego County Library. Currently the Circuit uses a product from Innovative Interfaces (INN-Reach) which utilizes Application Programming Interfaces (API) integration to share resources among the member libraries. The San Diego Public Library connects to the Circuit via the Polaris Direct to INN-Reach API (D2IR). Patrons with privileges at any of the member libraries are able to view the shared Circuit catalog, request materials online, and have the materials delivered to their local library, where they may use their local library card to check them out.

## INNOVATIVE

Yes.

The magic of Polaris is that both LINK+ and SD Circuit (INN-Reach) is directly integrated into the Polaris staff workflows through the use of APIs. The INN-Reach Resource Sharing Broker (RSB/DCB) is not required.

C.10.4 Interfaces with OCLC WorldShare.

## INNOVATIVE

Yes.

See response to [C.10.1](#) above.

## 11. Acquisitions

Contractor shall provide an overview of how orders are created, managed, and tracked by staff.

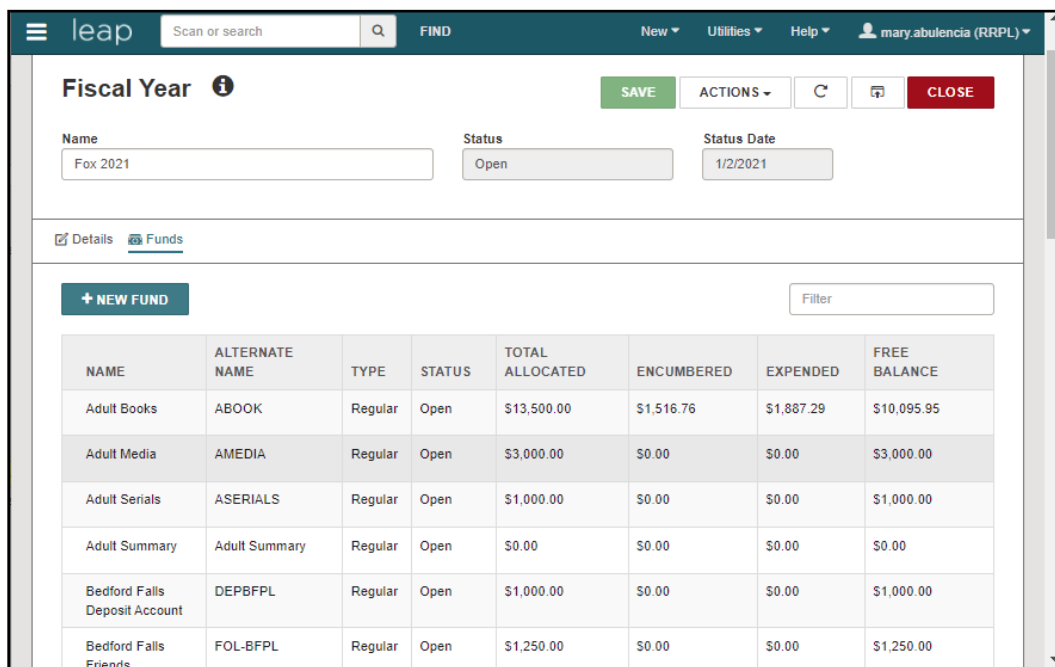
## INNOVATIVE

Polaris Acquisitions helps the library manage acquisitions processes including budgeting, maintaining suppliers, selecting materials, ordering, receiving, claiming, cancelling, and invoicing. All acquisitions functions are fully integrated with all other Polaris modules and all activities are performed in real time. Acquisitions statuses and display of on-order materials in Discovery are also supported. With EDI capabilities for orders and invoices, as well as API endpoints for automating workflows, Polaris Acquisitions makes it easy for your staff to process new materials.

Polaris Acquisitions automates and streamlines common acquisitions processes:

- Manage the acquisitions budget

Using fund records linked to a fiscal year record, the library can track encumbrances and expenditures for materials and services. The library can also set up donor funds to track the items that were purchased using these funds.



**Fiscal Year** ⓘ

SAVE ACTIONS ↕ ↺ ↻ CLOSE

Name: Fox 2021 Status: Open Status Date: 1/2/2021

Details Funds

+ NEW FUND Filter

| NAME                          | ALTERNATE NAME | TYPE    | STATUS | TOTAL ALLOCATED | ENCUMBERED | EXPENDED   | FREE BALANCE |
|-------------------------------|----------------|---------|--------|-----------------|------------|------------|--------------|
| Adult Books                   | ABOOK          | Regular | Open   | \$13,500.00     | \$1,516.76 | \$1,887.29 | \$10,095.95  |
| Adult Media                   | AMEDIA         | Regular | Open   | \$3,000.00      | \$0.00     | \$0.00     | \$3,000.00   |
| Adult Serials                 | ASERIALS       | Regular | Open   | \$1,000.00      | \$0.00     | \$0.00     | \$1,000.00   |
| Adult Summary                 | Adult Summary  | Regular | Open   | \$0.00          | \$0.00     | \$0.00     | \$0.00       |
| Bedford Falls Deposit Account | DEPBFPL        | Regular | Open   | \$1,000.00      | \$0.00     | \$0.00     | \$1,000.00   |
| Bedford Falls Friends         | FOL-BFPL       | Regular | Open   | \$1,250.00      | \$0.00     | \$0.00     | \$1,250.00   |

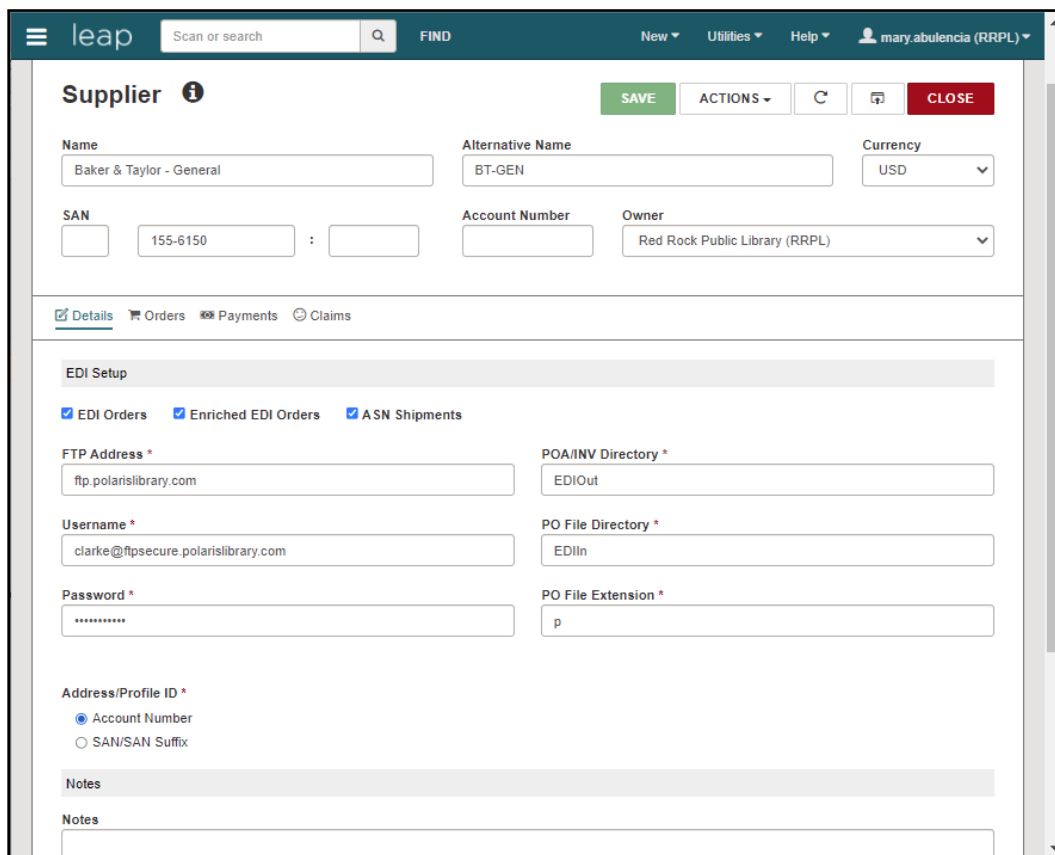
Fiscal Year – Funds View

Fund records track the finances for the purchase of library materials and services for the linked fiscal year. You can set up funds for sources of money that are based on fiscal budgets, gifts, grants, donations, and endowments. In addition, you can set up deposit funds to track accounts where you have deposited a certain amount of money with a supplier.

Once you set up your acquisitions budget, Polaris makes the funds available to link to purchase orders and invoices. When you release the purchase order or pay the invoice, the system automatically encumbers or expends the linked funds.

- Supplier Records

The library can set up supplier records that contain all the information needed to send paper or electronic orders to its suppliers.



**Supplier** 🔍 SAVE ACTIONS 🔄 🖨️ CLOSE

**Name** Baker & Taylor - General **Alternative Name** BT-GEN **Currency** USD

**SAN** 155-6150 **Account Number** **Owner** Red Rock Public Library (RRPL)

[Details](#) [Orders](#) [Payments](#) [Claims](#)

**EDI Setup**

☒ EDI Orders ☒ Enriched EDI Orders ☒ ASN Shipments

**FTP Address \*** ftp.polarislibrary.com **POA/INV Directory \*** EDIOut

**Username \*** clarke@ftpsecure.polarislibrary.com **PO File Directory \*** EDIIn

**Password \*** **PO File Extension \*** p

**Address/Profile ID \***

☒ Account Number ☐ SAN/SAN Suffix

**Notes**

**Notes**

Supplier Record – Details View

- Receive Shipments

Polaris Leap provides the ability to check in shelf-ready materials received from a supplier.

| BARCODE        | STATUS         | COMMENT | TITLE           | ISBN/UPC                  | MATERIAL TYPE | CALL NUMBER | ASSIGNED BRANCH         | COLLECTION |
|----------------|----------------|---------|-----------------|---------------------------|---------------|-------------|-------------------------|------------|
| 39999000453005 | On-Order -> In |         | After you       | 9780525426592 (hardcover) | Book          | 823/ 92     | Red Rock Public Library | New Books  |
| 39999000453010 | On-Order -> In |         | All summer long | 9780062390752             | Book          | 813/ 54     | Red Rock Public Library | New Books  |
| 39999000453039 | On-Order -> In |         | Before the fall | 9781455561780             | Book          | 813/ 54     | Red Rock Public Library | New Books  |

- Claim Items

The library can set up claiming criteria in Polaris, so that if ordered items are not received within a specified period of time, an automatic claim alert is generated and it appears on the Claim Alert List.

- Invoices

You can view, edit, delete, and pay invoices in Leap. You can also undo an invoice payment.

*Invoice – Details View*

- Pay invoices

The library can pay an entire invoice, individual line items on an invoice, or segments within an invoice line item. The library can also view all charges for an invoice and the payment history.

The screenshot shows the LEAP system interface. At the top, there's a navigation bar with 'leap' logo, search, and user info. Below it, there are buttons for 'CHECK IN', 'NEW PATRON', and 'PRINT'. The main section is titled 'Invoice' and contains fields for 'Number' (BT-324436), 'Suffix' (dpt), 'Lines' (3), and 'Type' (Regular). There's also an 'Invoice Date' field set to 10/19/2021. A modal window titled 'Check / Voucher' is open in the center, displaying a message: 'You have chosen to pay the entire invoice. Linked funds will be expended and the payment status of all line items and segments will become "Paid".' The modal includes input fields for 'Amount' (\$287.96), 'Number' (empty), 'Date' (2/22/2022), and 'Payment Method' (radio buttons for 'Check' and 'Voucher'). At the bottom of the modal are 'PAY' and 'CANCEL' buttons. In the background, a table shows payment history with columns for 'PAYMENT DATE', 'User', 'Amount', 'Status', and 'Action'. The table has four rows, with the last row showing a 'Paid' status for the amount of \$287.96 on 10/19/2021.

| PAYMENT DATE          | User        | Amount     | Status | Action                |
|-----------------------|-------------|------------|--------|-----------------------|
| 10/21/2021 9:19:29 AM |             |            |        |                       |
| 10/19/2021 3:37:03 PM |             |            |        |                       |
| 10/19/2021 3:35:51 PM | dennis.todd | (\$287.96) | Open   | Payment was reversed. |
| 10/19/2021 3:34:24 PM | dennis.todd | \$287.96   | Paid   |                       |

After an invoice has been paid or prepaid, the library can credit the entire invoice, multiple lines within an invoice, a single line item, or segments within a line item.



11.1 Contractor shall describe how materials distribution is managed in the Acquisitions module.

INNOVATIVE

The purchase order line item segments contain distribution and fund information for copies of the title.

The screenshot shows the Polaris Acquisitions module interface. At the top, there's a navigation bar with 'polaris' and a search bar. Below it, there are tabs for 'CHECK IN' and 'NEW PATRON'. The main section is titled 'Purchase Order Line Item' and displays details for a book titled 'What the chicken knows : a new appreciation of the world's most familiar bird' by Montgomery Sy. The purchase order number is DEC120224, and the status is 'On Order'. The line number is 1. Below this, there are tabs for 'Details', 'Segments', 'Notes', 'Instructions To Supplier', 'Claims', 'Invoices', and 'Funds'. The 'Segments' tab is active, showing a table with 3 segments. The table has columns for Segment, Quantity, Destination, Collection, Fund, Fiscal Year, Status, and Payment Status. The segments are for Red Rock Public Library, Pottersville Public Library, and Tyler Public Library, all with a quantity of 1 and status 'On Order'.

| SEGMENT | QUANTITY | DESTINATION                 | COLLECTION | FUND                 | FISCAL YEAR     | STATUS   | PAYMENT STATUS |
|---------|----------|-----------------------------|------------|----------------------|-----------------|----------|----------------|
| 1       | 1        | Red Rock Public Library     | New Books  | Adult Fiction (AFIC) | Montana FY24-25 | On Order | Open           |
| 2       | 1        | Pottersville Public Library | New Books  | Adult Fiction (AFIC) | Montana FY24-25 | On Order | Open           |
| 3       | 1        | Tyler Public Library        | New Books  | Adult Fiction (AFIC) | Montana FY24-25 | On Order | Open           |

11.2 Contractor shall describe what, if any, limits there are on the number of purchase order records that may be created and the number of invoice records that may be created.

INNOVATIVE

There are no limits to the number of purchase order records that may be created nor limits to the number of invoice records that may be created.

11.3 Contractor shall describe the ways in which staff could search the ILS for vendor invoices.

## INNOVATIVE

Using the Find Tool you can search for invoices or invoice line items. You can filter results to a specific supplier.

The screenshot shows the 'Find Tool - Invoice' window in the Polaris system. The search filter is set to 'Supplier name' and the value 'Baker & Taylor' is entered. The interface includes buttons for 'CHECK IN', 'NEW PATRON', and 'PRINT'.

The screenshot shows the 'Find Tool - Invoice' window in the Polaris system. The search filter is set to 'Invoice number' and the value 'Exact (\*)' is entered. The results are filtered to 9 of 320 results.

| Invoice No.    | Suffix | Number | Total    | Type    | Payment Met. | Status   | Date       | Supplier       | Owner   |
|----------------|--------|--------|----------|---------|--------------|----------|------------|----------------|---------|
| 1328           |        | 1      | \$25.00  | Regular | Purchase     | Paid     | 6/8/2009   | Baker & Taylor | CENT    |
| 20240529       | MM     | 1      | \$11.69  | Regular | Purchase     | Paid     | 5/29/2024  | Baker & Taylor | TRUM... |
| 276            |        | 1      | \$90.00  | Regular | Purchase     | Credited | 11/23/2014 | Baker & Taylor | RRPL    |
| ING_3224234... | dpt    | 1      | \$41.97  | Regular | Purchase     | Paid     | 10/2/2014  | Baker & Taylor | RRPL    |
| BT-34532989    | dpt    | 6      | \$475.00 | Regular | Purchase     | Paid     | 10/3/2014  | Baker & Taylor | RRPL    |
| BT54324        | dpt    | 1      | \$97.95  | Regular | Purchase     | Paid     | 12/9/2014  | Baker & Taylor | RRPL    |
| BT2349271      | dpt    | 1      | \$97.95  | Regular | Purchase     | Paid     | 12/9/2014  | Baker & Taylor | RRPL    |
| 2014-3453542   | dpt    | 2      | \$191.97 | Regular | Purchase     | Paid     | 1/20/2015  | Baker & Taylor | RRPL    |
| 2015-63432     | dpt    | 17     | \$439.99 | Regular | Purchase     | Paid     | 1/29/2017  | Baker & Taylor | RRPL    |

11.4 Contractor shall describe what limits, if any, there are on the number of funds permitted in the ILS.

## INNOVATIVE

There are no limits to the number of funds permitted.

### **Narrative Descriptions for Exhibit F – Functional Requirements – Acquisitions**

C.11.2 ILS retains a historical record of acquisitions for a library-specified time period.

## INNOVATIVE

Yes.

Purchase Orders and Invoices are retained in Polaris until and unless the library explicitly purges them.

C.11.3 Acquisitions module provides vendor information. Describe what information can be stored and what, if any, limits there are on the number of vendor records permitted.

## INNOVATIVE

Yes.

The library can set up supplier records that contain all the information needed to send paper or electronic orders to its suppliers.

**polaris** Scan or search **FIND** New Utilities Help mary.abulencia (RRPL)

**Supplier** **SAVE** **ACTIONS** **REFRESH** **RESULTS** **CLOSE**

Name: Baker & Taylor - General Alternative Name: BT-GEN Currency: USD

SAN: 155-6150 Account Number: 2334567890123 Owner: Montana Avenue Branch (MAB)

**Details** **Orders** **Payments** **Claims**

**EDI Setup**

☒ EDI Orders ☐ Enriched EDI Orders ☐ ASN Shipments

FTP Address: ftpsecure.gisinfosystems.com POA/INV Directory: EDIOut Address/Profile ID: ☐ Account Number ☒ SAN/SAN Suffix

Username: Tmorris PO File Directory: EDIIn

Password: \*\*\*\*\* PO File Extension: xpo

**Notes**

Notes:

Plan:

**polaris** Scan or search **FIND** New Utilities Help mary.abulencia (RRPL)

**Supplier** **SAVE** **ACTIONS** **REFRESH** **RESULTS** **CLOSE**

Name: Baker & Taylor - General Alternative Name: BT-GEN Currency: USD

SAN: 155-6150 Account Number: 2334567890123 Owner: Montana Avenue Branch (MAB)

**Details** **Orders** **Payments** **Claims**

**Contact Information**

Postal Code: 13090 Zip+4: City: LIVERPOOL **COPY**

Street Address: Purchasing Dept. State: NY

Street Address Line 2: 1234 Corporate Avenue County: ONONDAGA

Street Address Line 3: Country: USA

Contact: Shelly Smith Email: ssmith@btol.com

Phone Number: 315-634-5684 Fax Number: 315-663-3345

**Financial**

Discount (%): 40 External Financial System ID:

**polaris** Scan or search **FIND** New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

**Supplier** **SAVE** **ACTIONS ▾** **REFRESH** **RESULTS** **CLOSE**

**Name**  
Baker & Taylor - General

**Alternative Name**  
BT-GEN

**Currency**  
USD ▾

**SAN**  
155-8150 :

**Account Number**  
2334567890123

**Owner**  
Montana Avenue Branch (MAB) ▾

☒ Details ☒ Orders ☒ **Payments** ☒ Claims

**Contact Information**

**Postal Code**  
13090

**Zip+4**

**City**  
LIVERPOOL **COPY ▾**

**Street Address**  
Accounts Payable Dept.

**State**  
NY

**Street Address Line 2**  
1234 Corporate Avenue

**County**  
ONONDAGA

**Street Address Line 3**

**Country**  
USA ▾

**Contact**  
Shelly Smith

**Email**  
ssmith@btol.com

**Phone Number**  
315-634-5684

**Fax Number**  
315-663-3345

**polaris** Scan or search **FIND** New ▾ Utilities ▾ Help ▾ mary.abulencia (RRPL) ▾

☒ Details ☒ Orders ☒ **Payments** ☒ **Claims**

**Contact Information**

**Postal Code**  
13090

**Zip+4**

**City**  
LIVERPOOL **COPY ▾**

**Street Address**  
Claims Dept.

**State**  
NY

**Street Address Line 2**  
1234 Corporate Avenue

**County**  
ONONDAGA

**Street Address Line 3**

**Country**  
USA ▾

**Contact**  
Shelly Smith

**Email**  
ssmith@btol.com

**Phone Number**  
315-634-5684

**Fax Number**  
315-663-3345

**Claim Setup**

**Max Claims**  
2

**Cancel Notice** ☒ **Print** ▾

**Auto Cancel Waiting Period** ☒ 30

**Claim Notice** ☒ **Print** ▾

**Claim Waiting Period**

☒ 60 Days After Release/Expected Arrival

☒ 30 Days After 1st Claim

☐ Days After 2nd Claim

☐ Days After 3rd Claim

☐ Days After 4th Claim

C.11.4 Acquisitions module connects to major library materials providers for ordering purposes. Proposer shall list supported vendors.

## INNOVATIVE

Yes.

### EDI Ordering

Polaris supports the X12 version 4010 standard to transmit purchase orders electronically, load electronic confirmations (or receive confirmations via email) and generate invoices in Polaris using the following vendors:

| Company/product            | Description                                                                                                                                                                                        |
|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Audio Book Services        | Receive electronic X12 orders<br>Produce electronic X12 invoices                                                                                                                                   |
| Baker & Taylor             | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices<br>Import of MARC data from Title Source 360 |
| Blackstone Publishing      | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 invoices                                                                                         |
| Brodart Books & Automation | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Product electronic X12 PO confirmations<br>Product electronic X12 invoices<br>Import of MARC data from bibz.com         |
| Children's Plus, Inc.      | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices                                                                                        |
| CVS Midwest Tape           | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations (Planned)<br>Produce electronic X12 invoices                                    |

|                         |                                                                                                                                                                                         |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Findaway World          | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices                                                                             |
| Gale-Cengage Learning   | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices                                                                             |
| Ingram Book Company     | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices<br>Import of MARC data from iPage |
| Library Bound           | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                           |
| Micro Marketing LLC     | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                                                     |
| Midwest Library Service | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                                                     |
| Midwest Tape, Inc.      | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices<br>Import of MARC data            |
| Penworthy               | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                                                     |
| Quality Books, Inc.     | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                                                     |
| Rainbow Books           | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations                                                                      |

|                               |                                                                                                                                                                 |
|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                               | Produce electronic X12 invoices                                                                                                                                 |
| Recorded Books                | Receive electronic X12 orders<br>Receive enriched electronic X12 orders (Planned)<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices |
| Scholastic Library Publishing | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 invoices                                                      |
| United Library Services       | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices           |
| Whitehots, Inc.               | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices   |

## 9xx Ordering

You can access vendors' web-based selection tools and databases directly from the main Polaris menu. Using your library's profile on the vendor's site, you can select titles and specify material type, fund, destination library, collection information, and non-public notes. Then, the brief bibliographic records are imported into record sets that can be automatically bulk added to selection lists or purchase orders. As a result, the purchase orders already include bibliographic, fund, and order distribution information.

Polaris has successfully imported MARC records using the following vendor systems:

- Baker & Taylor's Title Source 3
- Brodart's Bibz2.com
- Ingram's iPage
- Midwest Tape

The vendors above support the Polaris designated 970 order distribution tag with the following subfields:

- 970\$I [location]
- 970\$c [collection]
- 970\$f [fund]



- 970\$q [quantity]
- 970\$p [price] (If no 970\$p, Polaris uses 020\$c)
- 970\$n [non-public notes]

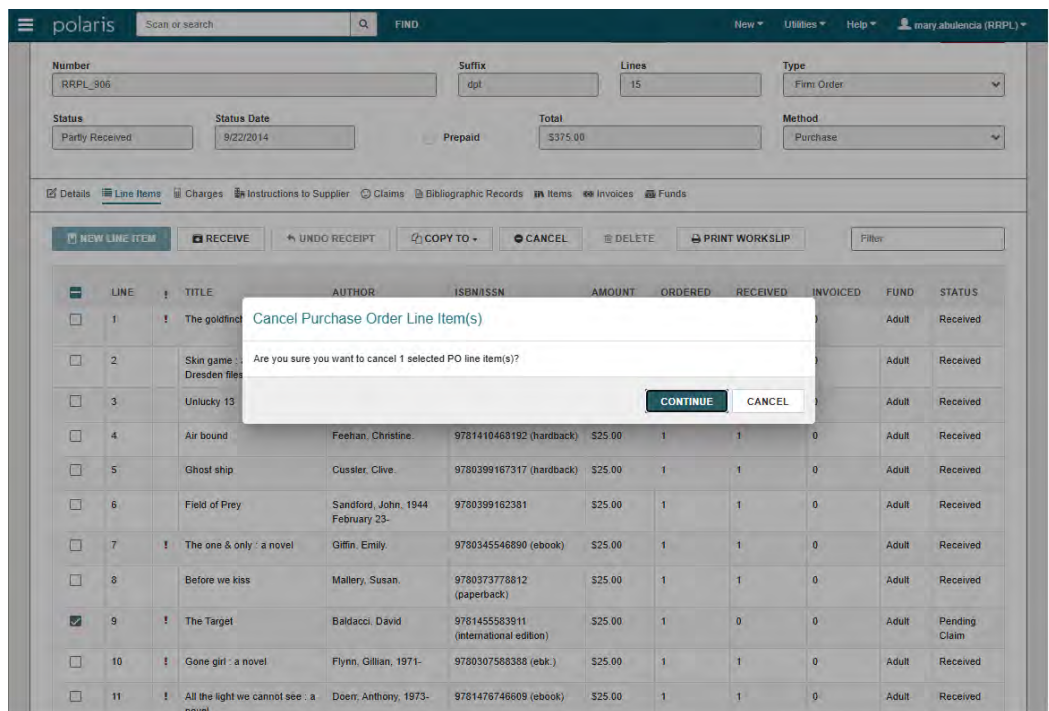
Multiple 970 tags are supported in the MARC bib record. Finally, Polaris supports the ability to overlay duplicate identical bibliographic records while retaining (970) order data, so that multiple selectors can work simultaneously in either a centralized or de-centralized acquisitions workflow.

C.11.5 Module supports order cancellations.

## INNOVATIVE

Yes.

When the library needs to cancel items, staff can cancel an entire order or specific lines of a purchase order. If the library needs to order from a different supplier, staff can copy the purchase order or lines within the purchase order to a new purchase order with a different supplier.



The screenshot shows the Polaris system interface. At the top, there's a navigation bar with 'polaris' and a search bar. Below it, a form displays order details: Number (RRPL\_906), Suffix (dpl), Lines (15), Type (Firm Order), Status (Partly Received), Status Date (9/22/2014), Prepaid, Total (\$375.00), and Method (Purchase). A tabbed interface below shows 'Details', 'Line Items', 'Charges', 'Instructions to Supplier', 'Claims', 'Bibliographic Records', 'Items', 'Invoices', and 'Funds'. The 'Line Items' tab is active, showing a table with columns: LINE, TITLE, AUTHOR, ISBN/ISSN, AMOUNT, ORDERED, RECEIVED, INVOICED, FUND, and STATUS. A modal dialog titled 'Cancel Purchase Order Line Item(s)' is open, asking 'Are you sure you want to cancel 1 selected PO line item(s)?' with 'CONTINUE' and 'CANCEL' buttons. The table lists 11 line items, with line 9 selected (checkbox checked).

| LINE | TITLE                                 | AUTHOR                            | ISBN/ISSN                             | AMOUNT  | ORDERED | RECEIVED | INVOICED | FUND  | STATUS        |
|------|---------------------------------------|-----------------------------------|---------------------------------------|---------|---------|----------|----------|-------|---------------|
| 1    | The goldfinch                         |                                   |                                       |         |         |          |          | Adult | Received      |
| 2    | Skin game : Dresden files             |                                   |                                       |         |         |          |          | Adult | Received      |
| 3    | Unlucky 13                            |                                   |                                       |         |         |          |          | Adult | Received      |
| 4    | Air bound                             | Feehan, Christine.                | 9781410468192 (hardback)              | \$25.00 | 1       | 1        | 0        | Adult | Received      |
| 5    | Ghost ship                            | Custer, Clive.                    | 9780399167317 (hardback)              | \$25.00 | 1       | 1        | 0        | Adult | Received      |
| 6    | Field of Prey                         | Sandford, John, 1944 February 23- | 9780399162381                         | \$25.00 | 1       | 1        | 0        | Adult | Received      |
| 7    | The one & only : a novel              | Giffin, Emily.                    | 9780345546890 (ebook)                 | \$25.00 | 1       | 1        | 0        | Adult | Received      |
| 8    | Before we kiss                        | Mallery, Susan.                   | 9780373778812 (paperback)             | \$25.00 | 1       | 1        | 0        | Adult | Received      |
| 9    | The Target                            | Baldacci, David                   | 9781455583911 (international edition) | \$25.00 | 1       | 0        | 0        | Adult | Pending Claim |
| 10   | Gone girl : a novel                   | Flynn, Gillian, 1971-             | 9780307588388 (ebk.)                  | \$25.00 | 1       | 1        | 0        | Adult | Received      |
| 11   | All the light we cannot see : a novel | Doerr, Anthony, 1973-             | 9781476746609 (ebook)                 | \$25.00 | 1       | 1        | 0        | Adult | Received      |

C.11.7 Records associated with cancelled orders are suppressed in the staff and public catalogs.

## INNOVATIVE

Yes.

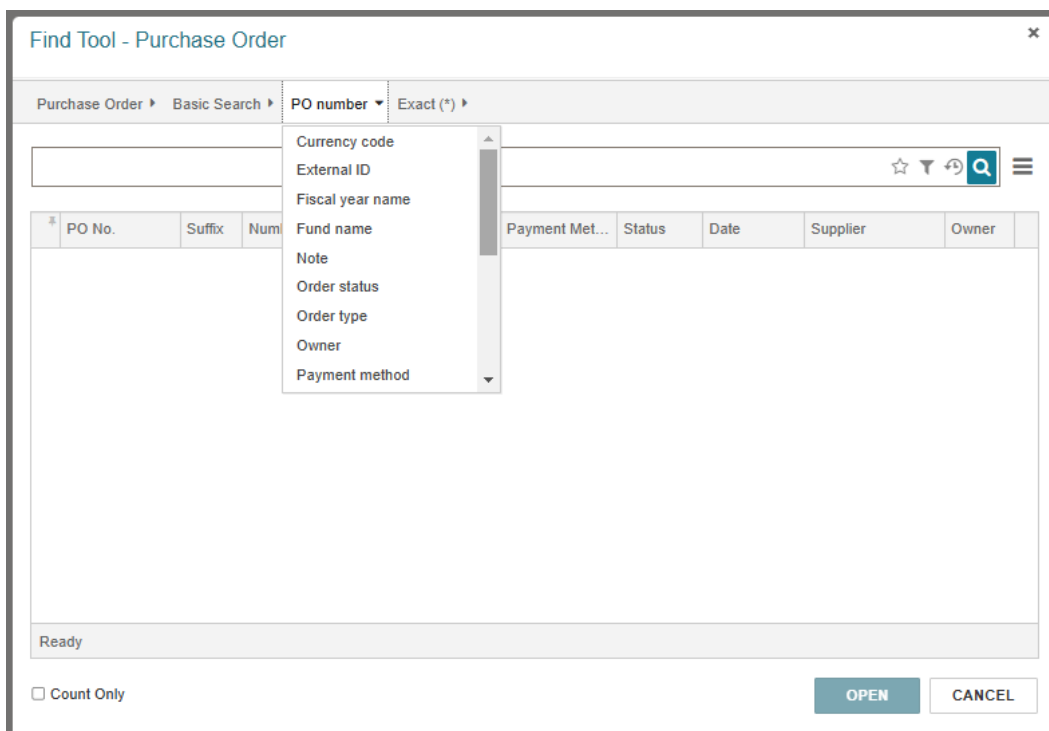
Staff members can choose to Uncheck the "Display in PAC" flag on the bibliographic record. Alternatively, if there are no other items on the bibliographic record, an authorized staff member could mark the bib for deletion – which would mask it from both staff and patrons.

C.11.8 ILS supports searching order records by title, fund, subject, vendor name (or code), invoice, item ID, and order status. Describe what other search options are available.

## INNOVATIVE

Yes.

Polaris has many search access points and filters depending on the type of record being searched for.



Find Tool - Purchase Order

Purchase Order ▸ Basic Search ▸ PO number ▾ Exact (\*) ▸

Search bar: [ ]

Dropdown menu options: Currency code, External ID, Fiscal year name, Fund name, Note, Order status, Order type, Owner, Payment method

| PO No. | Suffix | Num | Fund name | Note | Order status | Order type | Owner | Payment method | Payment Met... | Status | Date | Supplier | Owner |
|--------|--------|-----|-----------|------|--------------|------------|-------|----------------|----------------|--------|------|----------|-------|
|        |        |     |           |      |              |            |       |                |                |        |      |          |       |

Ready

☐ Count Only

OPEN CANCEL

**Find Tool - Purchase Order**

Purchase Order ▾ Basic Search ▾ PO number ▾ Exact (\*) ▾

PO date  
**PO number**  
 PO number suffix  
 PO release date  
 Prepaid  
 Purchase Order ID  
 Supplier name  
 Total  
 Transmitted via EDI

☆ 🔍 ↺ Q ≡

| * PO No. | Suffix | Num | Payment Met... | Status | Date | Supplier | Owner |
|----------|--------|-----|----------------|--------|------|----------|-------|
|          |        |     |                |        |      |          |       |

Ready

☐ Count Only

**OPEN** **CANCEL**

C.11.9 Allows searchable notes to be added to order records.

# INNOVATIVE

Yes.

polaris

Scan or search

Q

FIN

New ▾Utilities ▾Help ▾mary.abulencia (RRPL) ▾

CHECK INNEW PATRON

PRINT

Purchase Order Line Item ⓘ

SAVEACTIONS ▾REFRESHCLOSE

My favorite age

By Morrow, Elizabeth, 1873-1955

Purchase order number: [1011](#)Status: ClaimedLine no.: 1

Suffic:Status date: 5/15/2006Bib control number: [409113](#)

ISBN/ISSN:Other no.:Material type:

Details

Segments

Notes

Instructions To Supplier

Claims

Invoices

Funds

Public Note

Non-Public Note

C.11.10 Supports orders of different types (standing, serial, replacement, gift, etc.). Describe order types that are available.

## INNOVATIVE

Yes.

Depending on the funding source, the supplier's arrangement with your library, and the materials being ordered, you can select from the following order types in Polaris:

- Firm orders are used for ordering specific titles that are not published serially. When the order is released, the funds are encumbered. When the items come in, they are received and the line items are copied to the invoice. When the invoice is paid, the funds are expended.
- Donation orders are for ordering items using donated funds. The fund type must be Donation in the Fund Record.
- Gift orders are used when the items are free, and the order is for tracking and reporting purposes. No funds are selected with a gift order, and a gift order cannot be copied to an invoice.
- Standing Order is the order type used exclusively for ordering parts in a monographic series for which there is an overall title, but each volume has its own title. A purchase order line item is linked to the series as a whole. When the purchase order is released, the funds are encumbered for the series as a whole. Or, a standing order can be prepaid. A Serial Holdings Record represents the overall title of the series. When standing order parts come in, they are checked in via Serials, not by receiving in Acquisitions. Each standing order part is linked to a bibliographic record when it is checked in.
- Subscription orders are for paying subscriptions with issues that can be predicted. When subscription issues arrive, they are checked in via Serials, and item records can be generated at check in.
- Blanket Order and Approval Plan types are used when the supplier automatically ships titles under a specific program. For these types, no purchase order is created, and the information is entered in the Invoice workflow.

The following table shows the combinations of order types, payment methods, and fund types that can be used in Polaris.

| Order Type                             | Payment Method       | Available Fund Types |
|----------------------------------------|----------------------|----------------------|
| Firm<br>Subscription<br>Standing Order | Purchase             | Regular<br>Donation  |
| Firm<br>Subscription<br>Standing Order | Depository Agreement | Deposit Account      |
| Gift                                   | Free                 | None                 |
| Donation                               | Purchase             | Donation             |

C.11.13 Supports EDI (electronic data interchange). Proposer shall describe the process for receiving materials ordered through EDI.

## INNOVATIVE

Yes.

The library can receive a whole order, all the items in an order, all copies of specific titles in an order, or certain copies of a title. The library can also use Rapid Receipt to receive multiple purchase order line items from the Invoice workform. If the library sends EDI orders to a vendor that provides an Advanced Shipping Notice, it can receive an entire carton at a time. If the library sends Enriched EDI orders, the circulation staff can check in and receive shelf-ready materials at the same time.

C.11.17 Allows authorized staff to move money between library funds throughout the fiscal year.

## INNOVATIVE

Yes.

From the funds workform authorized staff can adjust fund balances and transfer money.

The screenshot shows the 'Fund' workform for 'Adult Books' with a balance of \$10,095.95. An 'Adjust Fund Balances' dialog box is open, allowing users to select an allocation type: 'Assign Beginning allocation', 'Supplementary allocation' (which is selected), or 'Reduction in allocation'. It includes a text input for 'Amount' (currently \$0.00) and a text area for 'Note'. At the bottom are 'UPDATE FUND' and 'CANCEL' buttons.

The screenshot shows the same 'Fund' workform for 'Adult Books'. A 'Transfer Money' dialog box is open, allowing users to specify the source and destination funds. The 'From' field is set to 'Adult Books (ABOOK)' and the 'To' field is set to 'Adult Media (AMEDIA)'. It includes a text input for 'Amount' (currently \$0.00) and a text area for 'Note'. At the bottom are 'TRANSFER' and 'CANCEL' buttons.

C.11.18 Allows encumbrances and orders be carried from one fiscal year to the next.

## INNOVATIVE

Yes.

Polaris provides a number of options for managing fiscal year rollover. Fiscal years can begin and end on whatever schedule fits the library.

Typically, the library creates a single new fiscal year record at the beginning of a new fiscal year. The fiscal year record simply describes the fiscal year and contains a field for status (open or closed). Attached to each fiscal year record are the individual fund accounts. The fund accounts represent the money: the initial allocation, what amounts have been encumbered and spent as well as the remaining balance.

The fiscal years and their associated funds exist perpetually. Orders and invoices can be purged, but fund accounts exist and are reportable as long as you're on Polaris.

The Fiscal Year Utility allows you to perform the following actions:

- Run fiscal year utility – Create a new fiscal year record that replaces the old fiscal year and relinks the old fiscal year's funds to the new fiscal year, replicating the fund structure. Any amount left in the funds can be carried over into the net fiscal year, or the amount can be zeroed out.
- Replicate fiscal year hierarchy – Replicate the fund structure in the new fiscal year, but keep the old fiscal year open for a time until all money in the linked funds is expended. With this option, funds can be expended in the old fiscal year's funds, but not encumbered. The library can continue to receive, cancel, and invoice in the current fiscal year using the old funds, while ordering, receiving, and invoices in the new fiscal year using the new funds.
- Close fiscal year – This closes the current fiscal year and all linked funds.

C.11.20 Supports claiming part(s) of an order.

## INNOVATIVE

Yes.

The library can set up claiming criteria in Polaris, so that if ordered items are not received within a specified period of time, an automatic claim alert is generated and it appears on the Claim Alert List.

Claim Setup

Max Claims

2

Cancel Notice

☒

Print

Auto Cancel Waiting Period

☒

30

Claim Notice

☒

Print

Claim Waiting Period

60

Days After Release/Expected Arrival

30

Days After 1st Claim

Days After 2nd Claim

Days After 3rd Claim

Days After 4th Claim

C.11.21 Supports loading of MARC records with order information in 9XX tags.

## INNOVATIVE

Yes.

You can access vendors' web-based selection tools and databases directly from the main Polaris menu. Using your library's profile on the vendor's site, you can select titles and specify material type, fund, destination library, collection information, and non-public notes. Then, the brief bibliographic records are imported into record sets that can be automatically bulk added to selection lists or purchase orders. As a result, the purchase orders already include bibliographic, fund, and order distribution information.

Polaris has successfully imported MARC records using the following vendor systems:

- Baker & Taylor's Title Source 3
- Brodart's Bibz2.com
- Ingram's iPage
- Midwest Tape

The vendors above support the Polaris designated 970 order distribution tag with the following subfields:

- 970\$I [location]
- 970\$c [collection]
- 970\$f [fund]
- 970\$q [quantity]
- 970\$p [price] (If no 970\$p, Polaris uses 020\$c)
- 970\$n [non-public notes]

Multiple 970 tags are supported in the MARC bib record. Finally, Polaris supports the ability to overlay duplicate identical bibliographic records while retaining (970) order data, so that multiple selectors can work simultaneously in either a centralized or de-centralized acquisitions workflow.



In addition, we have developed Acquisitions API endpoints that can be consumed for automating workflows. These endpoints will automate the creation of purchase orders in Polaris. Our first vendor partner is Baker & Taylor for TS360, with more vendors coming soon.

When you build your cart of titles in TS360 and click submit, a PO will automatically be created in Polaris that contains the line items and relevant data. In other words, once the cart is submitted in TS360, all the setup in Polaris is done automatically.

C.11.22 Provides templates with default values set up in user-specified fields.

## INNOVATIVE

Yes.

Purchase order templates can be created from an existing or a new purchase order. If you use a template that has information in the following fields, the information is retained when you create a purchase order from the template:

- Order number suffix
- Ordered at library name and SAN
- Order type
- Header charge types
- Authorization
- Payment method
- Plan name
- Claim setup
- Supplier
- Discount applied
- Sales tax
- Order note
- Material type (from line item)
- Public and Non-public notes (from line item)
- Instructions to supplier - all information except Order canceled date
- Quantity (from segments)
- Destination (from segments)
- Collections (from segments)
- Funds (from segments)

C.11.27 Allows the creation of order records from scratch.

## INNOVATIVE

Yes.

Library staff can create a new order by either starting from a blank workform or by copying an existing order. Order workforms are based on configurable order templates. You can create as many templates as you like, each preconfigured with pre-filled data. For example, order type, vendor name, account number, special instructions, discounts, funds, etc. can all be pre-entered to streamline the order process. The library can also create purchase order templates with a default line-item distribution grid. The template can be set up with an unlimited number of purchase order line-item segments that each specify the combinations of destination, collection, and fund. Staff members simply add the title information without having to add the distribution information.

C.11.28 Generates order forms on an individual and bulk basis.

## INNOVATIVE

Yes.

Staff can create purchase orders that contain just a single title or a purchase order that has multiple PO line items.

C.11.29 Generates return forms.

## INNOVATIVE

Yes.

A custom report can be created using Microsoft SQL Services. We would be happy to discuss developing a return form as a pre-defined report.

C.11.31 Displays original fund allocations, encumbrances, amounts paid, and remaining balances.

## INNOVATIVE

Yes.

Using fund records linked to a fiscal year record, the library can track encumbrances and expenditures for materials and services. The library can also set up donor funds to track the items that were purchased using these funds. Once the acquisitions budget is set up in Polaris, the funds are available to link to selection lists, purchase orders, and invoices. When the purchase order is released or the invoice is paid, the linked funds are automatically encumbered or expended. There is no limit to the number of funds permitted.

The screenshot shows the Polaris Fund record interface. At the top, there's a navigation bar with 'polaris' and a search bar. Below that, there are tabs for 'CHECK IN' and 'NEW PATRON'. The main content area is titled 'Fund' and includes fields for Name (Adult Books), Alternative name (ABOOK), Type (Regular), Owner (Red Rock Public Library (RRPL)), Balance (\$134,305.93), Fiscal year (Fiscal 2024), and Status (Open || 8/29/2024). There are also checkboxes for 'Transfers' and 'Display', and a link for 'Parent fund: Adult Summary'. Below this, there are tabs for 'Details', 'History', 'Balances', 'Donor', and 'Subfunds'. The 'Balances' tab is selected, showing a table with columns for 'Allocations' and 'Totals'. The 'Allocations' section includes 'Beginning' (\$150,000.00), 'Carryover' (\$0.00), and 'Total Allocated' (\$149,910.00). The 'Totals' section includes 'Currently Encumbered' (\$8,074.64), 'Expended/Debited' (\$7,529.43), 'Percent Expended/Debited' (5.02), and 'Free Balance' (\$134,305.93). To the right, there are sections for 'Encumbrance Limits' and 'Expenditure/Debit Limits', each with input fields for 'Line Item Cannot Exceed', 'Orders Cannot Exceed', 'Fund Cannot Exceed', and 'Exceed Free Balance By'.

C.11.33 Displays the number of order cancellations, number of orders placed, amount encumbered, amount invoiced, number and amount of all invoices paid throughout the fiscal year.

## INNOVATIVE

Yes.

A report can be created in SimplyReports that contains this information.

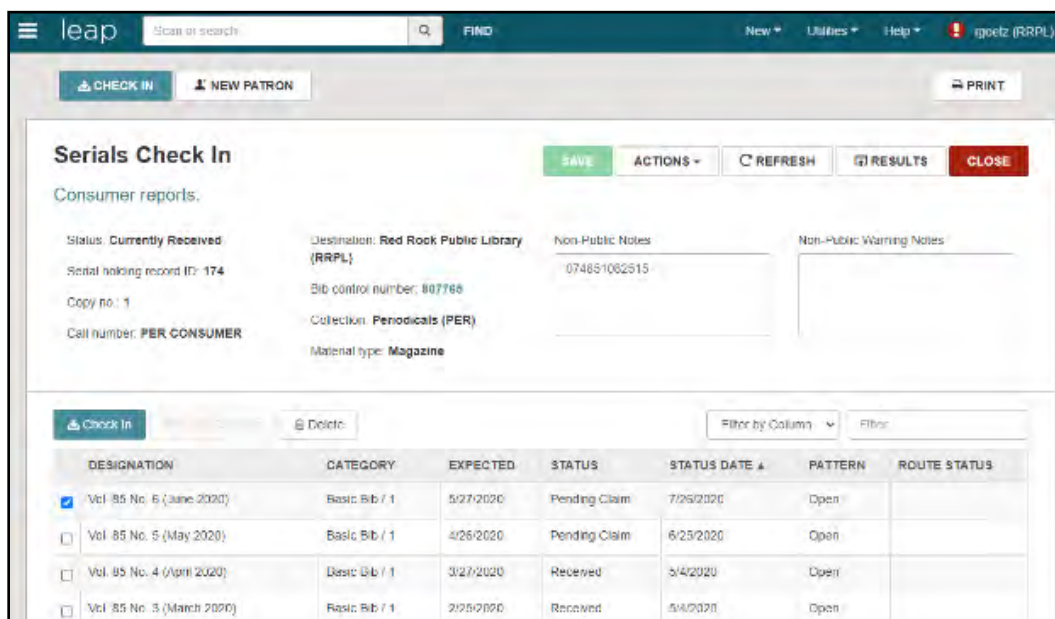
## 12. Serials

Contractor shall describe how serial records are created and modified in the proposed ILS. Contractor shall briefly list and describe the search terms available in the serials staff interface, how serials are received in the ILS, and briefly list the types of media that may be treated as serials in the ILS.

### INNOVATIVE

Polaris provides the tools you need to manage your serials subscriptions easily and efficiently. Polaris Serials Control helps the library manage subscriptions, check in issues, route serials, and claim serials.

Staff can create serial holdings records and publication patterns for automatic prediction and claiming. Staff can check in issues or parts and create item records automatically.



The screenshot shows the 'Serials Check In' interface in the Polaris system. It includes a form for 'Consumer reports' with fields for Status (Currently Received), Serial holding record ID (174), Copy no (1), Cell number (PER CONSUMER), Destination (Red Rock Public Library (RRPL)), Bib control number (807766), Collection (Periodicals (PER)), and Material type (Magazine). There are also fields for Non-Public Notes and Non-Public Warning Notes. Below the form is a table of serial holdings with columns for Designation, Category, Expected, Status, Status Date, Pattern, and Route Status. The table lists four volumes of 'Vol. 85 No. 6 (June 2020)' through 'Vol. 85 No. 3 (March 2020)'.

| DESIGNATION                                                   | CATEGORY      | EXPECTED  | STATUS        | STATUS DATE | PATTERN | ROUTE STATUS |
|---------------------------------------------------------------|---------------|-----------|---------------|-------------|---------|--------------|
| <input checked="" type="checkbox"/> Vol. 85 No. 6 (June 2020) | Basic Bib / 1 | 5/27/2020 | Pending Claim | 7/26/2020   | Open    |              |
| <input type="checkbox"/> Vol. 85 No. 5 (May 2020)             | Basic Bib / 1 | 4/26/2020 | Pending Claim | 6/25/2020   | Open    |              |
| <input type="checkbox"/> Vol. 85 No. 4 (April 2020)           | Basic Bib / 1 | 3/27/2020 | Received      | 5/4/2020    | Open    |              |
| <input type="checkbox"/> Vol. 85 No. 3 (March 2020)           | Basic Bib / 1 | 2/25/2020 | Received      | 5/4/2020    | Open    |              |

Serials bibliographic records can be found by limiting the search to find only those records with a material type of serial, so the results show only serial titles. When the serial title is located, staff can right-click on the title and create a serials holdings record. Then, publication pattern templates can be used to apply publication patterns to new holdings records. Serial issues are generated automatically from the publication pattern.

**Predict Issues/Parts**

The following issues/parts will be created:

| DESIGNATION                    | PUBLICATION DATE | EXPECTED ARRIVAL DATE |
|--------------------------------|------------------|-----------------------|
| Vol. 85 No. 5 (May 2021)       | 5/1/2021         | 4/26/2021             |
| Vol. 85 No. 6 (June 2021)      | 6/1/2021         | 5/27/2021             |
| Vol. 86 No. 7 (July 2021)      | 7/1/2021         | 6/26/2021             |
| Vol. 86 No. 8 (August 2021)    | 8/1/2021         | 7/27/2021             |
| Vol. 86 No. 9 (September 2021) | 9/1/2021         | 8/27/2021             |

**CONTINUE** **CANCEL**

## Narrative Descriptions for Exhibit F – Functional Requirements – Serials

C.12.1 Provides templates for common publishing patterns.

### INNOVATIVE

Yes.

You can create a new publication pattern for a serial title by specifying the enumeration, chronology, frequency and regularity. After you set up a publication pattern, you can save it as a template.

**polaris** Scan or search **FIND** New Utilities Help mary.abulencia (RRPL)

**CHECK IN** **NEW PATRON** **PRINT**

### New Publication Pattern - 1

**SAVE** **CLOSE**

Category  
Basic Bibliographic Unit

**Details** **Designation** **Regularity Pattern**

**Options**

Arrival Pattern  Days  Publication  Issues to Predict  Unit Price

☐ Generate Items at Check In ☐ Prompt for Barcode

**Notes**

Type of Supplement or Index

Textual Holdings Note

Textual Holdings Public Note

Textual Holdings Non-Public Note

**polaris** Scan or search **FIND** New Utilities Help mary.abulencia (RRPL)

**CHECK IN** **NEW PATRON** **PRINT**

### New Publication Pattern - 1

**SAVE** **CLOSE**

Category  
Basic Bibliographic Unit

**Details** **Designation** **Regularity Pattern**

**Frequency**  **Start Date**  **End Date**

**Starting Designation**  **Season Hemisphere**

**Chronology Setup**

**+ ADD CHRONOLOGY** **DELETE**

| <input type="checkbox"/> | LEVEL | CAPTION | FORMAT | START VALUE | DISPLAY |
|--------------------------|-------|---------|--------|-------------|---------|
| <input type="checkbox"/> |       |         |        |             |         |

**Enumeration Setup**

**+ ADD ENUMERATION** **DELETE**

| <input type="checkbox"/> | LEVEL | CAPTION | FORMAT | UNITS | CONTINUITY | START VALUE | DISPLAY |
|--------------------------|-------|---------|--------|-------|------------|-------------|---------|
| <input type="checkbox"/> |       |         |        |       |            |             |         |

The screenshot shows the 'New Publication Pattern - 1' form in the Polaris system. The 'Category' is set to 'Basic Bibliographic Unit'. A modal window titled 'Add Regularity Pattern' is open, displaying instructions: 'Valid From and To values include: Year (1753 - 9999), Month (1-12), Season (21-24), Week of month (09, 98, 97, 00, 01, 02, 03, 04, 05), Week of year (1-53), Day of month (1-31), Day of week (su, mo, tu, we, th, fr, sa)'. The modal includes fields for 'Publication Code', 'Calendar Unit', 'From', and 'To', along with 'OK' and 'CANCEL' buttons.

C.12.3 Provides staff and public notes fields.

## INNOVATIVE

Yes.

The screenshot shows the 'Serial Holdings Record' form in the Polaris system. The title is 'Road & track car buyer's guide.' The form includes fields for 'Status: Currently Received', 'Serial holdings record ID: 444', 'Copy no.: 1', 'Destination: Red Rock Public Library (RRPL)', 'Collection: Periodicals (PER)', 'Material type: Magazine', 'Bib control number: 507210', 'Order Type: Subscription', and 'ISSN/ISBN: 1058-5125'. Below these fields is a section for 'Notes' with tabs for 'Details', 'Notes', 'Orders', and 'Claims'. The 'Notes' tab is active, showing four text areas: 'Electronic Access Notes', 'Shared Public Notes', 'Non-Public Notes', and 'Non-Public/Warning Notes'.

C.12.5 Allows staff to generate claims when an issue does not come in.

## INNOVATIVE

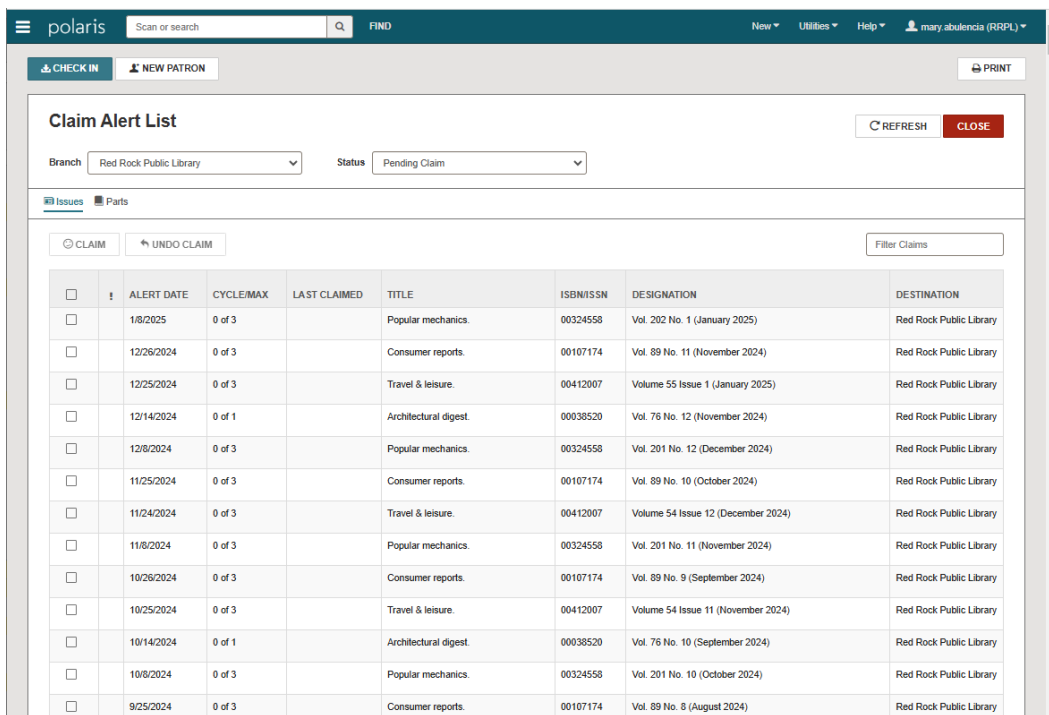
Yes.

Serials claiming can be set up to be manual or automatic, and the claim notification method and text can be set in Polaris Administration.

When issues are automatically claimed, their status changes to Claimed via overnight processing. The claim notices are generated automatically as e-mails or as printable notices, depending on your claiming notification method.

When the claiming method is set to e-mail, the e-mail notices are generated (either by automatic or manual claiming), and they are sent out by the e-mail manager.

The Claim Alert List lists the serial issues/parts that are eligible to be claimed based on the claim alert date in the supplier record and the serial holdings record.



The screenshot shows the Polaris Claim Alert List interface. At the top, there's a navigation bar with 'polaris' and a search bar. Below it, there are tabs for 'CHECK IN' and 'NEW PATRON'. The main section is titled 'Claim Alert List' and includes a 'REFRESH' button and a 'CLOSE' button. There are dropdown menus for 'Branch' (set to 'Red Rock Public Library') and 'Status' (set to 'Pending Claim'). Below these, there are tabs for 'Issues' and 'Parts'. A 'Filter Claims' button is also present. The table below lists various serial issues with columns for selection, alert date, cycle/max, last claimed, title, ISBN/ISSN, designation, and destination.

| <input type="checkbox"/> | ALERT DATE | CYCLE/MAX | LAST CLAIMED | TITLE                 | ISBN/ISSN | DESIGNATION                        | DESTINATION             |
|--------------------------|------------|-----------|--------------|-----------------------|-----------|------------------------------------|-------------------------|
| <input type="checkbox"/> | 1/8/2025   | 0 of 3    |              | Popular mechanics.    | 00324558  | Vol. 202 No. 1 (January 2025)      | Red Rock Public Library |
| <input type="checkbox"/> | 12/26/2024 | 0 of 3    |              | Consumer reports.     | 00107174  | Vol. 89 No. 11 (November 2024)     | Red Rock Public Library |
| <input type="checkbox"/> | 12/25/2024 | 0 of 3    |              | Travel & leisure.     | 00412007  | Volume 55 Issue 1 (January 2025)   | Red Rock Public Library |
| <input type="checkbox"/> | 12/14/2024 | 0 of 1    |              | Architectural digest. | 00038520  | Vol. 76 No. 12 (November 2024)     | Red Rock Public Library |
| <input type="checkbox"/> | 12/8/2024  | 0 of 3    |              | Popular mechanics.    | 00324558  | Vol. 201 No. 12 (December 2024)    | Red Rock Public Library |
| <input type="checkbox"/> | 11/25/2024 | 0 of 3    |              | Consumer reports.     | 00107174  | Vol. 89 No. 10 (October 2024)      | Red Rock Public Library |
| <input type="checkbox"/> | 11/24/2024 | 0 of 3    |              | Travel & leisure.     | 00412007  | Volume 54 Issue 12 (December 2024) | Red Rock Public Library |
| <input type="checkbox"/> | 11/8/2024  | 0 of 3    |              | Popular mechanics.    | 00324558  | Vol. 201 No. 11 (November 2024)    | Red Rock Public Library |
| <input type="checkbox"/> | 10/26/2024 | 0 of 3    |              | Consumer reports.     | 00107174  | Vol. 89 No. 9 (September 2024)     | Red Rock Public Library |
| <input type="checkbox"/> | 10/25/2024 | 0 of 3    |              | Travel & leisure.     | 00412007  | Volume 54 Issue 11 (November 2024) | Red Rock Public Library |
| <input type="checkbox"/> | 10/14/2024 | 0 of 1    |              | Architectural digest. | 00038520  | Vol. 76 No. 10 (September 2024)    | Red Rock Public Library |
| <input type="checkbox"/> | 10/8/2024  | 0 of 3    |              | Popular mechanics.    | 00324558  | Vol. 201 No. 10 (October 2024)     | Red Rock Public Library |
| <input type="checkbox"/> | 9/25/2024  | 0 of 3    |              | Consumer reports.     | 00107174  | Vol. 89 No. 8 (August 2024)        | Red Rock Public Library |



C.12.6 Provides a mechanism for transmitting claims electronically to EBSCO.

## INNOVATIVE

Yes.

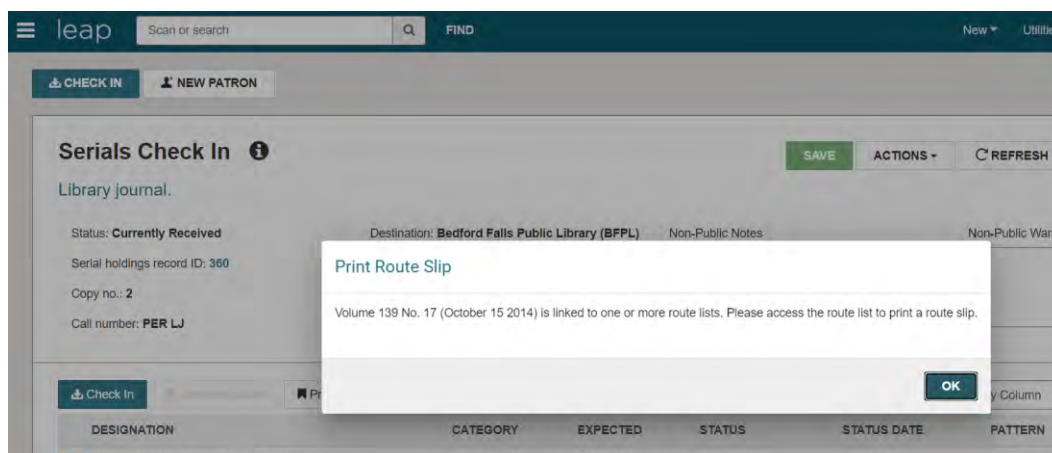
Polaris supports automatic serials claiming with EBSCO via email.

C.12.7 Is able to generate custom routing slips.

## INNOVATIVE

Yes.

Polaris can generate routing slips that are defined for each received copy. When there is a route slip defined for a serial, when you check in an issue, the system prompts to print the route slip.



C.12.9 Is able to migrate serials data from competing ILS platforms.

## INNOVATIVE

Yes.

Since you are currently using the Polaris software, migration services will not be required. This allows continuity of service without disruption to staff or patrons and without the extensive staff effort required to implement and learn new software.

C.12.12 Provides a mechanism for weeding older issues.

## INNOVATIVE

Yes.

Weeding templates allow you to define the criteria that are used to determine if an item is eligible for weeding. Weeding record sets are linked to a template and validate all items added to the record set against the template criteria. The criteria in a weeding template uses item power search functionality to identify a set of eligible item records.

**Weeding Template**

Name: MN - Juv Weeding Report

Owner: Polaris Demonstration System (sys)

Buttons: SAVE, ACTIONS, REFRESH, RESULTS, CLOSE

Details: Mark Items Withdrawn (At Approval), Alert for Last Copy, Delete Approved Items

Buttons: + ADD CRITERIA, DELETE

|                          | NAME                                                             | INCLUSION CRITERIA |
|--------------------------|------------------------------------------------------------------|--------------------|
| <input type="checkbox"/> | Items Older than 5 Years and have been checked out over 20 times |                    |

Weeding criteria sets allow you to define the attributes that specific item records should have to make them eligible for weeding based on this template. One weeding template can have multiple inclusion criteria sets. There is a Boolean operator of "OR" between sets. If a record matches one criteria set and not the others, it is still added to the list. The inclusion criteria create blocks, so you cannot add an item that does not match the power search expression. However, item filters create alerts, so you can continue adding an item even if the item does not match the item filters.

The screenshot shows a web interface for creating weeding criteria. At the top, there's a navigation bar with 'leap' logo, a search bar, and user information. Below this, a header bar contains 'CHECK IN', 'NEW PATRON', and 'PRINT' buttons. The main form is titled 'New Weeding Criteria - 2' and includes a 'SAVE' button and a 'CLOSE' button. The form has several sections: 'Name' with a text input field, 'Details' with a link icon, 'Inclusion Criteria' with a large text area, 'TEST CRITERIA' with a button, and 'Item Filters' with a grid of input fields and dropdown menus for various criteria like 'Newer Than', 'Older Than', 'Lifetime Circulation', and 'Year-to-Date Circulation'.

C.12.13 Provides a mechanism for purging older received issues.

## INNOVATIVE

Yes.

Polaris interprets purging and weeding to be the same. See response to C.12.12 above.

C.12.14 Holdings statements can be edited and are automatically updated when items are added or deleted.

## INNOVATIVE

Yes.

The Summary of Holdings is automatically updated (via an overnight process) when items are added or deleted. Manual edit of the Summary of Holdings Statement is not supported. The Summary of Holdings Statement is edited by checking in or deleting issues.

C.12.16 Allows staff to determine which fields are displayed in the OPAC: enumeration, chronology, or both.

## INNOVATIVE

No.

Vega Discover Premium currently displays the full designation (both enumeration and chronology) for serial item records where both are defined on the Serial Holdings Record. This ensures comprehensive and detailed information is always available to users. This feature enhances the user experience by providing complete and accurate data for each subscription.

## 13. Reports

The proposed ILS must be able to provide detailed reports on all aspects of the ILS (acquisitions, circulation, cataloging, service levels, etc.). This includes reports that provide statistical information as well as reports that modify records in batches. A high-level library system analysis tool that can be used by executive and administrative staff for decision-making purposes shall also be included in the proposal.

## INNOVATIVE

Polaris provides a variety of powerful reporting tools to meet the data-gathering needs of libraries of any size and type. Additionally, the functionality within those reporting provides various reporting options to meet the needs of different users with different requirements and different skill levels. In addition to the great reporting tools within Polaris, the open solution also provides the library with the freedom to manage the dashboard reporting to deliver exactly what is required.

| Library Needs          | Reporting Tool         |
|------------------------|------------------------|
| Standard reporting     | Polaris Report Manager |
| Basic data mining      | Polaris Find Tool      |
| Basic custom reports   | SimplyReports          |
| Complex custom reports | Reporting Services     |

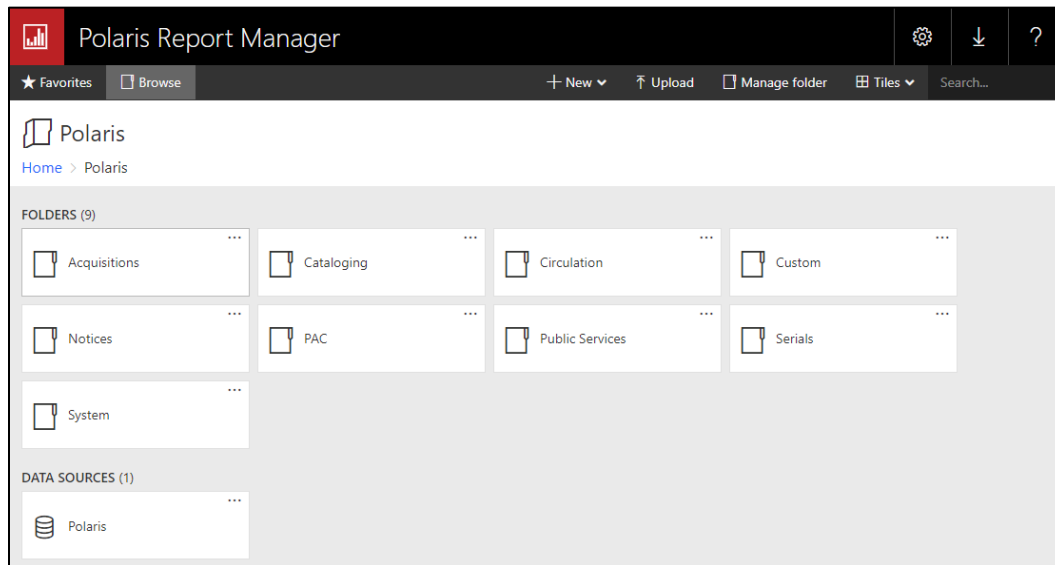
In addition to the reporting tools that come with Polaris, Polaris integrates with LibraryIQ for expanded analytics and also supports connections with business intelligence platforms like Microsoft PowerBI or Tableau for libraries that have licenses for these analytics tools.

## Polaris Report Manager

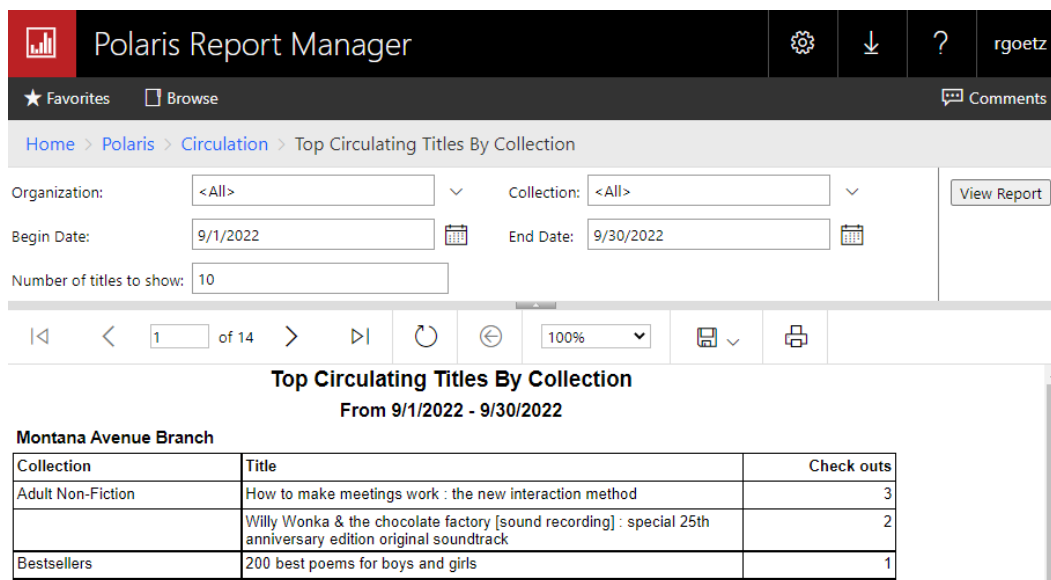
The Polaris Report Manager provides reports designed for use by all library staff. They can be displayed onscreen, or exported to PDF, Excel, and other file formats. More than 270 predefined reports are included with Polaris.

These standard reports run against the live Polaris database, so all data access is real-time. These reports can be customized through the use of tools inherent with reporting in Microsoft SQL Reporting Services. Familiarity with SQL and the Polaris database schema is necessary in order to make changes to the report content.

Polaris uses Microsoft's SQL Reporting Services (described later) to organize and return information in formal, formatted reports. The more than 270 predefined standard reports, organized by subsystem, are available from a browser.



*Polaris Report Manager makes it easy to create, modify and run your custom reports*



**Polaris Report Manager**

★ Favorites Browse Comments

Home > Polaris > Circulation > Top Circulating Titles By Collection

Organization: <All> Collection: <All> View Report

Begin Date: 9/1/2022 End Date: 9/30/2022

Number of titles to show: 10

1 of 14 100%

**Top Circulating Titles By Collection**  
From 9/1/2022 - 9/30/2022

**Montana Avenue Branch**

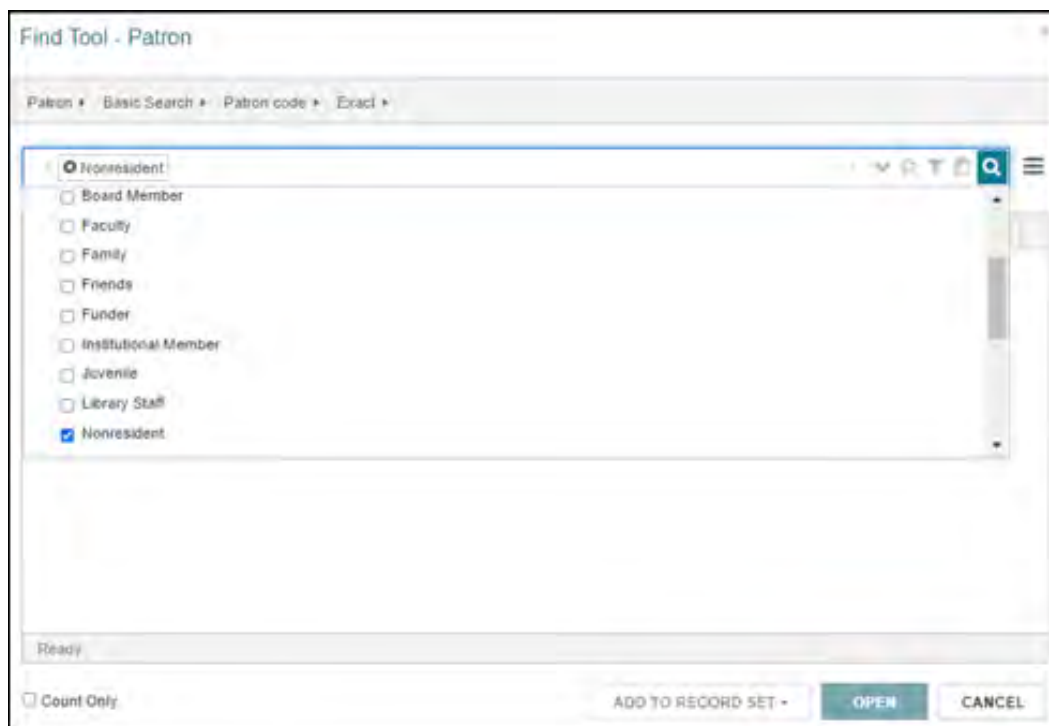
| Collection        | Title                                                                                                        | Check outs |
|-------------------|--------------------------------------------------------------------------------------------------------------|------------|
| Adult Non-Fiction | How to make meetings work : the new interaction method                                                       | 3          |
|                   | Willy Wonka & the chocolate factory [sound recording] : special 25th anniversary edition original soundtrack | 2          |
| Bestsellers       | 200 best poems for boys and girls                                                                            | 1          |

## Polaris Find Tool

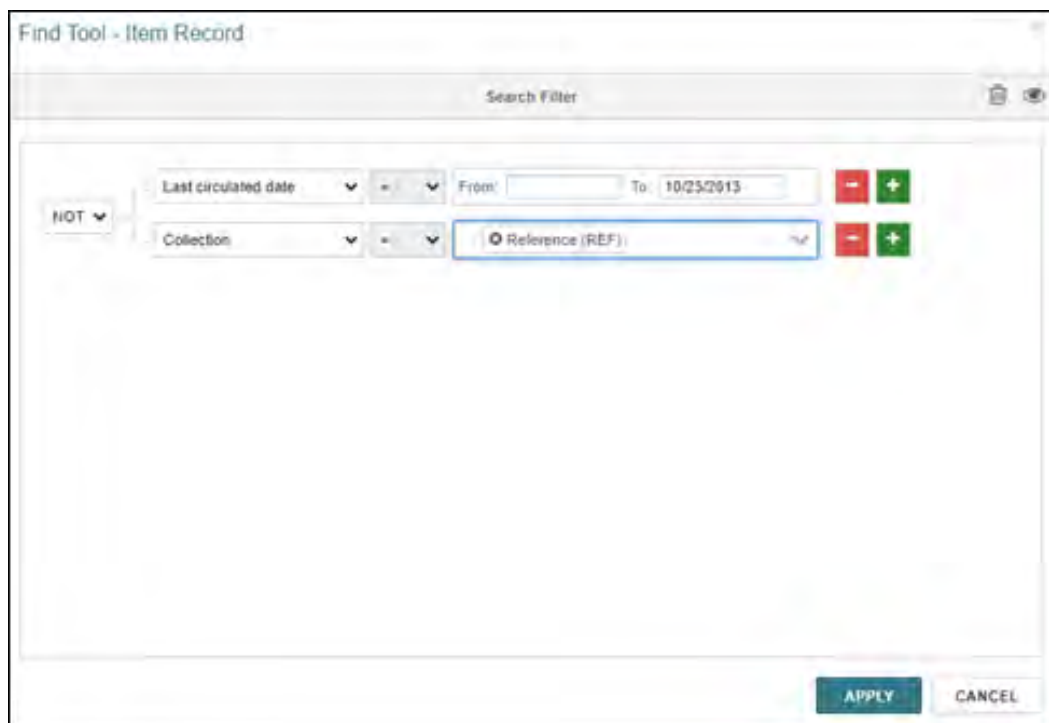
The Polaris Find Tool is a versatile and easy-to-use reporting tool for use by library staff members. Anyone who is familiar with Polaris can use the Find Tool effectively to finely search and filter Polaris data at any level of complexity. The Find Tool accesses the live Polaris database, so all data access is in real-time.

The Polaris Find Tool can be used to search for records with a variety of methods and filters. The Find Tool can also be used for quick snapshots of the library's data. For example, if the library simply needs a count of items last circulated in 2020, the user can run this search and set the Find Tool to show only the record count in the search results.

Simple queries are as easy as performing a search. The Find Tool guides your search options. For example, if you want to generate a report of all patrons assigned the patron code Non-Resident, you select the record type Patron and select the field Patron Code. Polaris then provides a pull-down list of patron codes to select from.



For a more complex query, you might want a weeding report of items at your branch that have not circulated in the past 10 years and that are not part of the non-circulating reference collection. Using the Find Tool's point and click selection of fields, you can perform a basic query by location and filter your report by any criteria you want, including Last Circulated Date and Collection.



The Find Tool even supports your power users, letting them enter SQL queries directly in the Find Tool search box.



## SimplyReports

Polaris SimplyReports opens up the power of the Polaris database management system to all users, regardless of technical skill. Users without knowledge of SQL or Microsoft SQL Reporting Services can create custom reports with a simple Web-based interface. The web-based application can be accessed through any modern web browser.

SimplyReports presents the tables and columns that can be accessed, along with appropriate scoping and filtering criteria that can be applied against those data elements. Various combinations can produce close to 60,000 different custom reports. Once a report is configured, the parameters can be saved for future use. Reports can be executed on demand or scheduled for execution on a daily, weekly, monthly, or annual basis. Groups of reports can also be defined and executed together. Report output files can be generated in a variety of file formats.



To use SimplyReports, you select list, count, or statistical reports in categories such as patrons, patron accounts, holds, items, bibs, and serials. Then you simply select report output columns, sorting options, and filters for the report. Various combinations can produce close to 60,000 custom reports.



Polaris SimplyReports offers these additional functions:

- Save custom report parameters
- Schedule and run reports or groups of reports
- Administer user security and various configuration options
- Manage saved report output files
- Custom reports can be added to the suite of standard Polaris-defined reports.

## Microsoft Reporting Services

Reporting Services is suitable for users who have training in, and are proficient with SQL, and who have been trained with an understanding of the Polaris database schema (structure). This generally means system administrators, as opposed to library line staff, directors, and branch managers. It supports output to SQL tables, flat files, PDF, HTML, Excel, and a wealth of other forms. Reporting Services is not a single application, but rather a technical infrastructure provided by the SQL Server DBMS and the Windows operating system. To access the functions provided through Reporting Services, you must develop reports through the use of a development tool, such as Visual Studio.

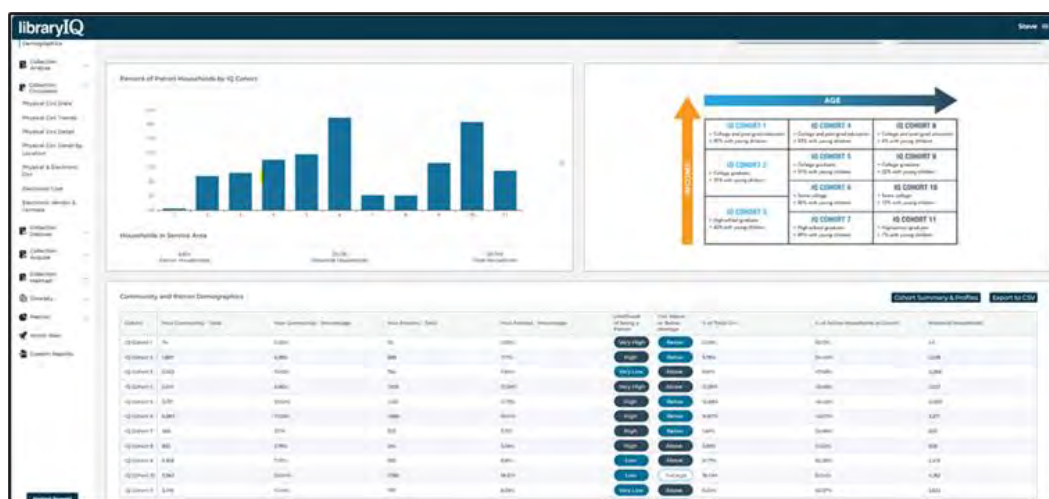
Reports can be delivered through a wide range of mechanisms, including email, local or networked storage, presentation in a web browser, and automatic publication to an Intranet or other web server. Reports can be scheduled to run unattended on a fixed schedule. With SQL Server Enterprise, reports can be “data driven”. In this mode, the report automatically runs when user-defined data criteria are met, such as “run this report when total outstanding fines and fees exceed \$100”.

Reporting Services runs against the live database, so all data are accessed in real-time. Because the license to use Reporting Services is already included in SQL Server, the only cost associated with Reporting Services is the purchase of the development tool (typically Visual Studio) used to build custom reports.

### LibraryIQ Integration *(quoted as an option)*

We have an established partnership with LibraryIQ to provide reporting and analytics for Polaris libraries. The Library IQ platform was designed to complement and enhance the capabilities of your Polaris ILS. From its inception there has been a complimentary relationship between Library IQ and Polaris, ensuring a seamless integration. This makes Library IQ an exceptionally compatible fit for libraries utilizing Polaris as their ILS. Library IQ not only aligns with the robust features of Polaris but also extends its functionality, providing a cohesive and comprehensive data management experience.

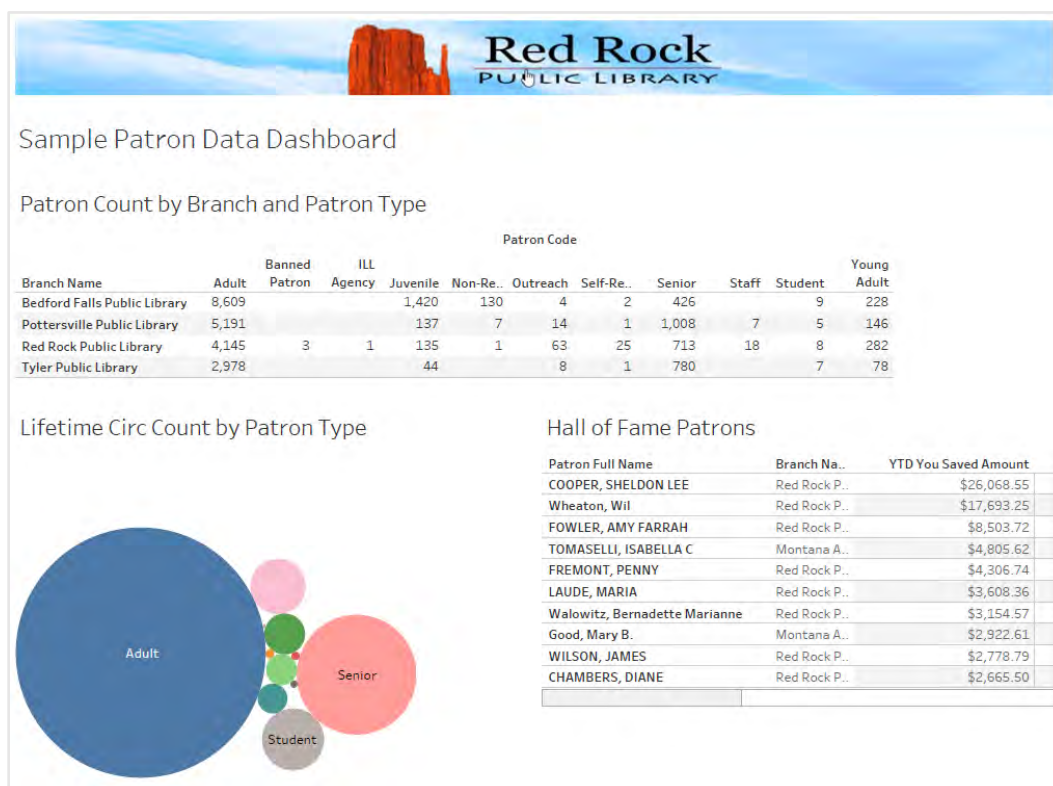
With LibraryIQ, data from the Polaris ILS is synced with LibraryIQ via a read-only connection with the Polaris SQL tables. ILS data is synced once daily. LibraryIQ automatically includes your Polaris data with other data, such as publications, series, BISAC headings, census data, etc. to produce sophisticated analyses of your Polaris data and library activities.



Integration with Polaris lets you use LibraryIQ to generate analytics reports

## Dashboards Using Business Intelligence (BI) Tools

As an open system, Polaris lets you use third-party analytics tools like Tableau or Microsoft Power BI to generate custom dashboards and reports. These tools let you design your required dashboards any way you would like, and provides clean, graphical presentation of your data to your different stakeholders – managers, administrators, executives or even the public. The following is an example of the type of dashboard you can create using the third-party BI tool Tableau to show how the library is used by different demographic groups of patrons.



## Narrative Descriptions for Exhibit F – Functional Requirements – Reports

C.13.1 Can generate lists of recently cataloged materials.

### INNOVATIVE

Yes.

A predefined report is available that identifies the titles that have been added to the library's collection during a specified period of time – **New Titles Imported**.

You can also create a custom report in SimplyReports.

### C.13.2 Can generate headings reports for new and deleted subjects, titles, names, and series.

## INNOVATIVE

Yes.

These reports can be created in SimplyReports.

### C.13.3 Reports details of batch processing errors.

## INNOVATIVE

Yes.

One of the most powerful features on Polaris is the ability to make batch changes to bib, item and patron records. When you initiate a batch change that results in validation errors, Polaris displays a message:

Bulk change processing completed with errors. Consult the bulk change report for details. Report is available for download.

ItemBulkChangeReport\_20240310094140.txt  
3/10/24 9:41:40 AM

ItemBulkChangeReport\_20240310094010.txt  
3/10/24 9:40:10 AM

ItemBulkChangeReport\_20240310093740.txt  
3/10/24 9:37:40 AM

ItemBulkChangeReport\_20240310093207.txt  
3/10/24 9:32:07 AM

| TITLE                                                                                                           | ASSIGN BRANCH           | COLLECTION           | MATERIAL TYPE | SHELF LOCATION | CALL NO.   | VOL. | STATUS    | BARCODE           | ACTIVITY DATE | RECORD STATUS | CONTROL NUMBER |
|-----------------------------------------------------------------------------------------------------------------|-------------------------|----------------------|---------------|----------------|------------|------|-----------|-------------------|---------------|---------------|----------------|
| All the light we can't see : a novel                                                                            | Red Rock Public Library | Adult Fiction (AFIC) | Book          | Fiction        | FIC101H    |      | Hold      | 23044823-65403309 | 2/27/2024     | Final         | 1786676        |
| And there's always a hole                                                                                       | Red Rock Public Library | Adult Fiction (AFIC) | Book          |                | FIC ADIC   |      | Hold      | 3095935-80461     | 3/17/2011     | Final         | 1655510        |
| The bad seed                                                                                                    | Red Rock Public Library | Easy Reader (EL)     | Book          |                |            |      | In-Repeat | 3477000000110     | 9/16/2021     | Final         | 1772702        |
| Beetle and the Tiesman                                                                                          | Red Rock Public Library | Adult Fiction (AFIC) | Book          | Mystery        | MYS FIC10V |      | Hold      | 9059000205567     | 7/12/2011     | Final         | 1634836        |
| The couch potato                                                                                                | Red Rock Public Library | Easy Reader (EL)     | Books         |                | EL Jean    |      | In-Repeat | 3477000000111     | 9/16/2021     | Final         | 1772704        |
| Don't eat me, Chiquitarral : [for me comes Chiquitarral] : a delicious story with delightful Spanish vocabulary | Red Rock Public Library | Easy Reader (EL)     | Book          |                | EE         |      | In-Repeat | 3477000000102     | 9/16/2021     | Final         | 1772774        |

The error report for this particular batch change looks like this:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <p style="text-align: center;"><b>BULK CHANGE REPORT</b><br/>3/11/2024 8:45:32 AM</p>                                                                                                                                                                                                                                                                                                                                                                                                        |  |
| <p><b>GENERAL INFORMATION:</b></p> <p>User name: dennis.todd</p> <p>Processed record set name: Change item circ status to In Repair</p> <p>Processed record set owner: dennis.todd</p> <p>Error record set name:</p> <p>Error record set owner:</p> <p>*****</p>                                                                                                                                                                                                                             |  |
| <p><b>SUMMARY OF CHANGES:</b></p> <p>Circulation status: In-Repair</p> <p>*****</p>                                                                                                                                                                                                                                                                                                                                                                                                          |  |
| <p><b>STATISTICS:</b></p> <p>Processing time: 00 hours 00 minutes 00 seconds</p> <p>Number of items processed: 13</p> <p>Number of items with errors (partial changes may apply): 7</p> <p>Number of reserve items with errors (partial changes may apply): 0</p> <p>Number of eContent items with errors (partial changes may apply): 0</p> <p>Number of items unchanged due to permission errors: 0</p> <p>*****</p>                                                                       |  |
| <p><b>ERROR DETAILS:</b></p> <p>*****</p> <p>Item Record: 1634816</p> <p>Barcode number: 30669000208567</p> <p>Title: Bertie and the Tinman</p> <p>Reason(s):</p> <p style="padding-left: 40px;">Error - Circulation status change violation: Status was Held</p> <p>Item Record: 1656519</p> <p>Barcode number: 39999038459451</p> <p>Title: And thereby hangs a tale</p> <p>Reason(s):</p> <p style="padding-left: 40px;">Error - Circulation status change violation: Status was Held</p> |  |

Item Record: 1659376  
Barcode number: 36589222201455  
Title: On the run  
Reason(s):  
Error - Circulation status change violation: Status was Held

Item Record: 1772783  
Barcode number: 34770000000109  
Title: The good egg  
Reason(s):  
Error - Circulation status change violation: Status was Lost

Item Record: 1772873  
Barcode number: 39952005341326  
Title: Goodnight iPad : a parody for the next generation  
Reason(s):  
Error - Circulation status change violation: Status was Held

Item Record: 1785675  
Barcode number: 23984823-90482309  
Title: All the light we cannot see : a novel  
Reason(s):  
Error - Circulation status change violation: Status was Held

Item Record: 1785712  
Barcode number: 29999045457786  
Title: A stroke of midnight : a novel  
Reason(s):  
Error - Circulation status change violation: Status was Held

\*\*\*\*\*

C.13.5 Generates reports of the following data: count of unique bibliographic records; count of item records; count of summary holdings records; count of authority records; count of all records added or deleted by date and MARC format.

## INNOVATIVE

Yes.

These reports can be created in SimplyReports.



C.13.6 Supports export of reports to common data file types (XML, CSV, etc.). List file type export options.

## INNOVATIVE

Yes.

The data that is returned in either pre-defined reports or via Microsoft Reporting Services may be exported in the following formats:

- Adobe pdf
- CSV
- Excel
- HTML 4.0
- MHTML
- TIFF
- Web archive
- XML

For SimplyReports list, count and statistical report types, you can select the following output file types.

- Excel
- Text - When you select Text, you can select the delimiter type: Comma and quote, Tab, Semi-colon, Colon, or Pipe.

If your library uses Export Express in addition to SimplyReports, you can also select the following formats for exporting records from the Item and Bibliographic list reports tabs:

- MARC file - If you select this file type, you select No holdings or Include holdings in the Holdings type box.
- MARC file - custom. If you select this option, you choose a custom export profile in the Profile box.
- Other formats - If you select this option, you choose Dublin Core, MARC XML, or LibraryThing

If your library uses Item or Patron history reports, you can specify the following report output types after entering the report criteria and previewing the history:

- Excel
- Word

C.13.7 Provides robust reporting on circulation activity. Examples: monthly/daily/hourly circulation by library location; total items charged and discharged by location; list items in transit; list/count lost and missing items; list overdue items; list items recalled; list items on hold by location; list items cataloged 'on the fly'; count on-site item usage; list/count overdue items; circulation statistics for individual items and titles (including total charges, renewals, recalls, and holds); individual item transaction history; report of outstanding fines/fees during user specified time frame; statistical reports by item type, call number range, location; list items (limited by item type and location) that have **no** circulation specified date/time; circulation by language; patron activity based on last activity date.

## INNOVATIVE

Yes.

SimplyReports provides many options for gathering detailed data on circulation activity. SimplyReports offers different types of reports, such as lists, counts, and summaries, which can be filtered by date ranges, collection codes, patron codes, and more. The tool provides comprehensive data on patron transactions, holds, items, and more, giving you a complete picture of your library's circulation activity.

C.13.8 Provides reports capable of generating the following acquisitions data: fund names, fund allocations, fund balances, fund encumbrances, funds paid; invoice amounts, invoice dates, invoice lines; order numbers, order amounts, order dates, order lines. Proposer shall describe additional acquisitions reporting capabilities.

## INNOVATIVE

Yes.

SimplyReports allows you to generate detailed reports on acquisition fund records, invoice records, and purchase order records. This includes summaries of total dollar amounts for purchase orders and other financial data.



C.13.9 Provides robust patron reports. Examples include: list/count inactive users; list/count expired users; list/count of delinquent and barred patrons; list/count of patrons by profile.

## INNOVATIVE

Yes.

SimplyReports allows you to generate detailed reports on patron registration, patron status, and patron account transactions. This includes information on holds, items checked out, and other patron activities. You can create list reports, count reports, summary reports, and statistical reports, providing flexibility in how you view and analyze your patron data.

C.13.10 Generates a list of titles whose ratio of holds to holdings exceeds a library specified threshold.

## INNOVATIVE

Yes.

In Polaris, you can generate reports to analyze the ration of holds to items, which helps you understand the demand for specific items in your library.

- Holds Processing Reports – These reports are part of the regular holds processing workflow and can identify high-demand titles, requests awaiting pickup, unclaimed requests, and more.
- Holds Purchase Alert Report – This report can be customized to exclude certain branches or include specific material types. It helps in identifying titles with a high volume of holds.
- SimplyReports – You can use SimplyReports to create a custom holds ratio report. This involves selecting the “Holds” category, choosing the report type (list or count), and defining parameters like date ranges and collection codes.

C.13.11 Generates financial reports that are compatible with SAP's Enterprise Resource Planning (ERP) software.

## INNOVATIVE

Yes.

Integration with a third-party ERP system requires a set of APIs that will provide the necessary hooks to enable the Library to develop, or contract out, their own integration with the third party system. Innovative has worked with multiple ERP systems and is willing to work with the Library to deliver the API functionality needed to support the development.

Note that we have also created some interfaces without the API. You can create custom reports and export those to CSV and send to the vendor.

C.13.12 Generates reports of payments for audit purposes. Briefly list the kinds of information that can be included in the report (patron name, staff login, amount paid, charge description, etc.).

## INNOVATIVE

Yes.

Polaris provides the following pre-defined patron financial reports:

- Billed Patrons – This report identifies patrons who have received a billing notice. The report includes basic item information and the amount owed by each patron, sorted by organization name and patron name.
- Collection Agency Detail – This report lists all patron accounts already reported to the collection agency that show account activity within a specified date range. It shows who has been reported during that time period, even though a patron's standing with regard to the collection agency may have changed after that time period. You can also run it for a time period ending at the current date to get a picture of any patron's current standing with regard to the collection agency. The report lists details of the account activity for each patron, grouped by organization.
- Collection Agency Summary – This report identifies all patrons who have been reported to a collection agency and the amounts they owe, grouped by organization.
- Daily Cash Drawer – This report shows the financial transactions completed on a workstation, including the time of each transaction and the operator. The report includes totals for each type of transaction (Payment, Charge, and Waive), totals for all cash taken in and paid out, and the net balance for the specified time period.

- **Donations – Credit Card Payments** – For a specified date range, this report lists donation payments, including details such as the amount, the purpose, whether the donor wants a printed acknowledgement and if so, the donor's address. The report includes subtotals by organization (the branch the donor has designated to receive the gift).
- **Financial Transaction Summary by Fee Reason** – This report lists patron financial transactions, organized by transaction (fee) reason, for a selected transaction date range.
- **Financial Transaction Summary by Payment Type** – This report is similar to the Financial Transaction Summary by Fee Reason report, but lists only payment transactions.
- **Fines and Fees** – This report lists fines and fees transactions according to transaction type (such as payments, waivers, refunds, and charges), during a specified time period. The report provides detailed information on each transaction, including the transaction date, reason, and amount; the item barcode and title; the computer workstation and operator; the patron barcode; and totals for each transaction type and library. Charges are listed on the report according to the governing library for fine calculation. Payments, credits, and waivers are listed according to the library where the transaction took place.
- **Fines and Fees – Credit Card Payments** – For a specified date range, this report lists payments for charges, including details such as each patron's total payment credit transaction ID, as well as individual charges, the items associated with charges, and the patron barcode. Declined transactions are also listed. The report includes subtotals by organization (the organization associated with individual charges on the patron's account).
- **Fines and Fees Summary** – For a specified date range, this report lists the total amounts for fines and fees transactions (for example, payments, waivers, refunds, and charges), according to transaction type.
- **Fines By Amount** – This report provides basic information about patrons with account charges in a specified range of amounts. Includes the following information for each patron:
  - o Patron barcode
  - o Patron name - Last, First Middle, Suffix
  - o Patron code
  - o E-mail address
  - o Postal address
  - o Phone - Lists all phone numbers and carriers, if appropriate
  - o Charges - The total amount of charges owed.
- **Waived Fines** – This report lists all waived fines during a specified period, including the staff member and computer workstation responsible for each waive transaction. The report groups the auto-waived fines (fines that are automatically waived at check-in, if any) and regularly waived fines (fines manually waived by staff members). The report also includes an auto-waive total, waive total, and grand total for each patron, as well as a total for each organization.

C.13.13 ILS must provide the capability to send accounts to the City's Delinquent Account system.

ILS must use these formats for the following activities:

[New Referrals](#)

See **Exhibit H** (Library Referrals File Layout.xlsx)

[Account Updates](#)

See **Exhibit I** (Library Update File Layout.xlsx)

[Posting Payments from the Delinquent Account System](#)

See **Exhibit J** (Library Payment File Layout.xlsx)

## INNOVATIVE

Yes.

Polaris can integrate with collection agencies like Unique Management Services (UMS), which manage all collection communications with patrons who have overdue accounts.

The Collection Agency Interface allows Polaris libraries to identify and list patrons who are delinquent with material returns or fine payments. The Collection Agency's functions are invoked when a patron owes an amount over a library-defined threshold and for over a library defined period of time. Once Polaris creates a list of these patrons, this list can be sent to Unique Management Services, a materials recovery service. For a per account fee, this library-industry specific firm handles all collection activities to ensure the return of library materials or payment of fines. However, Unique Management Services does not collect material or money; they encourage patrons to settle their accounts with their respective library by mailing notices, making phone calls, or notifying credit agencies, if necessary.

Collection Agency Setup

Control Criteria Details Output

☒ Enable collection agency

☒ Start ☐ Stop

Reporting Type: UMS

Reporting Level: System

Reporting By: Patron Branch

Schedule

Submission report: Daily

Update report: Daily

OK Cancel Apply Help

Collection Agency Setup

Control Criteria Details Output

Cut-off date: 12/4/2013

Fine age (days): 7

Min balance: \$25.00

☒ Min balance based on item fees only

Patron codes to exclude:

- ☒ Adult
- ☐ Adult Basic
- ☐ Adult Premium
- ☒ Banned Patron
- ☒ Faculty
- ☐ Institutional Member
- ☒ Juvenile
- ☒ Nonresident
- ☒ Non-Resident
- ☒ Organization
- ☒ Outreach

Patrons to include:

| Barcode | Name | Branch |
|---------|------|--------|
|---------|------|--------|

OK Cancel Apply Help

Collection Agency Setup

Control Criteria Details Output

Collection agency fees

|                 |                |              |
|-----------------|----------------|--------------|
| 1. From: \$5.00 | To: \$9,999.99 | Amt: \$10.00 |
| 2. From:        | To:            | Amt:         |
| 3. From:        | To:            | Amt:         |

User defined fields to include

- ☐ Drivers License
- ☐ Newsletter
- ☐ Book Club
- ☐ Internet Enabled
- ☐ Voting District

OK Cancel Apply Help

Collection Agency Setup

Control Criteria Details Output

Email

☒ Send email

To: dennis.todd@iii.com

From: polaris.staff@iii.com

☐ Send summary email only

FTP

☐ Enable FTP ☐ Set mode to Active FTP

FTP Server:

Default Folder:

Default Port: 21

User Name:

Password:

☐ Use External Service

Executable: Browse...

Parameters:

Note: Be sure to specify [FTPPFILE] (with brackets) to denote the file substitution in the parameters box. For more information, see help.

Number of days to keep reports: 365

OK Cancel Apply Help

C.13.14 ILS must provide a report of New Referrals that have been sent to the Delinquent Account System. The report should include information such as patron name, patron address, phone number, referral date, and the amount due as well as summary totals.

## INNOVATIVE

Yes.

Polaris provides two pre-defined collection agency reports:

- Collection Agency Detail – This report lists all patron accounts already reported to the collection agency that show account activity within a specified date range. It shows who has been reported during that time period, even though a patron's standing with regard to the collection agency may have changed after that time period. You can also run it for a time period ending at the current date to get a picture of any patron's current standing with regard to the collection agency. The report lists details of the account activity for each patron, grouped by organization.
- Collection Agency Summary – This report identifies all patrons who have been reported to a collection agency and the amounts they owe, grouped by organization.

C.13.15 ILS must provide a report of account updates that have been sent to the Delinquent Account System. The report should include information such as patron name, patron address, phone number, referral date, and the amount due as well as summary totals.

## INNOVATIVE

Yes.

See response to [C.13.14](#) above.

C.13.16 ILS must provide a report of account payment postings from the Delinquent Account System. The report should include information such as patron name, patron address, phone number, referral date, and the payment amount as well as summary totals.

## INNOVATIVE

Yes.

See response to [C.13.14](#) above.

C.13.18 ILS should not allow payments on accounts that have been sent to collections.

## INNOVATIVE

Yes.

Polaris allows you to secure a patron record so that the patron is restricted from most library activity.

C.13.19 ILS provides a means of scheduling reports to run on a regular basis (daily, weekly, and monthly).

## INNOVATIVE

Yes.

SimplyReports supports adding reports to schedules, removing reports from schedules, and editing these schedule options:

- Change the name of the schedule
- Change the description of the schedule
- Change the schedule's start date
- Change the date for the schedule to stop
- Change the schedule for running the report.

You can also schedule Polaris Report Manager reports to run automatically and can subscribe one or more users to receive the reports via e-mail as shown below.

**Polaris Report Manager**

★ Favorites □ Browse

**Edit Schedule**

Home > Polaris > Circulation > Circulation By Items Assigned Branch > Manage > Subscriptions > New Subscription > Edit Schedule

**Schedule details**  
Choose whether to run the report on an hourly, daily, weekly, monthly, or one time basis.

① All times are expressed in (UTC-07:00) Pacific Daylight Time.

☐ Hour ☒ Day ☐ Week ☐ Month ☐ Once

**Daily schedule**

☐ On the following days:  
☒ Sun ☒ Mon ☒ Tue ☒ Wed ☒ Thu ☒ Fri ☒ Sat

☐ Every weekday

☒ Repeat after this number of days:

Start time:  :  AM

**Start and end dates**  
Specify the date to start and optionally end this schedule.

Begin running this schedule on:

☐ Stop this schedule on:

**Apply** **Cancel**

**C.13.20** Provides a high level statistical reporting tool that enables executive staff to make informed decisions about collection management and library operations. Proposer shall describe the reports that are available.

## INNOVATIVE

Yes.

Polaris provides a variety of powerful reporting tools to meet the data-gathering needs of libraries of any size and type. Additionally, the functionality within those reporting provides various reporting options to meet the needs of different users with different requirements and different skill levels. In addition to the great reporting tools within Polaris, the open solution also provides the library with the freedom to manage the dashboard reporting to deliver exactly what is required.



| Library Needs          | Reporting Tool         |
|------------------------|------------------------|
| Standard reporting     | Polaris Report Manager |
| Basic data mining      | Polaris Find Tool      |
| Basic custom reports   | SimplyReports          |
| Complex custom reports | Reporting Services     |

In addition to the reporting tools that come with Polaris, Polaris integrates with LibraryIQ for expanded analytics and also supports connections with business intelligence platforms like Microsoft PowerBI or Tableau for libraries that have licenses for these analytics tools.

Full descriptions are provided at the beginning of this section (see [here](#)).

**C.13.22** Generates reports of orders created in a specific time frame and/or with a specific status.

## INNOVATIVE

Yes.

SimplyReports offers robust capabilities for generating order reports, which can be particularly useful for managing acquisitions and tracking purchase orders.

- Order List Reports – These reports provide detailed information on individual purchase orders, including order dates, vendor details, item titles, quantities, and costs.
- Order Summary Reports – These reports offer a summarized view of purchase orders, allowing you to see total amounts spent, number of items ordered, and other aggregated data

You can apply various filters to your reports, such as date ranges, vendor codes, fund codes, and more, to tailor the data to your specific needs.

**C.13.23** Generates fund summary reports, including such information as allocation, encumbrances, on order, expenditures, and remaining balance.

## INNOVATIVE

Yes.

SimplyReports provides robust capabilities for generating fund summary reports, which are essential for managing and tracking library budgets and expenditures. These reports offer a summarized view of your library's funds, including total allocations, expenditures, encumbrances, and remaining balances. You can apply various filters to your reports, such as date ranges, fund codes, and library branches, to tailor the data to your specific needs.

C.13.24 Generates bill payment reports, including details about payment method (cash, check, credit card, etc.), payment location, bill type, payment library/workstation/selfcheck, and date of bill.

## INNOVATIVE

Yes.

See response to [C.13.12](#) for details.

C.13.25 Identifies all bibliographic records that are overlaid as a result of a batch load.

## INNOVATIVE

Yes.

After records have been imported, you can check the import report to see if there were duplicates. If you have specified a record set for the imported records, you can review all the imported records in one place. You can also make any necessary global changes to all the records in the record set.

C.13.26 Provides a mechanism for rebalancing floating collections. Proposer shall describe how this mechanism works.

## INNOVATIVE

Yes.

While many systems provide floating options for your collections, Polaris provides for a managed float. With Polaris floating you can provide for load balancing, and configure floating options at the individual library level, determine what collections are eligible to float and the receiving limits by material type. Floating collection balancing is automatically done by the software as items are checked in. The items are either allowed to float or, if the item is not needed (based on the load balancing algorithms), it is routed to the location that needs it the most.

C.13.27 Integrates with CollectionHQ reporting requirements.

## INNOVATIVE

Yes.

Polaris data is exchanged with CollectionHQ using SimplyReports/Export Express.

C.13.28 MARC record/item/user exports to 3rd party software, i.e. Innovative's INN-Reach DCB server.

## INNOVATIVE

Yes.

The magic of Polaris is that both LINK+ and SD Circuit (INN-Reach) is directly integrated into the Polaris staff workflows through the use of APIs. The INN-Reach Resource Sharing Broker (RSB/DCB) is not required.

## 14. Support, Maintenance, and Updates

Contractor shall provide an overview of customer support services that are included in the proposal, and what level of technical support is provided as part of the annual ILS maintenance fees. Contractor shall describe how reported problems are handled from intake to resolution, what is the maximum guaranteed response and resolution time for reported incidents, commensurate service credits for failure to meet incident response and resolution times, how often ILS updates are scheduled, and if there are there any procedures library staff must follow to complete routine updates. Contractor shall describe the make-up and governance of the ILS user group, including any email or listerv provided through this group. Contractor must provide the minimum advance notice provided to the library when scheduled ILS maintenance or upgrades will impact library operations.

## INNOVATIVE

We continually strive to provide the highest level of support possible. The focal point of our support model and a key differentiator is that we focus on establishing a personal relationship with our customers through your dedicated Polaris Site Manager. Your Site Manager is assigned to your library to be your first and main contact with our Support team. All Site Managers hold MLS degrees and have experience working in public libraries like yours. Additionally, the Polaris Site Manager is supported internally by our applications support team as well as our technical support team as resources for more in-depth issues or escalation if necessary. This personalized service detail sets Polaris apart from all other ILS solutions on the market today.

While your Polaris Site Manager is a point of contact for support issues, you always have access to support whenever you need it. Innovative provides applications support during standard business hours for your country (8am-5pm Mon-Fri), as well as emergency technical support 24 hours a day, seven days a week, 365 days a year. Our support can be reached online through Innovative's Customer Support Center, e-mail, or toll-free telephone number.

### Agile Ticket Response and Escalation

Our goal is to provide extraordinary customer service to our customers. Innovative follows a clearly documented escalation process to ensure your support ticket is placed in an expert queue and addressed by cross-functional teams, product experts, and subject matter experts. Our team works consistently to build deeper product expertise and consortia support within the Customer Support Department.

All tickets are submitted and viewed in the Customer Support Center, an online portal that provides exclusive access to the Help Desk as well as inside product knowledge and resources. The ticket page features all the information pertaining to the ticket including a description of the issue, pertinent attachments, and comments from Innovative and the Library. This allows libraries to review support activities at any time without having to wait for periodic service reports.

For service requests requiring immediate assistance, Innovative recommends that libraries contact the Help Desk by phone or log a detailed ticket with the urgency of Site Down in the Customer Support Center. An automated response acknowledges the request, and a Help Desk staff member will then contact you based on the priority of your service request. Library coordinators are encouraged to give specific examples of problems to expedite resolutions.

Our support response time goals are as follows:

| Priority   | Response         | Criteria                                                                                                                                                                                                                                                                               |
|------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 1 | 1 Business Hour  | A major component of the software is in a non-responsive state and severely affects library productivity or operations. A high impact problem that affects the entire library system. Widespread system availability, production system is down.                                       |
| Severity 2 | 4 Business Hours | Any component failure or loss of functionality not covered in Severity 1 that is hindering operations, such as, but not limited to: excessively slow response time, functionality degradation, error messages, backup problems, or issues affecting the use of the module or the data. |
| Severity 3 | 2 Business Days  | An issue (other than a Severity 1 or 2) which (a) has no direct and material impact on business processes, (b) has an impact only on a segment of users, or (c) does not yet disrupt time-critical business processes.                                                                 |

|            |                                        |                                                                                                                                                                                                                                                                                               |
|------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 4 | As promptly as is reasonably practical | Non-performance related incidents, including general questions, requests for information, documentation questions, enhancement requests. These will be logged but no immediate action will be taken. We will generally monitor the situation but will not be obliged to provide any solution. |
|------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Service tickets are monitored by support managers and will be escalated to the executive level if necessary for additional resource allocation for prompt resolution of the issue. You can escalate support tickets at any time by following the escalation processes in the Customer Support Center.

### Additional Support Features

Beyond the traditional help desk services, Innovative offers a variety of additional support.

- Polaris Documentation – online, fully-navigable Polaris documentation with no login required.
- Innovative’s Training and Learning Center – a collection of free quality training materials including articles, agendas, checklists, videos and more, organized in an easy-to-use webpage with no login required.
- A growing knowledgebase of Customer Support solutions – this knowledgebase repository provides solutions to frequently asked questions, how-to instructions, and answers to common support tickets.
- A host of independently run user groups are an additional source of interactive feedback to learn more about Innovative products. Innovative has partnered with the Innovative Users Group (IUG) on a process for customer-driven innovation managed through our Idea Exchange. This collaborative online forum facilitates the submission of ideas and allows voting and commenting on them with an annual process to prioritize top ideas for development.

### Updates

Through our Agile development process, Innovative releases Polaris software updates approximately semi-annually, which include enhancements as well as any maintenance fixes that are needed. Polaris updates are scheduled with each customer to occur at a time and date that will have minimal impact on library operations. Prior to the upgrade, Innovative provides the library with a written overview of the upgrade process, the time required to complete the upgrade, tasks to be conducted by Innovative staff, tasks to be conducted by the library’s staff, and any necessary testing that must be performed.

With the Vega LX platform, a true multi-tenant SaaS solution, updates are released every two weeks through our continuous development processes and are automatically applied to the platform.

## User Group

Innovative customers are a part of the Innovative Users Group (IUG), one of the most active user groups in the industry. The IUG was founded in 1991 as an international organization of member libraries who use the Innovative Interfaces Incorporated integrated library software. It is an independent organization from Innovative Interfaces.

- Online Clearinghouse

This database-driven resource allows greater searching capabilities than a clearinghouse made up of static webpages. IUG members have a centralized resource for sharing public and staff tutorials, locally produced manuals, presentations, and locally written scripting applications for Innovative software. This site is located at <https://forum.innovativeusers.org/c/clearinghouse-repository/11>.

- Annual Conference

The Innovative Users Group coordinated the first annual Users Group Conference in 1993.

Each year, Innovative users present dozens of sessions on creative and effective use of Innovative's products and services, providing the opportunity for users to share among themselves and with the Innovative staff the various ways in which the system is being implemented in public libraries.

In addition to the myriad of presentations, Innovative's staff discusses the company's plans for future system enhancements, gives presentations on product "tips and tricks," and meets with users to learn about their needs and future expectations.

- IUG Forum

The IUG Forum is not operated by Innovative and stays independent. Topics discussed by over 2,000 subscribers to the discussion list focus on implementation issues, hardware platforms, telecommunications, suggestions for new enhancements, library staff functions, announcing local projects, posting notices of upcoming users group meetings, etc.

- Idea Exchange

Innovative uses Idea Exchange, a product development community where customers can share feedback and ideas that inform the development of our solutions. Rather than contracting for custom development for your individual needs, this process lets you brainstorm with other Polaris libraries to collectively devise better solutions.

Idea Exchange is accessible from the Innovative Users Group (IUG) webpage as well as the Customer Support Center. Idea Exchange is a community innovation environment, designed for users to submit, discuss, and vote on ideas to improve solutions for libraries.

## Narrative Descriptions for Exhibit F – Functional Requirements – Support

C.14.1 Proposer provides live telephone customer support 24 hours per day, 7 days a week, including California State and U.S. Federal holidays.

### INNOVATIVE

Yes.

Innovative provides applications support during standard business hours for your country (8am-5pm Mon-Fri), as well as emergency technical support 24 hours a day, seven days a week, 365 days a year. Our support can be reached online through Innovative's Customer Support Center, e-mail, or toll-free telephone number.

C.14.2 Proposer provides an online ticketing system for reporting technical issues, scheduling upgrades, and requesting information.

### INNOVATIVE

Yes.

Whenever a support request is submitted, a ticket number is created and that ticket is placed in an expert queue. Once a ticket is created, it can be viewed from the online Customer Support Center at any time, along with any other tickets the library has submitted and are on-going to review status. The ticket page is where all of the information pertaining to the ticket can be found, including a description of the issue, pertinent attachments, and comments from Innovative and the library. This is where actions leading to resolution are noted and where the library will come for updates on the status of the ticket. Past tickets can also be reviewed including both open and closed tickets. This means that you can review support activities at any time without having to wait for periodic service reports to be sent to you.

C.14.3 Proposer designates a single individual as primary point of contact for library customer service issues.

### INNOVATIVE

Yes.

We continually strive to provide the highest level of support possible. The focal point of our support model and a key differentiator is that we focus on establishing a personal relationship with our customers through your dedicated Polaris Site Manager. Your Site Manager is assigned

to your library to be your first and main contact with our Support team. All Site Managers hold MLS degrees and have experience working in public libraries like yours. Additionally, the Polaris Site Manager is supported internally by our applications support team as well as our technical support team as resources for more in-depth issues or escalation if necessary. This personalized service detail sets Polaris apart from all other ILS solutions on the market today.

While your Polaris Site Manager is a point of contact for support issues, you always have access to support whenever you need it. Innovative provides applications support during standard business hours for your country (8am-5pm Mon-Fri), as well as emergency technical support 24 hours a day, seven days a week, 365 days a year. Our support can be reached online through Innovative's Customer Support Center, e-mail, or toll-free telephone number.

C.14.4 Proposer responds to newly opened online cases within 24 hours, and uses all reasonable endeavors to resolve promptly.

## INNOVATIVE

Yes.

Our support response time goals are as follows:

| Priority   | Response                               | Criteria                                                                                                                                                                                                                                                                                      |
|------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 1 | 1 Business Hour                        | A major component of the software is in a non-responsive state and severely affects library productivity or operations. A high impact problem that affects the entire library system. Widespread system availability, production system is down.                                              |
| Severity 2 | 4 Business Hours                       | Any component failure or loss of functionality not covered in Severity 1 that is hindering operations, such as, but not limited to: excessively slow response time, functionality degradation, error messages, backup problems, or issues affecting the use of the module or the data.        |
| Severity 3 | 2 Business Days                        | An issue (other than a Severity 1 or 2) which (a) has no direct and material impact on business processes, (b) has an impact only on a segment of users, or (c) does not yet disrupt time-critical business processes.                                                                        |
| Severity 4 | As promptly as is reasonably practical | Non-performance related incidents, including general questions, requests for information, documentation questions, enhancement requests. These will be logged but no immediate action will be taken. We will generally monitor the situation but will not be obliged to provide any solution. |



Service tickets are monitored by support managers and will be escalated to the executive level if necessary for additional resource allocation for prompt resolution of the issue. You can escalate support tickets at any time by following the escalation processes in the Customer Support Center.

C.14.5 Proposer works with the library to determine optimal dates and times for scheduled ILS updates, patches, and upgrades.

## INNOVATIVE

Yes.

Polaris updates are scheduled with each customer to occur at a time and date that will have minimal impact on library operations.

C.14.6 Proposer's support site provides technical documentation and user manuals covering ILS setup, configuration, day-to-day operation, and troubleshooting.

## INNOVATIVE

Yes.

Polaris documentation is online and fully-navigable with no login required.

C.14.7 Provides library at least one week's advance written notice of scheduled ILS downtime.

## INNOVATIVE

Yes.

Polaris has no need of scheduled maintenance other than for operating system and database upgrades. Polaris support engineers work with customers to plan these upgrades months in advance and can assist with the actual upgrade. Notification is done via email/phone.

## 15. Data Migration and ILS Implementation

Contractor shall provide an overview—with timeline and notable milestones—of the process by which the data in the current ILS will be extracted, processed as necessary, and migrated to the proposed ILS solution with minimal impacts on library operations and patron services. Contractor shall describe the User Acceptance Testing process that will determine the satisfactoriness of the newly implemented ILS. Factors to be evaluated will include: transaction speed under normal conditions, module functionality, data integrity, and ILS reliability.

### INNOVATIVE

Because you are a fully implemented Polaris customer, the implementation process is considerably simplified. This project would consist of upgrading your system to the current Polaris release and possibly adding Vega Discover.

Since you are currently using the Polaris software, migration services will not be required. This allows continuity of service without disruption to staff or patrons and without the extensive staff effort required to implement and learn new software.

### Narrative Descriptions for Exhibit F – Functional Requirements – Data Migration

C.15.1 Proposer migrates current ILS data to new ILS solution and said solution is fully functional on contracted go live date.

### INNOVATIVE

Yes.

Because Polaris is already installed and operational, full migration to a new system will not be required. All system hosting, maintenance and support services you currently enjoy will continue without interruption and without any risk of migration delays, data loss or cost overruns.

C.15.3 Proposer provides comprehensive on-site training in ILS administration, configuration, and day-to-day use of all modules prior to go live date of new ILS solution. Proposer shall describe training curriculum.

## INNOVATIVE

Yes.

Because we are proposing Polaris, the solution your staff are already using, it will not be necessary to fully retrain your staff. Our offer includes training services for each of the optional products that you select. In addition, we are providing you with 10 virtual hours of training services to cover topics like: circulation, cataloging and/or acquisitions. We can provide customized on-site training for your library staff to address any topics you would like to cover at an additional fee.

C.15.4 Proposer shall agree to user acceptance testing of data migration and ILS implementation.

## INNOVATIVE

Yes.

During your implementation project you had the opportunity to verify that the data load, functionality, response time and system reliability are all to your complete satisfaction. This phase will gave you the opportunity to make any final configuration adjustments that were deemed necessary.

## 16. Training

Integrated Library Systems are complex applications. Contractor shall describe what ILS training will be provided to library staff on an ongoing basis as part of their proposal.

## INNOVATIVE

At Innovative, we understand the importance of training – when you join the Innovative family, when you upgrade to the latest versions of our software, and when you experience change in your library. Innovative believes that ongoing training is key to your success, as such we have included 10 hours of virtual training that can be used for circulation, cataloging or acquisitions training.

In addition, Innovative provides a Training and Learning Center. Our Training and Learning Center is built on LibGuides and provides a single point of access for a wealth of system knowledge and resources. From this dashboard, you can access webinars, documentation, training videos, product roadmaps, release notes, Idea Exchange (enhancement requests), the Customer Support Center, and more. The public areas of this resource are accessible to anyone and can be viewed here: <https://support.iii.com>

## Narrative Descriptions for Exhibit F – Functional Requirements – Training

C.16.1 Proposer provides ILS documentation/training materials (manuals, videos, etc.) that will be made available to staff throughout San Diego Public Library. Proposer shall describe training materials.

### INNOVATIVE

Yes.

Innovative provides a Training and Learning Center. Our Training and Learning Center is built on LibGuides and provides a single point of access for a wealth of system knowledge and resources. From this dashboard, you can access webinars, documentation, training videos, product roadmaps, release notes, Idea Exchange (enhancement requests), the Customer Support Center, and more. The public areas of this resource are accessible to anyone and can be viewed here: <https://support.iii.com>

C.16.2 Proposer offers advanced training and access to API documentation and command line tools. Proposer shall describe and include pricing if there is additional cost.

### INNOVATIVE

Yes.

The Polaris API is well-documented and comprehensive. We have customers who have used our API to do everything from integrating their own open-source discovery layer to implementing a cloud-based telephony system. Industry partners have used the Polaris API to create Facebook integrations, real-time eBook interfaces, and address verification applications.

Some ILS/LMS companies market a very broad suite of APIs because it's the only option they provide for interoperability and customization. Even though they offer a SQL database, they deny or discourage you from accessing your database. Polaris has a comprehensive API; but we also provide you complete access to your SQL database along with documentation which outlines the database elements in plain English. It is also important to note that Polaris offers one API, not a suite of APIs.

The Innovative Developer Network <https://innovative.libguides.com/Developer/Polaris> provides complete documentation as well as an interactive component ("The Developer's Sandbox) where developers can test their queries and get a full response. The Innovative Developer's Network also includes a user forum for peer-to-peer discussions about API development projects.

The full Polaris API documentation can be viewed online here:

<https://documentation.iii.com/polaris/PAPI/current/PAPIService/Default.htm>

C.16.4 Proposer regularly offers instructor-led training sessions (in person or online) in ILS management.

## INNOVATIVE

Throughout the year, Innovative product experts lead live workshops and bootcamps in our virtual classroom and onsite with our customers. Topics include cataloging essentials, SQL reporting, metadata workflows, and modernizing MARC and linked data. Examples of functions you may study include managing a fiscal close, how to pull a custom report, and how to add a library branch.

In addition to core training, Innovative offers short feature sessions such as:

- Cataloging Refresher
- Circulation Refresher
- Serials Refresher
- Creating and Using Import Profiles
- Creating Cataloging and Serials Labels
- Holds/Request A to Z
- Preparing and Executing a Fiscal Year End Rollover
- Setting Up Subscriptions and Standing Orders

## 17. Interoperability/APIs

Contractor shall describe the ways in which the proposed ILS supports data interchange with other information systems. If an Application Programming Interface (API) is available, Contractor shall describe it and indicate if it is provided as part of the proposal or would require additional payment. Describe additional fees, if any, associated with interchange protocols (NCIP, SIP2, etc.) supported by the proposed ILS.

## INNOVATIVE

At Innovative, we seek out and develop relationships with major players both within the library industry and outside. Our goal for third party product support is seamless integration resulting in a smoother workflow. Through reliance on standards whenever possible (such as SIP2, NCIP,

APIs), and through intelligent integration design, Innovative aims to eliminate keystrokes in staff and patron operations, and to eliminate the need to store data in multiple systems. These alliances allow us to deliver more value to our customers in terms of content and in terms of functional capabilities that enhance productivity.

## Integrated Applications

Polaris uses a combination of the SIP2 protocol, custom extensions to SIP2 and the Polaris API to support integration with self-check systems, return chutes, security gates, automated material handling systems, payment and book kiosks, print and PC management solutions and more. The following are some of the systems that have been integrated with Polaris:

| Company/product                  | Description                                                                                                                                                                                                                        |
|----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Bibliotheca 3M                   | Self-check, AHM, security gate, RFID                                                                                                                                                                                               |
| Central Technology icirc™        | Self-checkout                                                                                                                                                                                                                      |
| Checkpoint Systems               | Self-check                                                                                                                                                                                                                         |
| Comprise Technologies            | Public access workstation management, PC reservations, Internet filters, and more.                                                                                                                                                 |
| CybraryN (Computers by Design)   | Public access workstation and print management solutions through the CybraryN product line                                                                                                                                         |
| EnvisionWare                     | Public access workstation and print management solutions (PC Reservations, LPT:One)                                                                                                                                                |
| Evanced Solutions                | Event registration, room reservation, and reading program management                                                                                                                                                               |
| iTeam Resources                  | Printing and public access workstation management                                                                                                                                                                                  |
| Libramation                      | Self-check                                                                                                                                                                                                                         |
| Librarica (CASSIE)               | Public access computing solutions.                                                                                                                                                                                                 |
| Library Automation Technologies  | Self-check, Flashscan.                                                                                                                                                                                                             |
| Logitech                         | Self-check, AHM, security gate, RFID                                                                                                                                                                                               |
| Lyngsoe Library Systems          | Materials handling processes in libraries                                                                                                                                                                                          |
| MK Sorting                       | Materials handling processes in libraries                                                                                                                                                                                          |
| Pharos                           | PC time management, printing kiosk                                                                                                                                                                                                 |
| OCLC Cataloging and ILL services | Polaris integrates with OCLC cataloging workflows. In addition, OCLC automatically receives ILL requests from Polaris and routes the requests to potential lenders. Polaris customers who are OCLC members can use these services. |

|                                |                                                                          |
|--------------------------------|--------------------------------------------------------------------------|
| Plymouth Rocket                | Event Keeper events for automated events-import into the library catalog |
| Public Information Kiosk (PIK) | Branch libraries "in a steel box" for placement everywhere               |
| Quipu                          | eCARD and eRENEW patron self-registration and renewal solutions          |
| Tech Logic                     | Automated check-in, sorting, conveyor system.                            |
| VendPrint, Inc.                | Printing/copying and Public access workstation management                |

### EDI Integrations

Polaris supports the X12 version 4010 standard to transmit purchase orders electronically, load electronic confirmations (or receive confirmations via email) and generate invoices. EDI has been fully tested with the following vendors:

| Company/product            | Description                                                                                                                                                                                        |
|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Audio Book Services        | Receive electronic X12 orders<br>Produce electronic X12 invoices                                                                                                                                   |
| Baker & Taylor             | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices<br>Import of MARC data from Title Source 360 |
| Blackstone Publishing      | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 invoices                                                                                         |
| Brodart Books & Automation | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Product electronic X12 PO confirmations<br>Product electronic X12 invoices<br>Import of MARC data from bibz.com         |
| Children's Plus, Inc.      | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices                                                                                        |
| CVS Midwest Tape           | Receive electronic X12 orders<br>Receive enriched electronic X12 orders                                                                                                                            |

|                         |                                                                                                                                                                                         |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                         | Produce electronic X12 PO confirmations (Planned)<br>Produce electronic X12 invoices                                                                                                    |
| Findaway World          | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices                                                                             |
| Gale-Cengage Learning   | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices                                                                             |
| Ingram Book Company     | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices<br>Import of MARC data from iPage |
| Library Bound           | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                           |
| Library Services Centre | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices                                                                             |
| Micro Marketing LLC     | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                                                     |
| Midwest Library Service | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                                                     |
| Midwest Tape, Inc.      | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices<br>Import of MARC data            |
| Penworthy               | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                                                     |



|                               |                                                                                                                                                                 |
|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Quality Books, Inc.           | Receive electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices                                             |
| Rainbow Books                 | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices           |
| Recorded Books                | Receive electronic X12 orders<br>Receive enriched electronic X12 orders (Planned)<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices |
| Scholastic Library Publishing | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 invoices                                                      |
| United Library Services       | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations<br>Produce electronic X12 invoices           |
| Whitehots, Inc.               | Receive electronic X12 orders<br>Receive enriched electronic X12 orders<br>Produce electronic X12 PO confirmations (email)<br>Produce electronic X12 invoices   |

### e-Commerce Integrations

With both the Polaris PowerPAC and Vega Discover Premium, Polaris allows integration with a range of "Redirect and Postback" third party partners. Using this method, Polaris passes the amount owed to the payment processing service, which manages the financial transaction and send the amount paid to Polaris to record in the patron's fine/fee record. No financial information (credit card, bank information, etc.) is collected, processed or stored by Polaris or by your library. The transaction is exclusively handled between the patron and your selected processing service. The following are some of the systems that have been integrated with Polaris:

- Paypal Payflow
- Jet Pay
- Envisionware
- Comprise

### e-Content Integrations

Using APIs, Vega Discover Premium supports record loading and circulation management (requesting and direct checkout/download) from the following e-content providers:

- 3M cloudLibrary
- Boundless (formerly Axis 360)
- Bolinda BorrowBox
- Hoopla
- OverDrive

### Integrated Catalog Enrichment for Vega Discover Premium

| Company/product               | Description                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Content Café (Baker & Taylor) | Vega Discover Premium allows integration of Content Café book jackets, tables of contents and book reviews (requires a separate Content Café subscription).                                                                                                                                                                                                                                  |
| LibraryThing for Libraries    | Ratings and reviews are supported through Syndetics Unbound and LibraryThing for Libraries. Users can view ratings and reviews from the record display in Vega Discover Premium and can submit their own ratings and reviews directly from the catalog by clicking the link as shown below. Users must have a free LibraryThing account to submit reviews and ratings.                       |
| Syndetic Solutions            | Vega Discover Premium includes Syndetics Unbound at no additional cost. Syndetics content enrichment elements, including cover images, first chapters, reviews, author notes and more are integrated into results displays and full record displays in the Discover interface. A separate subscription to Syndetics Unbound is not required – it's included with your Discover subscription. |

## Narrative Descriptions for Exhibit F – Functional Requirements – Interoperability-APIs

### C.17.2 Supports Standard Interchange Protocol Version 2 (SIP2)

#### INNOVATIVE

Yes.

The Polaris SIP2 implementation allows 3rd party access to patron and circulation information. We support all SIP2 messages and also support 3 additional message pairs for i-Tiva (real time notification update) and EnvisionWare (deposit account messages). Following is the complete listing of SIP2 messages.

Patron Information and Patron Status:

- Patron related message support:
  - o Patron Status
  - o Patron Information
  - o Fee Paid
  - o Patron Enable
  - o Block Patron
  - o Notice update
- Applications can lookup patron information, filter patron access to systems, information, and library resources by several criteria such as birth date, patron code, and supply the application with a plethora of status indicators.
- Polaris has a huge list of third party partners that utilize SIP2 to authorize Wi-Fi access; access public PCs in the library; manage patron financial transactions for printing or fine and fee review, fine and fee payments; validate patron access to telephony systems; and allow patron access to e-book resources such as OverDrive.
- Polaris has implemented several extensions to SIP2 to facilitate a rich user experience. We have implemented individual vendor profiles to help service the specific needs of 3M, EnvisionWare, Comprise, ITG, and i-Tiva thus far.
- Many people use public PCs, Wi-Fi, network utilities such as proxy servers, and information databases in the library. This authentication is optionally recorded in the Polaris database and this statistic can be used for reporting purposes. At a minimum we update the patron's "last used" date in order to avoid patron information from going stale or erroneously culled.

- Along with the standard SIP2 fields we give the additional patron information.
  - o Patron Barcode
  - o Patron Control Number
  - o Patron Birthdate
  - o Patron Code
  - o Patron's Home Library
  - o Patron Statistical Class
  - o 2 Library defined fields
  - o Patron's postal code
  - o Patron Expiration Date
  - o An Expired Patron Flag
  - o The Patron's Expiration Date – All patrons either expired or non-expired, have a registration expiration date. Some applications look at this date and can notify the patron that they are about to expire and pre-empt a customer-like issue.
  - o We offer custom fine and fee details to our vendors. Vendors use this information to pay down the patron account or make deposits to the patron accounts. Vendors can pay individual fines or pay a specific amount on the patron account through the fee paid message.
  - o We have the ability to send fine details, charged item details, held item details, overdue item details. The held item details consist of item barcodes. The specific item detail can be queried by using the item information request to get the current status and location information.

Polaris SIP2 supports the following application activities through SIP2.

- Authenticating or validating patrons. Authentication verifies patron data and allows or disallows activity based on parameters set by the vendor. For example to be sure a user is a registered patron at the library before allowing a download from Overdrive.
- Checking out items to patrons through a remote device such as a self-check station. Support for disc vending is another check-out application supported by SIP2.
- Checking in items, notably in automated sortation systems. Polaris adds a number of fields to the Check In response to help enrich the environment for sortation systems and self-check in devices. If an item needs to be put in-transit or transferred status we indicate the destination locations for the items. If the item is going to be held, then the item is trapped for the hold request and the holding patron information is returned. All of this data can be used by an application to print hold slips or transfer slips for the library. The destination location is also used to help a sortation system sort the item to an appropriate bin for material handling systems.
- Allowing the patron to view account information and renew items (individual or all), as in a self-service kiosk
- Allow placement of Holds – The hold message has 3 "modes". We support the add mode and the update mode. We do not support the delete mode.

- Allowing the patron to pay charges. Print management functions frequently allow the patron to pay money at a remote station for print copies. Some companies, EnvisionWare for example, allow patrons to pay fines.

Innovative offers a free test-bed for vendor and library testing. This reduces the barriers to entry for future third party integration. In our experience working with customers that have migrated from other ILS vendors' SIP2 implementations we have found the performance of the Polaris SIP2 solution to be unparalleled in the industry.

#### C.17.3 Supports NISO Circulation Interchange Protocol (NCIP)

### INNOVATIVE

Yes.

In addition to NCIP as a component in Polaris ILL functions, we are using NCIP as a means of communicating with a number of third-party products and services, including subscription databases, SmartCard solutions, workstation management software, self-service (e.g. self-checkout) machines, and RFID material sorting systems.

#### C.17.4 Supports Z39.50

### INNOVATIVE

Yes.

Polaris is fully compliant with ANSI/NISO Z39.50 version 3.

#### C.17.5 Supports BiblioCore discovery layer

### INNOVATIVE

Yes.

Polaris supports integration with BiblioCore via API.

We have also provided a optional quote for Vega Discover Premium. More detail on Vega Discover Premium is provided in the [Online Public Access Catalog](#) and [Search Capabilities](#) sections.

### C.17.6 Web-based Application Programming Interface (API)

## INNOVATIVE

Yes.

Polaris supports an API that allows external systems to access Polaris-defined functionality. The functionality is exposed via RESTful Web services. The Polaris API features a mix of both read and write function calls. The Polaris API forms the backbone of many of our third-party integrations (social networking, e-resources, third party discovery) and so bidirectional support is a critical component.

The Polaris API (PAPI) Service supports protected methods to secure access to all functions that required authorization. For example, a public catalog search that is open to anyone is not secured while functions that are restricted to authorized staff are secured. The staff member must authenticate with the PAPI service using the AuthenticateStaffUser method over a secure connection.

The Polaris API is well-documented and comprehensive. We have customers who have used our API to do everything from integrating their own open-source discovery layer to implementing a cloud-based telephony system. Industry partners have used the Polaris API to create Facebook integrations, real-time eBook interfaces, and address verification applications.

Some ILS/LMS companies market a very broad suite of APIs because it's the only option they provide for interoperability and customization. Even though they offer a SQL database, they deny or discourage you from accessing your database. Polaris has a comprehensive API; but we also provide you complete access to your SQL database along with documentation which outlines the database elements in plain English. It is also important to note that Polaris offers one API, not a suite of APIs.

The Innovative Developer Network <https://innovative.libguides.com/Developer/Polaris> provides complete documentation as well as an interactive component ("The Developer's Sandbox) where developers can test their queries and get a full response. The Innovative Developer's Network also includes a user forum for peer-to-peer discussions about API development projects.

Polaris API documentation can be viewed online here:

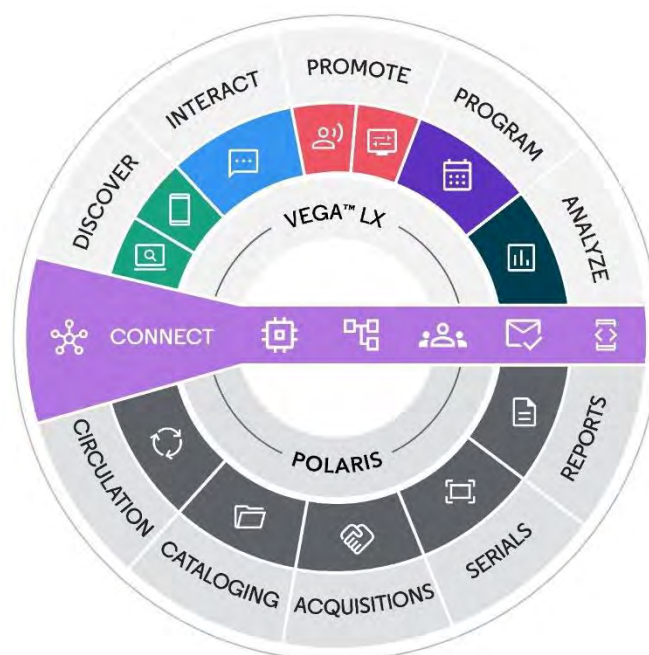
<https://documentation.iii.com/polaris/PAPI/current/PAPIService/Default.htm>

## 18. Customer Experience

Contractor shall describe how their proposed ILS provides a comprehensive patron engagement ecosystem that provides and promotes communication, event management, resource discovery, and personalized customer experiences. Contractor shall describe how the proposed ILS supports a unified approach to marketing, event management, and content discovery, all while promoting community engagement and data-driven decision making for library staff.

### INNOVATIVE

We have designed Vega LX as an extension to the traditional ILS functionality of Polaris, providing a complete unified patron engagement ecosystem for managing your library's needs. Vega LX is an ultramodern platform for public libraries that has been designed to increase engagement and amplify library collections of all types, helping strengthen and advance your crucial position in your community. Vega is unique in the library industry because it is the first platform to be natively BIBFRAME. BIBFRAME formatting allows your rich metadata to live in dynamic, interconnected, smart models that can learn and grow over time and provide your patrons and your community with customized experiences and insights. Each of the "modules" of Vega LX can be implemented one at a time or as a group. Simply select the feature set which will enhance your current patron engagement.



Vega LX is a full experience suite that offers libraries:

- **Library Experience (LX) Starter** – *(Included - Available now)* A modern interface to easily **send dynamic and exciting patron email communications** including circulation notices and other patron messages for account registration, renewals, and anniversaries. LX Starter is included for free with the purchase of any Polaris system.
  - **Innovative Phone Alerts (IPA)** and **SMS Messaging** are available as separately priced options.



- **Vega Discover Premium** – *(Included - Available now)* **A modern search experience** for public library patrons with a simple user interface that displays accurate and relevant search results, with the option to digitally browse related resources, authors, topics, and featured showcases. Additional features include the ability to design your catalog homepage with unique content, post announcements, and build custom showcases to display resources.
- **Innovative Mobile** – *(Included - Available now)* A patron mobile app available for iOS and Android platforms, Innovative Mobile provides advanced features like patron self-checkout
- **Vega Promote** – *(Optional - Available now)* **Digital marketing built for libraries** with our “one-to-many” approach where staff can send targeted and relevant communications to all contacts or audience segments.
- **Vega WebBuilder** – *(Optional - Available now)* **A website builder** that is powered by Wix, a leading global SaaS platform. Libraries benefit from Wix’s total design freedom, enterprise-grade performance, security, and reliable infrastructure. Wix + Clarivate is a powerful partnership that gives your library the creative freedom and rock-solid foundation to transform your website into a marketing, communication and patron engagement powerhouse.
- **Vega Program** – *(Optional - Available now)* **An event and room booking solution** that helps you manage and advertise your offerings more effectively and includes attendee communications and account management options for patrons.
- **Vega Analyze** – *(Optional - Coming Later)* **An analytics platform** that provides the operational intelligence and predictive capabilities necessary for the modern library.
- **Vega Interact** – *(Optional - Coming Later)* **One-on-one conversations with patrons** that include bi-directional information sharing so staff can respond to questions and listen to individual patrons through their preferred communication channel whether it be text, email, chat, or social media.

The Vega LX platform broadens the library’s toolbox, providing the necessary functions needed to fully encompass the users’ needs and to fully manage all aspects of the modern library in the digital world.



## Narrative Descriptions for Exhibit F – Functional Requirements – Customer Experience

C.18.1 Automated notifications via email, SMS, and push notifications (e.g., overdue items, event reminders, new arrivals)

### INNOVATIVE

Yes.

**LX Starter** modernizes email circulation notices by providing an intuitive, web-based interface for designing and sending automated emails.

**Vega Promote** is a digital marketing tool designed for libraries. It allows you to manage contacts, customize segments, and design, schedule, and send marketing emails and library notices. You can create targeted and relevant communications by segmenting contacts based on interests and behaviors. This ensures patrons receive information that is most relevant to them.

**Vega Program** simplifies event planning and management, including attendee communications and program marketing. It handles automated notifications for event registrations, waitlists, and reminders, ensuring attendees are kept informed about their events. When an event is cancelled, you can send a cancellation message.

**Innovative Mobile** allows patrons to manage settings for their push notifications, choosing whether to receive marketing and ILS notifications.

C.18.2 Customizable message templates for various communications (e.g., due date reminders, event updates)

### INNOVATIVE

Yes.

LX Starter includes modern email templates for frequently used patron notices. You can edit the templates to match library branding.

Vega Promote comes with over 50 default email templates for events, announcements, and newsletters.

C.18.3 Event-specific reminders (e.g., registration confirmation, event day reminder, post-event follow-up)

## INNOVATIVE

Yes.

Vega Program supports sending customizable reminders and event feedback emails.

C.18.4 Patron-controlled notification preferences (e.g., opt-in/opt-out of certain alerts)

## INNOVATIVE

Yes.

Vega Promote automatically adds the default footer to every email so it is one less step for libraries. The footer can easily be customized but retains mandatory elements to ensure your emails adhere to email regulations and offer unsubscribe options with automated workflows.

C.18.6 Campaign tools to create, schedule, and send event promotions, library updates, and personalized recommendations

## INNOVATIVE

Yes.

Vega Promote allows library staff to design, schedule, and send email campaigns to all marketing contacts or segmented contacts.

C.18.7 Ability to target specific patron segments (e.g., families, adults, seniors) based on preferences and activity

## INNOVATIVE

Yes.

Vega Promote supports contact list segmentation. With segments, you can target your messaging to better personalize communications for types of users or interests. You can create as many custom segments (sub-groups of contacts) as needed to tailor your communications.

C.18.8 Social media integrations to share events, library news, and updates across platforms like Facebook, Instagram, Twitter, etc.

## INNOVATIVE

Yes.

You can easily share events via email and upload them to your website. Once uploaded, you can use the persistent link to share the event on social media, making it accessible to a wider audience.

Also, Vega Discover supports social media sharing with X and Facebook.

C.18.9 A/B testing and analytics to optimize marketing campaigns

## INNOVATIVE

No.

This is planned for a future release and is on our roadmap that can be viewed at - <https://portal.productboard.com/iii/15-vega-product-portal/tabs/67-promote>.

C.18.10 Centralized, interactive event calendar displaying all upcoming events

## INNOVATIVE

Yes.

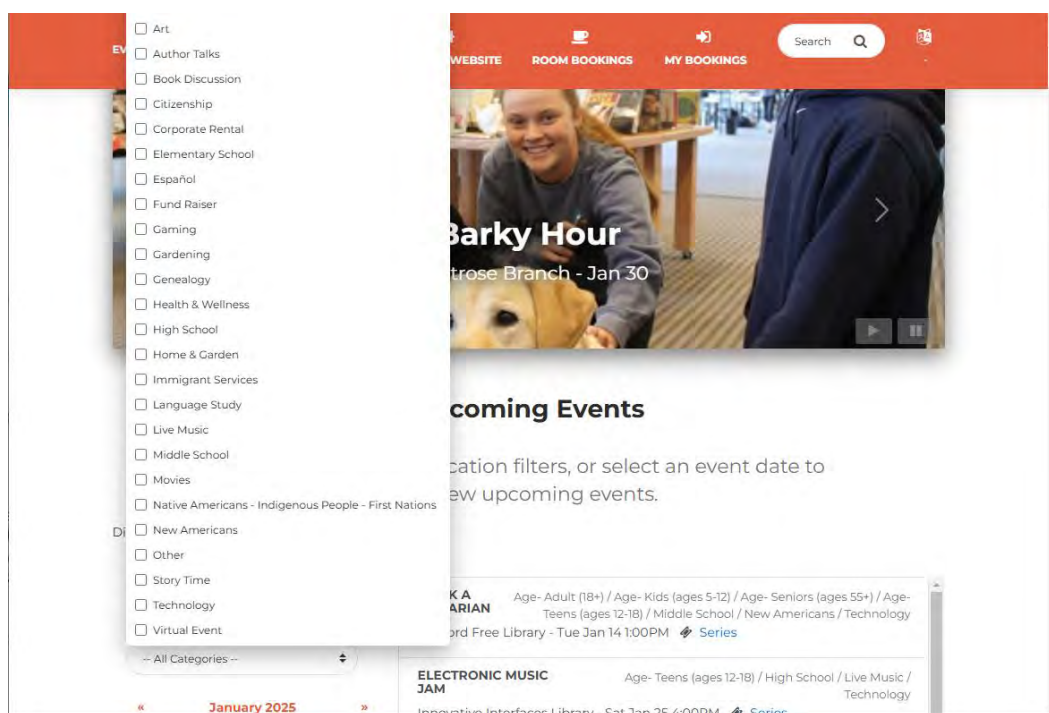
Vega Program supports a library-branded event calendar. You can customize colors and branding, display your featured events in a rotating carousel, and enable users to search upcoming events and filter by library location or event category.

**C.18.11 Filters for easy event discovery (e.g., event type, date range, age group, location)**

## INNOVATIVE

Yes.

In Vega Program, you can apply category and location filters, or select an event date to preview upcoming events.



**C.18.12 Search functionality with advanced filters (e.g., keyword search, category, and tags)**

## INNOVATIVE

Yes.

In Vega Program, you can search by keyword for current, future and past events. You can also filter by category and location.

C.18.13 Integration with library's website, mobile app, and digital signage for consistent event visibility

## INNOVATIVE

Yes.

Vega Program is fully integrated with Vega Discover Premium and Innovative Mobile.

C.18.14 Option for patrons to sync events with personal calendars (e.g., Google Calendar, iCal)

## INNOVATIVE

Yes.

From Vega Program, patrons can download an .ics file to their own device so that an event appears as part of their device's internal calendar application.

C.18.15 Easy-to-use event creation tools with customizable details (e.g., event title, description, image, time, location)

## INNOVATIVE

Yes.

Vega Program includes event management functionality. Library staff have the freedom and flexibility to create a variety of events (recurring, series, in-person, virtual, etc.), set costs and age restrictions, and publish events to the public website. Staff can easily edit details, choose a cover image, and tag events to be prioritized on the public events calendar. Event management also includes an event check-in feature where library staff can use Vega Program to check-in registrants at a live event.

C.18.16 Support for recurring events (e.g., weekly storytimes, monthly book clubs)

## INNOVATIVE

Yes.

In Vega Program, events can be created as part of a series.

C.18.17 Customizable event registration forms (e.g., dietary preferences, accessibility needs)

## INNOVATIVE

Yes.

Vega Program allows you to include custom questions and define whether the answer is required or not.

C.18.18 Ability to add related resources to event pages (e.g., reading materials, event handouts)

## INNOVATIVE

Yes.

Vega Program supports adding resources via links.

C.18.20 Online event registration system with automatic confirmations, reminders, and cancellation options

## INNOVATIVE

Yes.

Vega Program allows patrons to self-register for events and provides registration confirmation, reminders and cancellation notices.

C.18.21 Waitlist management for sold-out events with automated notifications when spots become available

## INNOVATIVE

Yes.

When an event is fully booked, the patron can be added to a waiting list.

When the patron is on the waiting list, they will be notified if tickets become available so they can book their space. If the patron does not claim the ticket within the timeframe allocated, their space will become available to the next person on the waiting list. The duration of this availability

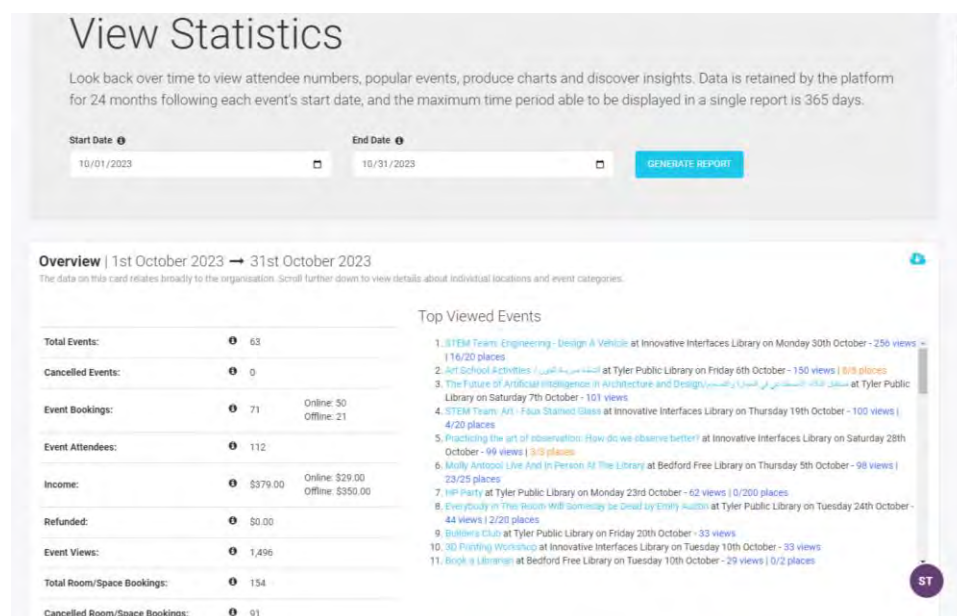
window can be set within the Advanced settings by an Admin. The waiting list functionality runs automatically in the background every 10 minutes. So, once space becomes available, it may take up to 10 minutes for the next in queue to be notified.

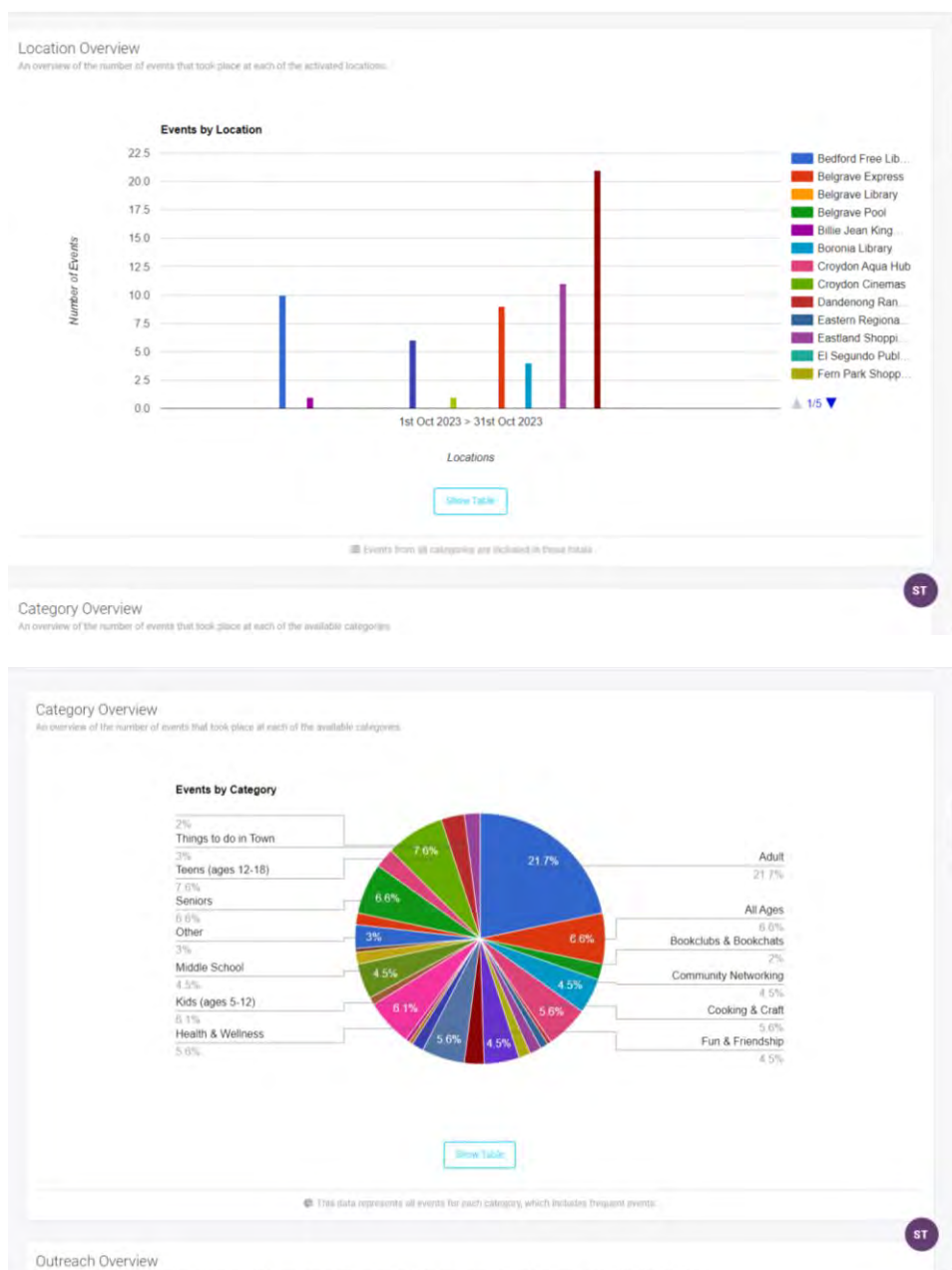
C.18.22 Real-time tracking of registrations and attendance via QR codes, RFID, or mobile check-ins

## INNOVATIVE

Yes.

Vega Program provides a STATS page that allows you to look back over time to view attendee numbers, popular events, produce charts and discover insights. Data is retained for 24 months following each event's start date, and the maximum time period able to be displayed in a single report is 365 days.





C.18.23 Group registration options (e.g., family sign-ups for events)

## INNOVATIVE

Yes.

You can allow a patron to register every family member, or you can include a custom question on the registration form asking how many people will be attending.



C.18.24 Integration with patron profiles for seamless registration (linked to library card)

## INNOVATIVE

Yes.

Patrons log in to Vega Program with their library card.

C.18.25 Tools for creating and sending event promotion emails to targeted segments (e.g., specific age groups, past event attendees)

## INNOVATIVE

Yes.

Vega Program provides a variety of automation to help you market your events: access to the free image library, one-click printable fliers with automated QR codes, a one-click program brochure for all of your event listings, and automated event notifications with the ability to email attendees.

C.18.26 Social media integration for automatic event promotion on Facebook, Twitter, Instagram, and other platforms

## INNOVATIVE

Yes.

Currently in development.

You can easily share events via email and upload them to your website. Once uploaded, you can use the persistent link to share the event on social media, making it accessible to a wider audience.

C.18.27 Customizable event flyers, posters, and graphics for physical and digital promotions

## INNOVATIVE

Yes.

See response to [C.18.25](#) above.



Part of **Clarivate**

**MAKE EVENT BOOKINGS**  
Book your place using our website.  
[ilshowcase.events.mylibrary.digital](#)

**GET IN TOUCH**  
You can also speak to us on the phone.  
1300737277

**151 LIBRARY EVENTS**

**Date Range**  
01-03-2022 - 31-08-2022

**Locations**  
All Locations

**Categories**  
All Categories

**Tue March 1, 2022**

**Pageturners Bookchat**  
♀ Croydon Library  
1:00pm - 3:00pm  
Read something amazing and just need to share it? Join us for an informal discussion about books that you've recently read.  
**BOOKINGS REQUIRED**  
Bookclubs & Bookchats All Ages Free

**Wed March 2, 2022**

**Solar Savers**  
♀ Montrose Library  
4:00pm - 5:00pm  
The Solar Savers program helps you reduce your energy bills and future-proof your household against increasing energy costs whilst also redu...  
**BOOKINGS REQUIRED**  
Cooking & Craft All Ages Free

**Thu March 3, 2022**

**Family & Local History Help With Charles**  
♀ Rowville Library  
5:00am - 8:00am  
Make an appointment with our specialised staff & receive help with local or family history research, newspaper articles, library databases a...  
**BOOKINGS REQUIRED**  
History All Ages Free

**Creative Coloring For Adults**  
♀ Lilydale Library  
1:00pm - 3:00pm  
Join us for inspirational ideas to channel your inner coloring genius. Relax and unwind with our creative colouring group for adults. BYO mate...  
**BOOKINGS REQUIRED**  
Cooking & Craft All Ages Free

**Drop In Fridays - Cards And Chat**  
♀ Yarra Junction Library  
3:00pm - 5:00pm  
Come along to Yarra Junction Library to play cards or feel free to just have some coffee. Everyone is welcome!  
**BOOKINGS REQUIRED**  
Fun & Friendship All Ages Free

**Family & Local History Help With Charles**  
♀ Rowville Library  
11:00pm - 1:00am  
Make an appointment with our specialised staff & receive help with local or family history research, newspaper articles, library databases a...  
**BOOKINGS REQUIRED**  
History All Ages Free

**Fri March 4, 2022**

**Mario Maker For Kids!**  
♀ Online Event  
5:00pm - 7:00pm  
Create a level in Mario Maker with others and then compete with them in this curated online session.  
**BOOKINGS REQUIRED**  
Kids Ages 7-15 Free

**Sun March 6, 2022**

**Family & Local History Help With Charles**  
♀ Rowville Library  
11:00pm - 1:00am  
Make an appointment with our specialised staff & receive help with local or family history research, newspaper articles, library databases a...  
**BOOKINGS REQUIRED**  
History All Ages Free

**Mon March 7, 2022**

**E-Learning One-to-one With Anna**  
♀ Realm Library  
4:30pm - 5:30pm  
Need help with your device? Want to learn something new? Book a free one-to-one session with our resident eLearner! We can assist you with:- ...  
**BOOKINGS REQUIRED**  
Technology All Ages Free

C.18.28 Reporting and analytics on event performance (e.g., attendance rates, engagement, patron demographics)

## INNOVATIVE

Yes.

See response to [C.18.22](#) above.

C.18.29 Event performance dashboard to analyze trends and improve future event planning

## INNOVATIVE

Yes.

See response to [C.18.22](#) above.

C.18.30 Unified search interface for discovering books, digital resources (e.g., e-books, audiobooks), and events

## INNOVATIVE

Yes.

Currently, events are displayed on the home page of Vega Discover. In development are search result integrations. This would be a perfect time for you to join the development process.

C.18.31 Intelligent search filters for refined results (e.g., genre, format, age group, availability)

## INNOVATIVE

Yes.

In Vega Program, you can set genre, format, age group, availability as categories which can be used as search options.

C.18.33 Personalized book, audiobook, and event recommendations based on patron history and preferences

## INNOVATIVE

Yes

This first version of a personalized portal is currently in development. Now would be a perfect time for you to participate in our development plans.

C.18.34 Cross-media discovery (e.g., recommending related books based on an event, or vice versa)

## INNOVATIVE

Yes.

This first version of a personalized portal is currently in development. Now would be a perfect time for you to participate in our development process.

C.18.35 Integration with third-party platforms for digital resources

## INNOVATIVE

Yes.

Vega Discover Premium has been designed to integrate with services like OverDrive, Hoopla, Bolinda BorrowBox, cloudLibrary, and Axis 360. This integration lets patrons find, reserve, checkout and download e-books and other e-content to their device directly from the catalog. E-content displays on separate tabs in the Work-Level Rollup, making it easy for patrons to see all the available formats.

Vega Discover Premium can be configured to ingest e-content records directly into our central repository, instead of requiring library staff to manually load and catalog the records in Polaris. The e-content management system automatically schedules a full extraction of your subscription content records from the vendor, as well as daily updates and weekly syncs (if required by the vendor). When the vendor adds or removes records from your subscription, Vega applies the updates to the records in the context engine and displays them in search results.

C.18.36 Direct borrowing of e-books, audiobooks, and other digital content from within the platform

## INNOVATIVE

Yes.

See response to [C.18.35](#) above.

C.18.37 Streaming or download options for multimedia content (e.g., video lectures, e-learning)

## INNOVATIVE

Yes,

Polaris supports loading of MARC records. For example, from Kanopy (or Hoopla) by simply downloading your MARC records from the Kanopy dashboard and importing them using Polaris bulk import. Web links in the record let users click to stream content directly from the Kanopy site.

C.18.38 Integration with local and regional databases for research and academic content

## INNOVATIVE

Yes.

This is supported via links in the Vega Discover header or, you can create a search box that is embedded in the Vega Discover header that searches for a phrase across different platforms.

C.18.39 Advanced patron segmentation tools based on behavior (e.g., reading habits, event attendance), demographics, or geographic location

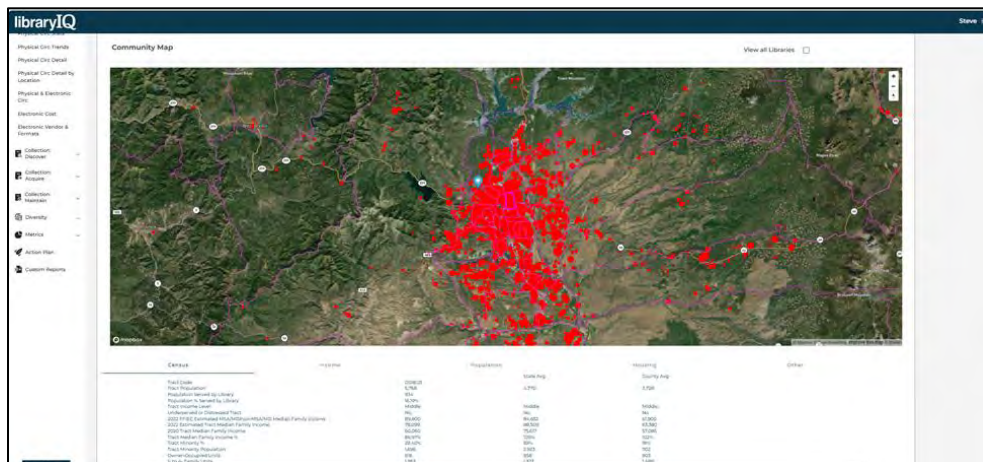
## INNOVATIVE

Yes.

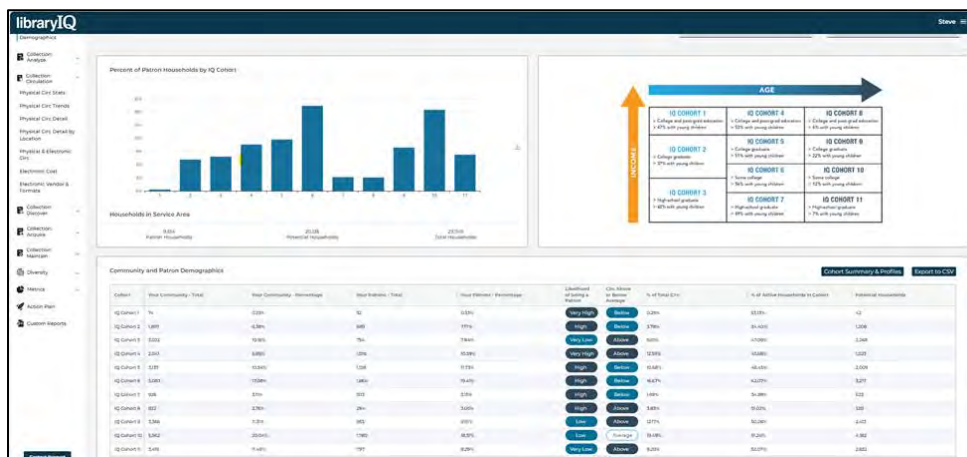
In 2025, as part of Vega Discover we will release an updated member portal. This member portal will allow for patron personalization. Through the optional product, Library IQ, you can create reports on demographics and geographic locations.

LibraryIQ provides community demographics, helping you to plan events and collection development.

- Sample map of patron households combined with Census data from the American Community Survey. Community Demographics uses commercial market segmentation data to compare patron households with the community as a whole to identify characteristics of groups that are using the library and those that are not.



- Sample Community Demographics market segmentation report showing patrons compared to community by market segment (Cohort)



C.18.40 Ability to create custom segments (e.g., "frequent event attendees," "young families," "adult learners") for targeted marketing campaigns

## INNOVATIVE

Yes.

Vega Promote supports contact list segmentation. With segments, you can target your messaging to better personalize communications for types of users or interests. You can create as many custom segments (sub-groups of contacts) as needed to tailor your communications.

This first version of a personalized portal is currently in development and expected in 2025. Now would be a perfect time for you to participate in our development plans.

C.18.41 Real-time data syncing across modules for personalized interactions.

## INNOVATIVE

Yes.

This first version of a personalized portal is currently in development. Now would be a perfect time for you to participate in our development plans.

C.18.42 Automated workflows for re-engaging inactive patrons (e.g., recommending new events, sending personalized book suggestions)

## INNOVATIVE

Yes.

This is currently in development. We are expanding patron journeys, with workflows for re-engaging inactive patrons in LX Starter. Now would be the perfect time for you to help us develop LX Starter.



C.18.43 Trigger-based campaigns (e.g., follow-up emails after event attendance, reminders for unfinished book reservations)

## INNOVATIVE

Yes.

Vega Program supports sending customizable reminders and event feedback emails.

C.18.44 Personalized recommendations for books, events, and programs based on patron interests and previous activities

## INNOVATIVE

Yes.

This first version of a personalized portal is currently in development. Now would be a perfect time for you to participate in our development plans.

C.18.45 Personalized event suggestions based on patron profiles (e.g., age group, past event participation, borrowing history)

## INNOVATIVE

Yes.

This first version of a personalized portal is currently in development. Now would be a perfect time for you to participate in our development plans.

C.18.46 Integration with calendar and notification systems to recommend relevant upcoming events

## INNOVATIVE

Yes.

Using Vega Promote you can send emails about upcoming events that may be of interest to the patron. Also, a first version of a personalized portal is currently in development. Now would be a perfect time for you to participate in our development plan.



C.18.47 Centralized dashboard to track key engagement metrics (e.g., event attendance, program participation, communication response rates)

## INNOVATIVE

Yes.

Currently, Vega Promote and Vega Program each have their own analytics. A unified dashboard is in development.

C.18.48 Analytics on patron interactions with events, books, and digital resources

## INNOVATIVE

Yes.

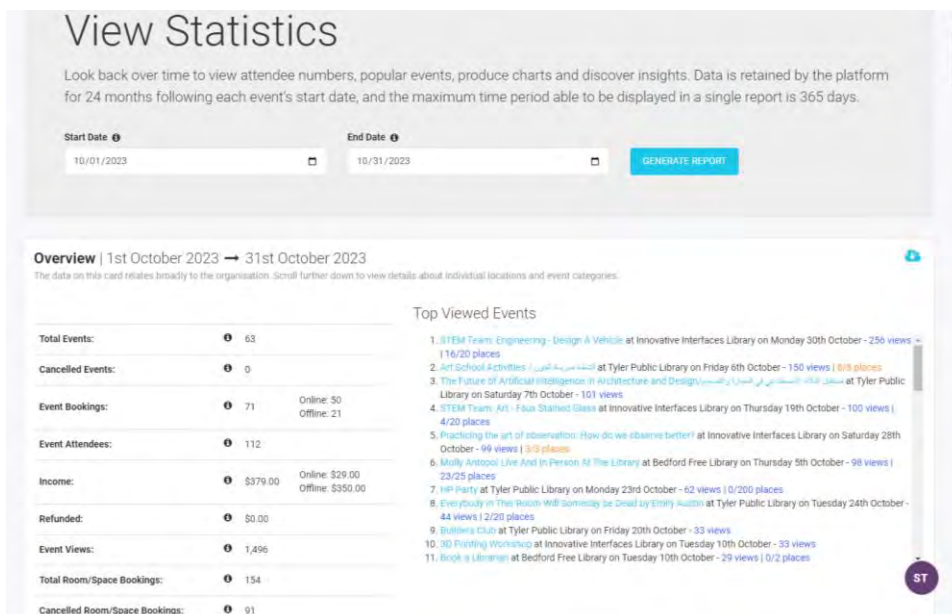
Currently in development. This will be available in Vega Analyze. Now would be a great time to join our development process.

C.18.49 Event-specific reports on engagement (e.g., registration, no-shows, post-event feedback)

## INNOVATIVE

Yes.

Vega Program provides a STATS page that allows you to look back over time to view attendee numbers, popular events, produce charts and discover insights. Data is retained for 24 months following each event's start date, and the maximum time period able to be displayed in a single report is 365 days.



### Category Overview

An overview of the number of events that took place at each of the available categories.

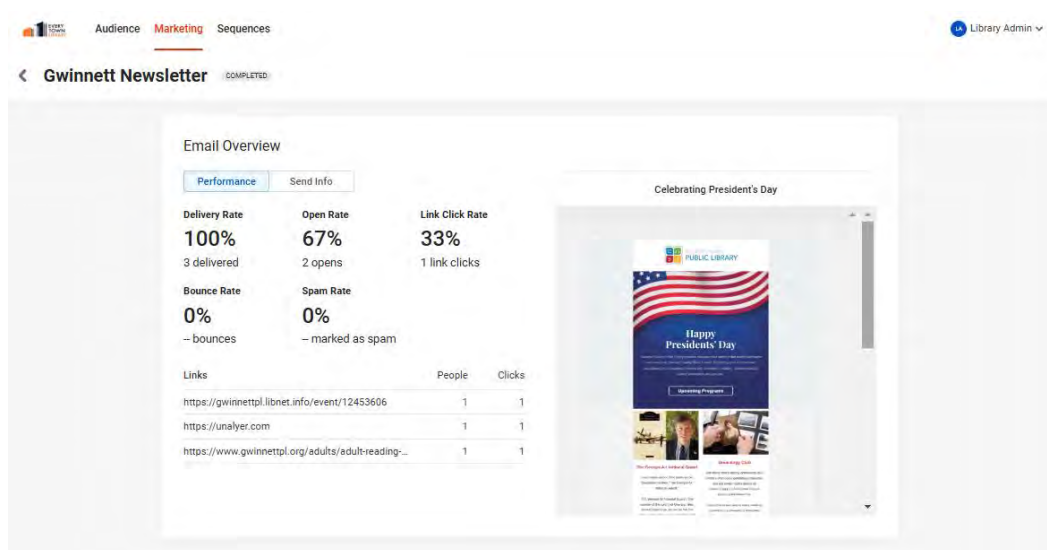


C.18.50 Metrics on marketing campaigns (e.g., open rates, click-through rates, social media engagement)

## INNOVATIVE

Yes.

Vega Promote provides message delivery and engagement metrics.



C.18.51 Analysis of patron preferences and behavior trends (e.g., most popular event types, frequently borrowed books)

## INNOVATIVE

Yes.

This can be done with a combination of tools from Polaris to Vega Program and even an optional product, LibraryIQ.

C.18.52 Reporting tools to help understand library service usage patterns (e.g., seasonal spikes in event attendance)

## INNOVATIVE

Yes.

This is supported with LibraryIQ, which we have quoted as an option.

C.18.53 Insights into patron demographics to fine-tune programming, event types, and marketing strategies

## INNOVATIVE

Yes.

This is supported with LibraryIQ, which we have quoted as an option.

C.18.54 Interactive data visualization tools for easy understanding of engagement trends, event success, and patron behavior

## INNOVATIVE

Yes.

This will be supported with Vega Analyze, which is currently in development.

**C.18.55** Exportable reports for sharing with staff or stakeholders**INNOVATIVE**

Yes.

Reports from Vega Program and Vega Discover can be shared.

In addition, we have quoted LibraryIQ as an option and reports from LibraryIQ can also be shared.

**C.18.56** Full integration with library's ILS for seamless data synchronization (e.g., patron information, borrowed materials, holds)**INNOVATIVE**

Yes.

The Vega Library Experience (LX) suite is integrated with Polaris. This integration provides libraries with a comprehensive solution for managing both their collections and community engagement.

The integration is facilitated through Vega Connect, which links data between Polaris and the various modules within Vega LX. This creates a seamless ecosystem that enhances library operations and patron interactions.

**C.18.59** Integration with popular external platforms for event hosting (e.g., Zoom for virtual events)**INNOVATIVE**

Yes.

Vega Program provides an option for adding a Zoom link to events. If the library chooses, the link won't be visible until a patron registers for the event.

C.18.60 Integration with digital content providers for seamless borrowing of e-books and audiobooks

## INNOVATIVE

Yes.

See response to [18.35](#) above.

C.18.61 Support for payment gateways for processing special event space reservations

## INNOVATIVE

Yes.

Vega Program handles payments and refunds through integration with Stripe.

C.18.62 ADA-compliant design with screen reader support, high contrast modes, and text resizing

## INNOVATIVE

Yes.

Vega Program is compliant with WCAG 2.1 level AA. The software was designed to honor the user's device's accessibility settings and to align with WCAG 2.1 guidelines. When interface changes are made, we use a compliance checker to ensure the system continues to adhere to the guidelines. We continue to add features proactively to ensure support. We've had no customer feedback about problems with accessibility, but are committed to immediately address any reported issues.

Developers are familiar with WCAG guidelines and software design keeps these in mind in the software design. Software is tested for accessibility using compliance checkers as a part of release testing.

C.18.63 Multilingual support for diverse communities and accessibility features for non-English speakers

## INNOVATIVE

Yes.

Vega Program includes support for multiple languages, including right-to-left (RTL) compatibility, making it accessible to a broader range of users.

Vega Promote provides the capability to create and send emails in multiple languages, but it does not automatically translate the content.

C.18.64 Video and audio content accessibility features (e.g., closed captions, sign language interpreters for events)

## INNOVATIVE

Yes.

Note that meetings are not hosted in Vega Program. Meetings would be hosted through Zoom or Teams where these accessibility features are supported.

C.18.65 Full compliance with data protection regulations to ensure patron privacy and data security

## INNOVATIVE

Yes.

We are committed to maintaining compliance with the EU's General Data Protection Regulations (GDPR), a rigorous set of principles that incorporate the provisions found in most national privacy principles and regulations. We have adopted these strict security regulations in order to ensure compliance with the broadest set of national, state, and local security requirements. In addition, we hold ISO 27001, 27017 and 27701 certifications for our hosting services, again meeting the strictest international regulations.

Our GDPR compliance includes two areas that are most important to your library:

- **Your requirements as a data controller.** We will support your GDPR compliance requirements through product updates and your library should review your policies and practices given your own compliance obligations as a data controller. You act as a data controller – an entity which collects and determines the use of personal data. Our applications have always allowed for the prompt search, export, and purging of patron data but your library is ultimately responsible for controlling patron data. We will support you by providing solutions that enable our Library Partners to mitigate risks associated with growing global privacy laws.
- **Our requirements as a data processor.** We act as a data processor – an entity which processes personal data on behalf of a data controller for our hosted clients within our data centers.

Your catalog and patron data will be accessible by our authorized staff for the purposes of maintenance, support and backup management. Your staff may access catalog and patron data at the sole discretion and enforcement of SDPL. In the event that patron or catalog data is requested by a legal authority, such inquiries will be directed to SDPL as the sole owner of the catalog/patron data.

C.18.66 Secure communication channels for patron interactions (e.g., encrypted emails, two-factor authentication)

## INNOVATIVE

Yes.

Emails from LX Starter, Vega Program, and Vega Promote are encrypted.

C.18.67 Role-based access control for library staff managing different aspects of the platform

## INNOVATIVE

Yes.

User roles are defined in Vega Program administration. Vega Program has three roles that can be assigned to users: Staff, Manager and Administrator. Each of these roles can be assigned for a specific library branch/location, multiple locations or all locations. Each of these pre-configured roles can be modified to define the specific functional permissions allowed for each role. These roles can also be cloned and the associated functional permissions modified to create new roles to align with your local needs.



- Staff Permissions
  - o Add events
  - o Search for events
  - o Manage event bookings
- Manager Permissions
  - o All staff permissions
  - o Approve events
  - o Edit events
  - o Impersonate members
  - o View platform statistics
- Admin Permissions
  - o All Manager permissions
  - o Manage user permissions
  - o Manager locations
  - o Manage API Keys
  - o Manage advanced platform configuration

C.18.68 Customizable permissions for staff, volunteers, and patrons to ensure secure management of accounts and data

## INNOVATIVE

Yes.

See response to C.18.67 above.

## 19. Data Export

### Narrative Descriptions for Exhibit F – Functional Requirements – Data Export

C.19.1 All Contractors must agree to the following conditions: Upon contract expiration or termination of the contract, Contractor shall immediately provide City with electronic copies of the data collected and recorded (if any). Data format will be agreed upon by both City and Contractor, but at a minimum, data records will be provided in ASCII comma separated value (CSV) format, with binary images in TIFF, JPG or PDF format.

## INNOVATIVE

In the event the relationship between the Library and the Vendor is severed, Innovative offers several levels of Exit Services from basic bibliographic and item record extraction to more complex data extraction. Exact details may be addressed in the Library's contract with Innovative.

The Library shall have the right, without the consent of Innovative, to extract as The Library's property such data using standard Innovative utilities including, but not limited to, MARC output formats at no cost to The Library. Innovative agrees to assist The Library, if requested, in making such extracts at Innovative's then-published rates. If The Library elects to extract data from the SYSTEM without the assistance of Innovative, then The Library agrees to remain in substantial compliance with the license hereunder and further agrees not to reverse engineer the SYSTEM or any part of the SYSTEM components in extracting data.

Termination of Hosted Agreement: In the event that this agreement is not renewed, the patron and catalog data can be migrated to a server of the discretion of the Library at the then current Innovative data migration service fees.

The Exit Services package includes the following:

1. Extraction of core data types:
  - Bibliographic and authority, with item information embedded in MARC21 communication format.
  - Serials summary information in MARC21 holdings format (if site storage format permits).
  - Patron information in text delimited format.
2. Extraction of circulation transaction files:
  - Checkouts, fines, and holds will be extracted into separate files in text delimited formats.

3. Optional if applicable:

- Acquisition data embedded in bibliographic records of MARC21 communication format.
- Vendor file, in text delimited format.
- Fund file, in text delimited format.
- Location (branches) file, in text delimited format.

Full data sets may be extracted twice, if needed. A data dictionary will be provided for each file output in a delimited ASCII text format.

## 20. Data Ownership

### **Narrative Descriptions for Exhibit F – Functional Requirements – Data Ownership**

C.20.1 City retains for itself ownership and rights of ownership to all data entered into the ILS. Contractor acknowledges that City retains ownership and rights of ownership to all of its data. Contractor shall not, without the written consent of the City, copy or use such records, except to carry out contracted work, and will not transfer such records to any other party not involved in the performance of the contract.

**INNOVATIVE**

Agreed.

## 21. Licensing Model and Pricing Conditions

Contractor shall clearly indicate the nature of the ILS solution's licensing model (e.g. Named User, Concurrent User, Flat Subscription, or some other volume-base volumetric, e.g. transactions, or unlimited 'enterprise' style licensing). All potential chargeable costs and additional payment triggers should be described. Contractors should also clearly describe the circumstances and thresholds (if any) under which the City may become liable for overage costs (e.g. exceeding bandwidth, storage, transactions, volume of data in bytes, number of files, or number of characters). Contractor must also confirm the process for transferring licensing to other City Users (e.g. in the event that a City User leaves the organization).

### Narrative Descriptions for Exhibit F – Functional Requirements – Lic. Model & Pricing Conditions

C.21.1 Contractor shall clearly indicate the nature of the ILS solution's licensing model (e.g. Named User, Concurrent User, Flat Subscription, or some other volume-base volumetric, e.g. transactions, or unlimited 'enterprise' style licensing). Enterprise licensing is highly desirable.

#### INNOVATIVE

Your current licensing model is a subscription to Polaris. Description of our newest pricing bundles, Essential and Select are provided in our quotes.

C.21.2 All potential chargeable costs and additional payment triggers should be described.

#### INNOVATIVE

Currently you have an annual uplift of 5%. This uplift is being reduced. Please refer to our quotes for more information on additional products and services.

C.21.3 Contractors should also clearly describe the circumstances and thresholds (if any) under which the City may become liable for overage costs (e.g. exceeding bandwidth, storage, transactions, volume of data in bytes, number of files, or number of characters).

#### INNOVATIVE

There are no limits on bandwidth, storage, transactions, etc.

C.21.4 Contractor must also confirm the process for transferring licensing to other City Users (e.g. in the event that a City User leaves the organization).

## INNOVATIVE

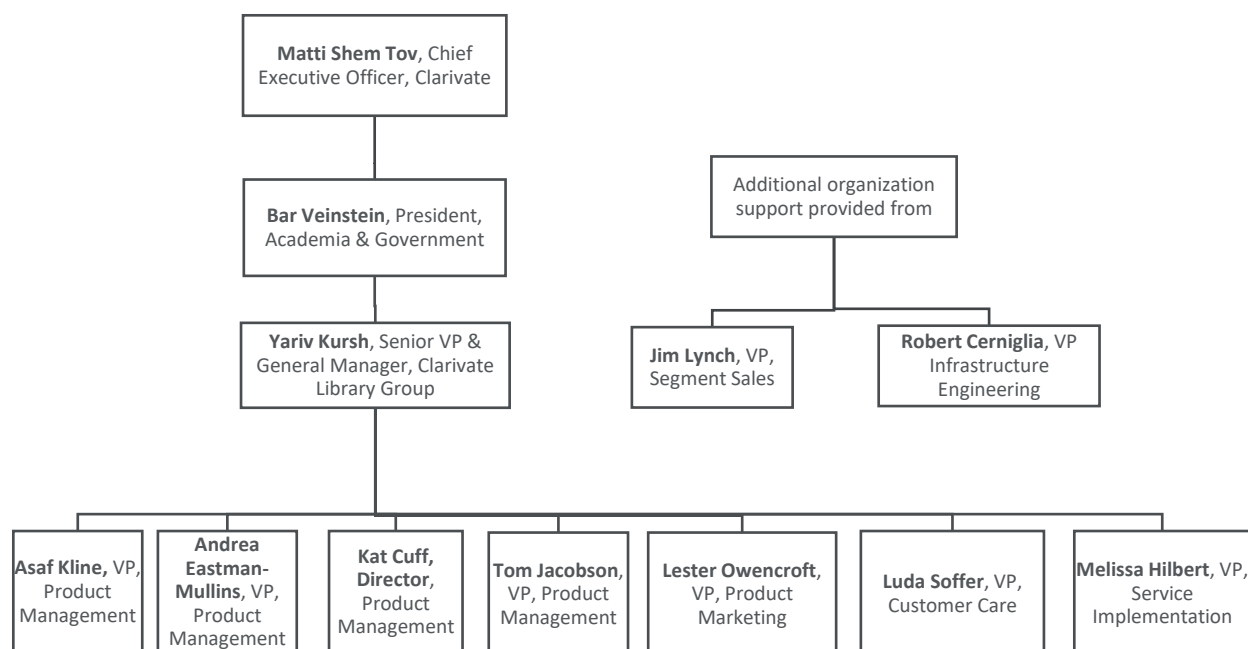
Licenses do not need to be transferred if city users leave. A new user account would just be created in the system for the new user, and the old one would be de-activated.

## D. STAFFING AND EXPERIENCE

To enable the City to evaluate the responsibility, experience, skill, qualifications, and business standing of the Contractor, the following information shall be included with the proposal:

1. Provide an organizational chart and staffing profile including full time equivalents and years of tenure for staff.

### INNOVATIVE



2. Provide resumes for key personnel including but not limited to management, legal, and technical staff who will be assigned and dedicated to the City's account.

## INNOVATIVE

As you know, we have highly trained individuals ready to take on the task of implementing your ILS. You met some of them just a few short years ago. We wanted to refresh your memory. Below you will find resumes for key personnel.

### **Project Management – Mary Wood, Senior Implementation Project Manager**

#### **Responsibilities:**

The Project Manager has overall responsibility for the implementation process and master schedule, and he or she details the process and timing of the library's implementation, installation, and training.

Additionally, the Project Manager makes certain that the project stays on schedule to make sure the transition from Sales to Implementation is smooth. He/she is available to answer any questions about the project that fall outside the range of other team members. As the project draws to a close, the Project Manager eases transfer of support from Implementation Services to Customer Services.

#### **Credentials:**

Mary has over 20 years of project management experience, including 15 years of experience in managing Polaris implementations. Her skill set includes managing account project plans, timelines, and scheduling to achieve timely delivery of software and training. Mary received her Bachelor of Science in Education at Athens State University. Recent projects include:

- San Diego Public Library
- San Clarita Public Library
- Nevada County Community Library
- Chicago Public Library

See Mary's full resumé on [page 341](#).

**Data Profiling – Jerry Waddy, Principal Data Analyst****Responsibilities:**

A Data Profiling Analyst is assigned to advise the library about data, database profiling, and indexing, including step-by-step details on how to prepare the library's data to look the way it should.

The Data Profiling Analyst guides each Library through Innovative's profiling-related documentation, which includes the database load and profile evaluation details. In addition, the Data Profiling Analyst and Training Consultant help the library staff understand the way some of the fixed-length fields work in the Polaris system so that early profiling decisions support each Library's reporting and circulation needs later. The end goal is a solution and a schedule that best meets the library's needs.

**Credentials:**

Jerry Waddy has over 25 years of experience as an integrated library system data migrations analyst, upgrading customers to newer software releases, and performing data conversions / implementation projects using a variety of tools (SQL utilities and custom written programs) for several generations of multiple integrated library system products. Jerry joined VTLS in January 1995 when he started in the Customer Services department as a Technical Analyst. In 1997, he became the Data Load Manager at VTLS, performing data loads and migrations for new and existing customers. In 2014, he assumed the role of Principal Data Analyst working directly with Polaris data migrations. Jerry has an undergraduate degree in Information Science from Christopher Newport College. Jerry's recent implementation projects include:

- San Diego Public Library
- Chicago Public Library

**Traning – Michelle Ralston, Training Consultant****Responsibilities:**

The Training Consultant will provide information regarding the functions of each Polaris application, train staff in the use of the system, and answer all post-installation questions. The Training Consultant provides tools to expand understanding, as well as confirming knowledge of the system.

Our kickoff visit will be a workflow and data consulting visit, in which we gather information from you on your policies and procedures and begin the process of helping you map your policies into the Polaris system. As we configure the system tables and set up the policies in Polaris, we'll work with you to test and make iterative changes as needed. Training will be done on your system with your configuration, so we can make sure the setup is as expected prior to go-live.

Also, at initial session, the Training Consultant will show the library how to evaluate indexing and profiling choices, search the public catalog, and perform needed tasks like system backups.



**Credentials:**

Michelle joined Innovative in 2017 as a training consultant. Since that time, she has provided Polaris's training to many Innovative customers across the wide spectrum of library sizes. Since her hiring, Michelle trained and consulted with over 50 customers all from public libraries.

Michelle's recent training for new Polaris implementations include:

- Cooperative Computer Services (library consortium)
- Brazoria County Library System
- San Diego County Libraries
- Davis County Library
- Indianapolis Public Library

Michelle has a M.L.I.S. from University of Illinois at Urbana-Champaign from 2007 and prior to work at Innovative, she worked in various libraries, including providing Polaris support at Illinois Heartland Library System.

**Systems Engineer – Mike O'Connor, Senior Technical Support Analyst****Responsibilities:**

The Systems Engineer's job is to work with the Library on Polaris system setup and configuration, network connections, and infrastructure configuration.

**Credentials:**

Mike O'Connor has over 20 years of experience as a Technical Support Analyst/Engineer for Polaris and has been involved in many Polaris implementations. Mike has a Bachelor of Science from SUNY Brockport.

3. Provide the names of the assigned project managers and account representatives. Contractor shall not change key personnel without the prior approval of the City.

**INNOVATIVE**

Project Manager: Mary Wood

Account Manager: Jackson Fullmer

Site Manager: Amy Emery

Customer Success Manager: Jennifer Loeb sack

4. Provide project managers and account representatives who have a minimum of five (5) years prior experience in accounts of similar type, size, and scope.

## INNOVATIVE

See responses to questions [#2](#) and [#3](#) above.

5. Clearly define what responsibilities these individuals will be charged with relative to this Contract.

## INNOVATIVE

Project Manager: Mary Wood – see response to question #2 above for defined responsibilities.

Account Manager: Jackson Fullmer – Jackson is your point of contact for any product questions, contractual issues and invoicing questions.

Site Manager: Amy Emery – Amy is your personal point of contact within Innovative for any support concerns you may have. You don't have to submit a ticket to get personalized support. You can contact Amy at any time via her email or phone for any support issues.

Customer Success Manager: Jennifer Loeb sack – Jennifer is here to meet with you regularly and understand your strategic goals and create a success plan with specific actions that help you in meeting goals using our software.

6. Provide how many public library systems of comparable size are presently using the proposed ILS.

## INNOVATIVE

14 public library systems with over 1 million users are using Polaris. This represents 750 libraries/branches.

7. Provide how many library systems have moved to the proposed ILS in the last three (3) years.

## INNOVATIVE

Since 2022, 64 library systems have implemented the Polaris ILS.

## Mary K. Wood Resumé

105 Callaway Drive, Madison, AL 35758 256-701-6658

[marywood@hiwaay.net](mailto:marywood@hiwaay.net) [linkedin.com/in/marykwood](https://www.linkedin.com/in/marykwood)

Successful Project Manager with over 20 years of experience in implementation and training of clients on new software products, as well as managing account project plans, timelines, and scheduling to achieve timely delivery of software and training. Responsibilities include on-site consultation and customized training for system profiling, set up, and software applications for customers moving from legacy software systems.

### Experience

2014-Present

Senior Implementation Project Manager, Innovative Interfaces, Inc.

2008-2014 (Company purchased by Innovative Interfaces)

Implementation Project Manager, Polaris Library Systems

- Responsible for successful migration of customers on legacy library software automation systems onto new systems and products.
- Create and implement project schedules, managing resources from different departments within the company, for timely delivery of products and services.
- Provide on-site pre-installation consultation/training with customers for profiling new system and mapping existing profiles and data to new parameters.
- Continue providing support to customers during implementation and on-site support during go live on new systems.

2007-2008

Implementation Specialist, Patient Care Technologies

- Responsible for successful implementation and training of home health agencies onto new software products.
- Created and tracked project schedules, working with various departments within the company, to achieve timely delivery of software and training.
- Provided on-site consultation and software training for system profiling and clinical software applications.
- Provided remote/online training preparation and follow-up training via WebEx.
- Served as liaison with company documentation department for developing software training manuals, presentations, and other training tools.
- Assisted corporate trainer with providing in-house education classes to new and existing employees.

1997-2005

Implementation Consultant/Project Manager, SirsiDynix

- Responsible for successful migration of customers on legacy library software automation systems onto new systems and products.
- Created and implemented project schedules, managing resources from different departments within the company, for timely delivery of products and services.
- Provided on-site pre-installation consultation/training with customers for profiling new system and mapping existing profiles and data to new parameters.
- Created/maintained department documentation and tools for consultation/pre-installation visits, including PowerPoint presentations, visit agendas, checklists, and profiling workbooks.

Additional work history and references upon request

### **Education**

1987

Bachelor of Science, Education – Athens State University

### **Skills**

- Microsoft Office
- Project Management
- Project Planning
- Customer Relations
- Training
- Teamwork
- Education/Teaching
- Testing/Troubleshooting

## E. REFERENCES

1. Contractors shall provide three (3) references to demonstrate successful performance for work of similar size and scope as specified in this contract during the past five (5) years (preferably in California). References shall be provided in the Contractor Standards Pledge of Compliance form.
2. Contractors shall also demonstrate that they are properly equipped to perform the work as specified in this contract. Previous experience in furnishing the services as specified in this RFP will be an important consideration.

## INNOVATIVE

All our activities revolve around libraries. Our exclusive focus is on the development, delivery, and support of leading-edge software. In support of our libraries, we also provide consulting and data services for customers. We provide a comprehensive range of services covering implementation and ongoing support for all our software solutions. These services include project management, installation and configuration services, customisation and interfacing, data migration, training, and support.

We have never missed a Polaris delivery deadline in more than 20 years of Polaris implementations. With 45 years of experience delivering software solutions to libraries and a proven track record of meeting delivery commitments, we provide an extensive variety of implementation services, such as personalised product management and consulting, data migration and training. Our support services include unlimited access to technical and application support offered 24 x 7 x 365 as a part of our standard support package.

Although we are part of a large company, our team prides itself on delivering personalized service. Your main contacts in working with us will be your Innovative Project Manager, who will work closely with you through the implementation process. Your Project Manager will lead a project team of specialists who are dedicated to the success of your implementation and will be backed up by our full Services team of 35 staff. Support is provided by 20 Support librarians and technical analysts specialising in supporting Polaris sites.

Ongoing software design and development are handled by our Product Managers and Engineering department with 62 full-time staff. This includes our product managers, professional librarians who are dedicated to the ongoing development decisions for each of our products as well as the developers themselves. Our product roadmaps and track record of new development just in the past year demonstrates the abilities of this team to deliver ongoing value to meet customer need.

The solution we are proposing, Polaris, is currently used by 229 library systems, representing 2,234 libraries. While most of these are public libraries, Polaris libraries include public, academic, government, special, and consortia libraries. Sizes range from small single site libraries to systems with over 450 branches.

Innovative has implemented 79 Polaris systems since 2020:

- 2020: 8 new Polaris implementations (during Covid)
- 2021: 8 new Polaris implementations
- 2022: 12 new Polaris implementations
- 2023: 30 new Polaris implementations
- 2024: 21 new Polaris implementations

Vega Discover was introduced in December 2020 and has been rapidly adopted by both new and existing Polaris and Sierra ILS/LMS customers with 124 implementations in live operation with more being added each month).

Three references demonstrating successful performance for work of similar size and scope as specified in this contract during the past five years include:

**Allen County Public Library**

900 Library Plaza

Fort Wayne, IN 46802

Kim Bolan, Chief Operating Officer

[kbolan@acpl.info](mailto:kbolan@acpl.info)

260-421-1301

Customer since January 2023

- # of Bibs: 1,561,676
- # of Items: 2,711,934
- # of Branches: 15
- Annual Circulation: 3,210,410
- Service Population: 388,608

Migrated from Wise (OCLC) to Polaris, Vega Discover, Vega Web Design, Innovative Mobile (Innovative part of Clarivate).

Services included: Professional project management, software implementation in our hosting data center, initial software profiling (configuration), data extraction, data migration and conversion, and library staff training.

Links:

- Vega Discover Interface: <https://acpl.na4.iiivega.com/>
- Vega WebBuilder Website: [ACPL Home | Allen County Public Library | Library Online Collection](#)

**STELLA** (Sharing and Tech Enhancing Local Library Access)

27 Mayfield Avenue

Edison, NJ 08837

Eric Lozauskus, Executive Director

[eric@stellanjan.org](mailto:eric@stellanjan.org)

732-750-2525

Customer since December 2023

- # of Bibs: 992,854
- # of Items: 3,510,000
- # of Branches: 39
- Annual Circulation: 4,011,508
- Service Population: 1,300,000

Migrated from Symphony (SirsiDynix) to Polaris, Vega Discover, Innovative Mobile (Innovative part of Clarivate).

Services included: Professional project management, software implementation in our hosting data center, initial software profiling (configuration), data extraction, data migration and conversion, and library staff training.

## Links:

- Vega Discover Interface: <https://search.stellanjan.org/>

**Solano County Library**

1150 Kentucky St

Fairfield, CA 94533

Suzanne Olawski, Director

[seolawski@solanocounty.com](mailto:seolawski@solanocounty.com)

866-572-7587

Customer since March 2022

- # of Bibs: 320,804
- # of Items: 1,220,163
- # of Branches: 12
- Annual Circulation: 1,857,352
- Service Population: 451,479

Migrated from Carl.X to Polaris, Vega Discover

Services included: Professional project management, software implementation in our hosting data center, initial software profiling (configuration), data extraction, data migration and conversion, and library staff training.

Links:

- Vega Discover Interface: <https://splash.na2.iivega.com/>

## F. ADDITIONAL INSURANCE

Contractor shall not begin any performance under the contract until it has provided the City with evidence of the following insurance coverage, in addition to the coverage required under Article VII Indemnification and Insurance, Section 7.2 of Exhibit C - General Contract Terms and Provisions.

**Technology Professional Liability Errors and Omissions Insurance** appropriate to the Vendor's profession and work hereunder, with limits not less than \$2,000,000 per claim. Coverage shall be sufficiently broad to respond to the duties and obligations as is undertaken by the Vendor in this agreement and shall include, but not be limited to, claims involving infringement of intellectual property, copyright, trademark, invasion of privacy violations, information theft, release of private information, extortion and network security. The policy shall provide coverage for breach response costs as well as regulatory fines and penalties as well as credit monitoring expenses with limits sufficient to respond to these obligations.

1. The Policy shall include or be endorsed to include **Property Damage Liability Coverage** for damage to, alteration of, loss of, or destruction of electronic data and/or information "property" of the Agency in the care, custody, or control of the Vendor. If not covered under the Vendor's liability policy, such "property" coverage of the Agency may be endorsed onto the Vendor's Cyber Liability Policy as covered property as follows:
2. **Cyber Liability coverage** in an amount sufficient to cover the full replacement value of damage to, alteration of, loss of, or destruction of electronic data and information "property" of the Agency that will be in the care, custody, or control of Vendor.

## INNOVATIVE

Please see the Certificates of Insurance inserted on the following pages.





# CERTIFICATE OF LIABILITY INSURANCE

Page 1 of 1

DATE (MM/DD/YYYY)  
11/27/2024

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

| <b>PRODUCER</b><br>Willis Towers Watson Insurance Services West, Inc.<br>c/o 26 Century Blvd<br>P.O. Box 305191<br>Nashville, TN 372305191 USA | <b>CONTACT</b><br>NAME: WTW Certificate Center<br>PHONE (A/C, No, Ext): 1-877-945-7378<br>FAX (A/C, No): 1-888-467-2378<br>E-MAIL ADDRESS: certificates@wtwco.com                                                                                                                                                                                                                                                                                                                                        |                               |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |
|------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--|--------|------------|--------------------------------------------|-------|------------|-----------------------------------|-------|------------|-----------------------------------|-------|------------|--|--|------------|--|--|------------|--|--|
| <b>INSURED</b><br>Innovative Interfaces Incorporated<br>789 E. Eisenhower Parkway<br>Ann Arbor, MI 48108                                       | <table><tr><th colspan="2">INSURER(S) AFFORDING COVERAGE</th><th>NAIC #</th></tr><tr><td>INSURER A:</td><td>American Guarantee and Liability Insurance</td><td>26247</td></tr><tr><td>INSURER B:</td><td>Zurich American Insurance Company</td><td>16535</td></tr><tr><td>INSURER C:</td><td>American Zurich Insurance Company</td><td>40142</td></tr><tr><td>INSURER D:</td><td></td><td></td></tr><tr><td>INSURER E:</td><td></td><td></td></tr><tr><td>INSURER F:</td><td></td><td></td></tr></table> | INSURER(S) AFFORDING COVERAGE |  | NAIC # | INSURER A: | American Guarantee and Liability Insurance | 26247 | INSURER B: | Zurich American Insurance Company | 16535 | INSURER C: | American Zurich Insurance Company | 40142 | INSURER D: |  |  | INSURER E: |  |  | INSURER F: |  |  |
| INSURER(S) AFFORDING COVERAGE                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | NAIC #                        |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |
| INSURER A:                                                                                                                                     | American Guarantee and Liability Insurance                                                                                                                                                                                                                                                                                                                                                                                                                                                               | 26247                         |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |
| INSURER B:                                                                                                                                     | Zurich American Insurance Company                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 16535                         |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |
| INSURER C:                                                                                                                                     | American Zurich Insurance Company                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 40142                         |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |
| INSURER D:                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                               |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |
| INSURER E:                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                               |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |
| INSURER F:                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                               |  |        |            |                                            |       |            |                                   |       |            |                                   |       |            |  |  |            |  |  |            |  |  |

**COVERAGES**

CERTIFICATE NUMBER: W36380315

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| INSR LTR | TYPE OF INSURANCE                                                                                                                                                                                                                                                                                                              | ADDL INSD                                     | SUBR WVD | POLICY NUMBER  | POLICY EFF (MM/DD/YYYY) | POLICY EXP (MM/DD/YYYY) | LIMITS                                                                                                                                                                                                                                      |
|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|----------|----------------|-------------------------|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| A        | <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY<br><input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR<br><br>GEN'L AGGREGATE LIMIT APPLIES PER:<br><input type="checkbox"/> POLICY <input checked="" type="checkbox"/> PRO-JECT <input checked="" type="checkbox"/> LOC<br>OTHER: |                                               | Y        | GLA-9883701-00 | 12/01/2024              | 12/01/2025              | EACH OCCURRENCE \$ 1,000,000<br>DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000<br>MED EXP (Any one person) \$ 25,000<br>PERSONAL & ADV INJURY \$ 1,000,000<br>GENERAL AGGREGATE \$ 2,000,000<br>PRODUCTS - COMP/OP AGG \$ 2,000,000 |
| B        | <input checked="" type="checkbox"/> AUTOMOBILE LIABILITY<br><input checked="" type="checkbox"/> ANY AUTO<br><input type="checkbox"/> OWNED AUTOS ONLY<br><input type="checkbox"/> HIRED AUTOS ONLY<br><input type="checkbox"/> SCHEDULED AUTOS<br><input type="checkbox"/> NON-OWNED AUTOS ONLY                                |                                               |          | GLA-9883701-00 | 12/01/2024              | 12/01/2025              | COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000<br>BODILY INJURY (Per person) \$<br>BODILY INJURY (Per accident) \$<br>PROPERTY DAMAGE (Per accident) \$                                                                                   |
| A        | <input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR<br><input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE<br>DED RETENTION \$                                                                                                                                   |                                               |          | AUC-9883774-00 | 12/01/2024              | 12/01/2025              | EACH OCCURRENCE \$ 10,000,000<br>AGGREGATE \$ 10,000,000                                                                                                                                                                                    |
| C        | <b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b><br>ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)<br>If yes, describe under DESCRIPTION OF OPERATIONS below                                                                                                                                  | Y/N<br><input checked="" type="checkbox"/> No | N/A      | WC-9883703-00  | 12/01/2024              | 12/01/2025              | <input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER<br>E.L. EACH ACCIDENT \$ 1,000,000<br>E.L. DISEASE - EA EMPLOYEE \$ 1,000,000<br>E.L. DISEASE - POLICY LIMIT \$ 1,000,000                                   |

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

Certificate Holder is included as additional insured with regard to General Liability where required by written contract.

**CERTIFICATE HOLDER****CANCELLATION**

|                               |                                                                                                                                                                |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| FOR INFORMATION PURPOSES ONLY | SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. |
|                               | AUTHORIZED REPRESENTATIVE<br>                                                                                                                                  |

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ACORD 25 (2016/03)

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SR ID: 26823310

BATCH: 3720907



# CERTIFICATE OF LIABILITY INSURANCE

Page 1 of 6

DATE (MM/DD/YYYY)

06/06/2024

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an **ADDITIONAL INSURED**, the policy(ies) must have **ADDITIONAL INSURED** provisions or be endorsed. If **SUBROGATION** IS **WAIVED**, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

| <b>PRODUCER</b><br>Willis Limited<br>51 Lime Street<br>London, EC3M7DQ GBR          | <b>CONTACT NAME:</b> WTW Certificate Center<br><b>PHONE (A/C, No, Ext):</b> 1-877-945-7378<br><b>E-MAIL ADDRESS:</b> certificates@wtwco.com<br><b>FAX (A/C, No):</b> 1-888-467-2378                                                                                                                                                    |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |
|-------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--------|----------------------------------|-------|------------|--|------------|--|------------|--|------------|--|------------|--|
| <b>INSURED</b><br>Clarivate Plc<br>789 E. Eisenhower Parkway<br>Ann Arbor, MI 48108 | <table><tr><th>INSURER(S) AFFORDING COVERAGE</th><th>NAIC #</th></tr><tr><td>INSURER A: Lloyds Syndicate 2987</td><td>C0978</td></tr><tr><td>INSURER B:</td><td></td></tr><tr><td>INSURER C:</td><td></td></tr><tr><td>INSURER D:</td><td></td></tr><tr><td>INSURER E:</td><td></td></tr><tr><td>INSURER F:</td><td></td></tr></table> | INSURER(S) AFFORDING COVERAGE | NAIC # | INSURER A: Lloyds Syndicate 2987 | C0978 | INSURER B: |  | INSURER C: |  | INSURER D: |  | INSURER E: |  | INSURER F: |  |
| INSURER(S) AFFORDING COVERAGE                                                       | NAIC #                                                                                                                                                                                                                                                                                                                                 |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |
| INSURER A: Lloyds Syndicate 2987                                                    | C0978                                                                                                                                                                                                                                                                                                                                  |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |
| INSURER B:                                                                          |                                                                                                                                                                                                                                                                                                                                        |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |
| INSURER C:                                                                          |                                                                                                                                                                                                                                                                                                                                        |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |
| INSURER D:                                                                          |                                                                                                                                                                                                                                                                                                                                        |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |
| INSURER E:                                                                          |                                                                                                                                                                                                                                                                                                                                        |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |
| INSURER F:                                                                          |                                                                                                                                                                                                                                                                                                                                        |                               |        |                                  |       |            |  |            |  |            |  |            |  |            |  |

**COVERAGES****CERTIFICATE NUMBER:** W33840098**REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| INSR LTR | TYPE OF INSURANCE                                                                                                                                                                                                                                                                         | ADDL INSD | SUBR WVD | POLICY NUMBER | POLICY EFF (MM/DD/YYYY) | POLICY EXP (MM/DD/YYYY) | LIMITS                                                                                                                                                                                |
|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|---------------|-------------------------|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|          | <b>COMMERCIAL GENERAL LIABILITY</b><br><input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> OCCUR<br><br>GEN'L AGGREGATE LIMIT APPLIES PER:<br><input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC<br><input type="checkbox"/> OTHER: |           |          |               |                         |                         | EACH OCCURRENCE<br>DAMAGE TO RENTED PREMISES (Ea occurrence) \$<br>MED EXP (Any one person) \$<br>PERSONAL & ADV INJURY \$<br>GENERAL AGGREGATE \$<br>PRODUCTS - COMP/OP AGG \$<br>\$ |
|          | <b>AUTOMOBILE LIABILITY</b><br><input type="checkbox"/> ANY AUTO<br><input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS<br><input type="checkbox"/> HIRED AUTOS ONLY <input type="checkbox"/> NON-OWNED AUTOS ONLY                                         |           |          |               |                         |                         | COMBINED SINGLE LIMIT (Ea accident) \$<br>BODILY INJURY (Per person) \$<br>BODILY INJURY (Per accident) \$<br>PROPERTY DAMAGE (Per accident) \$<br>\$                                 |
|          | <b>UMBRELLA LIAB</b> <input type="checkbox"/> OCCUR<br><b>EXCESS LIAB</b> <input type="checkbox"/> CLAIMS-MADE<br>DED <input type="checkbox"/> RETENTION \$                                                                                                                               |           |          |               |                         |                         | EACH OCCURRENCE \$<br>AGGREGATE \$<br>\$                                                                                                                                              |
|          | <b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b><br>ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? <input type="checkbox"/> Y/N<br>(Mandatory in NH)<br>If yes, describe under DESCRIPTION OF OPERATIONS below                                                             |           | N/A      |               |                         |                         | PER STATUTE <input type="checkbox"/> OTH-ER <input type="checkbox"/><br>E.L. EACH ACCIDENT \$<br>E.L. DISEASE - EA EMPLOYEE \$<br>E.L. DISEASE - POLICY LIMIT \$                      |
| A        | Technology E&O<br>Cyber Security & Privacy Liab<br>Media Liability                                                                                                                                                                                                                        |           |          | B080150483P24 | 06/01/2024              | 06/01/2025              | Per Claim \$5,000,000<br>Per Claim \$5,000,000<br>Per Claim \$5,000,000                                                                                                               |

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

List of Insured Entities:

Clarivate Plc  
Alexander Street Press LLC  
Alexander Street Software Shanghai Ltd (In Liquidation)  
Annui GmbH

**CERTIFICATE HOLDER****CANCELLATION**

|                       |                                                                                                                                                                |
|-----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Evidence of Insurance | SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. |
|                       | AUTHORIZED REPRESENTATIVE<br>                                                                                                                                  |

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ACORD 25 (2016/03)

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SR ID: 25985209

BATCH: 3492415

## G. TECHNICAL REPRESENTATIVE

The Technical Representative for this Contract is identified in the notice of award and is responsible for overseeing and monitoring this Contract.

### INNOVATIVE

Read and understood.

## H. POST AWARD KICK-OFF MEETING

1. Contractor receiving award under this solicitation shall be required to attend a post award kick-off meeting within ten (10) calendar days after award of contract to be scheduled by the Contract Administrator or designee.

- a. The Contract Administrator or designee shall communicate the date, time, location, and agenda for this meeting to prosper.

### INNOVATIVE

Read and understood.

## I. PAYMENTS

Unless specified otherwise, payments shall be made in accordance with the Exhibit C - General Contract Terms and Provision. Payments for the Implementation/First Year of the contract shall be paid in two (2) equal installments. The first installment shall be invoiced upon user acceptance of Data Migration and ILS Implementation (see Exhibit F, column heading "Data Migration and ILS Implementation", C.15.1-C.15.4). The second installment shall be invoiced upon first production use of the proposed Integrated Library System. The remaining four (4) years of the contract and any option years exercised by the City shall be invoiced and paid on the anniversary of the contract's signing date based upon the pricing submitted on the Pricing Schedule.

### INNOVATIVE

We typically require payment for the licensed or subscribed software at the beginning of each annual term, while professional services are billed monthly on a time and materials basis, and not on an approved milestone basis. All Fees must be paid to Innovative within 30 days following receipt of the invoice. We can further discuss payment and related particulars during contract negotiation.

## J. PRICE SCHEDULE

Contractors are required to submit their bid prices on the City's Price Schedule herein attached as Exhibit D — Price Schedule. The Price Schedule must be completed in full, including pricing for all option years. Only the City's Price Schedule will be accepted. Any deviations from the Price Schedule may be considered non-responsive and unacceptable.

### INNOVATIVE

We have uploaded Exhibit D as required in PlanetBids portal. We have also uploaded *RFP for ILS 10090131-25-D\_Cost Proposal\_Innovative Interfaces* PDF as a General Attachment in PlanetBids portal.

## Exceptions Requested by Proposer, if any

Proposer must indicate whether or not they have exceptions. If the proposer has exceptions, they must present written factual or legal justification for any exception requested to the Scope of Work, the Agreement, or the Exhibits thereto. Proposer must include any additional forms, leases, license agreements, contractual terms, or other confirming documents that are deemed necessary to fulfill the contract as an exception. Any exceptions to the Agreement that have not been accepted by the City in writing are deemed rejected. Any later proposed forms, contracts, terms, or agreements that are not explicitly agreed to by the City, in a writing signed by an authorized City representative, shall be deemed rejected and invalid. The City, in its sole discretion, may accept some or all of proposer's exceptions, reject proposer's exceptions, and deem the proposal non-responsive, or award the Agreement without proposer's proposed exceptions. **The City will not consider exceptions addressed elsewhere in the proposal and presumptively rejects any exceptions proposed later in the process.**

### INNOVATIVE

Due to the unique nature of Innovative's business, our delivery of the products and services covered by this proposal would be solely pursuant to a mutually executed definitive agreement including provisions as detailed within the proposed Contract terms issued as part of the RFP documents, together with other product specific and business terms included within Proposer's Order Form agreement attached. Further, Proposer is City's current ILS vendor and can see no issue in continuing with many of the legal terms already in place between City and Proposer. With specific reference to the General Contract Terms contained within Exhibit C of the RFP, Proposer would like to highlight the following areas for discussion at the contract negotiation stage:

**4.1 & 4.2 Suspension and Termination for convenience:** Because of the nature of the proposed solution and associated pricing, proposer cannot agree to a termination for convenience provision for the software solution itself, but are amenable to such a provision for the proposed professional services. Upon any termination of the agreement, all prepaid fees shall be nonrefundable and you shall be responsible for all fees and expenses for all work product provided or services performed up to the date of termination.

**4.3 Termination for default:** Proposer requires that any termination for cause provision is bi-lateral in nature and that a thirty (30) day remedy period to be included together with the following additional provision: Notwithstanding the foregoing, if the Breaching Party has in good faith commenced to remedy such failure and such remedy cannot reasonably be completed within such 30-day period, then the Breaching Party will have an additional 30 (thirty) days to complete such remedy, after which period the other party may terminate this Agreement if such failure continues unremedied.

**5.7 Warranty:** Our Order Form terms delineates the typical warranty we offer. We can work with you on additional warranty needs. Generally, Innovative offers the following warranties and disclaims all others: (1) that the Software will conform in all material respects to the applicable technical documentation provided to you by Innovative for the term of the agreement and that (2) work product will perform in accordance with the specifications contained the applicable Statement of Work for a period of 30 days.

**6.1, 6.2, 6.3 & 6.4 Rights in Data:** The software along with any and all derivatives, enhancements, modifications, improvements, etc., however, conceived or created, is and will remain the exclusive property of Innovative. Innovative shall exclusively retain all intellectual property rights subject to the limited use license granted to you. Innovative does not provide custom software development or website design services, and none of our Software is "work for hire." City shall own all documentation created or generated by City for the purpose of this contract. Innovative shall own all documentation created or generated by Innovative for the purpose of this contract.

**7.1 Indemnification.** The Industry Standard indemnity (for software related indemnities) that Innovative offers covers 3rd party claims against our IP/Copyright. Innovative will agree to broaden this indemnity to cover 3rd party claims involving injury/death and damage to property in circumstances where Innovative is deemed responsible for the cause of such action. Innovative commits to working with you on additional indemnity needs as can be mutually agreed.

**Limitation on Liability:** Our Order Form terms delineates the standard Limitation of Liability to be included in all Innovative contracts. Innovative cannot be liable for indirect or consequential damages in connection with this engagement. Additionally, in most cases, Innovative's aggregate liability for damages must be capped at the total amount of fees paid by you during the 12 (twelve) months preceding the date of any claim



**Innovative Interfaces Incorporated ("Clarivate")**

789 E. Eisenhower Parkway  
Ann Arbor, MI 48108

**Order Form:**

By signing this Order Form ("Order") you agree to order the Services and /or license the Products subject to the Agreement described below and you certify that you are authorized to enter into this Agreement on behalf of the Client effective as of the date of the last signature below.

|                                               |                                                             |
|-----------------------------------------------|-------------------------------------------------------------|
| Client:                                       |                                                             |
| <b>Authorization by Client:</b>               | <b>Authorization by:</b> Innovative Interfaces Incorporated |
| Signature: _____<br>Duly Authorized Signature | Signature: _____                                            |
| Name: _____                                   | Name: _____                                                 |
| Title: _____                                  | Title: _____                                                |
| Date Signed: _____                            | Date Signed: _____                                          |

Q-xxxxxxxxx

**Products (Annually Recurring):**

| Name                    | Description | Start Date | Contract Term (months) |
|-------------------------|-------------|------------|------------------------|
|                         |             |            |                        |
|                         |             |            |                        |
| Total Price for Year 1: |             |            |                        |

**Services (One Time):**

| Name         | Description |
|--------------|-------------|
|              |             |
| Total Price: |             |

- Start Date for new product(s) being purchased will commence following implementation.
- Statement of Work is attached for Services Orders.
- Payment terms are Net 30. If applicable, fees will be co-termed to align your billing to the same term.

**Renewal Term:**

For annually recurring products it will auto renew for consecutive 12-month terms following the expiration of the overall contract term as set out above ("Initial Term") unless either party provides at least ninety (90) days' notice of nonrenewal before the end of the then current term. Annual subscription fees may be increased each calendar year by up to 5%.

**Product Terms:****GOVERNING LAW & JURISDICTION** State of Delaware**GOVERNING TERMS:** The products and services set forth herein are governed by the terms found at <https://clarivate.com/terms-of-business> for:

- The Clarivate Terms\*;
- The Product/Service Terms for Innovative\*; and
- If applicable, the Innovative Subscription and Perpetual Software Subscriptions Operational Terms\*

**\*Applicable Terms are attached hereto for reference purposes****Additional Information:**

*Taxes: Except to the extent that you are tax-exempt as to the tax in question, Client will pay all sales, use and other taxes imposed by any applicable laws and regulations as a result of the payments under this agreement, including but not limited to: Canadian Goods and Services Tax ("GST"), Canadian Harmonized Sales Tax ("HST"), Canadian Provincial Sales Tax ("PST") and/or other transaction tax (Collectively "Excise Tax"). When applicable, these tax amounts will be reflected on invoices to Client.*

**Legal Notice Information**

Client Entity:

Client Legal Address:

**Billing Information:**

Please review your billing address to ensure its accuracy.

**Shipping Information:**

Please confirm the shipping address is accurate.

Electronic Invoice Recipient(s):Electronic Renewal Recipient(s):

*If your subscribing institution requires the use of Purchase Orders, please indicate below.*

**Purchase Order #****Billing Information Notes****Tax Registration Number #**

If tax exempt, please include copy of supporting documentation with signed agreement or email a copy to [tax.certificates@clarivate.com](mailto:tax.certificates@clarivate.com)

*Invoices will be emailed to the bill to-contact and renewals will be emailed to the ship-to-contact. If your institution is unable to accept electronic invoices, please check this box: ☐*





## Clarivate Terms

These Terms govern your use of the Clarivate products, services, and other deliverables ("**Products**") that you install or access through our platform(s) or website(s), or are otherwise identified in your order form, statement of work, quotation or other ordering document (each referred to as an "**Order**"). "**We**", "**our**" and "**Clarivate**" means the Clarivate entity identified in the Order; "**you**" and "**your**" means the Client entity identified in the Order.

The Order, any product/service specific terms and conditions and other applicable documents referenced in the Order or these Terms, as updated by Clarivate from time to time, constitute the complete agreement between us ("**Agreement**"), and supersede any prior discussions or representations regarding your Order, unless fraudulent. Other terms and conditions you seek to incorporate in any purchase order or otherwise, even where such document is signed by Clarivate as a courtesy, are excluded, and your use of the Products confirms your acceptance of these Terms. Your continued access, renewal, payment and/or use of the Products constitute your acknowledgment and acceptance of the latest version of these Terms.

### 1. Our Products and Services

**(a) Orders.** Your Order identifies the Products, quantities, relevant license and restrictions, fees and charges, permitted users ("**Authorized Users**") and other relevant details of your Order.

**(b) Intellectual Property.** Together with our licensors, we retain all ownership of and all rights in the Products (including any underlying software, data models, databases or data sets), any pre-existing codes, content, methodologies, templates, tools or other materials used in performing services, and any configurations, modifications or derivatives thereto (collectively "**Clarivate IP**"). Clarivate IP constitutes our valuable intellectual property, confidential information and trade secrets, and you may only use it as expressly permitted in the Agreement. You must promptly notify Clarivate if you become aware of any unauthorized use of Clarivate IP.

**(c) Compliance.** Clarivate and you shall act at all times in accordance with the laws, rules, regulations, export controls and economic sanctions as they apply to such party in connection with its obligations under the Agreement ("**Applicable Laws**").

**(d) Updates.** The Products change from time to time. If we fundamentally change the Products in a way which materially impairs your usage of the Products, you may terminate the affected Products on written notice no later than 30 days after the change.

**(e) Passwords.** Your access to certain Products may require authentication (e.g. a password). Sharing passwords or facilitating access to unauthorized users is strictly prohibited. Each of us shall maintain industry standard computing environments to ensure that Clarivate IP is secure and inaccessible to unauthorized persons.

**(f) Usage information.** We may collect information related to your use of our Products. We may use this information for legitimate business reasons including without limitation to recommend products, services or functionality that may interest users, to test and improve our Products and to protect and enforce our rights under the Agreement, and may pass this information to our third party providers for the same purposes.

**(g) Feedback and knowledge.** Where you provide any comments, recommendation, suggestion or ideas, or any other feedback related to Clarivate IP ("**Feedback**") we may use and exploit such Feedback without restriction or obligation to you and you will not obtain any rights in Clarivate IP. We may freely use our general knowledge, skills and experience, and any ideas, concepts, processes, know-how and techniques developed by Clarivate while providing any Products (including professional services), provided we do not use your confidential or other proprietary information.

**(h) Documentation.** You may print or download PDF copies of user guides, online help, release notes, training materials and other documentation provided or made available within the Products or published online, as updated from time to time ("**Documentation**") for your internal use with the Products, provided all copyright or proprietary rights notices are retained.

**(i) Third party providers.** The Products may include data, software and services from third parties. Some third party providers require Clarivate to pass additional terms through to you, and you must comply with these additional terms as applicable. The third party providers change their terms occasionally and new third party providers are added from



time to time. To see the current third party additional terms that apply to your use of our Products visit <https://clarivate.com/legal-center/terms-of-business/third-party-terms/>

## 2. Your Obligations

**(a) Limited license.** You may only use the Products in accordance with the applicable license set out in Sections 3 to 6, the relevant product/service terms referenced on the Order, and the Documentation. You are responsible for all acts or omissions of your users in connection with the Products, and ensuring users comply with these terms.

**(b) Your content.** You retain ownership of your pre-existing content, data and materials that you provide to us, or use with the Products ("**Content**"). You hereby grant Clarivate a license to use your Content as required by Clarivate to provide you with the Products (including right to sublicense the same to our subcontractors, as required). You must (i) ensure your Content does not infringe third party rights or any Applicable Laws; and (ii) notify Clarivate in advance before transmitting to us, and clearly mark, any of your Content that contains restricted data, including the jurisdiction and classification under applicable export control laws. Restricted data may include any information, data, or source code that is on an export controls list or equivalent list of any applicable jurisdiction or that is related to weapons, military/defense, intelligence, or law enforcement; aerospace or subsea technologies; cryptography, encryption, or cybersecurity tools; advanced or cutting-edge items or technologies; or items that could pose a danger to health or safety. Unless your Order includes backup services, we disclaim all responsibility for backing up your Content.

**(c) General obligations.** You must (i) ensure we have up-to-date contact and billing information for your Order; (ii) provide detailed, accurate and sufficiently complete information, specifications and instructions in a timely manner; (iii) ensure you are permitted to allow Clarivate to use and modify your equipment, systems, software and Content, as required to provide the Products; (iv) maintain then-current minimum technical requirements to access the Products, as applicable; and (v) perform any additional obligations specified in your Order. If reasonably requested, you must make authorized personnel available to agree on the impact of any failure or delay by you to comply with these requirements, and you must not unreasonably withhold or delay your consent to any consequential changes to the Agreement.

**(d) Third-party technology.** You may only integrate our software with, or access our data from, third-party software, systems, platforms or products ("**Third Party Technology**") as permitted by the Agreement. You are responsible for procuring, maintaining and complying with any necessary license for the Third Party Technology (which is independent of the Agreement and your license to the Products).

**(e) Restrictions.** You must not (i) introduce any malicious software into Clarivate IP or network; (ii) run or install any computer software or hardware on the Products or network; (iii) scrape data from the Products; or (iv) disable or bypass any functionality or restrictions within the Products.

**(f) Artificial Intelligence.** Unless expressly permitted under a mutually agreed Artificial Intelligence Addendum or other written agreement with us, you must not use and access the underlying Clarivate proprietary data from the Products: (i) with any of your technology platforms or systems, in a manner which includes or involves your application of artificial intelligence, such as generative artificial intelligence, machine learning, algorithms or language models ("**AI Technologies**"); or (ii) to generate any content, such as code, languages, software, services, text, voice, audio, graphics, illustrations, workflows, images, videos or other outputs, in any form or media.

**(g) Limitations.** Unless expressly permitted elsewhere in the Agreement, you may use the Products for your internal use only and shall not: (i) sell, sublicense, distribute, display, store, copy, modify, decompile or disassemble, transform, reverse engineer, benchmark, frame, mirror, translate or transfer Clarivate IP in whole or in part, or as a component of any other product, service or material; (ii) create a derivative database or otherwise access and use Clarivate IP to create any derivative works, services or products (including tools, algorithms or models) that compete with or provide a substitute for a product offered by Clarivate or its third party providers; (iii) perform penetration testing; (iv) perform any text or data mining or indexing of the Products or any underlying data (v) use the Products or underlying data in conjunction with any third-party technology or (iv) allow any third parties or unauthorized users to access, use or benefit from Clarivate IP in any way whatsoever. For the avoidance of doubt, the exercise of legal rights that cannot be limited by agreement under applicable laws is not precluded.

**(h) Your Responsibilities.** You are responsible for any violation of Applicable Laws or regulation, or violation of our or any third party rights (including unauthorized use) related to (i) your Content or your instructions to us; (ii) your



combination or modification of Clarivate IP, or use with any other materials; (iii) your failure to install updates we have provided to you; or (iv) your breach of the Agreement. You are also responsible for Claims brought by third parties receiving the benefit of the Products through you. If you use the Products in breach of Sections 2 (e) or (f) you must delete or destroy any infringing material on our request. You must reimburse Clarivate if we incur costs or suffer losses in the circumstances set out in this Section.

### 3. Information Services

**(a) Definition.** “**Information Services**” means a product providing data, metadata, metrics, charts, graphs, literature or other information in any form (collectively “**Licensed Information**”), including via a Clarivate-provided tool, algorithm, process, web platform, an API, a datafeed, custom dataset or syndicated report.

**(b) License.** Your Authorized Users may use the Information Service solely for internal analysis and research purposes. Where an Information Service is available via a Clarivate-provided web platform, subject to the Product functionality, Authorized Users may view, download and print reasonable amounts of the Licensed Information for their own individual use. We determine a “reasonable amount” of Licensed Information by comparing user activity against the average activity rates for all other users of the same product.

**(c) Distribution.** Authorized Users may on an infrequent, irregular and ad hoc basis, distribute limited extracts of the Licensed Information internally to non-authorized users as incidental samples or for illustrative or demonstration purposes in reports or other documentation created in the ordinary course of their role. We determine a ‘limited extract’ as an amount of Licensed Information that has no independent commercial value and could not be used as a substitute for any service or product (or a substantial part of it) provided by us, our affiliates or third party providers. Licensed Information may also be distributed: (i) amongst Authorized Users; (ii) to government and regulatory authorities investigating you, if specifically requested; (iii) to persons acting on your behalf, to the extent required to provide legal or financial advice to you, and (iv) to third parties upon execution of a written agreement between Clarivate and the third party. You are responsible for ensuring use by such persons complies with the terms of this Agreement. For clarity, consent is not required for hosting services which host our Licensed Information solely on your behalf; provided, however that such third party shall in no way access or use the data for any purpose.

**(d) Attribution and representation.** Where users quote and excerpt Licensed Information in their work as permitted by the Agreement, they must appropriately cite and credit Clarivate as the source. Attribution to Clarivate and use of the Licensed Information must not categorize or identify Clarivate as an ‘expert’ in any context and to ensure Licensed Information is not misrepresented or taken out of context. Without our prior written consent, the Licensed Information shall not be filed with any securities authorities.

### 4. Installed Software

**(a) Definition.** “**Installed Software**” means software which is downloaded to or implemented on your servers.

**(b) License.** You may install Installed Software only for your internal user. Software licenses do not include updates (bug fixes, patches, maintenance releases), upgrades (releases or versions that include new features or additional functionality), APIs or Professional Services unless expressly stated in the Order. Your Order details your permitted installations, users, locations, the specified operating environment and other permissions and restrictions. You may use Installed Software in object code only. You are responsible for backups and may only make necessary copies of the Installed Software for such purposes.

**(c) Delivery.** Unless stated otherwise in your Order, we deliver Installed Software by making it available for download. You may first need to provide Clarivate with certain identifying information about your system administrator and you may be required to confirm availability or installation of our software.

**(d) Acceptance.** Unless set forth otherwise in an Order, when you download Installed Software and Documentation, you are accepting it for use in accordance with the Agreement.

### 5. Hosted Software

**(a) Definition.** “**Hosted Software**” means our software applications made available to you via the internet.

**(b) License.** You may use our Hosted Software only for your internal use. Your Order details your Authorized Users, locations and other permissions and restrictions. Software licenses do not include updates (bug fixes, patches,



maintenance releases) or upgrades (releases or versions that include new features or additional functionality), unless you are on a multi-tenant solution or where you have purchased maintenance including such services.

**(c) Delivery.** We deliver our Hosted Software by providing you with online access to it. Unless set forth otherwise in an Order, when you access our Hosted Software, you are accepting it for use in accordance with the Agreement.

**(d) Content.** You grant Clarivate permission to use, store and process your Content. Access and use of your Content by us, our employees and contractors to the extent necessary to deliver the Hosted Software, including training, research assistance, technical support and other services. We will not disclose your Content except to support the Hosted Software, unless required by Applicable Laws (when we will use our reasonable efforts to provide notice to you). We may delete or disable your Content if required under Applicable Laws or where such Content violates the Agreement (and we will use our reasonable efforts to provide notice to you of such action). You may export your Content prior to termination or, where Content cannot be exported and is accessible by us, we may, at your cost and upon execution of an Order for such services, provide you with a copy of such Content.

**(e) Security.** We will inform you in accordance with Applicable Laws if we become aware of any unauthorized third party access to your Content and will use reasonable efforts to remedy identified security vulnerabilities. Our Hosted Software is designed to protect your Content, however, unless set forth otherwise in your Order, you are responsible for maintaining backups of your Content. If your Content is lost or damaged due to our breach, we will assist you in restoring your Content to the Hosted Software from your last available back up copy.

## 6. Professional Services

**(a) Definition.** “Professional Services” means any professional services, including but not limited to implementation, customization, configuration, transition services, administrative services, consulting services, screening, search and analytics services, and watch services to be provided by Clarivate.

**(b) License.** Unless otherwise set out in the Order, you will own the deliverables set out in the Order, provided that (i) we retain all intellectual property rights in and to the Clarivate IP and you receive a license to use the Clarivate IP solely to the extent necessary to utilize the deliverables for your internal use; and (ii) if the deliverables include any configurations or modifications to our pre-existing products (including but not limited to implementation services and custom datasets) we retain all intellectual property rights in and to such deliverables, and you receive a license to use them in the same way as you are licensed to use the relevant Product. You agree deliverables are deemed accepted upon delivery unless agreed otherwise in an Order.

**(c) Changes.** Either of us may make written (including email) requests to change any aspect of the Professional Services, provided that no change will take effect unless and until we have each signed a formal change order setting out the impact of the change and any consequential changes required to the Agreement. Neither of us will unreasonably withhold our agreement to a change.

**(d) Access.** As required for Clarivate to perform the relevant Professional Services, you must provide reasonable access to your sites, equipment and systems and ensure the health and safety of our personnel on your premises and full cooperation from your qualified and experienced personnel as reasonably required. We will take reasonable steps to ensure that while on your site our personnel comply with reasonable security, health and safety and confidentiality requirements that are notified to Clarivate in advance.

## 7. APIs and Data Feeds

**(a) Information Services.** Where we make Licensed Information available to you via API or a data feed, the Information Service terms (Section 3 above) apply to the data you receive. You must ensure that the Licensed Information remains behind your firewall and is only accessible to your Authorized Users. If we deliver Licensed Information via a data feed, you are responsible for loading and maintaining Licensed Information in a timely manner into your data stores. If we make an API available to you, you may use our APIs to query the applicable Information Service and display Licensed Information to Authorized Users within your own technology systems. Clarivate approved accreditations must remain visible at all times.



(b) **Software.** Clarivate may make APIs available to you to configure our Hosted Software and Installed Software (collectively “**Software**”) or otherwise allow our Software to interoperate with third-party programs or services (“**Client Configurations**”). Such APIs may only be used with the associated Software and in accordance with the applicable Documentation and/or terms of use. We disclaim all liability for Client Configurations.

(c) **Keys.** Our API and data feed keys must not be: (i) shared in any way; (ii) used for multiple interfaces; or (iii) used in any way that mimics any material functionality of any Products developed or marketed by Clarivate, or would reasonably be deemed competitive to any Products offered by Clarivate, our affiliates or third party providers. You must demonstrate interfaced systems if reasonably requested by us.

## 8. Charges

(a) **Payment and taxes.** You must pay our charges and reasonable expenses, together with any applicable taxes, without deduction within 30 days of the date of invoice, unless otherwise provided on your Order. Payment must be in the currency stated on your Order. We may levy a service charge of 1% per month or the highest lawful interest rate (whichever is lower) for late payment plus our reasonable collection costs, including attorneys’ fees. Our fees are exclusive of tax, and shall be paid by you free and clear of all deductions or withholdings provided, if you are required by law to deduct or withhold you will be responsible for paying to Clarivate such additional amount as will, after such deduction or withholding has been made, leave Clarivate with the same amount as we would have been entitled to receive in the absence of any such requirement to make a deduction or withholding. Invoice disputes must be notified in writing to Clarivate within 15 days. Once resolved, payment of disputed invoices will be due immediately.

(b) **Changes.** We may change the charges for the Products with effect from the start of each renewal term by giving you at least 60 days’ written notice. If we believe your creditworthiness has deteriorated we may require full or partial payment before the continued performance of services. If you receive an electronic request to change our banking account number, you should contact our Treasury Department.

(c) **Increases in usage.** If your Order includes limits on usage, you must pay additional charges if you exceed those limits, based on the rates specified on the Order or our current standard pricing, whichever is greater. If you have enterprise wide or site wide access set out in your Order, our charges are established based on the size of your organization, anticipated number of users, site locations and population served as at the date of the Order, and if any one or a combination of these elements materially increases (e.g. if you acquire a new affiliate), we reserve the right to vary the charges.

## 9. Privacy

Each of us will at all times collect, disclose, store or otherwise process personal data in accordance with the EU General Data Protection Regulation (EU GDPR), UK General Data Protection Regulation (UK GDPR), UK Data Protection Act 2018, and other applicable laws relating to the use of personal data relating to individuals (“**Data Privacy Laws**”), including without limitation any laws relating to individual rights and cross-border transfers. At all times, we will treat personal data in accordance with our [Privacy Notice](#), which is incorporated by reference into these Terms. Each of us will use reasonable efforts to assist one another in relation to the investigation and remedy of any investigation, claim, allegation, action, suit, proceeding or litigation with respect to an alleged breach of Data Privacy Laws in relation to activities under the Agreement. Each of us will maintain, and will require any third party data processors to maintain, appropriate physical, technical and organizational measures to protect the personal data. You may not, use personal data included in the Products (to the extent such data was not provided by you or collected by Clarivate on your behalf) to send bulk or mass emails or email blasts; to publish or distribute any advertising or promotional material; or to otherwise use such data in a manner that is prohibited by applicable law. You may not, for any purpose whatsoever, process (nor allow to be processed) any personal data that is within the Products (to the extent such data was not provided by you or collected by Clarivate on your behalf) in any AI Technologies. You acknowledge that you are responsible for your own compliance with Data Privacy Laws, including, where applicable, determining your legal grounds for processing such data. If we process personal data as a processor on your behalf, the terms of the data processing addendum at <https://clarivate.com/terms-of-business> are





hereby incorporated by reference. 'Data controller', 'personal data' and 'process' will have the meaning given in the EU GDPR or the data processing addendum, where applicable.

## 10. Confidentiality

Each of us will (i) use industry standard administrative, physical and technical safeguards to protect the other's confidential information; (ii) only use the confidential information of the other for purposes related to the performance of the Agreement (including our provision of the Products); and (iii) not disclose such confidential information to anyone else except to the extent required by Applicable Laws or as necessary to perform, manage or enforce the Agreement (including where we need to share it with our subcontractors). If either of us is required to disclose the confidential information of the other by statute or court order, that party shall notify the other so that an appropriate protective order or other remedy can be obtained, unless the court or government agency prohibits prior notification. Confidential information of each party includes any information marked as confidential, or which a reasonable person would consider as being confidential, including information relating to Clarivate IP (including how it is developed and any underlying models or databases) or pricing, but shall not include information that is or becomes public or known on a non-confidential basis other than through breach of any duty or obligation of confidentiality.

## 11. Audit

**(a) Audit right.** Without limiting Clarivate's right to electronically monitor usage of the Products, we or our professional representatives may audit your compliance with the Agreement, on at least 10 business days' notice and during normal business hours, provided that we will not audit more than once in 12 months, unless we reasonably believe you are in breach or we are required to by a third party provider.

**(b) Costs.** If an audit reveals that you have breached the Agreement, you will pay (i) any underpaid charges; and (ii) the reasonable costs and expenses of undertaking the audit if you have underpaid the charges by more than 5% or if those costs are imposed on Clarivate by a third party provider.

## 12. Warranties and disclaimers

**(a) LIMITED WARRANTY. WE WARRANT THAT (i) WE PROVIDE THE PRODUCTS USING COMMERCIAL REASONABLE SKILL AND CARE; (ii) OUR INSTALLED SOFTWARE WILL SUBSTANTIALLY CONFORM TO ITS DOCUMENTATION FOR 90 DAYS AFTER DELIVERY; AND (iii) OUR HOSTED SOFTWARE WILL SUBSTANTIALLY CONFORM TO ITS THEN-CURRENT DOCUMENTATION. WE DO NOT WARRANT UNINTERRUPTED OR ERROR-FREE OPERATION OR DELIVERY OF THE PRODUCTS. TO THE FULLEST EXTENT PERMITTED UNDER APPLICABLE LAWS, THESE WARRANTIES AND ANY PRODUCT-SPECIFIC WARRANTIES THAT MAY BE INCLUDED IN YOUR ORDER ARE THE EXCLUSIVE WARRANTIES FROM CLARIVATE AND WE DISCLAIM ALL OTHER WARRANTIES, REPRESENTATIONS AND UNDERTAKINGS, EXPRESS OR IMPLIED, INCLUDING OF PERFORMANCE, MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, ACCURACY, COMPLETENESS AND CURRENTNESS.**

**(b) SOFTWARE. IF WE CANNOT RECTIFY ANY VALID SOFTWARE WARRANTY CLAIM WITHIN A REASONABLE PERIOD YOU MAY CANCEL YOUR LICENSE OF THE AFFECTED SOFTWARE BY WRITTEN NOTICE TO US. WE WILL WITHOUT ANY FURTHER LIABILITY REFUND ALL APPLICABLE CHARGES BASED ON A FIVE (5) YEAR STRAIGHT-LINE DEPRECIATION FROM THE EFFECTIVE DATE OF THE APPLICABLE ORDER FOR THE SOFTWARE.**

**(c) PROFESSIONAL SERVICES. WE WILL RECTIFY PROFESSIONAL SERVICES IF YOU GIVE US WRITTEN NOTICE OF A VALID WARRANTY CLAIM WITHIN 30 DAYS OF DELIVERY. IF WE CANNOT RECTIFY ANY VALID WARRANTY CLAIM WITHIN A REASONABLE PERIOD WE WILL WITHOUT ANY FURTHER LIABILITY REFUND ALL APPLICABLE CHARGES RELATED TO THE DEFECTIVE SERVICE AND WE MAY TERMINATE THE AFFECTED SERVICES BY WRITTEN NOTICE TO YOU.**

**(d) NO ADVICE. WE ARE PROVIDING THE PRODUCTS FOR INFORMATIONAL PURPOSES ONLY. WE ARE NOT PROVIDING ANY ADVICE (LEGAL, MEDICAL, CLINICAL, FINANCIAL OR OTHERWISE) BY ALLOWING YOU TO ACCESS AND USE THE PRODUCTS. YOU ARE FULLY RESPONSIBLE FOR YOUR INTERPRETATIONS OF THE PRODUCTS. IF YOU**



DESIRE ADVICE, WE ENCOURAGE YOU TO ENGAGE LEGAL, MEDICAL, CLINICAL OR FINANCIAL PROFESSIONALS TO HELP YOU INTERPRET THE PRODUCTS. YOU ACKNOWLEDGE THAT WE ARE NOT RESPONSIBLE FOR ANY ACTION OR DAMAGES RESULTING FROM ANY DECISIONS YOU (OR ANY OTHER PARTY ACCESSING THE PRODUCTS THROUGH YOU) MAKE IN RELIANCE ON THE PRODUCTS. WE ARE NOT A LAW FIRM OR PROFESSIONAL ADVISOR AND NO ATTORNEY/CLIENT, PHYSICIAN/PATIENT OR OTHER FIDUCIARY OR PROFESSIONAL RELATIONSHIP IS CREATED.

**(e) THIRD PARTY MATERIALS.** WE DO NOT ACCEPT ANY RESPONSIBILITY FOR, AND WILL NOT BE LIABLE FOR CLAIMS ARISING FROM, THIRD PARTY TECHNOLOGY OR ANY THIRD PARTY MATERIALS ACCESSIBLE VIA LINKS IN THE PRODUCTS.

### 13. Liability

**(a) Unlimited liabilities.** Neither of us excludes or limits liability for (i) fraud, (ii) death or personal injury caused by negligence, (iii) claims for payment or reimbursement or (iv) any other liability, including gross negligence, where not permitted to do so under Applicable Laws and nothing in the Agreement shall be interpreted to do so.

**(b) Excluded losses.** Neither of us will be liable for (i) lost profits, lost business, lost revenue, anticipated savings, lost data, or lost goodwill; or (ii) any special, incidental or exemplary damages, indirect or consequential losses, or anticipated savings.

**(c) Limitation.** The aggregate liability of each of us (and of any of Clarivate's third party providers) for all claims arising out of or in connection with the Agreement, including for breach of statutory duty, in tort or in negligence (collectively 'Claims'), will not exceed the amount of any actual direct damages up to the amounts payable in the 12 months prior to the first incident under which liability arose (or where the claim arose in the first 12 months of the Agreement, the amounts that would have been payable in the first 12 months) for the Product that is the subject of the claim.

**(d) Claims.** You may not assign or transfer Claims and you must bring Claims within 12 months of arising.

**(e) No liability.** We will not be responsible for failures, errors or delays that occur because of (i) your or a third party's technology or network; (ii) your actions or inaction (other than proper use of the Product), such as failing to follow the usage instructions or adhering to the minimum recommended technical requirements; (iii) changes you make to the Products; (iv) your failure to implement and maintain proper and adequate virus or malware protection and proper and adequate backup and recovery systems; (v) your failure to install updates we have provided to you; or (vi) other causes not attributable to us. If we learn that the Product failed because of one of these, we reserve the right to charge you for our work in investigating the failure at our then currently applicable rates. At your request we will assist you in resolving the failure at a fee to be agreed upon.

**(f) Third party intellectual property.** If a third party sues you claiming that a Product as provided by Clarivate infringes their intellectual property rights then, provided your use of such Product has been in accordance with the terms of the Agreement, we will defend you against the claim and pay damages that a court finally awards against you or that are included in a settlement approved by us, provided that you (i) promptly notify Clarivate in writing of the claim; (ii) supply information we reasonably request; and (iii) allow Clarivate to control the defense and settlement. We have no liability for Claims to the extent caused by items not provided by us. In relation to liability arising solely from one of our third party providers' data, software or other materials, our liability will be limited to the amount we recover from that third party supplier divided by the number of Claims by our customers, including you.

**(g) Mitigation.** Each of us shall take reasonable steps to limit and mitigate any losses, liability, Claims or other costs it may incur under the Agreement and which it may seek to recover from the other, including under any reimbursement or indemnity. Further, in the event a Product infringes or may infringe a third party's intellectual property rights we may, at our expense and option: (a) replace or modify the Product to make it non-infringing, while maintaining equivalent functionality; (b) procure the right for you to continue using the Product pursuant to this Agreement; or (c) terminate the Product and provide you a refund on a pro-rata basis.

**(h) Equitable relief.** Each of us agrees that damages may not be a sufficient remedy for any misuse of the others intellectual property, confidential information or trade secrets, and each of us may seek equitable relief (including specific performance and injunctive relief) as a remedy for breach of the Agreement.



## 14. Term, Termination

**(a) Term.** The term and any renewal terms for the Products are described in your Order. If either of us does not wish to renew the Products set forth in an Order, in whole or in part, they must provide the other with at least 30 days' written notice before the end of the then current term.

**(b) Suspension.** We may on written notice suspend or limit your use of the Products or other Clarivate IP, or terminate the Agreement, (i) if required to do so by a third party provider, Applicable Laws, court or regulator; (ii) if you become or are reasonably likely to become insolvent or affiliated with one of our competitors; or (iii) if there has been or it is reasonably likely that there will be: a breach of security; a breach of your obligations under the Agreement (including payment); or a violation of third party rights or Applicable Laws. Our notice will specify the cause of the suspension or limitation and, as applicable, the actions you must take to reinstate the Product. If you do not take the actions or the cause cannot be remedied within 30 days, we may terminate the Agreement. Charges remain payable in full during periods of suspension or limitation arising from your action or inaction.

**(c) Termination.** We may terminate the Agreement, in whole or in part, in relation to a Product which is being discontinued, on 90 days' written notice. Either of us may terminate the Agreement immediately upon written notice if the other commits a material breach and (if capable of remedy) fails to cure the material breach within 30 days of being notified to do so. Unless we terminate for breach or insolvency, fees will be due for all Products provided through the termination date and any pre-paid charges will be refunded on a pro-rated basis for terminations in accordance with the Agreement. Transition assistance may be provided upon the execution of an Order for such services.

**(d) Effect of termination.** Except to the extent we have agreed otherwise, upon termination, all your licenses and usage rights granted end immediately and you must permanently uninstall, expunge, delete or destroy the Products and Clarivate IP (including any copies thereof) in your or any third party's control or possession and, if requested, confirm this in writing. Termination of the Agreement will not (i) relieve you of your obligation to pay Clarivate any amounts you owe up to and including the date of termination; (ii) affect other accrued rights and obligations; or (iii) terminate those parts of the Agreement that by their nature should continue.

## 15. Force majeure

Other than payment obligations, neither of us shall be liable for any failure or delay in performance due to causes that cannot be reasonably controlled by that relevant party, such as (but not limited to) acts of God, acts of any government, war or other hostility, civil disorder, the elements, fire, explosion, power failure, equipment failure, industrial or labor dispute, inability to obtain necessary supplies, and the like.

## 16. Third party rights

Our affiliates and third party providers benefit from our rights and remedies under the Agreement. No other third parties have any rights or remedies under the Agreement.

## 17. General

**(a) Assignment.** You may not assign or transfer the Agreement to anyone else without our prior written consent. We will provide you with written notice if we assign or transfer the Agreement, in whole or in part, as part of our business reorganization, which we may do provided the Products will not be adversely affected.

**(b) Marketing.** We may refer to you as a customer and use your trade names, trademarks, service marks, logos, domain names and other brand features in our marketing materials, customer lists, presentations and related materials.

**(c) Amendment.** We may amend the Agreement from time to time, with such changes being effective upon renewal.

**(d) Enforceability.** The Agreement will always be deemed modified to the minimum extent necessary for it to be enforceable, unless modification fundamentally changes the Agreement.



**(e) Non-solicitation.** Clarivate is an independent contractor. You must not directly or indirectly solicit or recruit or attempt to solicit or recruit for employment or engagement any personnel of Clarivate during the term and for 12 months thereafter. Employment resulting from a general public advertisement or search engagement not specifically targeted at the relevant personnel is not precluded.

**(f) Performance.** We may perform some or all of our obligations from any of our offices globally or through any of our affiliates or third parties. Such affiliates and third parties are obligated to confidentiality obligations and we remain responsible for their performance.

**(g) Headings and summaries.** Headings and summaries shall not affect the interpretation of the Agreement.

**(h) Waiver.** Neither of us waives our rights or remedies by delay or inaction.

**(i) Governing law and jurisdiction.** If a dispute arises related to this Agreement or an Order, Clarivate and you agree to meet to try and resolve it before commencing any legal proceedings. Should such resolution attempts fail, each of us agrees that any Claim arising out of or in connection with the Agreement (including its formation) is subject to the exclusive governing law and exclusive jurisdiction specified in the Order. BOTH YOU AND CLARIVATE EXPRESSLY AND KNOWINGLY WAIVE ANY RIGHT TO A JURY TRIAL IN THE EVENT ANY ACTION ARISING UNDER OR IN CONNECTION WITH THIS AGREEMENT IS LITIGATED OR HEARD IN ANY COURT.

**(j) Precedence.** In the event of any conflict within the Agreement, the descending order of precedence is: the Order; the referenced documents (including any specific product/service terms); the remaining terms and conditions of this Agreement.

**(k) Notices.** Notices for Clarivate must be directed to [contract.admin@clarivate.com](mailto:contract.admin@clarivate.com). Notices for you will be directed to the Client entity and address identified in the Order. Each of us may update our notice information upon prior written notice to the other.

Last updated: March 2024 (Version 3.2)

# PRODUCT / SERVICE TERMS ADDENDA

In addition to the Terms, your use of the below listed products are subject to these additional terms and conditions:

## **Polaris, Sierra, Millennium, Virtua, or INN-Reach or Subscription and Perpetual Licenses**

- 1. License.** Client and, where applicable, its Authorized Users (defined below) may use the Software (including any client configurations) (i) only for the management of the library and for servicing its patrons (including permitting Authorized Users to search library catalogues), and not on an outsourced basis, as a service bureau, for resale, or similarly on behalf of or for the direct or indirect benefit of third parties, and (ii) only in accordance with the other terms of this Agreement. The license does not include hosting services, which must be purchased separately.
- 2. Copies.** Non-production use includes training, development, testing, quality assurance, staging or preproduction provided that the copies of the Software are not used in a production environment or as a backup to production. The license includes the right to use a single production instance and up to two (2) additional copies for non-production use at no additional charge. Non-production use includes training, development, testing, quality assurance, staging or preproduction provided that the copies of the Software are not used in a production environment or as a backup to production.
- 3. New Releases.** The license granted to you pursuant to this Agreement will include, at no additional cost, a license to use all new scheduled major releases, service pack releases, and hot fixes of the software offered generally by Clarivate to its clients during the term of this Agreement (collectively, "New Releases"). "New Releases" do not include new or additional modules, applications or other software now or hereafter offered by Clarivate, each of which require a separate license and payment of additional license fees. Additional fees may be required for implementation of New Releases.
- 4. Authorized Users.** For clarity, your patrons do not fall within the number of Authorized Users on your Order Form.
- 5. Aggregated Data.** In addition to the rights set forth in the Terms, we may use your Content and otherwise collect information related to your use of our product to create and use aggregate, non-identifying and anonymized data ("Collected Data"). Client acknowledges and agrees that it will have no rights in any products or services created or sold by Clarivate or its affiliates that use Collected Data.
- 6. Early termination.** Client may terminate this Agreement at any time during the Initial Term effective as of the date of the next annual anniversary of the term if Client's budget (funding) is eliminated and Client provides written evidence of the elimination of Client's budget (funding), such evidence to be in the form and substance reasonably requested by Clarivate.
- 7. Modules.** Your purchase and use of additional modules, tools or other applications from us with the Software are subject to the same terms as the Software.

## **Vega, Innovative Mobile, Innovative Phone Alerts or Software-as-a-Service**

- 1. License.** We will provide you with subscription access via a website to our Integrated Library System solution known as "Vega". Client and, where applicable, its Authorized Users may access and use Vega (including any client configurations) (i) only for the management of the library and for servicing its patrons (including permitting Authorized Users to search library catalogues), and not on an outsourced basis, as a service bureau, for resale, or similarly on behalf of or for the direct or indirect benefit of third parties, and (ii) only in accordance with the other terms of this Agreement.
- 2. New Releases.** The license granted to you pursuant to this Agreement will include, at no additional cost, a license to use all new scheduled major releases, service pack releases, and hot fixes of the software offered generally by Clarivate to its clients during the term of this Agreement (collectively, "New Releases"). "New Releases" do not include new or additional modules, applications or other software now or hereafter offered by Clarivate, each of which require a separate license and payment of additional license fees. Additional fees may be required for implementation of New Releases.

3. **Aggregated Data.** In addition to the rights set forth in the Terms, we may use your Content and otherwise collect information related to your use of our product to create and use aggregate, non-identifying and anonymized data ("Collected Data"). Client acknowledges and agrees that it will have no rights in any products or services created or sold by Clarivate or its affiliates that use Collected Data.

4. **Authorized Users.** Patrons fall within the number of Authorized Users on your Order Form.

5. **Early termination.** Client may terminate this Agreement at any time during the Initial Term effective as of the date of the next annual anniversary of the term if Client's budget (funding) is eliminated and Client provides written evidence of the elimination of Client's budget (funding), such evidence to be in the form and substance reasonably requested by Clarivate.

# OPERATIONAL MATERIALS ADDENDA

## Software Support, Service Availability and Maintenance

This document outlines our Software support, maintenance and service availability for the following products ("Covered Products"):

**Polaris, Sierra, Millennium, Virtua, or INN-Reach or Subscription and Perpetual Licenses**

### Support

**Requesting support.** Support includes issue analysis, support case management, prioritization of issues, tracking and investigation of issues and explanation of error messages. You must provide us with the information we need to resolve your problem. This includes relevant contact information, details about the problem, error messages, user IDs, and any other necessary information. If you have problems using our software, your designated administrators can contact us during normal hours. Your administrator will be provided an internal portal to report issues and review their status.

**Support Access.** If you host your own Software, you must provide us direct network internet access to the Software, including any firewalls. We require such access to correct Software bugs and carry out modifications of the Software for the purpose of maintaining the Software.

**New Releases.** Unless you have purchased our Hosting Services, additional fees at Clarivate's then-prevailing professional service rates will apply for implementation of New Releases.

**Response.** We will use commercially reasonable efforts to meet the service level objectives stated below. Target response times to confirm receipt and begin troubleshoot and diagnosis of the problem are below. Resolution times cannot be guaranteed, although we undertake every effort to resolve your issues as soon as possible.

| Priority   | Response                               | Criteria                                                                                                                                                                                                                                                                                       |
|------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 1 | 1 Business hour                        | A major component of the software is in a non-responsive state and severely affects library productivity or operations. A high impact problem that affects the entire library system. Widespread system availability, production system is down                                                |
| Severity 2 | 4 Business hours                       | Any component failure or loss of functionality not covered in Severity 1 that is hindering operations, such as, but not limited to: excessively slow response time, functionality degradation; error messages; backup problems; or issues affecting the use of the module or the data          |
| Severity 3 | 2 Business Days                        | An issue (other than a Severity 1 or 2) which (a) has no direct and material impact on business processes, (b) has an impact only on a segment of users, or (c) does not yet disrupt time-critical business processes.                                                                         |
| Severity 4 | as promptly as is reasonably practical | Non-performance related incidents, including: general questions, requests for information, documentation questions, enhancement requests. These will be logged but no immediate action will be taken. We will generally monitor the situation but will not be obliged to provide any solution. |

**Escalation Path.** If you do not receive a response within the timeframe designated above, please reach out to your Account Manager.

## Hosting Services

The following terms apply to the extent you have purchased hosting services from Clarivate for one or more of the Covered Products.

### Service availability

We endeavor to ensure 99.9% availability of our software and make commercially reasonable efforts to schedule maintenance and system upgrades during the weekends or outside regular business hours (i.e. after regular end of business Pacific Time and before start of business Eastern Time) with reasonable notice. Availability is calculated by dividing the number of minutes the software was available during the Measured Period by the total sum of the minutes in the Measured Period less any Excluded Downtime.

For the purposes of this calculation, (i) the Measured Period is a calendar year and (ii) the Excluded Downtime includes scheduled downtime for system maintenance and release updates, as well as any service unavailability attributable to your breach, any actions or omissions by you or your users, causes beyond our control, or separate instances of unavailability of less than 5 (five) minutes duration each, provided such instances are not of a persistent nature.

If availability falls below 99.9% in a month for three consecutive months, you will be entitled to a credit equal to the prorated amount of the fees for hosting services for any time during such three-month period in which the software was unavailable (other than Excluded Downtime). This credit will be your exclusive remedy for such unavailability.

### Security Controls

We take reasonable and appropriate administrative, technical and physical measures to protect the confidentiality, integrity and availability of your data; however, security and compliance is a shared responsibility between you and Clarivate. Our responsibilities are described below. You should take into consideration any special configurations or third-party applications and your responsibilities depending on any applicable laws and regulations.

The table below sets forth the features of our standard cloud-based hosting option. Premium support may be available for an additional cost.

| Feature                                      | Standard |
|----------------------------------------------|----------|
| 24x7 network monitoring                      | ✓•       |
| Dedicated production environment             | ✓•       |
| 99.9% guaranteed infrastructure uptime       | ✓•       |
| Dedicated public IP address and custom URL   | ✓•       |
| Operating system installation and management | ✓•       |
| Library software installation and upgrades   | ✓•       |
| Data backups                                 | Daily    |
| Archive data backup retention                | 30 days  |

*Network Systems Audit Logging.* All firewall logon activity and password changes are logged, monitored, controlled and audited. All intrusion detection and firewall log monitoring is done through services provided by Innovative and those pertinent log files and configuration files are retained for ninety (90) days and can be made available upon request for audit and problem resolution, as may be required.

*Network Monitoring.* All network systems and servers are monitored 24/7/365. We will monitor its systems for security breaches, violations and suspicious (questionable) activity. This includes suspicious external activity (including, without limitation, unauthorized probes, scans or break-in attempts) and suspicious internal activity (including, without limitation, unauthorized system administrator access, unauthorized changes to its system or network, system or network misuse or program information theft or mishandling). Innovative will notify Client as soon as reasonably possible of any known security breaches or suspicious activities involving Client's production data or environment, including, without limitation, unauthorized access and service attacks, e.g., denial of service attacks.

*Audit and Security Testing.* Hosting Providers perform regular security audits and testing. You may not perform own audits of hosting providers.

*Information Security Auditing/Compliance.* Our hosting providers undergo SOC 1/SOC 2 Type 2/ISO 27001 audits each year by independent third-party audit firms. We offer hosting options in datacenters located in the United States, Canada, United Kingdom, Ireland, Australia and the Asia-Pacific region, however, Clarivate reserves the right to increase, decrease and/or relocate its datacenters at anytime.

## Disclaimer

Support services do not include visits to your site, any services for third party equipment or software, problems stemming from a change you made to the software, or consulting services related to client specific configurations or implementation (such as interactions between the software and your hardware, installations at your site, assistance with acceptance testing, client specific templates or reports, etc). We have no obligation to correct any error resulting from a failure by you to implement a third-party software modification or update recommended by us and provided to you at no charge.

We are not responsible for downtime or any other failure to meet the availability requirement if the root cause of the disruption is (i) your breach of the agreement; (ii) your failure to use minimum recommended browser standards for access to and use of the software; or (iii) outside of our control including, but not limited to, failures of hardware or software of upstream service providers or at your location or improper use of the software. Any additional services which you may request and we may agree to perform will be billed on a time and materials basis subject to our current applicable rates.

## Changes to Support Policy

This policy may be updated by us from time to time, in our sole discretion.

# Software Support, Service Availability and Maintenance

This document outlines our Software support, maintenance and service availability for **Vega, Innovative Mobile, Innovative Phone Alerts or Software-as-a-Service**.

## Support

**Requesting support.** Support includes issue analysis, support case management, prioritization of issues, tracking and investigation of issues and explanation of error messages. You must provide us with the information we need to resolve your problem. This includes relevant contact information, details about the problem, error messages, user IDs, and any other necessary information. If you have problems using our software, your designated administrators can contact us during normal hours. Your administrator will be provided an internal portal to report issues and review their status.

**Response.** We will use commercially reasonable efforts to meet the service level objectives stated below. Target response times to confirm receipt and begin troubleshoot and diagnosis of the problem are below. Resolution times cannot be guaranteed, although we undertake every effort to resolve your issues as soon as possible.

| Priority   | Response                               | Criteria                                                                                                                                                                                                                                                                                       |
|------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Severity 1 | 1 Business hour                        | A major component of the software is in a non-responsive state and severely affects library productivity or operations. A high impact problem that affects the entire library system. Widespread system availability, production system is down                                                |
| Severity 2 | 4 Business hours                       | Any component failure or loss of functionality not covered in Severity 1 that is hindering operations, such as, but not limited to: excessively slow response time, functionality degradation; error messages; backup problems; or issues affecting the use of the module or the data          |
| Severity 3 | 2 Business Days                        | An issue (other than a Severity 1 or 2) which (a) has no direct and material impact on business processes, (b) has an impact only on a segment of users, or (c) does not yet disrupt time-critical business processes.                                                                         |
| Severity 4 | as promptly as is reasonably practical | Non-performance related incidents, including: general questions, requests for information, documentation questions, enhancement requests. These will be logged but no immediate action will be taken. We will generally monitor the situation but will not be obliged to provide any solution. |

**Escalation Path.** If you do not receive a response within the timeframe designated above, please reach out to your Account Manager.

## Hosting Services

### Service availability

We endeavor to ensure 99.5% availability of our software and make commercially reasonable efforts to schedule maintenance and system upgrades during the weekends or outside regular business hours (i.e. after regular end of business Pacific Time and before start of business Eastern Time) with reasonable notice. Availability is calculated by dividing the number of minutes the software was available during the Measured Period by the total sum of the minutes in the Measured Period less any Excluded Downtime.

For the purposes of this calculation, (i) the Measured Period is a calendar year and (ii) the Excluded Downtime includes scheduled downtime for system maintenance and release updates, as well as any service unavailability attributable to your breach, any actions or omissions by you or your users, causes beyond our control, or separate instances of unavailability of less than 5 (five) minutes duration each, provided such instances are not of a persistent nature.

If availability falls below 99.5% in a month for three consecutive months, you will be entitled to a credit equal to the prorated amount of the fees for hosting services for any time during such three-month period in which the software was unavailable (other than Excluded Downtime). This credit will be your exclusive remedy for such unavailability.

### Security Controls

We take reasonable and appropriate administrative, technical and physical measures to protect the confidentiality, integrity and availability of your data; however, security and compliance is a shared responsibility between you and Clarivate. Our responsibilities, including those managed by Clarivate hosting partners, are described below. You should take into consideration any special configurations or third-party applications and your responsibilities depending on any applicable laws and regulations.

The table below sets forth the features of our standard cloud-based hosting option. Premium support may be available for an additional cost.

| Feature                                      | Standard |
|----------------------------------------------|----------|
| 24x7 network monitoring                      | ✓•       |
| Dedicated production environment             | ✓•       |
| 99.5% guaranteed infrastructure uptime       | ✓•       |
| Dedicated public IP address and custom URL   | ✓•       |
| Operating system installation and management | ✓•       |
| Library software installation and upgrades   | ✓•       |
| Data backups                                 | Daily    |
| Archive data backup retention                | 30 days  |

*Network Systems Audit Logging.* All network logon activity and password changes are logged, monitored, controlled and audited. All intrusion detection and firewall log monitoring is done through services provided by the Hosting Provider. The pertinent log files and configuration files related to customer's hosted solution are retained for seven days and can be made available upon request for audit and problem resolution, as may be required.

*Encryption.* Encryption for data-in-transit is provided as a part of the Standard Plan.

*Network Monitoring.* All network systems and servers are monitored 24/7/365. We will monitor its systems for security breaches, violations and suspicious activity. This includes suspicious external activity (including, without limitation, unauthorized probes, scans or intrusion attempts) and suspicious internal activity (including, without limitation, unauthorized system administrator access, unauthorized changes to its system or network, system or network misuse or program information theft or mishandling). Innovative will notify Client as soon as reasonably possible of any known security breaches or suspicious activities involving Client's production data or environment, including, without limitation, unauthorized access and service attacks, e.g., denial of service attacks.

*Physical Security.* The physical infrastructure used to support the product (and other professional services purchased by you from Clarivate, as applicable), including the servers, storage, switches, and firewalls, are provided by the hosting provider. The hosting provider limits access to only authorized personnel, and badge and/or biometric scanning controls access. Security cameras placed in the hosting facilities provide video surveillance.

*Audit and Security Testing.* Hosting providers perform regular security audits and testing. You may not perform own audits of hosting providers.



*Security Assessments.* Client may perform vendor due diligence reviews of Innovative's security best practices. Innovative undergoes annual audits by independent firms and will share its security certifications, and audit reports under Non-Disclosure, as requested by Client.

*Information Security Auditing/Compliance.* Our hosting providers undergo SOC 1/SOC 2 Type 2/ISO 27001 audits each year by independent third-party audit firms. We also hold the internationally-recognized ISO 27001:2013 standard for its information security management system supporting the hosting solutions. We partner with hosting providers who are designed to satisfy requirements of most security sensitive customers with constant monitoring, high automation, high availability, and highly accredited to global security standards, including: PCI DSS Level 1, ISO 27001, FISMA Moderate, FedRAMP, HIPAA, and SOC 1 (formerly referred to as SAS 70 and/or SSAE 16) and SOC 2. We offer hosting options in datacenters located in the United States, Canada, United Kingdom, Ireland, Australia and the Asia-Pacific region, however, Clarivate reserves the right to increase, decrease and/or relocate its datacenters at anytime.

*Your responsibility.* Client remains responsible for properly implementing access and use controls and configuring certain features and functionalities of the software that Client may elect to use in the manner that Client deems adequate to maintain appropriate security, protection, deletion, and backup of its data.

## Disclaimer

Support services do not include visits to your site, any services for third party equipment or software, problems stemming from a change you made to the software, or consulting services related to client specific configurations or implementation (such as interactions between the software and your hardware, installations at your site, assistance with acceptance testing, client specific templates or reports, etc). We have no obligation to correct any error resulting from a failure by you to implement a third-party software modification or update recommended by us and provided to you at no charge.

We are not responsible for downtime or any other failure to meet the availability requirement if the root cause of the disruption is (i) your breach of the agreement; (ii) your failure to use minimum recommended browser standards for access to and use of the software; or (iii) outside of our control including, but not limited to, failures of hardware or software of upstream service providers or at your location or improper use of the software. Any additional services which you may request and we may agree to perform will be billed on a time and materials basis subject to our current applicable rates.

## Changes to Support Policy

This policy may be updated by us from time to time, in our sole discretion.